Urban-Act

UCLG ASPAC United Cities and Local Governments Asia-Pacific

City Enabling Environment for Environmental and Climate Governance (CEEECG)

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Foreword

Over the last few decades, the Asia-Pacific region has witnessed transformative urban growth, positioning cities at the forefront of both challenges and opportunities. The rapid urbanisation has turned cities into vital economic powerhouses and cultural hubs. However, this growth has not come without its costs—cities have become major contributors to pollution, greenhouse gas emissions, and are often vulnerable to the multifaceted impacts of climate change and increasing incidences of multidimensional poverty.

Recognising these challenges, there is a pressing need to develop innovative solutions that support sustainable development and enable cities to function more effectively and flexibly. In this context, the City Enabling Environment on Environmental and Climate Governance (CEE-ECG) 2024 plays a critical role by evaluating the "enablers" and "actors" that influence local governance and urban management, focusing on how cities can align their growth trajectories with the goals of sustainable development.

The CEE-ECG 2024 builds upon the foundational work of previous assessment in 2018 and it has been a collaborative endeavour under the framework of Urban Act that aims to support the transformation of cities towards low-carbon and resilient urban development in China, India, Indonesia, Thailand, and the Philippines. The assessment is spearheaded by United Cities and Local Governments (UCLG ASPAC) in partnership with a network of local government associations and experts across the region. By examining core enablers such as policies, laws, institutions, governance systems, fiscal autonomy, and public engagement, this report aims to highlight the critical levers that can transform urban environments into catalysts for environment and climate change governance at five Urban-Act pilot countries.

Through an inclusive peer review process supported by key regional stakeholders—including national and municipal governments, urban planners, and civil society organisations—this assessment not only deepens our understanding of the enabling environments but also stimulates a broader dialogue on urban governance. Although the assessment does not capture all the nuances of local governance systems, it significantly contributes to the national and regional discourse on creating more resilient and inclusive cities.

The findings from the CEE-ECG 2024 underscore the disparities in climate governance across the five pilot countries, emphasising the necessity for cities to strengthen their regulatory and policy frameworks to navigate their development paths independently. While all five nations have integrated climate change into national strategies, gaps remain in decentralisation, institutional capacity, and local government autonomy. Further efforts are required to enhance governance structures, measurement, reporting, and verification (MRV) systems, and greenhouse gas (GHG) emission reporting. Moreover, the need for increased transparency, accountability, and public participation in decision-making remains a critical area for improvement.

This report's findings provide valuable policy directions and recommendations to strengthen citizen engagement and urban solutions for sustainable development. While China, India, Indonesia, and the Philippines have national funding mechanisms for local climate action, Thailand requires additional fiscal tools to support municipal governance. Indonesia and the Philippines also stand out for strong public participation frameworks, ensuring vulnerable communities and gender perspectives are considered in climate policies. We hope this assessment inspires continued dialogue and action to enhance municipal governance and urban policies, steering cities towards more sustainable and equitable futures.

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Abbreviations and Acronyms

CCA - Climate Change Adaptation
CCM - Climate Change Mitigation
DRM - Disaster Risk Management
LGA - Local Government Association
LGU - Local Government Unit
NDC - Nationally Determined Contributions
NAP - National Adaptation Plan
DRR - Disaster Risk Reduction
CSR - Corporate Social Responsibility
NAFCC - National Adaptation Fund for Climate Change
MoEFCC - Ministry of Environment, Forest and Climate Change
UT - Union Territory
CAI - Climate Action India
NCAP - National Clean Air Programme
SAPCC - State Action Plan on Climate Change
GIZ - Deutsche Gesellschaft für Internationale Zusammenarbeit (German Corporation for International Cooperation)
UCLG ASPAC - United Cities and Local Governments Asia-Pacific
SFDRR - Sendai Framework for Disaster Risk Reduction
IBSAP - Indonesia Biodiversity Strategy and Action Plan
BAPPENAS - Ministry of National Development Planning of Indonesia
CRD - Climate Resilience Development
MRV - Measurement, Reporting, and Verification
NCCC - National Climate Change Commission
CEE-ECG - City Enabling Environment on environmental and Climate Governance
UNEP - United Nations Environment Programme
UN-Habitat - United Nations Human Settlements Programme
UNESCAP - United Nations Economic and Social Commission for Asia and the Pacific
NDMMP - National Disaster Management Master Plan

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Introduction

Assessing the enabling environment for cities' climate action in Asia-Pacific

he City Enabling Environment (CEE) Assessment is an attempt to understand the 'enablers' and 'actors' that will underpin the transformation of 21st-century cities, addressing a broad spectrum of issues related to human development, quality of life, environmental protection, and responses to climate change through mitigation and adaptation strategies. While focusing on climate action, the assessment also considers other core enablers such as policies, laws, institutions, governance systems, fiscal autonomy, and levels of public engagement. These factors collectively influence urbanisation's potential to foster sustainable development and climate resilience. The assessment evaluates the 'de jure'—national legislation and policies—that enable local governments to meet or exceed the minimum standards necessary for effectively contributing to global climate action efforts. Utilising a country perspective of analysis, this report provides a contextual review of the functions and performance of local governments, which is crucial as their efficacy largely depends on the specific national context.

This assessment included five countries: China, India, Indonesia, the Philippines, and Thailand. In this edition, the evaluation was conducted to understand and evaluate how conducive their environment was to the well-functioning cities and local governments addressing climate change challenges. Additionally, the system ratings were used to analyse countries in the region to identify which countries were better positioned to efficiently manage urbanisation and use demographic change to catalyse faster and more equitable national growth. First and foremost, the assessment will enable countries to determine areas for institutional reforms, drawing lessons from the better-rated countries, to shape an environment for inclusive, responsive, and sustainable urban climate actions. This assessment included five countries: The urgency of climate action as a challenge that spans humanity necessitates whole-of-government action. The complex nature of climate change not only intensifies scientific scrutiny but also underscores the necessity for policymakers to grasp the transformed conditions of the natural environment they govern. In light of these evolving environmental, political, and social dynamics, the 11th indicator of the enabling environment rating requires significant revision and review. It is crucial to acknowledge that while a unified societal approach is ideal, it is unrealistic to expect a 'whole of society' viewpoint. Instead, a practical framework should facilitate 'communities of interest' to collaboratively pursue the common goal of reducing emissions. Governments must set clear targets and allocate the necessary resources, enabling these communities to effectively contribute to climate action efforts. The assessment involved local government associations, local government units, and related stakeholders in climate action in those countries (based on the original CEE criteria and its expansion).

[1] The five countries were parts of the Urban-Act project launched at the Seventh Session of the UNESCAP Committee on Environment and Development (CED) in Bangkok from 29 November to 1 December 2022. The project aimed to

Structure of the report

The preliminary report is structured into five chapters. The first chapter establishes the background and context of the report, detailing its scope, structure, and the content of subsequent chapters. It emphasizes the broader purpose of the CEE-ECG, which is not only to address climate action but also to tackle a range of environmental and human development issues faced by cities. The second chapter, on the importance of enhancing climate actions in Asia-Pacific, places these actions within the larger context of environmental and climate governance. It highlights the critical role of cities and local governments in not only reducing greenhouse gas emissions (GHGs) but also in addressing broader environmental challenges and enhancing urban sustainability. This chapter provides an overview of the multifaceted challenges cities encounter in implementing effective and sustainable environmental strategies.

The third chapter outlines the principles and methodologies for developing the CEEECG, explaining the basis for assessing five selected Urban-Act Participating Countries: China, India, Indonesia, the Philippines, and Thailand. This section explains the expansion of Criteria 11 from the original CEE Assessment, detailing the adapted scoring system and its relevance to broader environmental governance metrics.

The fourth chapter provides preliminary information on the CEE-ECG in the participating countries, offering an analysis of both climate-focused and broader environmental governance actions currently in place. This section evaluates the preliminary results of each country's assessment, showing how each aligns with the expanded objectives of the CEEECG.

The fifth and final chapter summarizes the initial findings and lessons learned from the assessment, offering conclusions and recommendations that not only focus on enhancing climate action but also on improving overall environmental governance in urban settings across Asia-Pacific.

2

The Importance of Enhancing Climate Actions in Asia-Pacific

Cities, climate change and environmental challenges

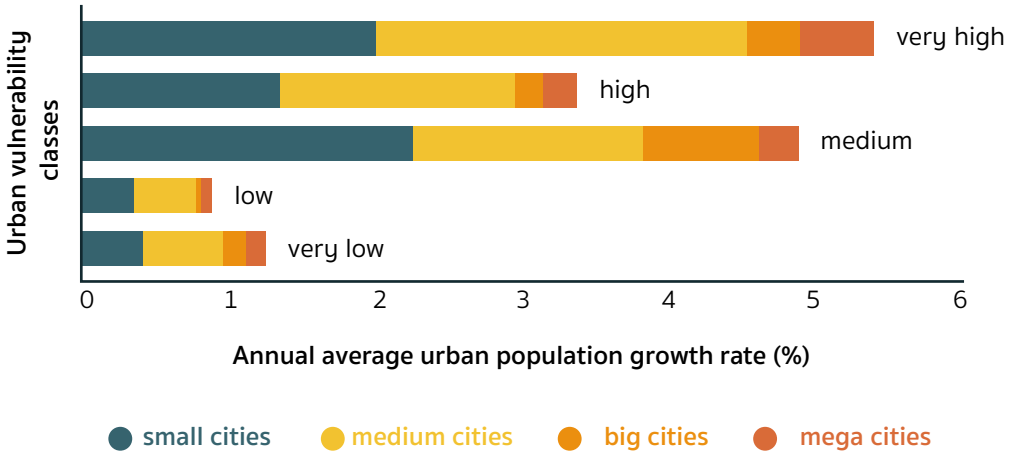


Figure 1 Global city growth rates (UNEP and UN-Habitat, 2021)

Cities are the main drivers of economic growth and development at both local and national levels (Shatkin, 2007). They offer better opportunities than rural areas due to their rapid development, productivity, and other benefits related to their urban size and density (Duranton and Puga, 2020; Mukim and Roberts, 2023). This increasing economic growth and development not only stimulate cities to expand their productive capacity further and diversify their urban economies but also enhance their attractiveness for urbanisation (Beall and Fox, 2009). Importantly, cities are also where over 70% of global greenhouse gas (GHG) emissions are generated, positioning them as critical targets for impactful climate action. Addressing emissions in these urban areas can significantly reduce the adverse impacts of climate change. In the future, 90 percent of urban growth is projected to occur in low-income and middle-income countries (UNEP, 2021), where the potential for mitigation measures can have a profound effect on global climate change outcomes.

Cities are constantly growing and expanding, but this growth can lead to various problems, such as pressures on land, housing, basic services, infrastructure, and environmental issues. (Glaeser, 2012). These stresses can negatively impact a city's productivity, growth, and even the quality and sustainability of that growth. This can make a city less green, resilient, and inclusive. (Duranton and Puga, 2020). Such impacts can be observed in slums and sprawls, lack of access to basic services, and urban water, air, and soil pollution.

Climate change has also emerged as an additional and growing source of stress in many cities, both adding to and interacting with many of the traditionally emphasised sources of stress, thereby further influencing the quality of a city's growth (Mukim and Roberts, 2023). It has also become recognised that the nature of a city's spatial development has the potential to affect not only the global climate through its contribution to greenhouse gas (GHG) emissions but also its local climate through the urban heat island effect. This process is partly due to the impact of cities, which is that the concentration of people and activities is responsible for high energy consumption levels (Bertoldi et al., 2018). Cities are also integral to increased consumption and production, concentrating it into narrower spaces. Over time, the growing wealth in cities has led to the growing consumption of natural resources and energy, increasing environmental harms of all types and their global environmental footprint (Lee and Koski, 2014).

Furthermore, cities significantly contribute to carbon emissions, aggravating climate change. However, climate disasters also considerably impact cities (Panwar, 2021; UNEP, 2021). According to a 2018 report by the United Nations, climate-related and geophysical disasters caused 1.3 million fatalities and resulted in $2.9 trillion in economic losses worldwide between 1998 and 2017 (CRED and UNISDR, 2018). Climate-related disasters accounted for more than three-quarters of the damage. The concern is that climate change may increase the severity and frequency of hazards, such as extreme heat, coastal flooding, drought, wildfires, and tropical cyclones. (Boland et al., 2021). The IPCC Sixth Assessment Report (2022) It predicts that tropical and sub-tropical countries, mostly Asia-Pacific, will have increased climate change impacts.

The Roles of Cities and Local Governments in Climate Actions

Cities and local governments are on the front lines, directly experiencing the adverse effects of climate change on human rights. (OHCHR, 2022) Increasing global temperatures contribute to rising sea levels and more frequent and intense extreme weather events such as floods, droughts, and storms. These environmental changes demand robust disaster risk reduction and resilience measures. The impact on cities includes significant disruptions to essential services such as water supply and sanitation, damage to infrastructure, and housing crises. Additionally, these environmental stressors affect human livelihoods by impairing agricultural productivity and exacerbating food insecurity. Health risks also escalate due to increased incidences of heat-related illnesses and the spread of water-borne diseases. Collectively, these impacts hinder individuals' ability to secure basic necessities and safe living conditions, directly impinging on their ability to enjoy fundamental human rights such as the right to life, health, housing, and an adequate standard of living.

Meanwhile, cities have become active players in climate change governance at different levels. The 2015 Paris Agreement acknowledges the critical role of local governments in the global response to climate change (UNFCCC, 2015). Local climate policies can complement regional and national programmes and the existing institutions under the United Nations Framework Convention on Climate Change (UNFCCC) regime (Hoffmann, 2011). Several observers highlight the roles of cities in developing and implementing low-carbon economies at local levels (Gouldson et al., 2016; Hsu et al., 2017; van der Ven et al., 2017). They have also achieved moderate success in cutting urban emissions (Larsen and Hertwich, 2009), implementing new energy standards for building and exploring the cross-cutting issues of grey-green building/infrastructures (Liang et al., 2007), investing in alternative transportation to promote carbon-neutral mobility (Nakamura and Hayashi, 2013), and introduced novel technologies for waste management to reduce GHG emissions and other hazardous substances (Weitz et al., 2002).

Worldwide, there is a growing number of international efforts on climate actions led by non-state actors. These initiatives can potentially speed up the implementation and improve the effectiveness of national and local policies (Roelfsema et al., 2015). Additionally, these initiatives have a broad membership base that sets the foundation for reducing emissions and advancing sustainable development goals (Bertoldi et al., 2018). However, it is important to note that while these efforts are valuable, there is a pressing need for more effective coordination among them. Many of these initiatives are incremental and disjointed, which can sometimes inhibit the overall achievement of a more holistic approach to solving climate change issues in cities. Enhanced coordination could ensure that these initiatives complement each other and collectively contribute to a more comprehensive and effective response to climate challenges in urban environments.

Cities in the Agenda 2030

Climate change and sustainable development require comprehensive government policies to address issues affecting citizens' life cycles. The 2030 Agenda needs multilevel governance to promote collaboration among different actors, sectors, and levels. (Meuleman and Niestroy, 2015; Transforming Our World, 2015). The guidelines and indicators for the 2030 Agenda development exhibit content more on the international, national, and regional approaches than the local level (including the urban level) (Huan et al., 2021; Moyer and Hedden, 2020).

At the same time, implementing the Sustainable Development Goals (SDGs) has shown that cities have become a key reference for leading processes to combat climate change and promoting sustainability policies. (Kern, 2019). Beyond Goal 11 , city-level actors have promoted strategies, instruments, and institutions to pursue the diversity of goals outlined in the 2030 Agenda (Salvador & Sancho, 2021). The concept of urban climate governance illustrates how cities have emerged as important agents and sites in sustainability policy interventions, experimentations and networks and their difficulties in addressing climate change mitigation as an integrated and coherent agenda. (Vedeld et al., 2021).

The role of cities in those matters can also be observed from the current progress of SDG 11 and SDG 13 and the cross-cutting issues between them. In the context of climate change, implementing SDG 11 has faced challenges, such as the lack of reliable data, the risk of measuring what has already been measured, and the

[2] Make cities and human settlements inclusive, safe, resilient and sustainable"

challenge of finding a set of feasible indicators to support decision-making. Matching data with the capacity to implement SDG 11 targets has also proven difficult (Allen et al., 2016). To address these issues, multidimensional approaches have been proposed, along with aligning planning and adaptation as an alternative solution to strengthen the efforts (Sanchez Rodriguez et al., 2018).

The ECOSOC's report (2023) Reveals that only 26 out of 58 national urban policies (45%) met the third criterion of considering "increased local fiscal space" in terms of Target 11. a. The numbers indicate that there are still limited financing mechanisms for local implementation of sustainable urban development.

Regarding Target 11.2, only 51.6% of the world's urban population has convenient access to public transport, according to 2022 data from 1507 cities in 126 countries. Lack of access to public transport drives urban inhabitants to opt for private transportation, such as cars and motorcycles, contributing to urban GHG emissions.

As for Target 11.6, the report states that the global average municipal solid waste (MSW) collection rate in cities was 82% in 2022, and the average MSW managed in controlled city facilities was 55%. The report highlights that uncollected waste can be a source of plastic pollution, GHG emissions, and incubation of infections. (ECOSOC, 2023, p. 18)

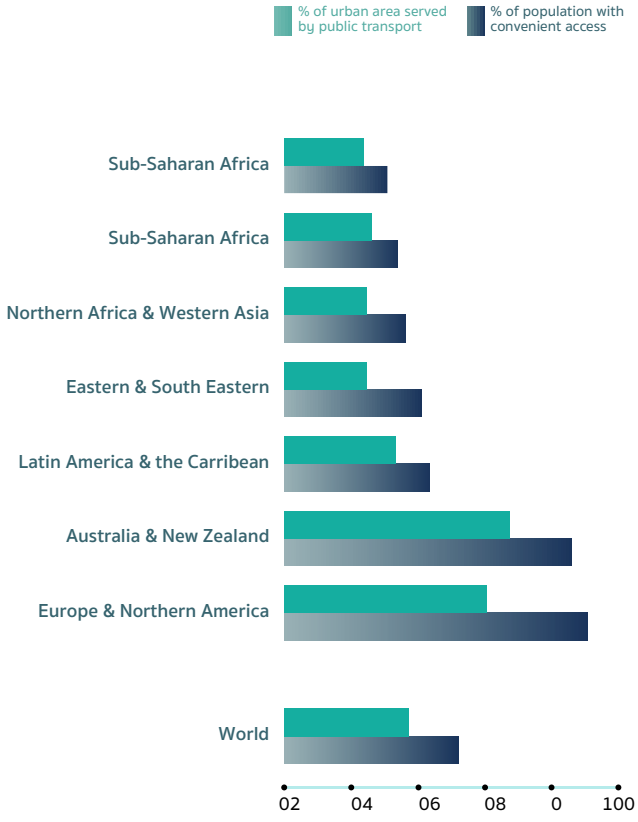


Figure 2 Coverage of public transportation and share of population with convenient access in urban areas, 2020 (United Nations, 2022)

Cities Commitments in the International Climate Change Treaties

UN-Habitat's report (2022) analyses the urban content of 194 Nationally Determined Contributions (NDCs) submitted to the UNFCCC. The report employs 200 indicators and has two objectives: classify the NDCs into three clusters and analyse their urban content:

- Cluster A (strong urban content): NDCs with specific urban sections and/or NDCs in which urban is identified as a priority sector, excluding NDCs not backing the prioritisation with a clear identification of specific urban challenges and/or responses. NDCs from city-states.
- Cluster B (moderate urban content): NDCs with generic urban mentions within the body of text.
- Cluster C (low or no urban content): NDCs with low or no explicit urban mention within the text.

ESCAP's findings show that 66 percent of the 194 NDCs reviewed had either a moderate or strong urban focus. Specifically, 53 NDCs, or 27 per cent, fall into Cluster A, indicating strong urban content, while 76 NDCs, or 39 per cent, are categorised in Cluster B, indicating moderate urban content. Compared to the initial analysis from 2016/2017, this represents a substantial increase—from 14 per cent to 27 per cent—in the number of NDCs with strong urban content. However, there remains a need to integrate urban content into the 34 per cent of NDCs that currently lack it (Cluster C) and to enhance further the urban content in those NDCs that already include it. This effort is crucial to elevating the ambition of national climate policies and advancing the implementation of climate action.

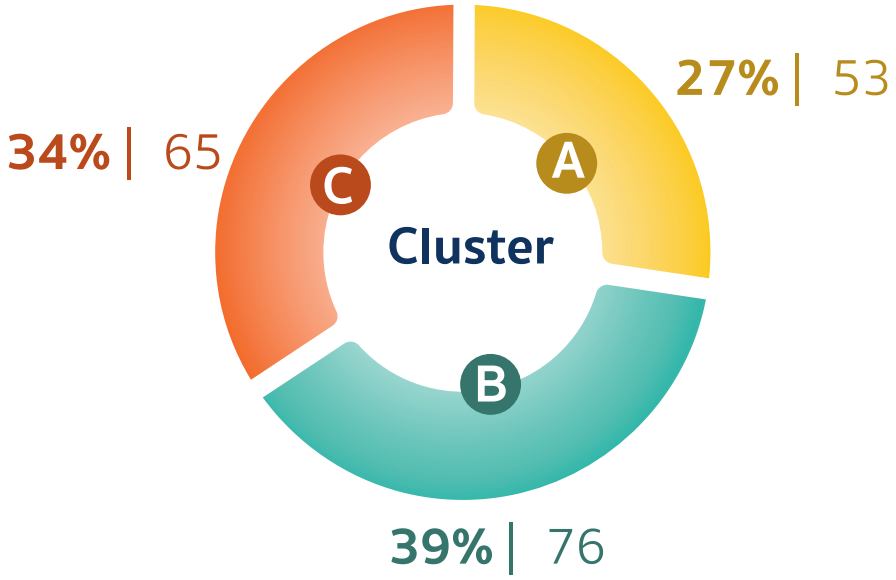


Figure 3 NDC urban content analysis (UN-Habitat, 2024)

The data analysis revealed that nearly half of the NDCs (44 percent; 86 NDCs) incorporated urban adaptation and mitigation references, indicating a growing awareness of the need to address climate change in urban settings. The sectors most frequently mentioned in relation to urban mitigation were energy, transport and mobility, and waste management, while infrastructure and water were the primary focus areas for urban adaptation. Cross-cutting issues, such as nature-based solutions (NbS), public participation, and gender, were also frequently cited, highlighting their importance across multiple aspects of climate policy. However, while these points are crucial, there remains a significant gap in the implementation of these strategies. Currently, there is a lack of comprehensive data to show concrete efforts made to allocate resources towards these ends. Moreover, the effectiveness of monitoring and evaluation (M&E) systems at the local government unit (LGU) level is insufficiently developed to accurately assess the real impact of public and private sector initiatives. To address these challenges, there is an urgent need to develop robust M&E systems that can provide clear, actionable data to guide and improve climate action efforts at the urban level.

Interestingly, the data showed that less than half (40 per cent) of the NDCs with urban content addressed climate hazards at the urban level, with flooding being the most mentioned hazard. This is significantly lower compared to the 89 per cent of NDCs that identified climate hazards at the national level. Additionally, while the need for technology, capacity-building, and finance to implement NDCs was highlighted in a large number of NDCs at the national level (160, 155, and 141 NDCs, respectively), there was a significant drop in the number of NDCs that included specific requests for these resources at the urban level (26, 9, and 7 NDCs, respectively).

The Need for Reviewing City Enabling Environment on Environmental and Climate Governance

There needs to be more connection between the challenges urban areas face and those encountered nationally regarding adapting to and mitigating climate change. (Cameron et al., 2021; Di Gregorio et al., 2019; UN-Habitat, 2022). As indicated in Figure 7, this disconnect becomes more evident when looking at specific sectors. Fewer national climate plans mention the specific challenges urban areas face compared to those that say challenges at the national level. UN-Habitat (2022). We reported that the urban content in the NDCs is only sometimes fully harmonised with the urban content in other national climate policies. Also, the urban climate responses sometimes align with the identified urban climate challenges. Those findings indicate inconsistencies between the urban content in national climate policies and NDCs (UN-Habitat, 2022).

Meanwhile, an important feature of urban areas is that they continuously exchange people, goods, resources, and information with other places. This feature leads to their footprint's increasing impacts, which goes beyond jurisdictional boundaries. Cities are increasingly gearing towards developing strategies that attempt to address cross-sectoral and cross-level challenges relevant to urban planning in the context of climate change (García Sánchez, 2022; Grafakos et al., 2019; Hurlimann et al., 2021). Several priorities arise due to cities' changing perspectives, such as urban water, urban climate information, urban green and thermal comfort and housing environments. Urban resource security issues are also increasingly problematic, particularly for water, food, and energy (Williams, 2019). As such, they understood the rationale of both policy objectives and considered the importance of integrating the two policies in urban planning and decision-making at the national and local levels.

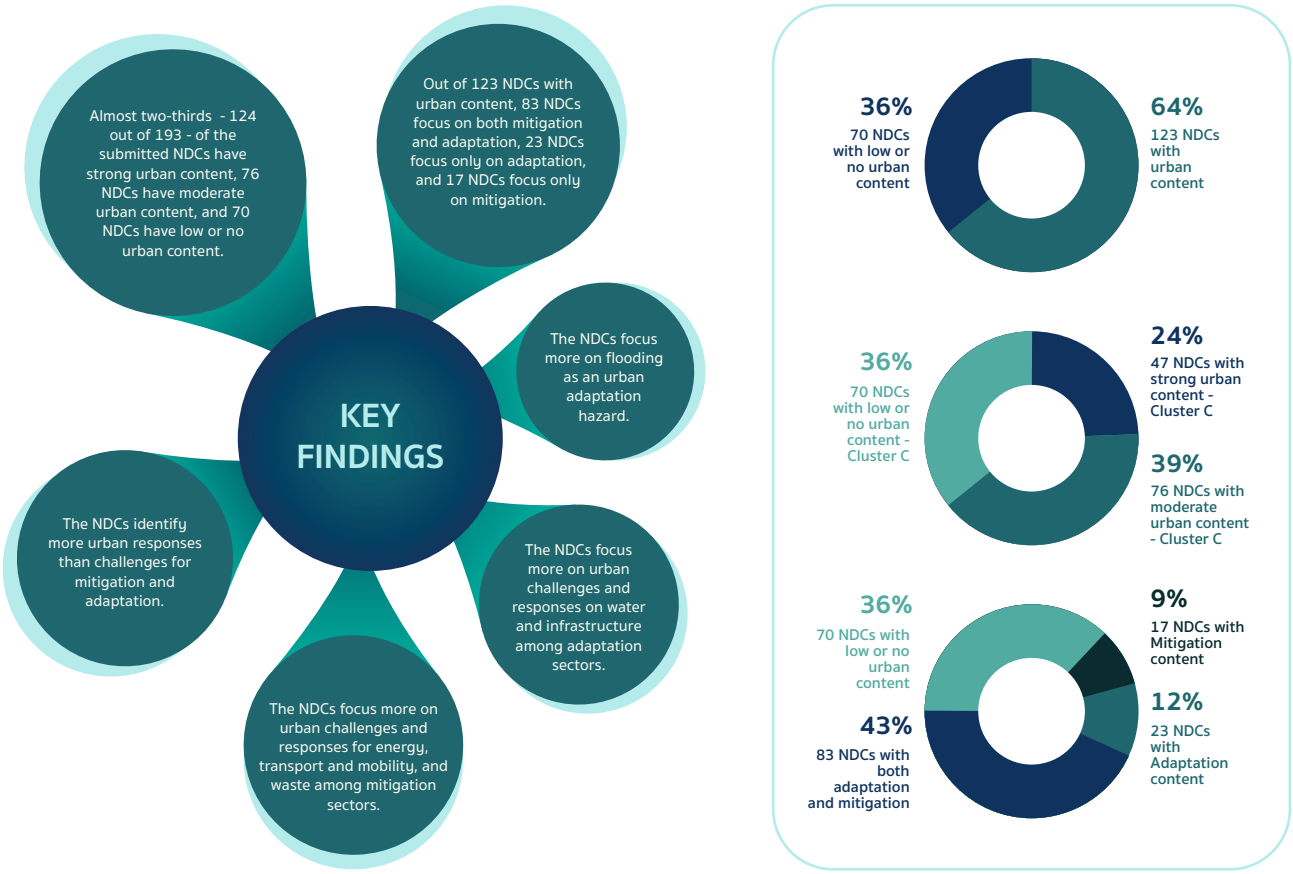


Figure 4 Global Urban Contents of NDCs (UN-Habitat, 2022)

Thus, effective governance is essential to provide the framework, coordination, and resources needed to address climate change and environmental challenges in urban areas. It ensures that diverse stakeholders work together towards sustainable development and resilience, ultimately contributing to a more climate-resilient and environmentally friendly urban environment.

There were previous attempts to understand how to optimise the role of cities and local government in climate action. For example, a report by the World Bank (2022) addresses open government and climate change, which advocates for leveraging transparency, participation, and accountability for effective climate action, especially at the local level. Meanwhile, C40 Cities Climate Leadership Group (2022) also developed "The Urban Climate Action Impacts Framework" to develop a global evidence base and map how a climate action or policy translates into a change for the society, economy, or environment. This framework is based on the cost-benefit analysis (CBA) and impact assessment (IA), where impacts are identified, assessed, measured, and quantified and the intervention logic, where causal links between actions and impacts are mapped in pathways.

However, neither the report nor the framework above offers an overview of how the current state of "de jure" aspects at the national level enables/prohibits climate policy and actions at the city level. There is rarely a framework for evaluating how the 'core enablers'- policies, law, institutions and systems of governance, fiscal autonomy, and levels of public engagement- have been set to create the enabling environment for cities to take action.

The adjustment on Criteria 11 of the CEE Rating, which led to the current development of CEEECG, was initiated to address these issues. It aims to identify urban mitigation and adaptation challenges and responses by sector while highlighting specific urban needs in finance, capacity building and technology. CEE-ECG has the potential to provide a standard to evaluate the level of integration of climate mitigation and adaptation in cities' local climate action plans and could serve as the next analytical lens to understand the cities' enablers/blockers in climate action. Furthermore, CEE-ECG may deepen the implications of the three clusters concluded by UN-Habitat and provide key stakeholders with insights/standards to address the gap. **The CEE-ECG framework underscores the necessity for targeted interventions and robust support systems that enhance local capacities to combat climate change effectively. Moving forward, the next section of the report will delve into specific case studies from the evaluated cities, illustrating how these insights have been practically applied and the resultant impacts on urban climate governance**. This approach aims to inspire and guide similar urban areas globally in their climate action efforts.

3

Principles and Methodologies for Developing CEEECG

Cities Enabling Environment on Environmental and Climate Governance (CEEECG) Sub-criteria

As a benchmark for developing the indicators under each sub-criteria, we utilised the previous indicator of Criteria 11 of the CEE Assessment Rating. Criteria 11 on Environment and Climate Change Governance in CEE Assessment 2018 requires adjustments to measure further the extent of enabling environment for cities' climate actions since local governments across Asia-Pacific continue to face difficulties in adequately addressing urban environmental challenges related to climate change. (UCGL ASPAC, 2018). The urgency of climate action as a 'whole of government and whole of society' challenge requires policymakers to recognise that the natural environment they oversee has been altered by environmental, political, and social developments

The development of CEE-ECG adopted and readjusted the methodological approach of the previous CEE Rating Assessment. The 2018 Criteria had four classes of scores from class 1 (the lowest) to class 4 (the highest):

- Class 1 indicates that the country has not pledged or adopted international environmental protection and promotion commitments.
- Class 2 indicates that the country's international environmental protection and promotion commitments exist but do not recognise the importance of urban areas and the positive role of local government units (LGUs) in implementation.
- Class 3 indicates that the country's commitment to environmental protection and promotion recognises the importance of urban areas and LGUs' positive implementation role.
- Class 4 indicates countries where city-level action for environmental protection and promotion, including climate change and disaster risk reduction, is integrated into countries' international commitments. Cities are committed to funding and capacity support to drive national implementation, and codes and standards are in place at the city level for disaster risk management and climate risk mitigation.

Based on the indicative keywords in each class detailed above, the CEE-ECG rating consists of five sub-criteria designed to identify and analyse the enabling environments for climate actions in cities. Each sub-criterion is divided into various categories and indicators, with their respective scoring system detailed at the end of this report. Scores are assessed through a combination of methods, including reviews by expert panels, inputs from mayors, and assessments by government officials, ensuring a comprehensive and accurate measure of each city's capacity to implement effective climate actions

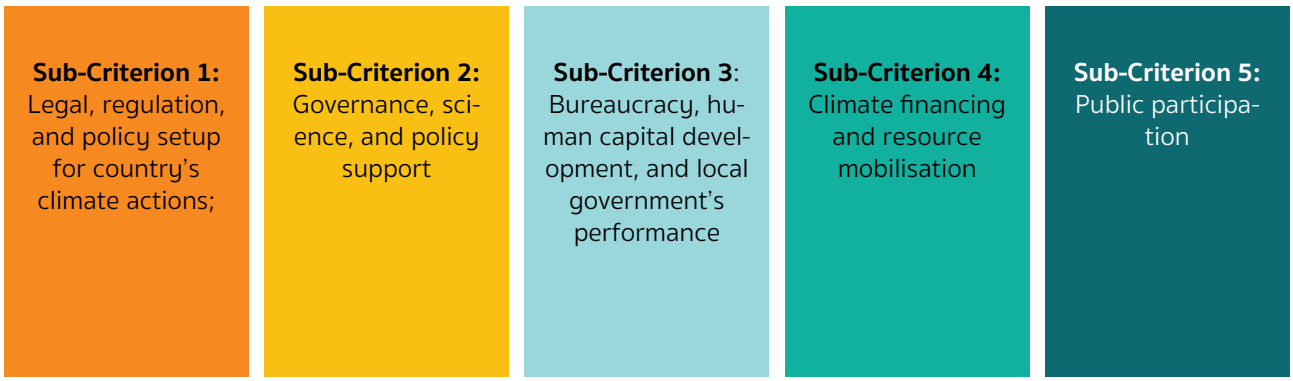


Figure 5 CEEECG Sub-criteria

Sub-criterion 1: Legal, regulation and policy setup for country's climate actions

Considering the legal and regulatory framework is important because it provides a general direction for cities in addressing climate change. At the national level, countries with climate-related parliamentary acts and strong rule of law contributed to an annual reduction in global CO2 emissions of 5.9 GtCO2 in 2016 (Eskander and Fankhauser, 2020)Thus, similarly, cities need defined procedures, roles, and rules in specified situations that can provide legal standing, guidance, and policy coordination vertically and horizontally to fulfil their different tasks in addressing climate change. This is particularly crucial when there is a high level of uncertainty in climate change (Göpfert et al., 2019). This sub-criterion assesses whether a country's legal, regulatory, and policy framework enables or prohibits LGUs from proactively planning and implementing environmental and climate action initiatives (Table 1).

Table 1. Sub-criterion 1 Legal, Regulation and Policy setup for country's climate actions

Category	Indicators
International Agreement	The Paris Agreement is ratified through national legislation.
	The Sendai Framework for Disaster Risk Reduction is adopted through a national legislation/regulation/policy equivalent to a national strategy.
	There is a ratified Convention on Biological Diversity through national legislation.
Climate change document	There is a Nationally Determined Contributions (NDCs) report.
	A national regulation/framework explicitly mentions the importance of city/urban areas and the roles of local governments in climate actions.
	A national regulation/framework requires local governments to report GHG emissions.
	A national climate action plan (or similar document) mentions the importance of city/urban areas and the role of local governments.
	A national climate action document/framework elaborates on local governments' roles and/or action standards in climate actions.
	A national regulation/document/framework considered as a national climate action plan requires/allows local governments to develop city-level climate action and urban resilience plans.
	There is a nationally Appropriate Mitigation Actions (NAMAs) report.
	There is a National Adaptation Plan (NAP) report.
National Planning	National Planning Documents mention/consider climate change among the strategic issues.
	National Planning Documents mention the importance of cities and urban areas and the role of local government in climate action.
Monitoring and evaluation	There is a national regulation/framework for Monitoring, Reporting, and Verification (MRV) of national-level climate actions.
	There is a national regulation/framework for Monitoring, Reporting, and Verification (MRV) of city-level climate actions.
	A national regulation/framework requires local governments to report their implementation of climate actions.
Disaster Risk Reduction	There is a national strategy or action plan document on DRR
	National strategies/action plans on DRR mention/consider climate change.
	National strategies/action plans on disaster risk reduction explicitly mention the importance of urban/city and the roles of local governments.
	National strategies/action plans on disaster risk reduction explicitly elaborate on local governments' roles and/or standards.
Biodiversity	There is a national strategy or an action plan instrument on biodiversity (NBSAP) or equivalent instrument.
	National strategies/action plans on biodiversity protection mention/consider climate change.
	National strategies/action plans on biodiversity protection explicitly mention the importance of urban/city and the roles of local governments.
	National strategies/action plans on biodiversity protection explicitly elaborate roles and/or standards of local governments.

Sub-criterion 2: Governance, science, and policy support

Cities, with their diverse ecosystems, populations, and infrastructure, face various climate-related risks. Effective governance structures coordinate responses to these challenges, ensuring involvement from multiple sectors and stakeholders and facilitating collaboration at national and international levels, allowing cities to learn from each other's experiences, share best practices, and contribute to global climate goals. Leveraging climate science, cities can assess risks, prioritise actions, and develop evidence-based policies. This process involves training staff to understand climate science, create and implement policies, and effectively engage stakeholders. However, a significant challenge is that many cities do not possess the necessary data to conduct robust risk assessments. Despite this, scientific research still provides cities with essential knowledge and data to comprehend local climate impacts, vulnerabilities, and potential mitigation and adaptation measures. Governance frameworks enable cities to explore innovative solutions and adopt new technologies to address climate challenges. Concurrently, top-down policies incentivise the use of renewable energy, green infrastructure, and information and communication technologies that contribute to sustainability.

Table 2. Sub-criterion 2 Governance, science and policy support for climate actions

Category	Indicators
Climate action report	There is a periodical/annual national-level report on national achievement or the current state of climate action.
	If yes, is there a substantial contribution from the local report?
	Is there a legal basis/mechanism for local governments to initiate their own periodical/annual urban-level climate action report on risk and achievements
	An initiative/mechanism exists to conduct or support a national climate change risk assessment.
	Does it include provincial/city/urban area roles?
	Does it require local governments to conduct climate change risk assessments at the city level?
Digitalisation	There is a nationally centralised and digitalised database service on climate change information (including GHG inventory), adaptation, and mitigation.
	Does it include local data?
	Does your country have a national mechanism for locally centralised and digitalised database services on climate change information (including GHG inventory), adaptation, and mitigation?
	There is a digitalised self-reporting mechanism for national ministries/governments to update their data on the national database.
	Is it also available for the provincial government?
	Is it also available for local government?
	There is a mechanism to channel digitalised climate-related data at the city level to implement NDCs and NAPs.
	Local governments have a mechanism/framework for leveraging the digitalisation of climate data, information, and knowledge for planning purposes.
Research Centres	A national research centre/body that focuses on climate action.
	There is a national research centre/body and/or legal basis for local governments to set up their own research body focusing on climate action research.
	There is a mechanism/framework for regional or local-level research centres on climate actions and resilience to be included in the regional policy-making process.
Policy Support	There is a supporting mechanism for the national government to receive assistance from public participation for disaster and/or climate risk assessment, including expert consultation, monitoring, and evaluation process.
	There is a national mechanism/support for integration and collaboration between civil society movements, including local businesses and local governments, on local governance regarding climate change.
	Local governments have a legal basis to set up multi-stakeholder mechanisms with universities, research bodies, civil society, and businesses to receive and use scientific measures to create climate actions, DRR, and biodiversity policy planning documents.
	There is an incentive/support mechanism/framework to establish/enhance market mechanisms for the local governments to access businesses and start-ups that can provide expertise, products, and services for climate actions.

Sub-criterion 3: Bureaucracy, Human Capital Development, and Local Governments'

Public bureaucracies play a crucial role in governing climate change, but their behaviour and structures have not been integrated into climate action consideration. (Biesbroek et al., 2018). Meanwhile, national and local actors incorporate climate objectives into their bureaucratic practices. (Bhardwaj and Khosla, 2021). Sub-Criterion 3 assesses the existence/absence of national and local government bodies and human capital development programmes to address this. This assessment is essential as the performance of local governments in planning, deciding, implementing, and evaluating environmental management, disaster risk reduction, and climate actions rely on the presence of these bodies and programmes. This assessment is essential as the performance of local governments in planning, deciding, implementing, and evaluating environmental management, disaster risk reduction, and climate actions rely on the presence of these bodies and programmes. (Kern, 2019; Kuramochi et al., 2020).

Table 3. Sub-criterion 3 Bureaucracy, human capital development, and local government's performance

Category	Indicators
Specific government agencies on climate change	The country has an appointed ministry/national agency responsible for climate action.
	Relevant ministry/national agency has a representative or mechanism to assist sub-national government.
	The country has a Local Government Act (or equivalent) at the national level that enables local governments to establish a dedicated local agency/body to plan and implement climate actions.
Multistakeholder's network	There is a national-level forum/network on climate actions involving various stakeholders at the national level.
	Does it involve local governments?
	An existing local government network or associations (at the national/ provincial level or site-specific, such as river-bound areas) are concerned with environmental issues, including climate actions.
	Does the national government endorse it?
	There is an umbrella for LGUs' self-governance in climate citizen mobilisation.
Bureaucracy	There is an institutional strengthening mechanism for national governance for climate action and resilience.
	Is the institutional strengthening mechanism available for local governance?
	There is a mechanism for integrating bureaucracy into climate action.
	Does it allow for enhancing vertical or horizontal integration of bureaucracy within your country on climate action, e.g., cross-cities collaboration within a country?
	Does it facilitate enhancing bureaucracy internationally on climate action, e.g., facilitating an international network of cities?
	Is there a national mechanism for e-governance and e-government integration?
	Is it at the early integration stage, including digital literacy, making systems and online processes, and financing climate action?
	Is it at a stage to shift from e-government and e-governance (making things online) to digital governance and digital government (data-based process) integration, including at the local level?

Sub-criterion 4: Climate financing and Resource mobilisation

Financing is a linchpin in the global efforts to address climate change. It enables the implementation of practical solutions, facilitates innovation, and supports communities in adapting to the challenges posed by a changing climate. Criterion 4 examines whether there are fiscal instruments in place that allow local governments to prioritise environmental management, disaster risk reduction, and climate action within their city budget. These instruments may include the ability to earmark city budget, access inter-governmental fiscal transfers, access global financial mechanisms, issue municipal bonds, establish Public-Private Partnership (PPP) mechanisms, and implement other budgetary measures for climate actions. (Bulkeley and Kern, 2006).

Table 4. Sub-criterion 4 Climate financing and Resource mobilisation

Category		Indicators
Budget	1	Your country has a national budget allocation for climate actions attached to national strategies and/or action plan documents. However, all funding and resource mobilisation decisions lie with the National Government.
	2	National strategies and/or action plan documents include a national funding mechanism for local government initiatives to address climate actions.
		1) Decisions on funding and resource mobilisation lie with the National Government.
		2) Decisions on funding and resource mobilisation lie at the national and local levels.
	3	There is a mechanism for private financing of climate actions nationally.ww
		1) Is it also available for local government?
		2) Does the national mechanism also facilitate a funding pool for local government?
	4	There is a safety/incentive mechanism for the risk of climate financing at the local level.
		1) Does the national standard of local credibility support it?
	5	There is a national framework allowing/supporting multi-year/long-term local climate action planning.
	6	There is a regulatory framework for fiscal decentralisation, including climate action.
		1) Is the regulatory framework complemented by operating policy/regulation?
	7	There is a specific research funding mechanism for advancement in climate actions.
	8	A national regulation allows local governments to access/initiate various fiscal measures for climate actions.
	9	There is a precise accountability mechanism for LGUs to report their resource utilisation and contributions to NDCs, NAPs, and other national reporting.
	10	There is a dedicated local government capacity-building programme for local government officials to conduct climate actions.
	11	There is a toolkit/budget tagging/tax tagging/revenue tagging for tracking climate-specific revenue or expenditure.

Sub-criterion 5: Public Participation

This CEE-ECG considers public participation an essential element, especially at the lower level of governance. Public involvement at the city level and lower levels allows for the identification of local priorities and innovative solutions. Communities often have valuable insights into the most pressing issues they face and can contribute practical solutions based on their knowledge and experiences. Article 6 of UNFCCC outlines public participation, which calls for Parties to promote and facilitate 'public participation in addressing climate change and its effects and developing adequate responses' (United Nations Framework Convention on Climate Change, 1994). Furthermore, it was also mandated through Article 12 of the Paris Agreement. (Paris Agreement to the United Nations Framework Convention on Climate Change, 2015). It is further followed by the establishment of Action for Climate Empowerment (ACE) under the UNFCCC, which aims to empower all members of society to engage in climate action through six interconnected elements, including public participation.

Public participation enhances citizen agency in driving policy change and influencing citizen behaviour, among other things, through Citizen Social Science (CSS), an advanced collaborative approach to accelerating climate action and policies that move beyond conventional citizen science and participatory approaches across governments (Kythreotis et al., 2019). Furthermore, climate actions require collaborative governance since the need for distributed risk governance and citizen engagement is increasingly recognised. However, adaptation planners rarely consider collaborations with citizens despite positive adaptation outcomes from related local processes (Brink and Wamsler, 2018). As such, public participation can be observed as a bottom-up approach to climate actions. (Wolf et al., 2009), and by including it as a sub-criterion for cities enabling the environment, it can be further established as a standard approach for national and local governments in developing climate actions.

Table 5. Sub-criterion 5 Public Participation

Category		Indicators
Public Participation	1	A national regulation/legislation/mechanism acknowledges the importance of public participation in climate action governance.
		1) Do local governments need to integrate public participation into their climate action regulation/mechanism?
	2	A national regulation/legislation/mechanism acknowledges the importance of gender perspective in climate action.
		1) Do local governments need to integrate the gender perspective into climate action?
	3	A national regulation/legislation/mechanism acknowledges the importance of vulnerable communities in climate action.
		1) Do local governments need to integrate the perspective of vulnerable communities into climate action?
	4	There is a national programme/initiative/mechanism for climate education and raising public awareness.
		1) Do local governments need to integrate climate education to raise public awareness as key initiatives for local climate action regulation/mechanism?
	5	There is a national database on climate adaptation/disaster risk map and information accessible to the public
		1) Is it localised/integrated?
		2) Is it required for local governments to be integrated into the local policymaking process?
		3) Is there a national incentive for LGUs to maintain such a database

This CEE-ECG acknowledges the Climate Policy Initiative's assessment tool to evaluate the enabling condition to mobilise urban climate finance. It has four criteria: 1) climate policy, 2) public finance and budget, 3) climate data and 4) organisational coordination.

- The first relates to CEE-ECG sub-criterion 1 because it focuses on aligning climate policy and global standards. It also involves some indicators in CEE-ECG sub-criterion 2, especially in the policy support category.
- The second one relates to the CEE-ECG sub-criterion 4 because it involves indicators on the setting of public finance structures and inter-governmental transfers. In Sub-Criterion 4, the indicators reflect national finance architecture and sub-national finance autonomy.
- The third one relates to the CEE-ECG sub-criterion 2 because it can inform:
    1. The availability of nationally centralised and digitalised database services on climate change information (including GHG inventory), adaptation, and mitigation.
    2. The presence of a digitalised self-reporting mechanism for national ministries/governments to update their data on the national database
    3. The existence of a mechanism to channel digitalised climate-related data at the city level for NDC and NAP implementation
    4. The availability of a mechanism/framework for local governments to leverage the digitalisation of

- The last one relates to CEE-ECG sub-criterion 3. It covers the collaboration mechanisms and capacity gaps between national and subnational governments.

Data collection for CEEECG

The CEE-ECG data collection process consisted of a two-pronged process from April to June 2023. First, the CEE-ECG data collection form is assigned to the country-level enumerators by UCLG-ASPAC and Urban-Act Project Partners. Second, we collected data using the same form and gathered secondary data and documents from relevant sources. The secondary sources included national government websites of the Asia Pacific countries, websites of international organisations (e.g., The United Nations, The World Bank), academic and scientific publications, reports from non-government organisations, and credible media/news outlets. The data collection process as part of the overall research activities can be seen in Figure 6.

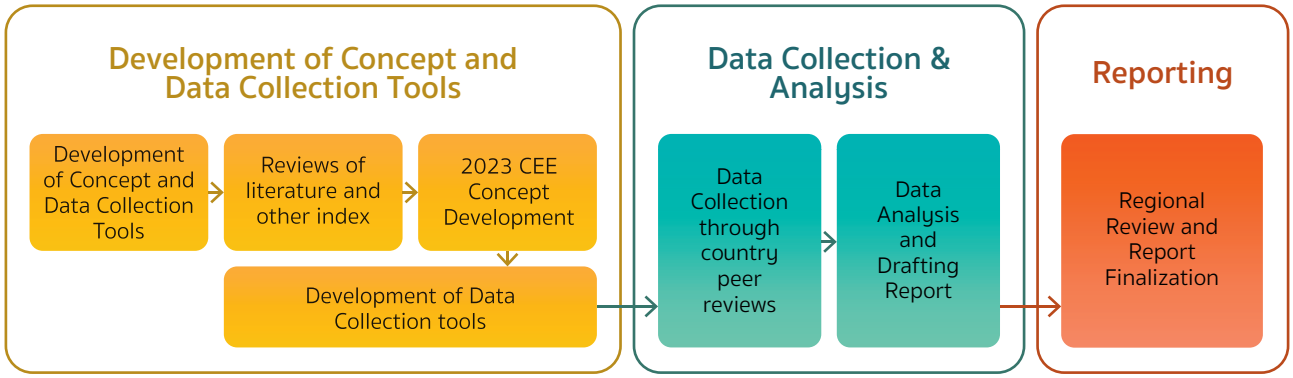


Figure 6 CEE-ECG Data Collection

At the end of data collection, focus group discussions in the form of online meetings were conducted on specific dates varying between countries from August to September 2023 to ensure consistency and accuracy of the result. During the focus group discussion, the evidence of each criterion and the overall rating were reviewed and validated. For each country, focus group discussions were attended by UCLG ASPAC, GIZ, local government associations, academics, and other representatives to ensure a robust and comprehensive assessment of the cities' enabling environment across the region.

Limitations of the CEEECG Methodology

The CEE-ECG conforms to the approach of the CEE Rating Assessment. As such, it is based exclusively on assessing the national policy and institutional and legal framework for city and local government. The assessment is not intended to rate all aspects of city and local government performance in the Asia-Pacific. T**he selected criteria only examine the national constitution, legislative and regulatory framework, and institutional settings relevant to cities and local governments**. Other performance aspects, such as service delivery of local governments, are not included in the perspective of the objective of the assessment.

The data collection process involved assigning a single enumerator to each country, making the selection of these enumerators crucial due to their sole responsibility for data gathering. Concerns arose about potential bias in the selection process, as the choice of enumerator depended entirely on the country's discretion. Furthermore, there was a possibility that an enumerator might not be fully knowledgeable about all the indicators being measured. To mitigate the risk of misinterpretation and ensure accuracy, it was essential that the enumerator collaborated closely with discussion groups to reach a consensus on the indicators' scores. This collaborative approach aimed to enhance the reliability of the data collected.In addition, dealing with documents that are only available in a country's native language or documents that are not publicly accessible can be challenging. Lack of access to critical documents and language barriers can hinder the ability to validate the data. To overcome the above limitations, the confidence level of each submitted data set was considered in the CEE-ECG score formulation[2].

CEEECG calculation

The calculation of the City Enabling Environment on Environmental and Climate Governance (CEEECG) score is based on a detailed evaluation of each indicator, which is further broken down into sub-indicators. For each sub-indicator, enumerators provide data that either meets the condition ("Yes") or does not ("No"). When the condition is met, the sub-indicator is assigned a score of 1. If the data for a sub-indicator is not available or does not meet the condition, it is assigned a score of 0.

Each main indicator has a set number of sub-indicators, and the total score for each indicator is calculated by summing the scores of its sub-indicators. The maximum possible score for any indicator is 4. This maximum is reached only if all sub-indicators for that indicator meet the required conditions. It's important to note that the number of sub-indicators varies by indicator, which affects how the final score for each indicator is calculated. The proportion of the sub-indicator scores that are met will determine the final score for each indicator, up to a maximum of 4.

In addition, the CEE-ECG also ranks the level of confidence of the given data by the enumerators. We note whether the given data could be convincing or not to meet the condition that the sub-indicator questions ask. The rank starts from "Very low confidence" on the evidence provided to "Very high confidence" on the evidence provided. However, the rank does not influence the given score.

[2] Details of data quality correction (confidence level of each submitted data) can be accessed on UCLG's permission

4

City Enabling Environment for Environmental and Climate Governance in China, India, Indonesia, Philippines and Thailand

Sub-criterion 1:

Regulatory and Policy Frameworks' Scores for Climate Governance Across Five Nations

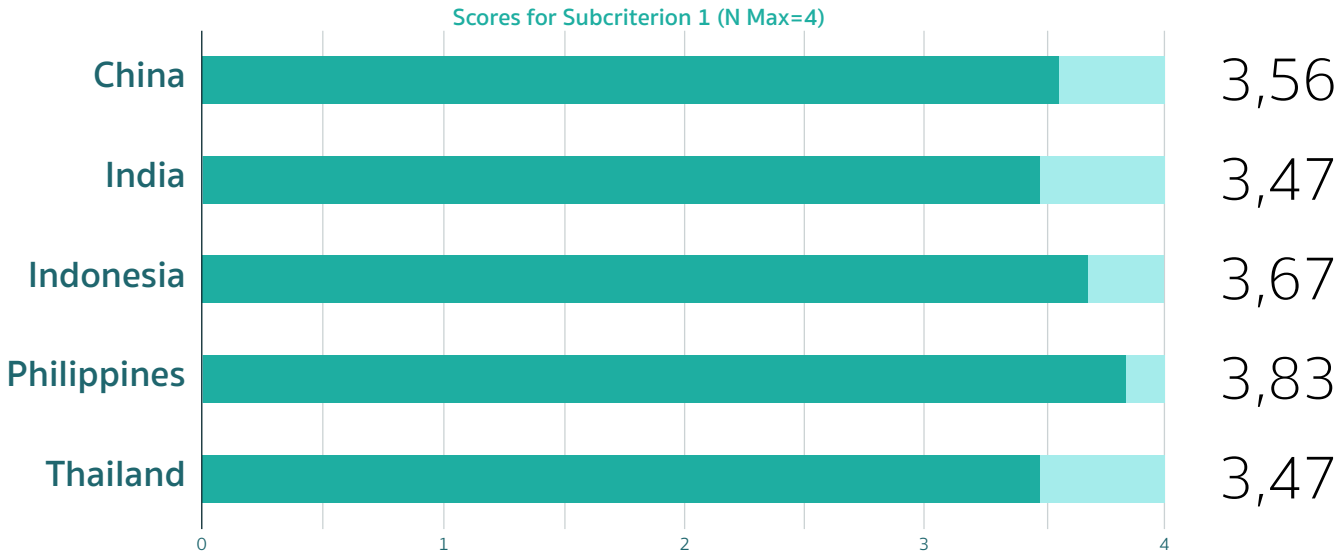
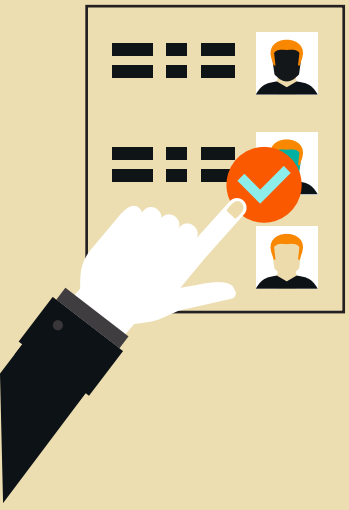


Figure 7 The Score Comparison between the Five Countries for Sub-Criterion 1



As of 2023, the Philippines registered an index level of 3.83 for this sub-criterion, reflecting a robust set of regulatory frameworks addressing climate change, disaster risk reduction, and biodiversity. Thailand, with an index level of 3.47, along with China at 3.56, Indonesia at 3.67, and India also at 3.47, indicates a diverse implementation of such frameworks across the five countries. These frameworks are instrumental in granting local government units (LGUs) the authority to make pivotal decisions and secure a range of funding sources, including national funding and Public-Private Partnerships, to bolster their environmental initiatives.Different countries had different situations in this regard. Indonesia did not have any national strategy/action plan on biodiversity protection explicitly mentioning the importance of urban/city and the roles of local governments. The Philippines has not yet developed any NAMA report, although it has had a National Adaptation Plan since 2011. India, Thailand and China have not yet created a national regulation/framework for MRV of city-level climate actions, including how to report the implementation from the sub-national level. In addition, Thailand did not have any national regulation for the local governments to report their GHG emission.

Nevertheless, all the countries have agreed to international agreements on climate change, adopted the SFDRR as a national strategy for DRR, and ratified CBD. They equipped themselves with necessary climate change documents and reports, such as an NDC report and a policy framework to ease the local actions. The issues of climate change and disaster risk reduction have been recognised in the national planning agenda.

Sub-criterion 2:

Overall Findings on Governance, Science, and Policy Support

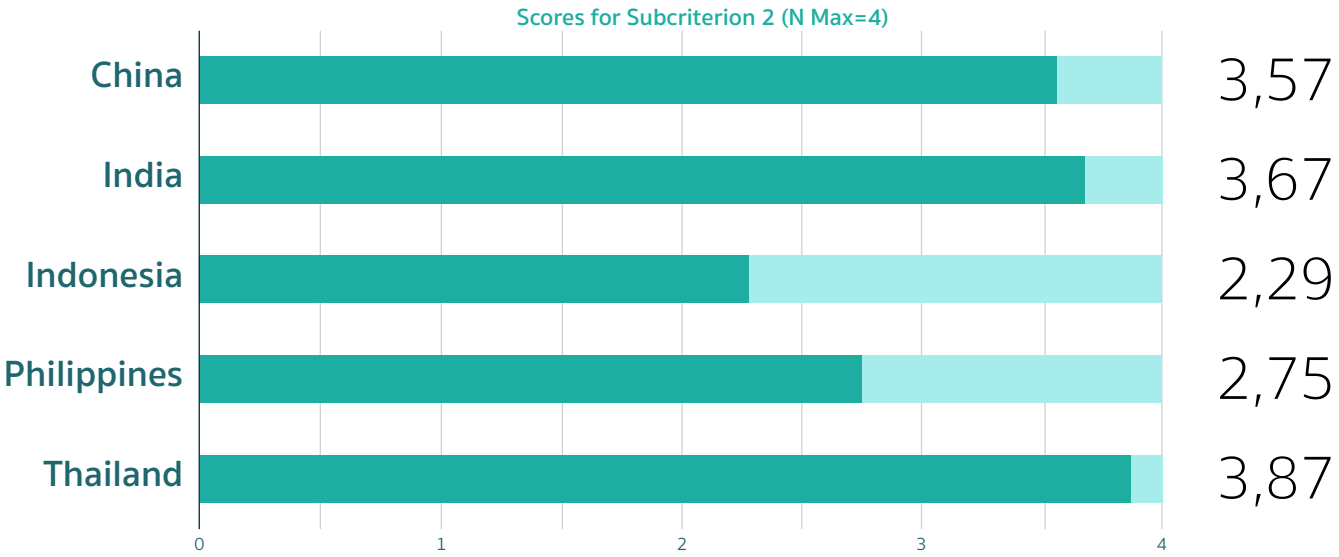


Figure 8 The Score Comparison between the Five Countries for Sub-Criterion 2

Figure 8 Illustrates that Thailand, India and China are classified in Class 4, meaning that these LGUs could have their own periodical/annual urban-level report on risk and achievements portraying the current state of climate actions, DRR, and Biodiversity. Their actions were backed by at least a national research centre/body with legal bases to do so. There were also incentives for setting up multi-stakeholder mechanisms with universities, research bodies, civil society, and businesses to receive and use scientific measures to create the actions. However, unlike Thailand, India and China have not developed a digitalised self-reporting mechanism for national governments to update their data on the national database.

Indonesia and the Philippines are classified in Class 3, meaning that both had periodical/annual national-level reports on national achievement or the current state of climate action, DRR, and Biodiversity, with substantial contributions from local reports. They might have at least one national research centre/body focusing on climate action, DRR, and biodiversity research. There was a supporting mechanism for LGUs to receive assistance from universities, civil societies, and other forms of public participation for disaster or climate risk assessment, including consultation with experts, monitoring, and evaluation processes.

Sub-criterion 3:

Overall Findings on Bureaucracy and Human Capital Support

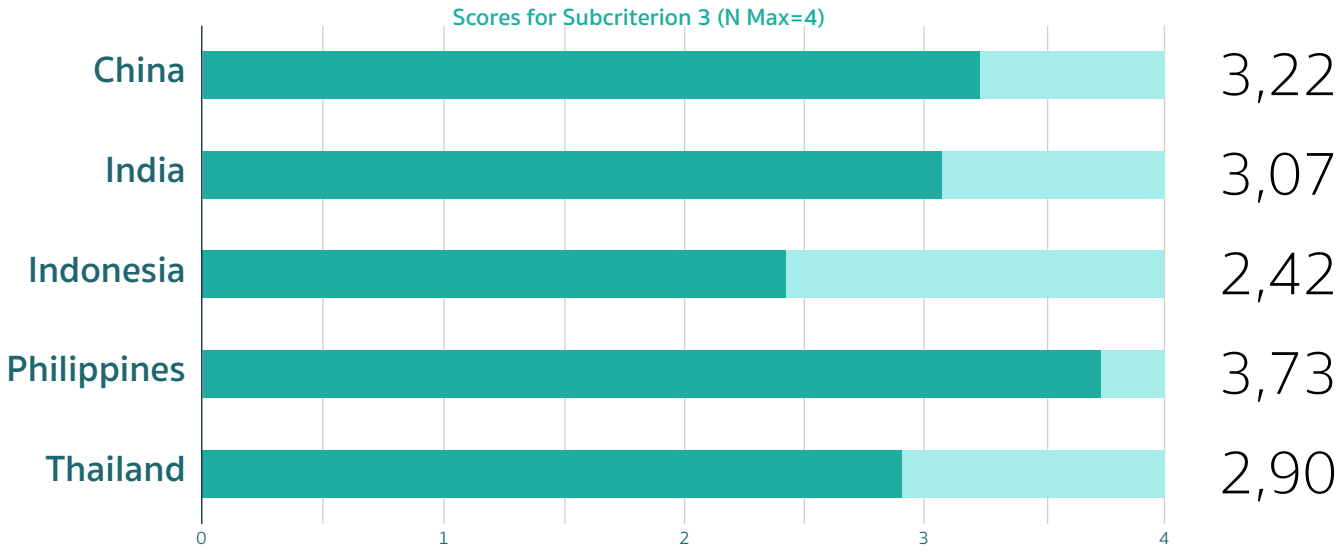


Figure 9 The Score Comparison between the Five Countries for Sub-Criterion 3

Figure 9 illustrates that China, India, and the Philippines are classified in Class 4, meaning they had a dedicated formal agency responsible for climate change, Disaster Risk Management (DRM), and biodiversity protection, with an explicit task to assist LGUs in climate action. These bodies had a representative/ mechanism to help their sub-national level. They run national-level forums/ meetings involving local government representatives on the national planning process. An existing local government network or associations (at the national/ provincial level or site-specific, such as river-bound areas) were concerned with environmental issues, including DRM, biodiversity, environmental protections, and climate change mitigation. The local government networks(s) had endorsement from the national government.

Indonesia and Thailand are categorised in Class 3. They had an appointed ministry/ national agency responsible for climate change, DRM, biodiversity protection and sustainable management. It had appointed a relevant ministry/national agency to assist provincial and/or local governments in these matters. Their government acts were applicable at the national level (or equivalent), allowing LGUs to be equipped with a dedicated agency/body/coordinating agent that had roles in planning and implementing climate actions, DRR, and environmental management.

Sub-criterion 4:

Overall Findings on Climate Financing and Resource Mobilisation

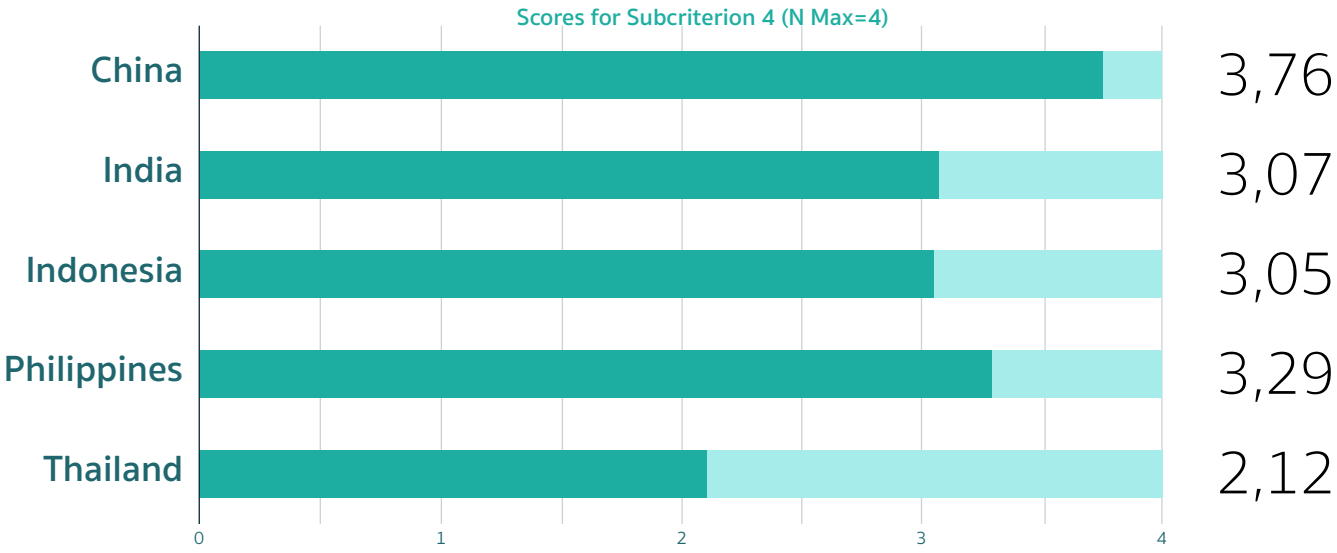
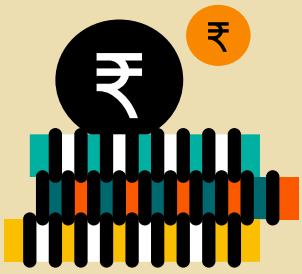


Figure 10 The Score Comparison between the Five Countries for Sub-Criterion 4

Figure 10 shows that China, India, Indonesia, and the Philippines are classified as Class 4. They had already allocated a national budget for Climate Change Adaptation (CCA) and Climate Change Mitigation (CCM), Disaster Risk Management (DRM), and biodiversity protection, attached to their national strategy and/or action plan document. They might have a national funding mechanism for local government initiatives. While a specific research funding mechanism exists for this particular use, a national regulation allowed LGUs to access/initiate various fiscal measures for climate actions, DRR, and biodiversity. There was a clear accountability mechanism for LGUs to report their resource utilisation and contributions to NDCs, NAPs, and other national reporting. The national governments provide local governments with capacity-building programmes for LGU staff to conduct climate actions. Meanwhile, Thailand is classified as Class 3. It already had a national budget allocation for CCA and CCM, DRM, and biodiversity protection and sustainable use attached to its national strategy and/or action plan documents. It also had national funding mechanisms for local government initiatives addressing CCA and CCM, DRM, and biodiversity protection and sustainable use enshrined in a national document.



Sub-criterion 5:

Overall Findings on Public Participation

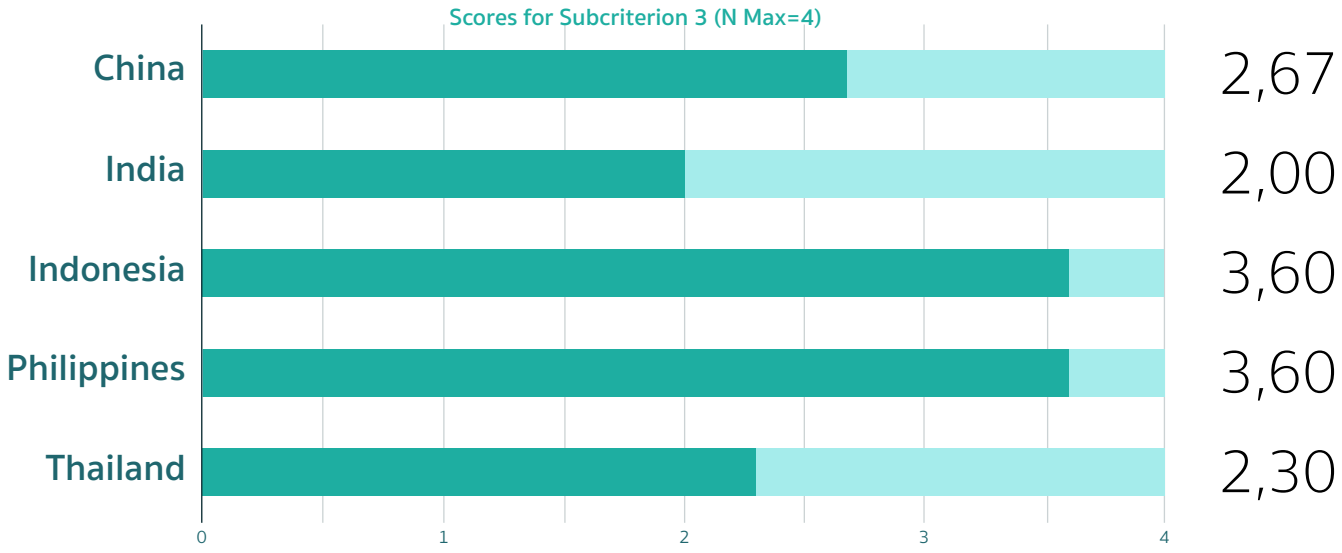


Figure 11 The Score Comparison between the Five Countries for Sub-Criterion 5

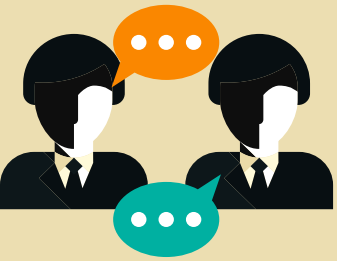


Figure 11 shows that Indonesia and the Philippines are classified as Class 4. They owned national regulations, legislation, and mechanisms, which required local governments to integrate public participation into their climate action regulations/mechanisms. Their local governments had a mechanism to produce periodical climate action reports and gender approaches. They facilitated periodic climate action reports and included vulnerable communities' perspectives. Also, they had periodical climate education and other public awareness programmes.
Meanwhile, the others are in Class 3. They had national regulations/ legislation/mechanisms that required local governments to integrate public participation into their climate action regulations/mechanisms. Their national regulations/legislation/mechanisms required local governments to integrate the gender perspective in climate action. They owned a national regulation/ legislation/mechanism that allowed LGUs to integrate vulnerable communities' perspectives into climate action. They had a national programme/initiative/ mechanism that required climate education as a key initiative for local governments.

5

City Enabling Environment for Environmental and Climate Governance in China


湖滨西路
Hubin West Rd.

Environmental and Climate Change Governance in China

Key Findings

- **Centralized Political Framework:** China's climate governance operates within a top-down structure where the central government sets climate targets, and local governments implement them.
- **Sub-national Government Autonomy:** Local governments are given certain autonomy to allocate resources and implement climate actions, though they remain accountable to the central government's periodic evaluations.
- **Cross-ministerial Coordination:** The State Council employs a coordinated approach through the National Leading Group on Climate Change Response to ensure that various ministries work together on climate policies.
- **Stakeholder Engagement:** China's climate policy increasingly involves consultations with experts, industry, and non-governmental organisations (NGOs) in climate action initiatives.
- **Capacity for Innovation:** China fosters research and policy support at various levels, encouraging provinces and cities to participate in low-carbon initiatives.

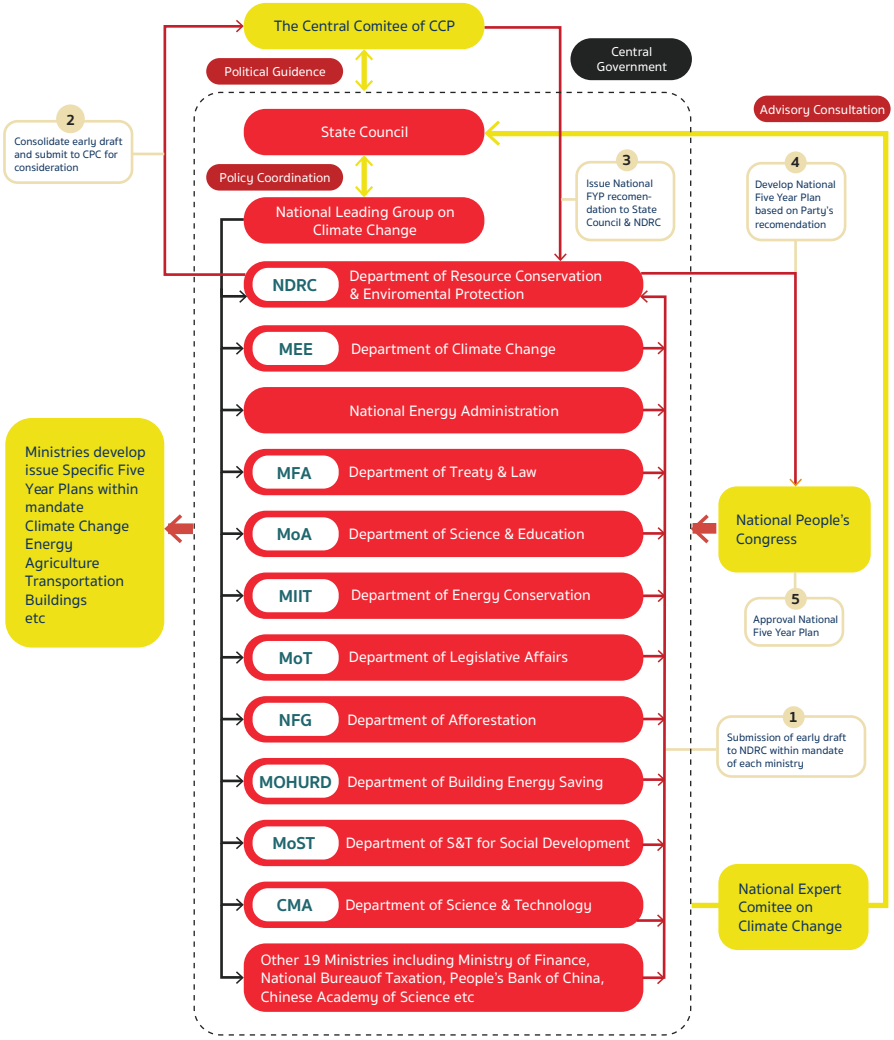
Political Structure and Organisation

China's political structure features a hierarchical system with the Chinese Communist Party (CCP), the National People's Congress (NPC), the central government at the apex, and numerous provincial, municipal, and county-level governments below. It is crucial to distinguish between the party and the administration across all government levels since the former sets objectives while the latter carries out them. The implementation of policies, however, can face hurdles and biases stemming from resource constraints, conflicting priorities, and deficient incentive systems at the local level. The Central Committee of the CCP holds the highest decision-making authority in China, shaping policies through problem-framing rather than specific formulation. This guidance extends to crucial areas like Five-Year Plans, where carbon emissions and GDP carbon intensity targets were initially proposed. These targets were later affirmed in the NPC's Outline of the 14th Five-Year Plan and Long-Term Goals to 2035. The NPC and its Standing Committee jointly exercise legislative power, adopting binding emissions reduction targets through Five-Year Plans and enacting laws related to national climate action, such as those concerning renewable energy and energy conservation.

The central government, specifically the State Council, is tasked with translating the Central Committee of the CCP's strategic guidance and targets into actionable policies and regulations for climate change. Recognising the interdisciplinary nature of climate policy, the State Council employs a coordinated, cross-ministry approach. The National Leading Group on Climate Change Response, Energy Conservation, and Emissions Reduction (NLGCCR) is overseen by the Premier, comprising over 30 ministers, and serves as the advisory and coordination body across ministries related to climate change (Figure 17). Informal bodies called 'leading groups' address specific issues, offering policy advice and coordinating their implementation. The significance of these leading groups varies based on their appointing authority and the political stature of their members; for instance, the NLGCCR, appointed by the State Council and led by the Premier, holds a prominent political position within the State Council.

The Climate Change Department (CCD) within the Ministry of Ecology and Environment plays a central role in China's climate governance, overseeing tasks such as formulating climate strategies, participating in international climate negotiations, and monitoring policy progress under the UNFCCC. CCD is responsible for drafting major climate policies and initiatives, including targets for GDP carbon intensity reduction, carbon emissions peaking by 2030, and the 2050 Low GHG Emissions Development Strategy. Additionally, CCD manages the national carbon emission trading scheme and serves as the Office of NLGCCR, underscoring its crucial role in coordinating China's climate policies. While MEE leads in climate policy, collaboration, and coordination with other ministries, such as the National Energy Agency, Ministry of Industry and Information Technology, Ministry of Transport, and Ministry of Housing, Urban and Rural Development, are essential for areas like renewable energy and energy efficiency across various sectors.

Figure 12 The governance structure and policy cycle related to climate change in China. This visual representation simplifies the policy cycle for the Five-Year Plans in China [1]



[3]Fei Teng and Pu Wang (2021) The evolution of climate governance in China: drivers, features, and effectiveness, Environmental Politics, 30:sup1, 141-161, DOI: 10.1080/09644016.2021.1985221

Local Government and Decentralisation System

China, the largest unitary state globally, operates its administrative divisions within a multi-tiered system defined by its constitution. Sub-national government agencies implement national policies. These policies often involve specific targets, such as those related to energy efficiency, set by the central government. However, sub-national governments retain some autonomy in allocating resources to meet these policy objectives. This decentralisation system comprises three primary tiers. The initial tier encompasses 23 provinces, four autonomous regions, and four provincial-level municipalities. These, in turn, are further subdivided into prefectural-level regions. Finally, the third tier encompasses county-level regions.

At the provincial, municipal, and county levels in China, climate governance closely mirrors the structure of the central government. Provinces consist of the provincial committee of the Communist Party of China (CPC), the local People's Congress (PC), the provincial government, and local branches of various ministries. Provincial CPC and governments share the responsibility for implementing central government climate policies and typically establish climate change leading groups to coordinate actions across government agencies. This creates a two-tier system of climate governance: the central government sets targets and devises plans at the first tier. In contrast,

the second tier involves the allocation of targets to local governments who assume responsibility for implementation. The central government's periodic evaluations and performance publications provide incentives and pressure for compliance. Provinces, in turn, assess lower-level governments, functioning as both principals and agents in this governance structure.

At the municipal and county levels, the responsibility for implementing climate targets falls primarily on the municipal government. However, constrained by limited resources and numerous policy directives from higher levels of government, municipal governments often prioritise specific objectives over climate change goals. Climate change objectives often do not take precedence for municipal governments.

Coordination Mechanism between State and Non-Governmental Actors

China's political system operates as a unitary hierarchy, featuring a powerful central government that exercises discretionary control over governance at various organisations, extending from state-owned enterprises to other social institutions, including those related to energy and the environment. Climate policy development in China involves diverse stakeholders, including experts, businesses, industry associations, NGOs, and individuals, who participate through various channels. China has made significant progress in engaging non-state actors in climate action initiatives and commitments, as reported by the UNFCCC. With over 1337 participants, including 1169 companies, 85 investors, 67 organisations, three regions, and 13 cities, these actors have committed to reducing greenhouse gas emissions and promoting renewable energy[4].

Expert consultation is a standard practice, although there is no rigid procedure. Commonly consulted expert groups include the Chinese Academy of Engineering, the Chinese Academy of Sciences, and China's National Expert Committee on Climate Change (NECCC). Other think tanks and university research groups, like the Energy Research Institute and the National Centre for Climate Change Strategy and International Cooperation, also contribute. NECCC, an independent entity of around forty experts, is not mandatory for State Council consultation. However, its research reports have influenced significant climate policy decisions, such as China's commitments under the Copenhagen Accord and the Paris Agreement.

China's climate policy-making process includes consultations with business and industry associations, with some policy documents even commissioned

by the government. For instance, the emission benchmark for power companies in the emissions trading system was developed by the China Electricity Council, an industry association with expertise in the power sector. International governmental organisations (IGOs) and NGOs have also participated in recent policy-making efforts. However, compared to other stakeholders, NGOs and individuals have more limited access to the process, primarily engaging through information requests, submitting suggestions during the consultation phase of the five-year plan, and public awareness initiatives Environmental Non-Governmental organisations (ENGOs) in China fall into three categories: government-organised NGOs, grassroots NGOs, and international NGOs. Government-organised NGOs enjoy advantages in funding and political influence, while grassroots ENGOs, despite their national recognition, often struggle with funding and influence. International NGOs receive better financial support from sources outside the country but face political restrictions. Over time, there has been an increase in climate-focused organisations, with a notable shift in 2007 when several NGOs initiated projects to raise climate change awareness, fostering greater engagement within Chinese civil society. As a result, government departments at various levels are increasing their support and collaboration with NGOs, serving as a platform for policymakers to gather valuable information for policy improvement. This partnership benefits both sides by granting NGOs political legitimacy and autonomy while enhancing the effectiveness of their public campaigns.

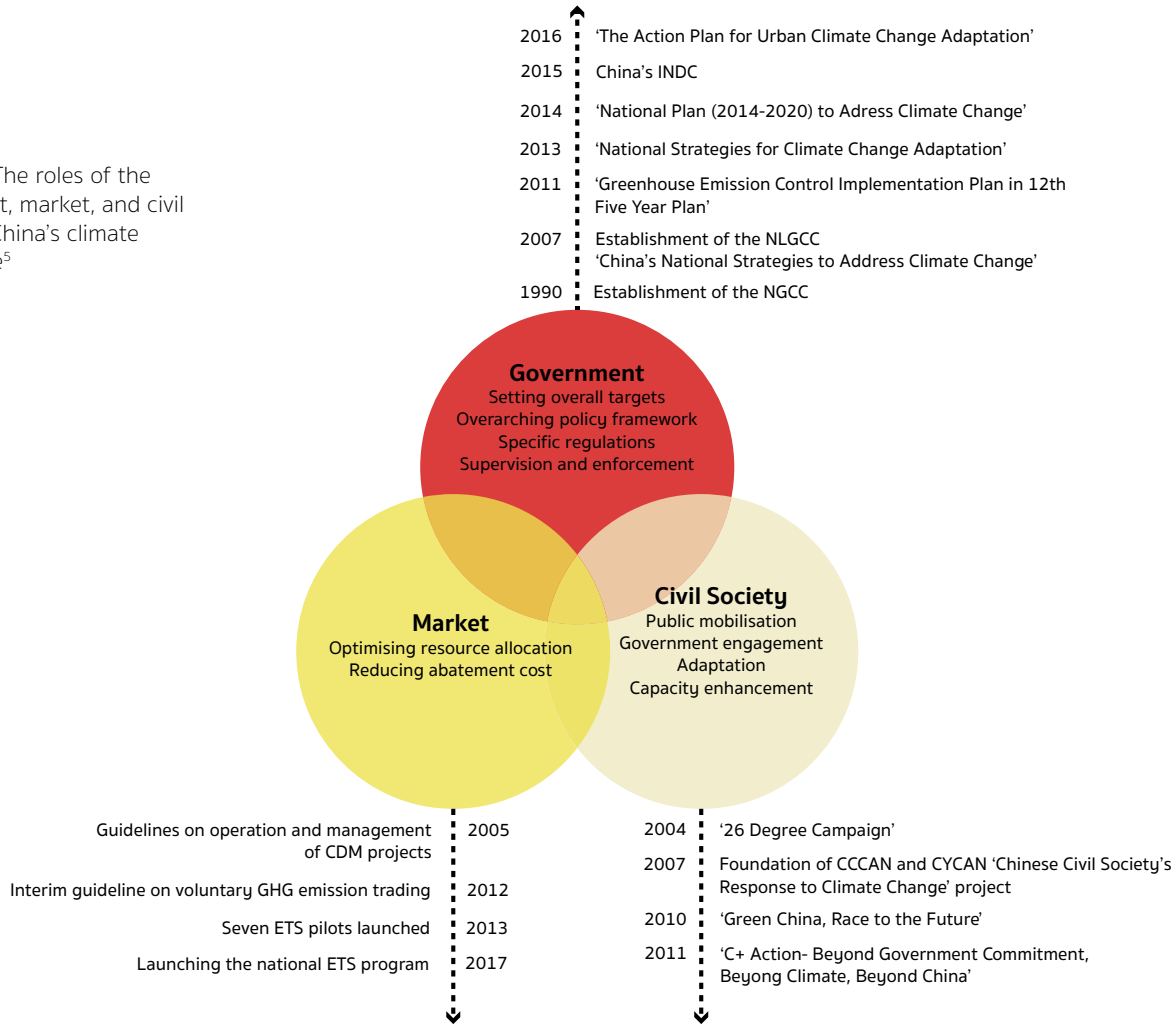


Figure 13 The roles of the government, market, and civil society in China's climate governance[5]

[4] https://climateaction.unfccc.int/Actors/Countries/CHN
[5] Pu Wang, Lei Liu and Tong Wu (2018) A review of China's climate governance: state, market and civil society, Climate Policy, 18:5, 664-679, DOI:10.1080/14693062.2017.1331903)

The Results of CEEECG in China

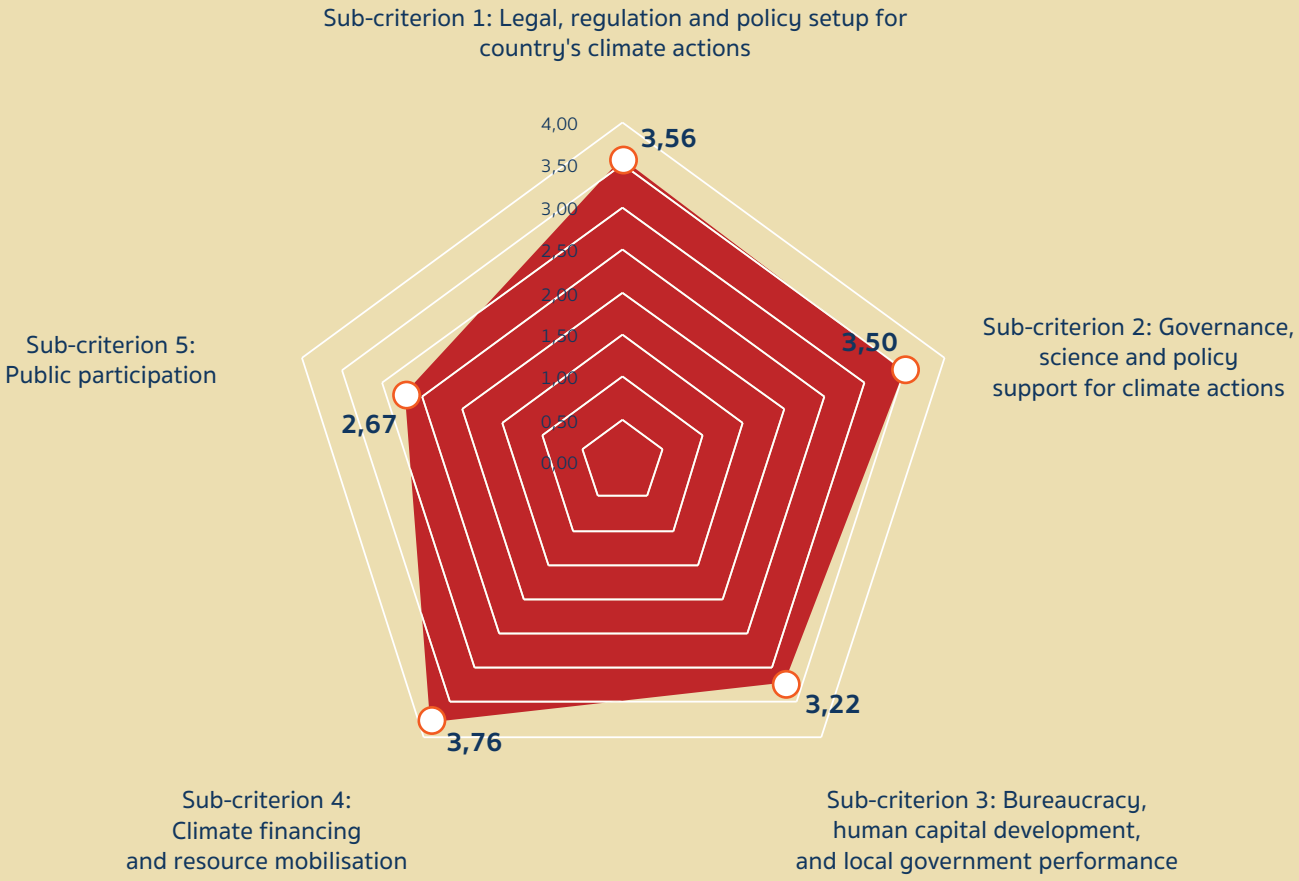


Figure 14 CEEECG Score of China by Sub-criteria

Figure 14 shows China's CEEECG Score by each sub-criterion. The radar chart has five spokes, each representing a different sub-criterion. The length of the spoke represents the scores for each sub-criterion. The longer the spoke, the higher the score. The overall score for China is represented by the average scores for the five sub-criteria. Based on the radar chart, China's overall score is 3.34 out of 4, with a score of 3.56 for sub-criterion 1, which pertains to the legal, regulatory, and policy framework for the country's climate actions, and with a score of 3.5 for sub-criterion 2, encompassing governance, science, and policy support for climate actions, and with a score for 3.22 for sub-criterion 3 on Bureaucracy, human capital development, and local government performance. Additionally, China's performance in sub-criterion 4, related to climate financing and resource mobilisation, is the highest, with a score of 3.76. However, sub-criterion 5 (public participation) still falls within class 3, suggesting that China possesses a solid foundation for climate governance but offers room for improvement in certain areas.

Sub-criterion 1: Legal, regulation and policy setup for country's climate actions

China has made significant strides in meeting various indicators related to climate action and international agreements (Indicator 1.1). They ratified the Paris Agreement during the closing session of the September 3, 2016, National People's Congress Standing Committee meeting. Additionally, they integrated the Sendai Framework for Disaster Risk Reduction (SFDRR) into their National Plan for Implementing the 2030 Agenda for Sustainable Development. Furthermore, China was an early signatory and approver of the Convention on Biological Diversity, and they have exceeded expectations in achieving three of the Aichi biodiversity targets.

Regarding climate change documentation (Indicator 1.2), China submitted its NDC to the United Nations Framework Convention on Climate Change (UNFCCC). China has established comprehensive national strategy mechanisms that address both adaptation and mitigation efforts at the urban level, such as outlined in the China National Climate Change Programme. China has also developed NAMA reports and an NAP.

China had strategically prioritised climate change in its national planning (Indicator 1.3), dedicating a specific chapter, titled "Chapter 46: Respond to Global Climate Change," in its 14th Five-Year Plan for Economic and Social Development. While they have taken steps to monitor and evaluate climate actions (Indicator 1.4), there is a need for more robust evidence in this regard. However, according to several reports and studies[7] There is no national regulation/ framework for MRV of city-level climate action, even for the local government to report their climate actions. Regarding disaster risk reduction (Indicator 1.5), China has fulfilled the indicator by crafting the Comprehensive Disaster Prevention and Reduction Plan, which acknowledges the challenges posed by global climate change and emphasises the roles of local governments.

China has also met the biodiversity-related indicator (Indicator 1.6) by providing the National Biodiversity Strategy and Action Plan (NBSAP) and reporting its progress to the CBD secretariat. Their Sixth National Report on Implementing the Convention on Biological Diversity highlights the connection between biodiversity and climate change. It underscores the role of local governments in integrating biodiversity into land use planning at various levels.

Sub-criterion 2: Governance, science and policy support for climate actions

China fully complies with its Indicators 2.1 and 2.2 climate action report, producing annual reports on the country's climate change state, including local reports. The National Climate Change Assessment Reports of 2007, 2011, and 2015 assessed the country's climate change risks. China had guidelines for preparing Provincial Climate Adaptation Plans, clearly defining urban roles in climate change risk assessment.

Regarding digitalising climate change information (Indicators 2.3-2.6), China maintains a moderately advanced system with a centralised national database. However, there is no public-available system for locally centralised and digitalised database services on climate change information (including GHG inventory), adaptation, and mitigation. They are yet to employ a digital self-reporting system for ministries, provincial, and local governments. As of 2022, China has just launched a pilot project for it.

Additionally, China's performance in Indicators 2.7-2.9 is fulfilled with the establishment of the National Climate Change Strategy Research and International Cooperation Centre (NCSC) as its dedicated climate action research body. This provides a legal framework for local governments to establish their own research bodies, fostering regional research centres' inclusion in policy-making processes.
China's policy supports climate actions (Indicators 2.10-2.13) through the National Climate Change Programme, which mentions public participation in disaster and climate risk assessment, involving expert consultation, monitoring, and evaluation processes. National strategies on climate change involve various departments and institutions, engaging academic, economic, and social stakeholders at multiple levels.

Sub-criterion 3: Bureaucracy, human capital development, and local government performance

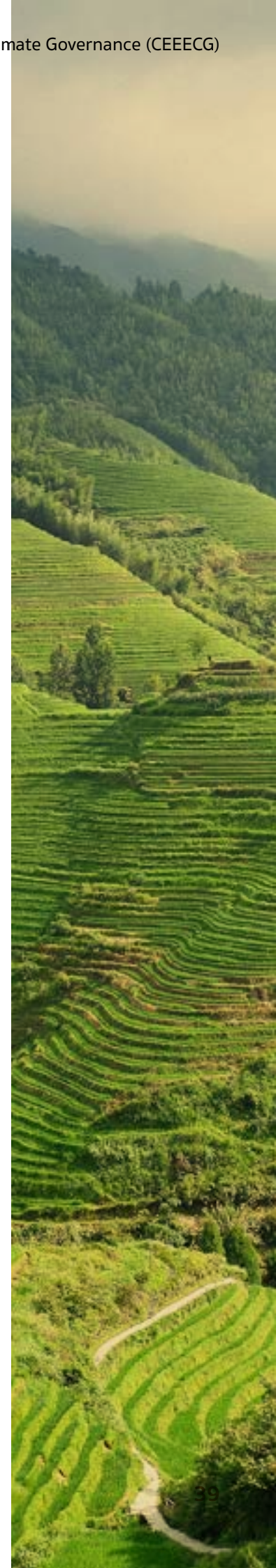
China has a designated government agency for climate change (Indicators 3.1-3.3), the Department of Climate Change under the Ministry of Ecology and Environment (MEE). This agency assists provincial and local governments in the country. However, there is no national-level legislation enabling local governments to establish dedicated bodies for planning and implementing climate actions, but it is fully mandated with all MEE and its subordinate units.

China hosts a multi-stakeholders network (Indicators 3.4-3.5) at the national level on climate actions, such as the National Pilot Work on Low-Carbon Provinces and Cities, which involves various stakeholders. The Chinese government has launched a pilot initiative to recognise the crucial role of cities in preventing future increases in energy use and carbon emissions. The network aims to help China reach its goal of reducing greenhouse gas emissions by lowering carbon emissions per unit of gross domestic product (GDP) in pilot cities. The three main responsibilities of the network are setting energy conservation and emission reduction targets, creating low-carbon development support policies, and promoting a low-carbon green lifestyle. Meanwhile, the local governments are also connected through the Department/Bureau of Ecological and Environmental Protection, which shares the same mandates as the MEE. However, no overarching framework exists to support LGUs in mobilising citizens for climate initiatives.

Regarding bureaucracy (Indicators 3.6-3.8), China's National Climate Change Programme outlines mechanisms for institutional strengthening in climate action and resilience in Chapter 4.5. However, the specifics of enhancing vertical or horizontal integration within the bureaucracy are only implied. China's top-down governance structure and vertical accountability system can effectively coordinate the actions of ministries and different levels of government and resolve potential conflicts between emissions reduction and economic development under political consensus. However, since many climate initiatives are beyond the jurisdiction of the Ministry of Ecology and Environment (MEE), the National Leading Group on Climate Change Response, Energy Conservation, and Emissions Reduction (NLGCCR) plays a crucial role in advising the state council on policies and strategies related to climate change. This group also coordinates different ministries related to climate change and resolves potential conflicts at the state council level. However, the potential problem with such coordination is that the NLGCCR and other mechanisms are ad hoc and cannot guarantee that climate change is always on the agenda. Passing a climate law in China is necessary to formalise coordination mechanisms and integrate climate goals at each stage of sectoral policymaking. However, currently, there is no such law in place.

China has not fully embraced e-governance and e-government integration for climate action. The Chinese government has been pushing for digitalisation, which has been delegated to local governments. Despite having idealistic and ambitious plans for a digital China, the implementation on the ground has failed to produce integrative analysis for predictive policy, resulting in environmental big data platforms that do not meet expectations. There is a limited understanding of how digital technologies applied at the subnational scale can shape environmental governance and whether Chinese cities can serve as policy innovators in this context[8].

[8] Teng, F. and Wang, P. (2021). The evolution of climate governance in China: drivers, features, and effectiveness. Environmental Politics, 30:sup1, 141-161, DOI: 10.1080/09644016.2021.1985221



Sub-criterion 4: Climate financing and resource mobilisation

China's national budget allocation for climate actions (Indicator 4.1) is detailed in the National Government Annual Report on China's Policies and Actions to Address Climate Change. The national funding mechanism in China for local government initiatives to address climate actions (Indicator 4.2) is implicitly outlined within the national strategy or action plan documents. At the national level, China has established mechanisms for private financing of climate initiatives (Indicator 4.3), as evident in the "Opinions on Financial Support for Carbon Peak and Carbon Neutrality Work". However, safety and incentive mechanisms for managing climate financing risks at the local level are being implemented (Indicator 4.4).

China's National Climate Change Programme provides a national framework that enables multi-year planning for local climate actions (Indicator 4.5) and allocates research funding to advance these efforts (Indicator 4.7). Moreover, China has set up a regulatory framework for fiscal decentralisation (Indicator 4.6) and established clear accountability mechanisms for local government units (LGUs) to report their resource utilisation and contributions (Indicator 4.9) to initiatives like NDCs and NAPs, as documented in the National Government Annual Report. China has a national regulation that allows local governments to access various fiscal measures for climate actions in the "Opinions on Financial Support for Carbon Peak and Carbon Neutrality Work" (Indicator 4.8).

Despite these measures, China has provided capacity-building programmes for local governments to conduct climate actions (Indicator 4.10). However, budget tagging to track climate-specific revenue or expenditure is also not currently used (Indicator 4.11).

Sub-criterion 5: Public participation

China has established a national programme that recognises the significance of public engagement in climate action governance (Indicator 5.1) through long-term initiatives like the "National Energy Conservation Promotion Week." Another noteworthy effort, "Beautiful China, I am an Actor," aims to mobilise society for the broader cause of ecological civilisation, fostering a social atmosphere where individuals actively care for and participate in ecological environment protection.

However, when it comes to acknowledging the importance of a gender perspective (Indicator 5.2) and recognising the significance of vulnerable communities in climate action (Indicator 5.3), these aspects remain somewhat unclear in China's documentation. While not explicitly stated, the current rating considers these indicators fulfilled based on the evidence presented in the "2022 Annual Report on China's Policies and Actions to Address Climate Change".

In alignment with Indicator 5.1, China is actively implementing a national programme for climate education and promoting public awareness (Indicator 5.4). The China National Climate Change Programme substantiates this, particularly in Section 1.3.8, which outlines strategies to strengthen education, training, and public awareness regarding climate change. Nonetheless, China has yet to establish a national database on climate adaptation and disaster risk mapping accessible to the public (Indicator 5.5).

Key Learning Messages

- **Resource Constraints:** Local governments often prioritize economic objectives over climate goals due to limited resources and competing policy directives.
- **Inconsistent Public Participation:** Public engagement remains weak, with limited frameworks for involving grassroots NGOs, communities, and vulnerable groups.
- **Coordination Challenges:** The reliance on informal "leading groups" and ad hoc coordination bodies, such as the NLGCCR, may weaken long-term climate governance structures.
- **Digital Governance Gaps:** China's efforts toward e-governance for climate action are underdeveloped, leading to inefficient climate data management and analysis.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City Enabling Environment for Environmental and Climate Governance in India

Environmental and Climate Change Governance in India

Key Findings

- **Centralized National Policy:** The NAPCC forms the backbone of India's climate policies, with eight missions addressing issues like solar energy, water conservation, and sustainable agriculture.
- **State Autonomy:** SAPCCs allow states to tailor national climate objectives to their specific vulnerabilities and developmental needs. Local governments, while involved, have a limited role in GHG reporting and independent climate action.
- **Broad Stakeholder Involvement:** Non-governmental actors, including NGOs, businesses, and academic institutions, actively contribute to climate policy formulation and capacity building through bottom-up data collection and research support.
- **Public Participation:** National laws and programs, such as the National Green Tribunal and Right to Information Act, promote public engagement, though public involvement in climate governance remains limited.

Political Structure and Organisation

India is a sovereign socialist, secular democratic republic with a parliamentary government. The country is federal in structure with unitary features. The President is the constitutional head of the country and is advised by the Council of Ministers, with the Prime Minister as its head. Similarly, in states, the Council of Ministers advises the Governor with the Chief Minister as its head. India is divided into 28 subnational states and eight union territories. The country's political system is described as a heavily centralised quasi-federal system or minimal federalism, with the Union Government taking the lead. Regarding climate change and resilience planning, India's governance structure has entry points at the national, state, and city levels (Table 10)[8]

Table 6. Stakeholders and entry points for climate change resilience planning in India

Level	*Policy*	*Institution*
National Level	• Eight National Missions of Climate Change • Sectoral Policies	• Ministry of Housing and Urban Development • Ministry of Environment, Forest and Climate Change • National Institute of Urban Affairs
State Level	• State Action Plans on Climate Change • State Five-Year Plan • Sectoral Policies	• Department of Land, Urban Development and Environment • Department of Planning
Local Level	• City Development Plan • Master Plans	• Development Authorities (KMDA, ADDA, DDA, etc.), • Municipal Corporations (KMC, Municipal Corporation Greater Mumbai –MCGM, BMC, etc.)

At the national level, several ministries played important roles in climate actions and urban resilience planning, such as (1) the Ministry of Urban Development, (2) the Ministry of Housing and Urban Poverty Alleviation, and (3) the Ministry of Environment and Forests. National Action Plan for Climate Change (NAPCC) was the first policy developed for climate action, offering opportunities for integrating urban resilience planning through the eight National Missions: (1) National Solar Mission, (2) National Mission for Enhanced Energy Efficiency, (3) National Mission on Sustainable Habitat, (4) National

[8] Anup Karanth and Diane Archer (2014) Institutionalising mechanisms for building urban climate resilience: experiences from India, Development in Practice, 24:4, 514-526, DOI: 10.1080/09614524.2014.911246.

Water Mission, (5) National Mission for Sustaining the Himalayan Eco-system, (6) National Mission for a Green India, (7) National Mission for Sustainable Agriculture, and (8) National Mission on Strategic Knowledge for Climate Change. India's National Green Mission will enable the country to be energy-independent by 2047. The states can influence urban development and climate change adaptation planning by setting the policy framework for city-level action. The city development plans are also an avenue for developing an action plan to address inequalities in service provision.

The Indian government's climate policy has been a top-down approach since 2007[9]. The Prime Minister, federal ministries, the Union parliament, expert groups, the business sector, civil society actors, research institutes, and international organisations are all involved in the governance structures of climate policy[10]. The Planning Commission and the Financial Commission played significant roles in formulating and selecting policy alternatives and implementing them[11]. Both Commissions worked at the interface between the central government and the states and were involved in implementing national targets at the sub-national level. The Planning Commission developed five-year plans establishing national objectives, while the Financial Commission was responsible for budgeting centralised public revenues. The respective ministries at the national level are responsible for formulating and implementing National Missions.

Furthermore, in 2015, the Government submitted its Intended Nationally Determined Contribution (INDC)– a pledge to cut the intensity of carbon emissions – to the UN ahead of the international climate change negotiations in Paris. A parliamentary forum on Global Warming and Climate Change was created to encourage parliamentarians to interact with climate change experts. A national-level network called the Indian Network for Climate Change Assessment (INCCA) was established to strengthen the institutional structure further.

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[9] Atteridge A, Shrivastava MK, Pahuja N, Upadhyay H. 2012. Climate policy in India: What shapes international, national and state policy? AMBIo. 41:68–77.
[10] Government of India. National Action Plan on Climate Change. http://www.nicra-icar.in/nicrarevised/images/Mission%20Documents/National-Action-Plan-on-Climate-Change.pdf
[11] Sáez L. 2002. federalism without a centre – the impact of political and economic reform on India's federal system. New Dehli: Sage Publications

Local Government and Decentralisation System

The state governments play a critical role in developing the country within the federal polity. The powers and functions of the states for various sectors are determined by the Constitutional allocations under the 7th Schedule. Under the 7th Schedule, the State List gives almost exclusive power to States concerning 61 items, which include public health, education, agriculture, water, transport and communication, public order, and local government. This means that the States have the power and functions to set up and execute policies about almost all development sectors and their associated targets, including climate change.

To implement the priorities outlined in the NAPCC, India has been developing State Action Plans on Climate Change (SAPCCs). The SAPCCs resulted from a top-down process: In 2009, the Prime Minister of India requested all state governments to prepare a state plan that outlines how they will implement the national framework, considering vulnerabilities unique to their states. Most states prepared their plans between 2010 and 2011 with the help of consultants provided by development agencies[12]. The decentralisation of NAPCC has been done through a series of directives by the local government.

As directed by the central government, most SAPCCs were primarily concerned with adaptation, with a limited focus on mitigating GHG emissions – though a GHG inventory was already available and explored the potential of renewable energy and other clean technologies. The plans outlined the state's strategies for various sectors, including proposed actions and, in some cases, a timeline and budget for each. They focused on sectors important to the economy and local livelihoods, such as agriculture, water, transport, energy, industries, urban development, and forestry. Where actions have been identified, at best, they were accompanied by an expected duration and a high-level estimate of total cost. In most cases, the actions cover a one-to-five-year period.

Coordination Mechanism between State and Non-Governmental Actors

In India, the national government invited state governments, academic institutes, think tanks, NGOs, and other non-governmental organisations to assist in forming climate policy. In the data collection stage of the consultation process, the government asked researchers to model projected emissions and temperature warming. To complement the modelling results, relevant ministries, such as the Ministry of Power, were asked to provide information on emissions' status and future scope. These ministries, in turn, gathered information from departments and industries, including oil companies. Therefore, in addition to widespread consultation, bottom-up data was collected during the NDC formation. Through the NDC formation process, India exhibited the use of several domestic climate action tools, including quantifying opportunities and creating sectoral carbon budgets. The major support of NGOs is mainly in strengthening capacities through training these tools.

[12] India's State Action Plans on Climate Change: towards meaningful action. https://www.opml.co.uk/files/Publications/corporate-publications/briefing-notes/id-state-action-plan-climate-india.pdf?noredirect=1

The Results of CEEECG in India

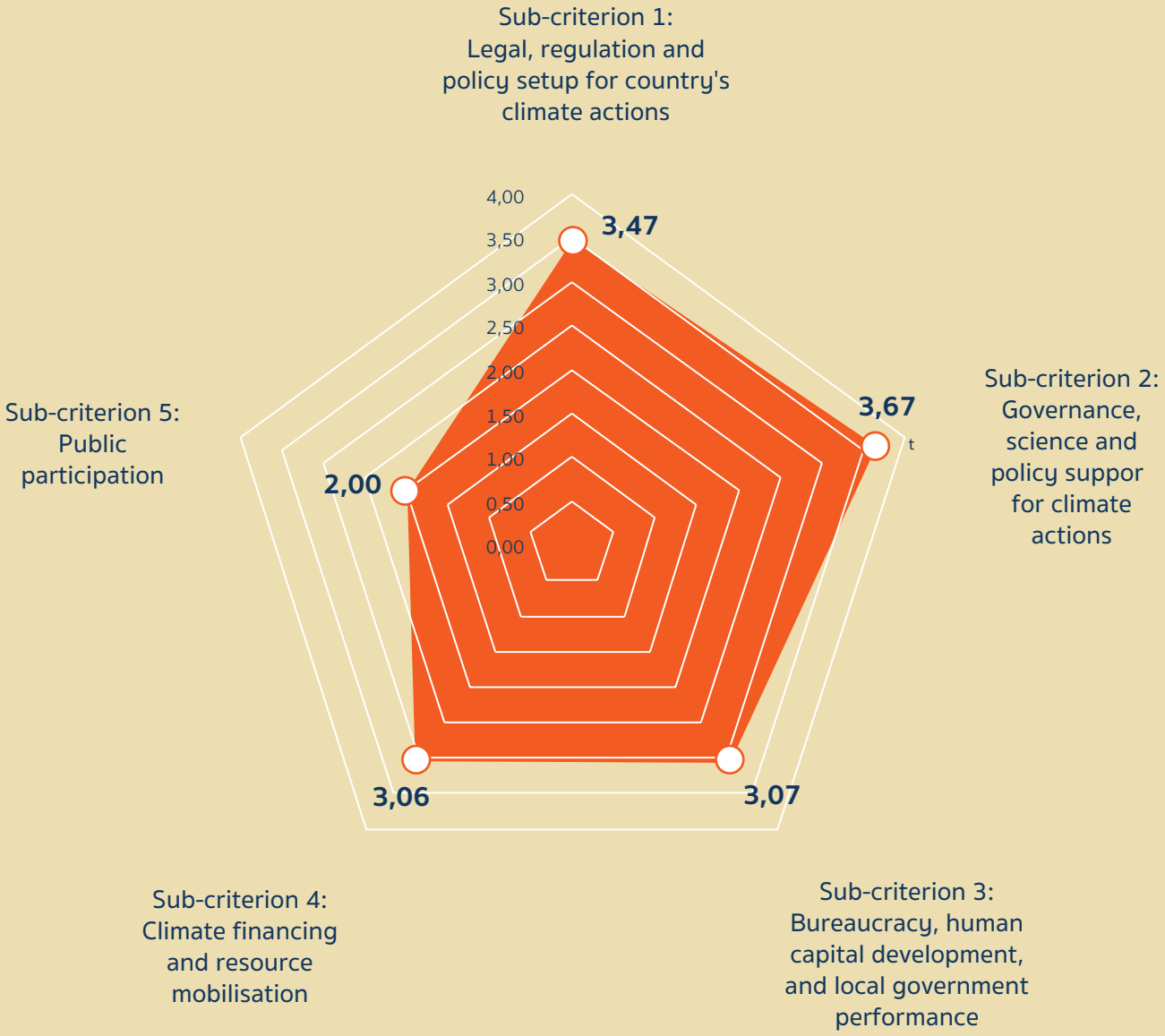


Figure 15 CEEECG Score of India by Sub-criteria

Figure 20 Illustrates the assessment of various sub-criteria in India's CEE-ECG ranking. This chart shows the "de jure" assessment of national legislation and policies – that allow local governments to benchmark themselves against the minimum standards required for cities and local authorities to contribute significantly to global climate action efforts. This chart comprises five spokes, each representing a different sub-criterion, with the length of the spokes indicating the corresponding scores. Longer spokes signify higher scores. The overall score for India is determined by averaging the scores across these five sub-criteria. According to the radar chart, India scored 3.05 out of 4 overall. India scored significantly high in sub-criterion 1, 2, 3, and 4. Sub-criterion 5, related to public participation, scored 2, the lowest of all criteria.

Sub-criterion 1: Legal, regulation and policy setup for country's climate actions

Environmental protection and promotion commitments, such as the Paris Agreement, Sendai Framework for Disaster Risk Reduction, and Convention Biological Diversity through its national legislation **(Indicator 1.1**). India ratified the Paris Agreement on climate change on 2 October 2016. One of India's fundamental standpoints at the Paris climate talks was the principle of Common But Differentiated Responsibility (CBDR), which stresses the need for equity and fairness (as highlighted by the developing countries). India has also submitted its Sixth National Report (NR6) to the CBD in 2018. The NR6 provides an update on progress in achieving 12 National Biodiversity Targets (NBT) developed under the Convention process in line with the 20 global Aichi biodiversity targets. The report highlights that while India has exceeded/overachieved two NBTs, it is on track to achieve eight NBTs. For the remaining two NBTs, India strives to meet the targets by the stipulated time of 2020.

Furthermore, the India Disaster Management Plan was the world's first-ever national plan explicitly aligned with the Sendai Framework. The priories of the Sendai Framework and those related to DRR in SDGs and the Paris Agreement have been integrated into the planning framework under the following thematic area: (1) Understanding Risk, (2) Inter-Agency Coordination, (3) Investing in DRR – Structural Measures, (4) Investing in DRR – Non-Structural Measures, (5) Capacity Development and (6) Climate Change Risk Management.

Regarding climate change documents, India has met **Indicator 1.2** by submitting its NDC to the UNFCCC. The country has established a national strategy that mentions the importance of city/urban areas in climate actions as outlined in the NAPCC. India has also developed Nationally Appropriate Mitigation Actions (NAMAs). Consideration of climate in the national strategic plan has been annotated in the National Urban Planning Framework (**Indicator 1.3**). However, the role of local government in climate action and GHG reporting was still lacking. In terms of monitoring and evaluation, there is no information about the framework for MRV in city-level climate actions up until now (**Indicator 1.4**)

India has met **Indicator 1.5** by enacting the National Disaster Management Plan, 2019. Annexure I of the document annotated that climate change would increase the frequency and intensity of natural hazards like cyclones, floods, and droughts in the coming years. The document also stated that disasters in urban areas are acknowledged as distinct in many ways, and the intensity of damage is usually very high. Action plans for checking unplanned urbanisation and ensuring safer human habitats against disasters were considered priority areas. State governments/UTs were responsible for training and equipping state response forces and ensuring community preparedness at the district level. The district-level preparations provided the cutting edge for all response activities. Local authorities, Panchayati Raj Institutions (PRIs) and Urban Local Bodies (ULBs) played a significant role in the entire process, particularly in response and rescue operation, relief and rehabilitation, awareness generation and disaster preparedness, restoration of livelihood options and coordination with Non-Governmental Organisations and civil society.

The country also met **Indicator 1.6**, which states that an NBSAP was adopted in 2008. The NBSAP was a comprehensive plan for the conservation and sustainable use of biological diversity in India. It was aligned with the CBD and its Strategic Plan for Biodiversity 2011-2020. In NBSAP, climate change is

acknowledged as the major threat to the emergence of invasive alien species and pollution. Thus, effective and sustained measures were taken through eight national missions in the NAPCC. The role of local government in the Biodiversity Strategy and Action Plan was to provide a continuing education and capacity-building platform for current and future conservation and sustainable use actions at the occurrence level of biodiversity.

Sub-criterion 2: Governance, science and policy support for climate actions

India has developed a periodical document of the current state of national-level climate actions (**Indicator 2.1**), while the evidence of a substantial contribution from local reports and mechanisms for local governments to initiate their report is still lacking in the current document. The country also has a mechanism for conducting or supporting a national and local climate change assessment (**Indicator 2.2**). The Climate Smart Cities Assessment Framework (CSCAF) undertook the local-level assessment. The framework was a first-of-its-kind city assessment framework where 126 Cities were assessed on climate-relevant parameters for Indian cities.

Centralised and digitalised database services on climate change information (including GHG inventory), adaptation, and mitigation at a national and local level have been established in India, fulfilling **Indicator 2.3**. However, whether the country had a digitalised self-reporting mechanism for national ministries/ governments to update their data on the national database was still being investigated (**Indicator 2.4**). Recently, a platform was launched to showcase the considerable progress of Indian cities on climate change (**Indicator 2.5-2.6**).

India had initiated steps to fulfil **Indicators 2.7-2.9** for establishing a National Research Foundation (NRF). The NRF aimed to catalyse, facilitate, coordinate, seed, grow, and mentor research in nationwide academic institutions, particularly at universities and colleges where research capacity was nascent. This would be the first of its kind foundation to promote research and development across the country. For the creation of the National Research Foundation, a total expenditure of Indian Rupees 50,000 crore over 5 years beginning from 2021-22 has been approved. There were several research centres on climate change. The Indian Institute of Tropical Meteorology (IITM) was a premier research institute engaged in climate change research. The IITM had several research programmes focused on understanding the impacts of climate change, developing adaptation and mitigation measures, and providing climate services. India's Prime Minister Modi also inaugurated the ICRISAT's Climate Change Research Facility on Plant Protection and Rapid Generation Advancement Facility on February 5, 2022.

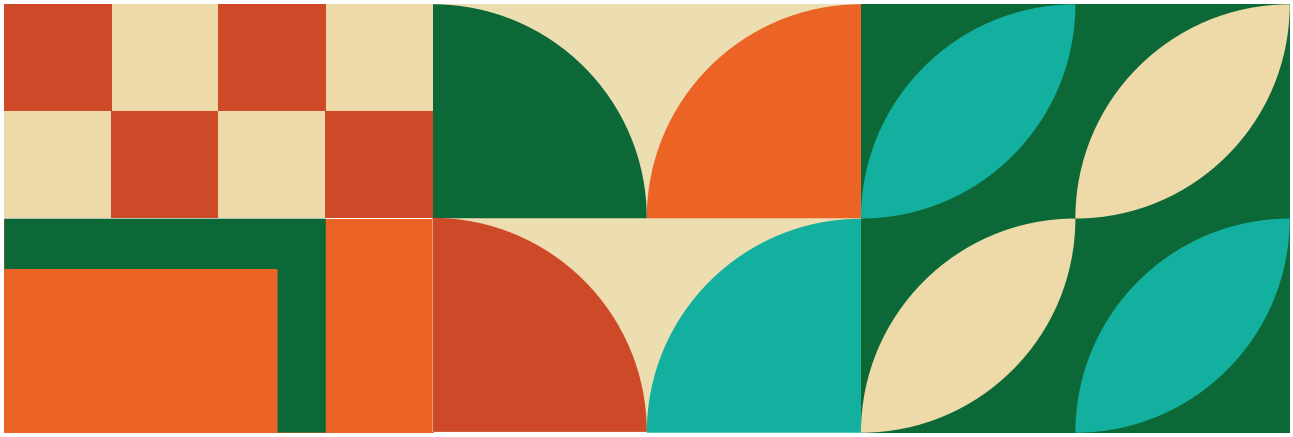
India has met the **Indicators 2.10-2.11** as the government has launched Mission LiFE-Lifestyle for Environment. LiFE was a public movement to mobilise individuals to become 'Pro-Planet People. It was an India-led global mass movement to nudge individual and community action to protect and preserve the environment. However, there was a lack of information on how India has developed a legal basis for local governments to set up multi-stakeholder partnerships (**Indicator 2.12-2.13**)

Sub-criterion 3: Bureaucracy, human capital development, and local government performance

India has appointed several ministries responsible for climate actions (**Indicator 3.1-3.2**), such as the Ministry of Environment, Forest and Climate Change, the Ministry of Power, and the National Institution for Transforming India (NITI Aayog). The Ministry of Power is responsible for developing and implementing India's power sector policy. The Ministry of Power has utilised the "Proposed Reform" to promote renewable energy and energy efficiency in the power sector. The Ministry of Power has also implemented several initiatives to reduce emissions from the power sector, such as the National Electric Mobility Mission Plan (NEMMP) and the Solar Rooftop Programme. NITI Aayog is a policy think tank that provides strategic advice to the government of India. NITI Aayog has utilised the "Proposed Reform" to promote climate-smart development in India. NITI Aayog has also developed several initiatives to support climate action in India, such as the Sustainable Development Goals Index and Dashboard (SDG Index) and the Climate Action Tracker (CAT).

In addition, India had a Local Government Act at national level that enables local governments to establish a dedicated local agency/body for planning and implementation of climate actions (**Indicator 3.3**), namely National Urban Policy Framework (NUPF), Town and country planning act and State planning regulations, local area plans, Provision of housing for low- and middle-income groups through the Pradhan Mantri Awaas Yojana (PMAY), National Building Code, Energy Conservation Building Code, Eco-Niwas Samhita (an energy conservation building code for residential buildings), Development Control Regulations (DCR) and model building bylaws, India Cooling Action Plan, Sustainable public transport including sustainable mobility through national mission on electric mobility and battery storage, National Solar Mission, National Mission on Sustainable Habitat, National Water Policy, National Environment Policy, National Urban Sanitation Policy, Jal Jeevan Mission, Atal Mission for Rejuvenation and Urban Transformation (AMRUT), Construction and Demolition Waste Management Rules, Extended Producer Responsibility 2021, and Plastic Waste Management (Amendment) Rules 202. The country also had local government networks concerned with environmental issues (**Indicator 3.4**), such as the Climate Smart Cities Alliance, National River Alliance, and Mangrove Alliance for Climate Change. Although the country recognised an umbrella for LGUs' self-governance in climate citizen mobilisation, there is no evidence found up until now (**Indicator 3.5**).

India has partially met **Indicators 3.6-3.7**, as the country has had an institutional strengthening mechanism for climate action and resilience. In contrast, the government had only an institutional strengthening mechanism for national governance for climate action and resilience. India also fulfils **Indicator 3.8** through its National E-governance Plan and The Digital India Program. The Digital India Programme was a national programme aimed at making India a digitally empowered society and knowledge economy. The Digital India Programme used technology to improve government services, education, and healthcare access. Other relevant initiatives included the National Urban Digital Mission and a national urban learning platform anchored with the National Institute of Urban Affairs. However, it is worth noting that these initiatives still lacked climate and environmental content.



Sub-criterion 4: Climate financing and resource mobilisation

India has allocated a national budget for climate actions attached to several national plans (**Indicator 4.1**) and a national funding mechanism for local governments to address climate actions (**Indicator 4.2**). The Ministry of Environment, Forest and Climate Change (MoEFCC) was responsible for coordinating climate action and allocating funding at the national level. The MoEFCC worked with other government ministries, agencies, and NGOs to raise funds for climate action. At the local level, state governments and local government bodies (LGBs) were responsible for implementing climate action plans and mobilising resources. The state governments and LGBs worked with communities, businesses, and other stakeholders to raise funds for climate action. There were several mechanisms for funding and resource mobilisation for climate action in India, including (1) Government grants, (2) Corporate social responsibility (CSR), and (3) Voluntary donations. The government provided grants to organisations that are working on climate action. These grants could be used to support various activities, such as research, capacity building, and project implementation.

Regarding CSR, companies were required to spend a certain percentage of their profits on CSR activities. Some companies used their CSR funds to support climate action. For voluntary donations, individuals and organisations could donate money to support climate action. Several organisations, such as the Climate Action India (CAI) and the Climate Tracker, accepted donations for climate action.

India has fulfilled **Indicator 4.3** as the country provided mechanisms for private financing on national-level climate action, including The National Adaptation Fund for Climate Change (NAFCC) and the Green Climate Fund. The NAFCC was established to support adaptation activities in India's States and Union Territories (UTs) that are vulnerable to the adverse effects of climate change. NAFCC implemented 30 projects in 27 States and UTs. A combination of government grants and private sector contributions finances the NAFCC. Green Climate Fund has been actively engaged with The Government of India. Until now, five projects have been approved with a total allocation of USD 514.8 million in diverse areas, including water, clean energy, livelihoods and transport. However, India does not meet **Indicator 4.4** since the country does not have a safety/incentive mechanism for risk of climate financing at the local level.

The NAPCC, the SAPCCs, and The National Clean Air Programme (NCAP) were utilised as national frameworks allowing multi-year/long-term local climate action planning in India (**Indicator 4.5**). The NAPCC is a comprehensive plan for climate change mitigation and adaptation in India. The NAPCC includes several provisions that support multi-year/long-term local climate action planning, such as the requirement for states and cities to develop climate action plans. The SAPCCs are state-level plans that are based on the NAPCC. The SAPCCs include several provisions that support multi-year/long-term local climate action planning, such as the requirement for districts and municipalities to develop climate action plans. The NCAP is a national programme working to reduce air pollution in India. The NCAP includes several provisions that support multi-year/long-term local climate action planning, such as the requirement for cities to develop air quality management plans.

India has fully met **Indicators 4.6-4.10** related to regulatory frameworks on funding and capacity building for climate actions, except for **Indicators 4.7-4.9** on a dedicated research fund for climate change and local government accountability mechanism to report resources utilisation and contribution to NDCs, NAPs and others national reporting. The country also met **Indicator 4.11**, which states that MoEFCC tracked all the revenue and expenses, and the utilisation of the funds is published yearly.

Sub-criterion 5: Public participation

Several national regulations, legislation, and mechanisms in India recognise the importance of public participation in climate action governance (**Indicator 5.1**). Key instruments include The National Action Plan on Climate Change (NAPCC), The Environment (Protection) Act 1986, The Right to Information Act 2005, The National Green Tribunal (NGT), and the forthcoming Green Credit Programme. The Environment (Protection) Act 1986 is pivotal for environmental protection and improvement, incorporating provisions for public participation in decision-making, such as mandatory public hearings for environmental impact assessments. The Right to Information Act 2005 empowers citizens to access governmental information, including data on climate change policies and plans, enhancing transparency and accountability in governmental actions on climate change.

The NGT, established in 2010, plays a critical role by adjudicating environmental protection cases, with citizens frequently utilising this tribunal to challenge governmental decisions on climate-related issues. The Green Credit Programme, soon to be launched nationally, aims to foster a market-based mechanism for Green Credits to encourage voluntary environmental actions among stakeholders, including private sector industries and companies, aligning their activities with legal obligations and opportunities to generate or purchase Green Credits.

India also acknowledges the significance of integrating a gender perspective into climate action (**Indicator 5.2**), as articulated in The National Policy for Women 2001 and The National Gender Policy 2016. The National Policy for Women asserts that women are disproportionately affected by climate change and stresses the necessity of their participation in climate action. The National Gender Policy emphasises that gender equality is crucial for enhancing resilience to climate change and ensuring equitable sharing of the benefits of climate action.

For **Indicator 5.3**, the Indian Government has established the National Adaptation Fund for Climate Change, supporting adaptation initiatives in regions highly susceptible to the adverse effects of climate change.

Regarding the review feedback, it is noted that the mode of public participation in China differs significantly from the democratic processes observed in other countries covered in the report. In China, there is extensive consultation within the party structure down to the local level, arguably more so than in Indonesia and Thailand. However, the climate change policy formation in China is more hierarchical and driven from the top down, involving substantial subcommittee and professional input, resulting in a thorough yet slower policy development process. This unique approach influences how public participation is perceived and implemented compared to other countries in the study.

Several national programmes were mechanisms for climate education (**indicator 5.4**), as stated in the National Clean Air Program (NCAP) report. India also had a national database on climate adaptation/disaster risk maps and information accessible to the public, which can be found in the National Database for Emergency Management (nrsc.gov.in). The National Disaster Management Authority (NDMA) regularly organised training, webinars, and conferences on various disaster issues.

Key Learning Messages

- **Limited Local Government Involvement:** Local governments often lack the resources and capacity to independently address climate challenges, with insufficient mechanisms for monitoring and evaluating city-level climate actions.
- **Coordination Gaps:** The absence of a robust framework for interagency coordination, particularly at the local level, hampers the integration of climate goals across sectors and tiers of governance.
- **Inadequate Public Engagement:** Despite legal provisions, public participation in climate action—especially at the local level—lags behind, reflecting the need for greater community mobilisation and public awareness.
- **Climate Financing Gaps:** While national mechanisms like the Green Climate Fund exist, there are limited financial risk mitigation mechanisms at the local level, restricting effective resource mobilisation for climate initiatives.

7

City Enabling Environment for Environmental and Climate Governance in Indonesia

Environmental and Climate Change Governance in Indonesia

Key Findings

- **Decentralisation of Governance:** Indonesia's political structure allows for shared responsibility between national and sub-national governments, with local governments authorized to develop regional climate action plans and policies.
- **Legal and Regulatory Frameworks:** Indonesia has committed to international climate agreements, including the Paris Agreement, the Sendai Framework, and the Convention on Biological Diversity, and has national regulations in place for disaster risk reduction and biodiversity protection.
- **Public Participation:** Regulations ensure public involvement in environmental and climate governance, with community-driven initiatives like the Climate-Resilient Village program promoting local climate adaptation efforts.

Political Structure and Organisation

The Indonesian political system is a republican, led by a president as the head of the state to run the country. The president, elected directly by the citizens, leads the executive roles responsible for domestic governance, policy-making and foreign affairs. Sectoral ministries assist the president's work, and they can enact sectoral regulations that are more detailed and technical than the laws, government regulations, and presidential regulations. Three legislative bodies share the legislative power served. First, the People's Consultative Assembly (Majelis Permusyawaratan Rakyat, abbreviated MPR) can set or change the Constitution and appoint (or impeach) the president. Second, the People's Representative Council (Dewan Perwakilan Rakyat, abbreviated DPR) draws up and passes laws, produces the annual budget in cooperation with the president and monitors the executive's performance. Third, the Regional Representative Council (Dewan Perwakilan Daerah, abbreviated DPD) deals with laws and matters related to the regions their members represent, thus increasing regional representation at the national level. The highest court in Indonesia's judiciary system is the independent Supreme Court (Mahkamah Agung). It is the final court of appeal and deals with disputes in lower courts.

At the national level, environmental and climate change policies become the responsibility of the Ministry of Environment and Forestry. However, other sectoral ministries and government bodies can contribute to the issues based on their given sectoral duties in the regulatory framework. They often act with a lack of coordination[13]. The relevant government bodies that may involve coordination and promotion of environmental and policy issues to the sub-national level in their works include, but are not limited to:

The National Development Planning Agency (Badan Perencanaan Pembangunan Nasional (BAPPENAS)) mainstreams climate change into the national planning system	The Ministry of Home Affairs ensures local government roles and public services for climate change mitigation, adaptation, and disaster risk reduction at the national level and the capacity building of bureaucrats for supporting these	The Ministry of Finance allocates and monitors budget spending for climate change mitigation and adaptation	The National Disaster Management Agency runs programmes related to disaster risk reduction

[13] Emmirch, J., Mooldijk, S., Höhne, N., Chapman, A., Nolan, S., and Ramapole, D. (2021). Climate Governance in Indonesia. Climate Action Tracker.

Local Government and Decentralisation System

Following the decentralisation arrangement since the country entered the reformation era, the national government has exclusive authority in four domains: foreign policy, defence, monetary and fiscal policy, and religious affairs, while others are shared with the sub-national government: provincial and district/municipal governments. Indonesia consists of five layers of governmental structure: central, provincial, kabupaten (districts), kota (municipalities), kecamatan (subdistricts), and kelurahan/desa (villages). As of 2023, there were 38 provinces, 416 districts, and 98 municipalities. Governors lead the provinces in implementing executive roles, while a regent and a mayor carry out the roles in districts and cities.

Based on Law 23/2014 on Local Governments, provincial governments have the authority to manage matters involving cross-regencies or cross-cities boundaries. District/municipal governments only have the authority to manage the affairs within their administrative boundaries, including the location, the use, and the benefits. The authorities of the sub-national governments are responsible for running concurrent affairs, including mandatory governmental affairs related to basic services and those not associated with basic services. For example, education, spatial planning, and public works are included in the government's mandatory affairs related to basic services. Meanwhile, disaster management and environmental affairs are categorised as concurrent governmental affairs unrelated to basic services. Nevertheless, climate change response does not explicitly fall into any specific category in concurrent governmental affairs.

These local government entities can enact local regulations to enforce local interests/priorities. It can be used to incorporate the national development agenda into regional development planning and contextualise it into local conditions/needs. The local regulations might include the product of development planning (e.g., regional mid-term development plan) and sectoral planning (e.g., regional action plan for climate change adaptation or disaster management plans).

Coordination Mechanism between State and Non-Governmental Actors

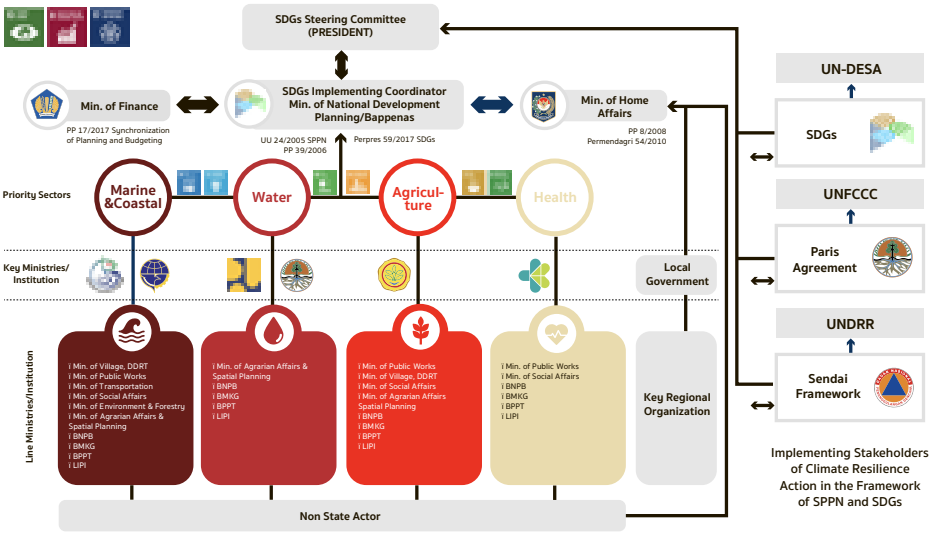
No government institution was explicitly assigned to implement and coordinate the integration of spatial planning, disaster risk reduction, and CCA. However, several ways were found to facilitate this. First, development planning was one way to coordinate the sectoral agenda, especially within the government structures from the national to the district/city levels[14]. Ministries or equal national bodies and local government agencies formulated long-term plans (20 years), medium-term plans (5 years), and short-term plans (annually). They coordinated the contents through the Multi-Stakeholder Consultation Forum for Development Planning—theoretically, BAPPENAS's processes aligned with the national and sub-national interests and development directions. Development plans became the main reference for financing development programmes through regional government budgets.

Second, upper-level government entities can assist lower-level ones by providing technical assistance and formulating standards (e.g., guidelines). The national government must empower and supervise local governments with guidelines or standards to implement concurrent affairs[15]. Any technical assistance from the national entities for Local Governments must be coordinated with the Ministry of Home Affairs. In policy-making, a governor can evaluate the draft of local spatial planning, development planning, and budgeting regulations at the district/municipal level before the district/municipal legislative bodies[16]. Pass the documents.

Third, implementing national policies at the local level can be delegated to sub-national governments with the support of fiscal decentralisation funding. It aims to enhance the sub-national governments' financial capacity and minimise the inter-regional government funding gap. For instance, the Special Allocated Fund provides financial assistance for specific activities in certain areas that are the authority of local governments and those that correspond with national priorities. In addition, the central government has allocated regional incentive funds (DID) in the category of environment and forestry to local governments. The concept is that the DID is an appreciation of regions that consistently protect the environment and forestry.

The coordination between state and non-state actors is often driven by bilateral cooperation between institutions or facilitated through ad-hoc multi-stakeholder forums. BAPPENAS listed 24 non-state organisations working on the pillars of environmental development in Sustainable Development Goals (SDGs) in Indonesia[17] In general, they usually cooperate with ministries/national bodies and local governments to fill the gaps that the government might not be able to cover thoroughly, such as activities on capacity building for local governments and communities, governance and funding in the form of strengthening local regulations. Their projects may also include activities to produce tangible outputs, including mangrove rehabilitation, reservoir construction, forest reforestation to protect water reserves, supporting health services, and drafting regulations.

Figure 16. Institutional Arrangement for Climate Resilience Actions in Indonesia



[14] Law 25/2004 on National Development Planning System
[15] Law 23/2014 on Local Government
[16] The Regional People's Representative Council (Dewan Perwakilan Rakyat Daerah) carries out its function to formulate local regulations, oversee regional executive bodies, and make regional budget.
[17] BAPPENAS. (2021). Book 3 The Roles of Non-State Actors in Climate Resilience. https://lcdi-indonesia.id/wp-content/uploads/2021/11/3_The-Roles-of-Non-State-Actors-in-Climate-Resilience.pdf

The Results of CEEECG in Indonesia

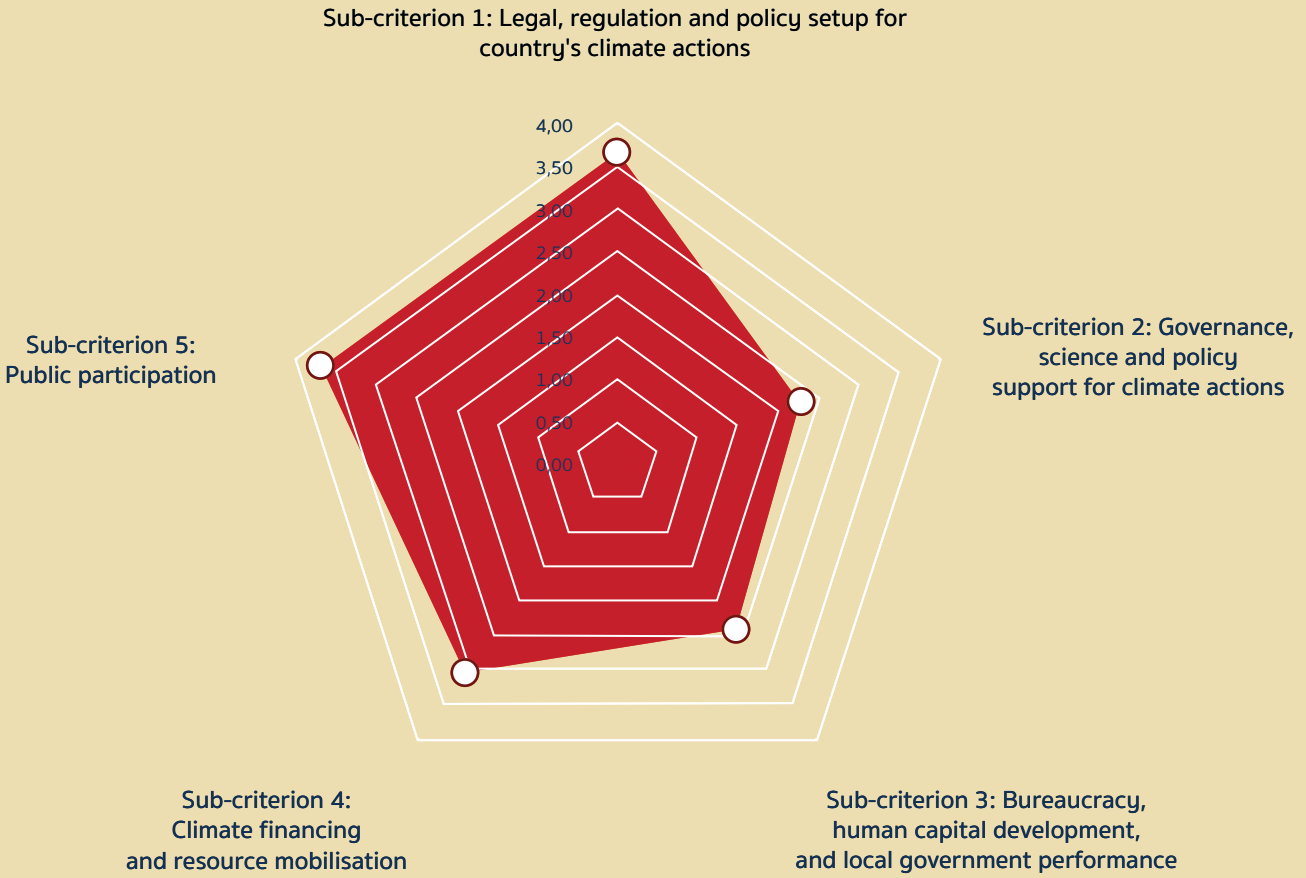


Figure 17. CEEECG Score of Indonesia by Sub-criteria

Figure 17 Depicts the CEE-ECG rating score for Indonesia, with an overall score of 3.02 out of 4. Indonesia is rated with a high score in sub-criterion 1 (3.67) and 5 (3.67). It reflects that Indonesia, to some extent, has enabled its city-level action to be integrated into countries' international commitments with funding and capacity support committed for cities and with codes and standards in place at the city level for disaster risk management and climate risk mitigation. A regulatory framework ensures LGU discretion in making decisions and access to national funding, PPP mechanisms, or other funding mechanisms for environmental protection, DRR, and climate actions, e.g., National Budget documents. Also, national regulations or mechanisms require local governments to integrate public participation into their climate action regulation/mechanisms. These might include the availability of reporting mechanisms regarding the incorporation of gender and vulnerable community perspectives, marginalised communities' actions, and/or climate education programmes for the public.

The lowest score among all criteria is sub-criterion 3, related to governance, science and policy support for climate actions (2.4). It means that there is already an appointed ministry/national agency responsible for climate change, disaster management, and biodiversity protection. The relevant ministry/national agencies may have representatives or mechanisms to assist provincial and/or local government. No dedicated agency/body/coordinating agent allows coordinated implementation between climate actions, disaster risk management, and environmental management. Thus far, BAPPENAS holds the role of coordinating synergy in the planning and monitoring process.

Sub-criterion 1: Legal, regulation and policy setup for country's climate actions

Indonesia has pledged to international commitments on the Paris Agreement, the Sendai Framework for Disaster Risk Reduction, and the Convention on Biological Diversity through its national legislation (**Indicator 1.1**). Indonesia ratified the Paris Agreement on April 22, 2016, through Law No. 16 of 2016 and formulated its National Disaster Management Master Plan (NDMMP) 2020-2044, ratified through Presidential Decree No. 87 of 2020, to achieve the seven SFDRR objectives. The national government has appointed the Ministry of Environment and Forestry as the focal point for implementing the Convention on Biological Diversity and actively participates in negotiating the Conference of Parties to the United Nations Convention on Biological Biodiversity.

Indonesia has fulfilled all the sub-indicators in **Indicator 1.2** for climate change documentation. Indonesia has developed an NDC report and submitted the new commitment version for higher GHG reduction targets of 31.89% (unconditional) and 43.2% (conditional) compared to 29% and 41%, respectively, in the previous version. The roles of Urban Actors in climate action have been acknowledged in its latest Climate Resilience Development (CRD), which was later mainstreamed into the 2020-2024 mid-term development plans (**Indicator 1.3**). Their roles include developing city-level climate action plans and reporting their GHG emission. The Indonesian CRD documents also contain a framework for MRV mechanisms of national-level climate actions (**Indicator 1.4**).

The country has met all the sub-indicators in **Indicator 1.5**. The NDMMP 2015 - 2045 already reflects the need to address climate risks, and the strategies can also be found in implementing the NDMMP 2020-2024 Period. By 2018, the government also set the Ministry of Home Affairs, which had introduced minimum service standards for sub-national governments to carry out their disaster and fire management duties concerning disaster risk and hazards information, disaster prevention and preparedness, and disaster rescue and evacuation.

The country has also met **Indicator 1.6**. The Indonesia Biodiversity Strategy and Action Plan (IBSAP) for 2015-2020 is a nationwide sectoral document containing the Strategy and Action Plan for managing Indonesia's biodiversity. It addresses the most relevant aspects of biodiversity, strengthening people's productivity, national competitiveness, and economic self-sufficiency. However, the national government was drafting the newest version of IBSAP by the time this CEE-ECG report was done. However, in the previous version, the plan explicitly did not mention the importance of urban/city and the roles of local governments.

Sub-criterion 2: Governance, science and policy support for climate actions

Indonesia has a periodical/annual national-level report on national achievement or the current state of climate action with contributions from local reports (**Indicator 2.1**). It was part of the development planning process that requires the parties or implementers of the development programme (or, in this, was identified as climate resilience action) to plan climate resilience activities and implement them according to the definition and location of the action. The duties include monitoring the output and performance achieved of the activities.

The government also issued the Minister of Environment and Forestry Regulation 7/2018 concerning Guidelines for Assessing the Vulnerability, Risk, and Impact of Climate Change (**Indicator 2.2**). Utilising climate change vulnerability, risks, and impacts is part of preparing climate change adaptation actions and becomes a basis for considering the formulation of adaptation actions. This guideline contains how-to instructions for conducting climate change risk assessment at the subnational level.

There is a digitalised database service on climate change information, especially GHG inventory (**Indicator 2.3**). However, the local data submitted to the system by the sub-national governments (**Indicator 2.4**) is not provided or shown publicly on the platform. Also, digitalised database services capture GHG inventory and record adaptation actions and mitigations across the countries (Indicator 2.5). Although this platform could be used to monitor NDC implementation, there was no explanation of how it is used to report the progress of NAP implementation. However, it is worth noting that the government did not have a mechanism/framework for local governments to leverage the digitalisation of climate data, information, and knowledge for planning purposes (**Indicator 2.6**).

There were no dedicated research centres for climate change studies to support the planning and actions (**Indicators 2.7-2.9**). Instead, Indonesia has a supporting mechanism for the national government to receive assistance from public participation for disaster and/or climate risk assessment, including expert consultation, monitoring, and evaluation process (**Indicator 2.10**).

Other mechanisms are for integration and collaboration between civil society movements, including local businesses, and local governments on local governance on climate change (**Indicator 2.12**). Nevertheless, there was no legal basis for local governments to set up multi-stakeholder mechanisms with universities/research bodies/civil society/ businesses for receiving and using scientific measures to create climate actions, DRR, and biodiversity policy planning documents (**Indicator 2.12**) nor the incentive to establish/ enhance market mechanism (**Indicator 2.13**).

Sub-criterion 3: Bureaucracy, human capital development, and local government performance

As mentioned previously, environmental and climate change policies become the responsibility of the Ministry of Environment and Forestry (**Indicator 3.1**). However, other sectoral ministries and government bodies could contribute to the issues based on their given sectoral duties in the regulatory framework[18]. However, BAPPENAS, which mainstreamed climate change into the national planning system, had a role in knitting cross-sectoral climate-related programmes.

Within the Ministry of Environment and Forestry, the structure was a unit called the Directorate General for Climate Change. One of its duties was to ensure the implementation of technical guidance and supervision for climate change adaptation and mitigation at the sub-national level (**Indicator 3.2 and Indicator 3.6**). However, considering the overall institutional arrangement above, similar works could be done by other national bodies to provide technical or financial assistance for the sub-national following their duties.

No particular act at the national level has enabled local governments to establish a dedicated local agency/body for the planning and implementation of climate actions (**Indicator 3.3**). However, an existing local government network or associations concerned with environmental issues, including climate actions, exists (**Indicator 3.4**). The Indonesian Municipal Government Association (Asosiasi Pemerintah Kota Seluruh Indonesia (APEKSI)) has been involved in facilitating and supporting its members, comprising 98 Indonesian city governments, in the implementation of regional autonomy and the creation of a conducive climate to develop partnerships between city governments in the country. APEKSI advocates a climate change resilient programme at the sub-national level and facilitates dialogues with the national government. However, there was no umbrella for LGUs' self-governance in climate citizen mobilisation (**Indicator 3.5**).

[18] Emmirch, J., Mooldijk, S., Höhne, N., Chapman, A., Nolan, S., and Ramapole, D. (2021). Climate Governance in Indonesia. Climate Action Tracker.

Indonesia has had an institutional strengthening mechanism for national governance for climate action and resilience. Based on Law 23/2014 on Local Governments, the sub-national governments can manage cooperation involving cross-regencies or cross-cities boundaries. (**Indicators 3.7**) It is further detailed in Government Regulation 28/2018 on Regional Cooperation. The joint efforts of regions with other regions in implementing government affairs that become regional authorities for community welfare and acceleration of public service fulfilment are not considered mandatory affairs, such as environmental protection and disaster management. The legal frameworks also allowed municipal governments to work with trans-municipal networks for climate change where knowledge exchange and technical assistance occur.

Indonesia has a national e-governance and e-government integration mechanism based on President Regulation 95/2018 on Electronic Based Government System (**Indicator 3.8**). It was at the early integration stage, including digital literacy, making systems and processes online, and financing climate action. However, it has not yet entered e-government and e-governance (making things online) into digital governance and digital government (data-based process) integration, including at the local level.

Sub-criterion 4: Climate financing and resource mobilisation

Indonesia has a national budget allocation for climate actions attached to the national strategy and/or action plan document (**Indicator 4.1**). Since climate change policies remain driven by the national actors, most funding and resource mobilisation decisions lie with the National Government. Climate resilience funding supports local climate activities through development planning and budgeting. The Indonesian Government allows foreign funding through executing agencies consisting of ministries/institutions, international development agencies/partners, local governments, and Climate Change Trust Fund Agencies in the form of loans, direct grants, and planned grants under BPDLH (Badan Pengelola Dana Lingkungan Hidup - Environmental Fund Management Agency) (**Indicator 4.2**). Thus, the decision on funding and resource mobilisation is not exclusively in the hands of the national government.

The government promotes the Government and Business Entities Partnership Scheme, focusing on financing climate-resilient infrastructure (**Indicator 4.3**). The implementation and utilisation of this scheme is regulated under Presidential Regulation 38/2015 and the Minister National Development Plan 2/2020 Regulation concerning the Procedures for implementing Government and Business Entities Partnership in the Provision of Infrastructure. These can be done through cooperation between government-owned enterprises and private entities.

Indonesia had a regulatory framework for fiscal decentralisation based on Law 33/2004. Although the law does not specify how climate actions are funded through this scheme, the local governments can use the Special Allocation Fund when their climate actions align with the national priority programmes. Specific activities established by the Government prioritise the development and/or procurement and/or improvement and/or repairment of physical facilities and infrastructure for basic public services, including supporting physical facilities. The technical ministers can propose specific activities to be funded from DAK, later determined after coordination with the Minister of Home Affairs, the Minister of Finance, and the Head of BAPPENAS/Minister of Development Planning Agency (**Indicators 4.6 and 4.8**).

Sub-criterion 5: Public participation

The existing regulatory framework ensures the importance of public participation in environmental and climate change governance (**Indicator 5.1**). Law 32/2009 on Environmental Protection and Management ensures that communities can participate in environmental protection and management decision-making or implementation. It is further detailed in Government Regulation 22/2021 that the government is mandated to provide space for the communities to become the environmental watchdog, and the communities can provide feedback on the activities that harm the environment. The regulations also become the legal basis for implementing climate change actions at the local level. Participation in climate actions has been facilitated through the Climate-Resilient Village programme, where the communities are involved in the capacity-building process to help their villages be more ready for the impacts of climate change (**Indicator 5.4**).

Overall, the importance of vulnerable communities has been acknowledged in most regulatory frameworks related to climate change, environmental protection, and disaster management (**Indicator 5.3**). For example, communities can register for the programme in the Climate-Resilient Village or contribute to other climate-related activities through the National Registry System for Climate Change. The MoEF created a system that aims to record, manage, and provide web-based information data on actions and resources for climate change adaptation and mitigation in Indonesia. Through the system, the community will get recognition from the government for their contribution to climate change control efforts in Indonesia. In addition, data and information in SRN will feed the preparation of reports on national climate change control achievements to the UNFCCC secretariat.

The Ministry of Women's Empowerment and Child Protection issued a guideline to implement gender-based climate change adaptation (**Indicator 5.2**). The document indicates possible ways to integrate gender perspectives in policy and programme formulation, data sorting, and gender analysis in planning and monitoring. It also contains potential (government) programmes where gender perspectives can be integrated. The Ministry of Finance also published a guide on mainstreaming gender perspectives. The National Disaster Management Agency administers and disseminates web-based risk information called inaRISK (**Indicator 5.5**). The webpage application provides early information about potential disasters to the community, letting the public know what disasters might occur wherever they are. The application can be downloaded for free through the in risk.bnpb.go.id page.

Key Learning Messages

- **Fragmented Coordination:** There is a lack of a dedicated body to coordinate cross-sectoral climate action, disaster risk reduction, and environmental management. BAPPENAS plays a coordination role, but more structured collaboration is needed across government levels.
- **Limited Local Authority:** While decentralisation allows local governments to create regulations, there is no dedicated agency for climate action, limiting the effectiveness of local responses.
- **Underdeveloped Science and Policy Support:** Indonesia lacks dedicated research centers for climate change, and there is minimal use of digitalized climate data systems for planning purposes at the local level.
- **Resouce Mobilisation:** Although there are mechanisms for private sector partnerships and international funding, fiscal decentralisation for local climate initiatives remains underdeveloped, with reliance on national priorities for funding allocation.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8

City Enabling Environment for Environmental and Climate Governance in Philippines

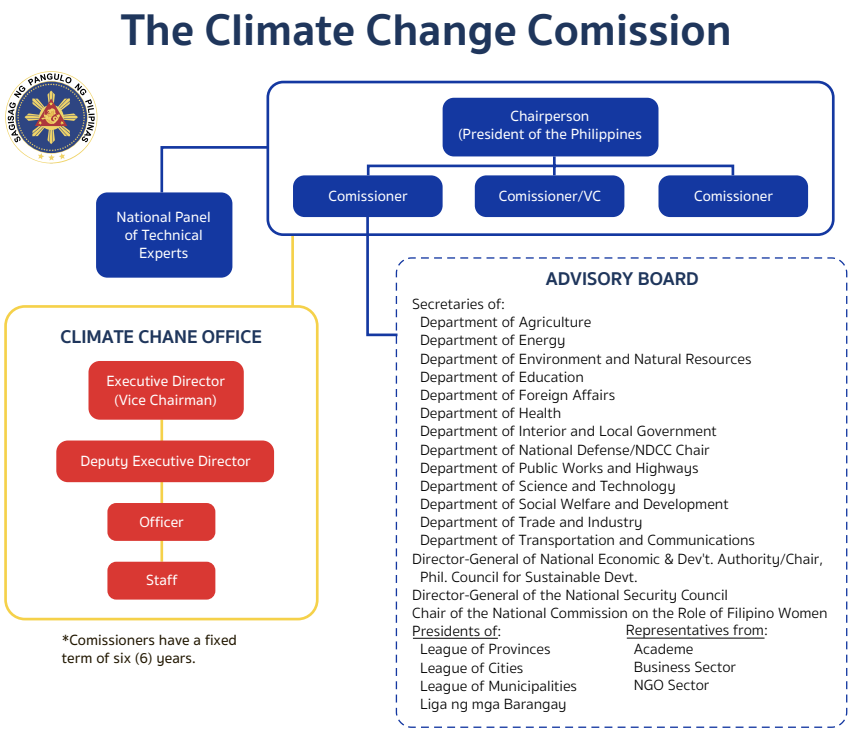
Environmental and Climate Change Governance in Philippines

Key Findings

- The Philippines has a well-established legal framework for climate governance, rooted in **Republic Act 9729** (Climate Change Act), which mandates the integration of climate change into national policies and planning.
- **Decentralized Climate Action:** Local Government Units (LGUs) play a critical role in climate action, responsible for formulating and implementing LCCAPs. Guidelines have been developed to support LGUs in integrating climate change into local development plans.
- **National Leadership and Policy Frameworks:** The **National Framework Strategy on Climate Change (NFSCC)** and **National Climate Change Action Plan (NCCAP)** set time-bound targets for adaptation and mitigation.
- The Philippines has ratified international agreements, including the **Paris Agreement** and the **Sendai Framework**, showing strong commitment to global climate action.
- **Multi-stakeholder Engagement**: Climate policy involves various stakeholders, including government agencies, the private sector, and civil society. Public participation is encouraged, particularly through gender-sensitive approaches and the inclusion of vulnerable communities in climate resilience planning.

Political Structure and Organisation

Figure 18. Stakeholders for climate change resilience planning[20]



The Republic of the Philippines is a liberal democracy with a presidential system. The Philippines has a democratic political system with a separation of powers between the executive, legislative, and judicial branches. Under the 1987 Constitution, the President of the Philippines is the head of state and head of government. The people directly elect the President, who can hold office for only one six-year term. The legislative branch is a bicameral Congress consisting of the Senate and the House of Representatives. Members of the Senate are elected through plurality voting, while members of the House of Representatives are elected through parallel voting. Meanwhile, the judicial branch is an independent judiciary. The Philippines has a local government system, with the smallest unit being the barangay[19].

[19] The Government - GOVPH (www.gov.ph)
[20] National Legal Framework on Climate Change Philippines

Regarding climate and environmental governance, the Philippine government has demonstrated leadership through a solid commitment to climate policy and institutional reform agendas. 2009 Republic Act 9729, or the Climate Change Act, was enacted into law. The law mandates mainstreaming climate change considerations into government policy and planning. This legislation provided the foundation for creating the Climate Change Commission to develop policies and coordinate government programmes on climate change[21]. The CCC is a dedicated agency leading the country's climate change efforts. This law is also the basis for establishing the National Framework Strategy on Climate Change (NFSCC) for 2010-2022 and the National Climate Change Action Plan (NCCAP) for 2011-2028. As a result of these policy reforms, the scope of the government's climate change response has been further defined across agencies and at the national and local levels. The NFSCC and the NCCAP contain several time-bound government targets for climate change adaptation, mitigation, and disaster risk reduction (CCAM-DRR). As a signatory to global agreements related to climate change, such as the Paris Agreement, the Philippines has submitted its INDC, which was to be finalised into NDCs. The Philippines affirmed its commitment to sustainable and inclusive economic development by submitting its first NDC to the United Nations in April 2021[22]. Several entities and organisations are essential to manage the Philippine government's climate policy. In addition to the Commission on Climate Change, which serves as the country's main policy-making body for climate change, there is also the Cabinet Group on Climate Change Adaptation, Mitigation, and Disaster Risk Reduction (CCAM-DDR) that is tasked with protecting the environment, building interagency synergies, and coordinating policies. Based on Executive Order 24, Series 2017, the establishment of this Cabinet Cluster aims to facilitate coordination among national government agencies (NGAs), LGUs, and other stakeholders in climate change adaptation and mitigation efforts[23]. Furthermore, the Philippine Congress, particularly the Senate and House of Representatives, also shape climate policy by adopting climate change-related laws and regulations, such as the Climate Change Act of 2009 (RA 9729). Other government agencies such as the Department of Environment and Natural Resources (DENR), Department of Energy (DOE), Department of Agriculture (DA), and Department of Transportation (DOTr) also work together to develop and implement climate policies, coordinate efforts, and ensure effective climate change management in the Philippines.

Local Government and Decentralisation System

The Philippines has a decentralised system of governance, where LGUs play a crucial role in addressing climate change issues. Implementing the Philippine Climate Change Act of 2009 (RA 9729), as amended by Republic Act No. 10174 on August 16, 2012, raised awareness of climate change issues and empowered local government units (LGUs) to act on them. However, people's welfare must still be guaranteed and protected when addressing climate change issues. Therefore, action on climate change should align with the region's needs and development prospects.

Local Climate Change Action Plans, or LCCAPs, are action plans formulated by LGUs to address climate change issues. The LCCAP focuses on climate change adaptation and mitigation and describes how LGUs plan their response to climate change and integrate it into local development plans. Through concerted action of national government agencies, various instructions and guidelines have been issued to support RA 9729 as amended by RA 10174 and encourage and enhance climate change action planning at the local level. In 2014, the Department of Interior and Local Government-Local Government Academy (DILG LGA) issued the LGU Guidebook on LCCAP Formulation, and after that, the DILG Circular Memorandum No. 2014-135 on LCCAP Formulation to guide and assist LGUs in formulating their LCCAPs. In 2017, the Local Government Academy, in collaboration with the Climate Change Commission and UN-Habitat Philippines, designed a guide to develop a climate change action plan process at the local level. The guide is a refinement of the LCCAP Formulation (2014) aimed at local governments, educational institutions, institutional partners, and organisations focused on building climate change capacity.

The guide covers what LGUs should do, from scenario planning, local data collection, and integration analysis with other local plans to essential considerations in the planning process to deal with climate change. In addition, the guide provides insights into the Philippines' commitments to climate change under the Paris Agreement, thus guiding LGUs to design interventions that align with the agreement. With this guide, LGUs are expected to undertake well-informed planning and decision-making and assess climate change and disaster risks in their areas more effectively[24].

[21] NICCDIES | Climate Actions
[22] Climate Governance Series - The Philippines - Oct 2019 (climateactiontracker.org)
[23] Executive Orders no. 43 and no. 24 on the Cabinet Cluster on Climate Change Adaptation and Mitigation - Climate Change Laws of the World (climate-laws.org)
[24] https://lga.gov.ph/uploads/publication/attachments/1590498028.pdf

Coordination Mechanism between State and Non-Governmental Actors

In the Philippines, the NDC was formulated through an inclusive approach involving the government and the wider community. The NDCs emphasise the vital role of various stakeholders, including women, youth, those with diverse sexual orientations and gender identities, people with disabilities, indigenous peoples, seniors, residents, NGOs, faith groups, and the business sector. Local governments are recognised for their critical role in implementing climate strategies. NDCs also serve as indicators to encourage domestic and international investment in green initiatives. The NDC identifies the private sector as essential in the country's economic evolution and actively invites its participation in addressing climate change.

Regarding national coordination, the Philippines has two central bodies overseeing climate action: The CCC and the Inter-Agency Committee on Climate Change (IACCC). While the President officially chairs the CCC, the Secretary of Finance is interim chair. The CCC has an advisory panel that includes one seat for a non-government organisation and regularly engages with NGOs for consultations[25].

The Philippines mobilised executive and policy-making government branches to identify priority sectors for its Partnership Plan and align its NDC with the national development agenda. Government representatives from the agriculture, waste and industry, transport, forest, and energy sectors discussed the Partnership Plan to define a range of priority mitigation and adaptation actions, including:

a. Delivering capacity building for mitigation and adaptation technologies and approaches
b. Establishing funding mechanisms to support the roll-out and up-take of technologies, tools, and practices
c. Strengthening data for decision-making through feasibility studies, vulnerability analyses, sectoral impact models, building sectoral GHG inventories and identifying sector-specific emissions factors, strengthening national climate change statistics, market analysis, and barrier analysis
d. Developing genetically improved climate-resilient varieties of crops, breeds of livestock, and strains of aquaculture species
e. Producing operational guidelines, such as REDD+ implementation and establishing a domestic carbon market.

Sectoral representatives from the Department of Environment and Natural Resources, Department of Transportation, and Department of Energy outlined initial mitigation options to be considered in the NDC in a presentation before the House Committee on Climate Change. The House Committee is a national committee that has jurisdiction over policies and programmes to mitigate the impacts of climate change. At the same time, the NDC Technical Working Group (TWG) ensured that the House Committee on Climate Change was kept abreast of the NDC formulation process and progress. Meanwhile, the Climate Change Commission, the principal policy-making body tasked with mainstreaming climate change across government plans, will present the progress of Indonesia's NDC formulation to the Cabinet Group on Climate Change Adaptation and Mitigation and Disaster Risk Reduction (CCAM-DRR), which brings together agencies from across government departments.

The National Economic Development Authority (NEDA), the country's premier socioeconomic planning body, recognises the critical role of climate change in informing the national development agenda. Through the NDC Partnership, the NEDA and the CCC secured funding for economic modelling vis-à-vis emissions scenario-building to inform and align the NDC with the overarching planning and policy frameworks (e.g., the Philippine Development Plan and AmBisyon Natin 2040). Converting with the CCC and the NDC TWG Members, the NEDA conducted a study on economy-wide emission projections facilitated by the NDC Partnership. The sectoral agencies used the result of this study to project NDC mitigation options and emission avoidance potential[26].

[25] ndcs_we_want_checklist___the_philippines.pdf (panda.org)
[26] Partnership_in_Action_2020-(PDF_print_version).pdf (ndcpartnership.org)

The Results of CEEECG in Philippines

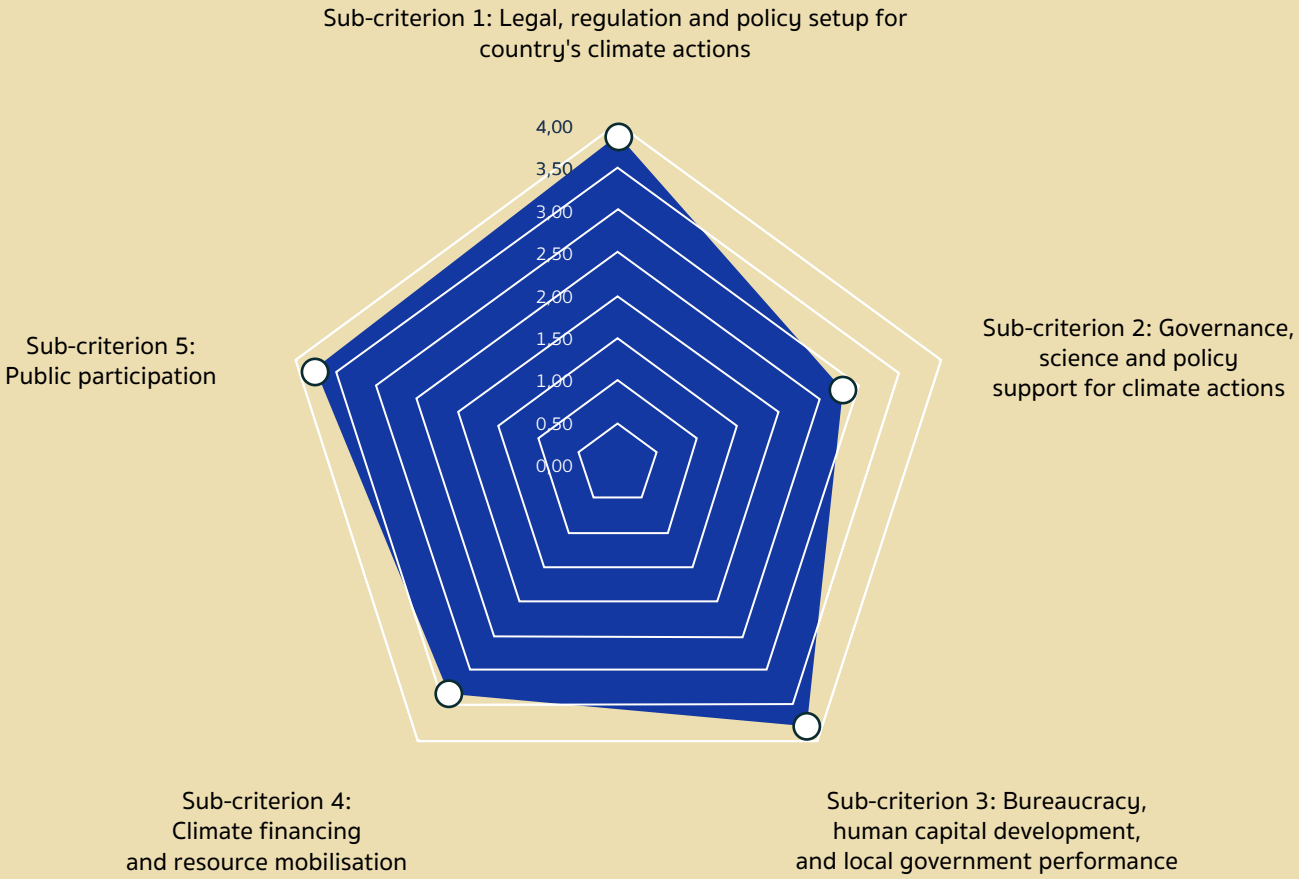
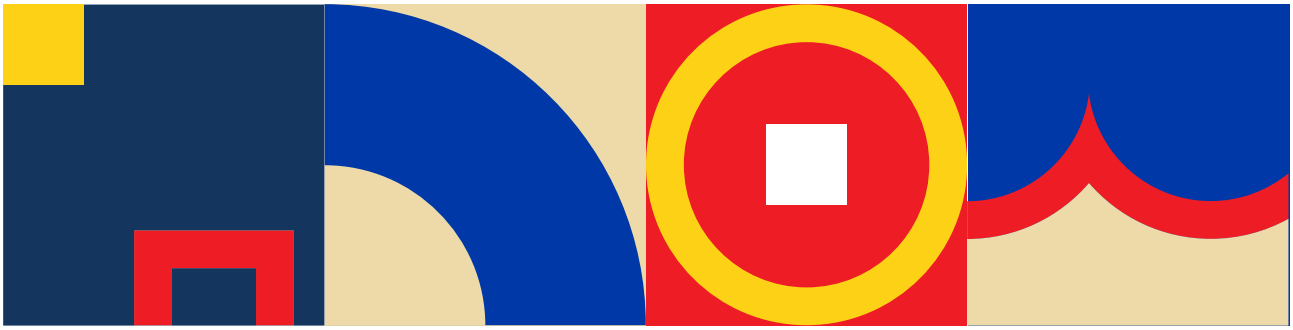


Figure 19. CEEECG Score of Philippines by Sub-criteria

Figure 19 Shows the Philippines' initial CEE-ECG ranking based on each sub-criterion. The radar chart has five radii, each representing a different sub-criterion. The length of the spokes represents the score for each sub-criterion. The longer the spokes, the higher the score. The overall score for the Philippines is represented by the average scores for the five sub-criteria. Based on the radar chart, the Philippines' overall score is 3.46 out of 4, with a very high score for sub-criterion 1 of 3.83, which relates to the legal, regulatory, and policy framework for the country's climate action. Sub-criterion 2, which covers bureaucracy, human resource development, and local government performance, scored 2.75, making it the weakness of the Philippines in CEEECG.



Sub-criterion 1: Legal, regulation and policy setup for country's climate actions

The Philippines has made significant progress in meeting various indicators related to climate action and international agreements (**Indicator 1.1**). The country ratified the Paris Agreement by making a declaration concerning the agreement on March 6, 2017. Additionally, they have integrated the Sendai Framework into Republic Act No. 10121 to strengthen the Philippines' disaster risk reduction and management system. Furthermore, the Philippines ratified the CBD through Republic Act No. 9147, which governs the conservation and protection of wildlife resources and their habitats.

Regarding climate change documents (**Indicator 1.2**), the Philippines submitted its NDC) to the UNFCCC on April 15, 2021. They have developed a national framework that explicitly emphasises the importance of the role of city or regional governments in climate action. This is detailed in the document "National Framework Strategy on Climate Change 2010-2022." The Philippines also developed a national climate action plan for 2011-2018, highlighting the critical role of local governments. To support local governments in climate action, the national government have released some guidelines for LGUs on developing Local Climate Change Action Plans. The Philippines has also developed NAMAs and an NAP.

The country has prioritised climate change in its national planning (**Indicator 1.3**). The Philippines Development Plan 2017-2023 acknowledges climate change as a strategic issue and underscores the importance of the role of local governments in climate action. Although they have taken steps to monitor and evaluate climate action at the national level (**Indicator 1.4**), more robust evidence is still needed for monitoring and assessing activities at the local level. Concerning disaster risk reduction (**Indicator 1.5**), the Philippines has fulfilled this indicator by designing a comprehensive National Disaster Risk Reduction and Management Plan (NDRRMP) for 2011-2028, recognising the challenges posed by global climate change and emphasising the role of local governments .

Regarding biodiversity-related indicators (Indicator 1.6), the Philippines has met the requirements by providing a National Biodiversity Strategy and Action Plan (NBSAP) for 2015-2028. Their third National Report on Implementing the Convention on Biological Diversity highlights the relationship between biodiversity and climate change. It emphasises the role of local governments in integrating biodiversity into regional planning.

Sub-criterion 2: Governance, science and policy support for climate actions

The Philippines partially complies with **Indicators 2.1 and 2.2** concerning climate action reporting. The country has a monitoring and evaluation report for its National Climate Change Action Plan for 2011-2016. The country's National Framework Strategy for Climate Change 2010-2022 also outlines the mechanisms for reporting climate action achievements. Although the Philippines has initiatives to support national climate change risk assessments through the Philippines Climate Change Assessment, more information is needed to suggest that local governments are involved in these risk assessments.

Regarding digitising climate change information (**Indicators 2.3-2.6**), the Philippines has a nationalised database for climate change information, including local data. However, there are no indications that the country has developed its digital reporting system for the national government or ministries, a national mechanism for a centralised and locally digitised climate change database, and the capability to disseminate digitised climate-related data at the city level for the implementation of NDCs and NAPs. Additionally, the Philippines performs well in **Indicators 2.7-2.9** concerning research centres, primarily through the CCC. The government's sole policy-making body is mandated to coordinate, monitor, and evaluate the country's programmes and action plans related to climate change.

Concerning policies that support climate action (**Indicators 2.10-2.13**), the CCC is both a policy authority and a science-based institution. The CCC is supported by two bodies: The Climate Change Advisory Council, composed of key government agencies and sectoral representatives, and the National Technical Expert Panel, composed of leading climate scientists in the Philippines and lead authors of IPCC reports. Therefore, the national strategy for climate change in the Philippines involves various departments and agencies and engages stakeholders from different academic, economic, and social levels. However, the Philippines indicated that local governments need a legal basis to establish a multi-stakeholder mechanism to use scientific measures in preparing climate, DRR, and biodiversity action planning documents. The Philippines also indicated that it lacks an incentive mechanism to enhance market mechanisms for local governments to access businesses that can provide services for climate action.

Sub-criterion 3: Bureaucracy, human capital development, and local government performance

The Philippines has a specialised government body designated to address climate change (**Indicators 3.1-3.3**), the Climate Change Commission. The Climate Change Commission (CCC) operates under the Office of the President. It is the sole government policy-making body responsible for coordinating, monitoring, and evaluating government programmes and action plans related to climate change, as mandated by Act 10174. The agency is tasked to assist provincial and local governments in the Philippines. Thus, no national law allows local governments to establish other specialised agencies to plan and implement climate actions.

At the national level, the Philippines hosts a multi-stakeholder network on climate action (**Indicators 3.4-3.5**), known as the League of Cities in the Philippines (LCP). The LCP aims to foster collaboration, unity, and cooperation among cities in the Philippines to address challenges posed by development, urban growth, climate change, and other issues. Supported by the government, the LCP was institutionalised through the Local Government Code enacted in 1991 and registered with the Securities and Exchange Commission (SEC) on July 8, 1993. Despite the existence of a stakeholder network for climate action, there is yet to be a comprehensive framework that can be implemented to support Local Governments in mobilising citizens for climate initiatives.

Regarding bureaucracy (**Indicators 3.6-3.8**), the National Framework Strategy on Climate Change 2010-2022 outlines mechanisms for institutional strengthening in climate action and resilience under section 10.1. These institutional strengthening mechanisms are also available for local governance structures. Nevertheless, specifics regarding vertical or horizontal integration within the bureaucracy have not yet been indicated. On the other hand, the Philippines has fully implemented electronic governance and e-government integration for climate action, based on House Bill No. 7327.

Sub-criterion 4: Climate financing and resource mobilisation

The allocation of the Philippines' national budget for climate action (**Indicator 4.1**) is stipulated in Law No 10174 of 2012. This Law establishes the People's Survival Fund (PSF) to address climate change issues. National funding mechanisms in the Philippines for local government initiatives aimed at addressing climate action (**Indicator 4.2**) are implicitly channelled through the People's Survival Fund, which is designed to provide long-term funding for local government units and local/community organisations aiming to enhance community and ecosystem resilience to climate change. At the national level, the Philippines has established mechanisms for private funding of climate initiatives (**Indicator 4.3**). However, there has yet to be an indication that the Philippines has implemented security mechanisms and incentives to manage climate funding risks at the local level (**Indicator 4.4**).

The CCC is responsible for developing policies and coordinating, monitoring, and evaluating programs related to climate change. This task is mandated under RA 9729, which requires formulating national and local climate change action plans. According to Section 14 of the law, LGUs are frontline agencies responsible for creating and implementing climate change action plans in their respective areas. These plans should be consistent with the provisions of the Local Government Code, the Framework, and the National Climate Change Action Plan (**Indicator 4.5**).

The passage of Republic Act No. 10174 in 2012, amending Republic Act No. 9729, which created the People's Survival Fund (PSF), offers LGUs a dedicated source for financing adaptation programs and projects. Two separate Joint Memorandum Circular (JMC) were issued by the Department of Budget and Management (DBM), Climate Change Commission (CCC) and Department of Interior and Local Government (DILG) for the implementation of Climate Change Expenditure Tagging at the national and local level (**Indicators 4.6 and 4.8**). The initiative aims to track, monitor and report climate change programs, activities and projects. This is to support the assessment of the status of the country's response to climate change and to guide improvements in its effectiveness. In 2015, both JMCs were amended to enhance the process and institutionalise the functions of the help desk. No dedicated research fund was allocated for climate-related issues (**Indicators 4.7**). However, as documented in the National Government's Annual Report, a precise accountability mechanism for LGUs to report resource utilisation and contributions (**Indicator 4.9**) for initiatives like NDCs and NAPs must be established.

Moreover, the Philippines has authorised local governments to initiate various fiscal measures for climate action (**Indicator 4.10**), which can be elaborated in the Local Climate Change Action Plan (LCCAP). The LCCAP focuses on climate change adaptation and mitigation and outlines how local governments plan to respond to the impacts of climate change and mainstream it into local development plans (e.g., land-use plans, sectoral development plans, investment programmes). The Philippines has also implemented budget labelling to track specific climate revenue or expenditures, as indicated by the issuance of Joint Memorandum Circular (JMC) No. 2013-01, which provides guidelines for tagging/tracing government expenditures for climate change within the national budget process, issued by the DBM and CC.

Sub-criterion 5: Public participation

Currently, the Philippines has no national regulations or mechanisms recognising the importance of public participation in climate action governance, making it unclear whether local governments are required to integrate public participation into regional climate action regulations (**Indicator 5.1**). In Republic Act No. 10174 concerning the People's Survival Fund, the country acknowledges the significance of a gender perspective in climate action. It mandates local governments to integrate gender perspectives into climate actions (**Indicator 5.2**). The Philippines also has national legislation recognising the importance of vulnerable communities in climate action, governed by Republic Act No. 10121, regarding enhancing disaster risk reduction and management systems. This law mandates the development and strengthening of vulnerable and marginalised groups to face disasters (**Indicator 5.3**), but unfortunately, it does not specify the role of local governments in this regard.

Regarding climate education and public awareness, the Philippines has long responded to calls for climate change education in line with Republic Act No. 9729 or the Climate Change Act 2009. The Enhanced Basic Education Act of 2013, also known as the K-12 Act, reinforces the curriculum integration of core concepts of climate change across all grade levels (elementary to high school) (**Indicator 5.4**). The Philippines also maintains a National Integrated Climate Change Database and Information Exchange System that features publicly accessible maps on climate adaptation and disaster risks (**Indicator 5.5**). However, current indications are that the systems are not integrated and that no incentives are available for local governments to maintain the database.

Key Findings

- Coordination Gaps: While national policies are strong, local governments struggle with the coordination and integration of climate actions. There is no comprehensive framework for local governments to mobilize citizens and stakeholders for climate initiatives.
- **Insufficient Climate Financing:** Although the People's Survival Fund provides long-term funding for local adaptation projects, mechanisms to mitigate climate financing risks at the local level are underdeveloped.
- **Public Participation and Digital Infrastructure:** Public engagement in climate governance is recognized but remains limited at the local level. Additionally, digitized climate data systems and public access to climate information are not fully integrated, hampering effective local implementation and monitoring.

9

City Enabling Environment for Environmental and Climate Governance in Thailand

Environmental and Climate Change Governance in Thailand

Key Messages

- **Good Cross-Sectoral Coordination:** Thailand employs a whole-of-government approach, involving 30 agencies across 19 ministries and 11 non-ministerial agencies. Climate Change Coordinator Officers (CCCOs) facilitate coordination across ministries.
- **Private Sector Engagement:** The private sector plays a key role, with companies like the Charoen Pokphand Group and Siam Cement Public Company committing to net-zero emissions and being actively involved in climate committees.
- **Public Participation and Scientific Input:** Civil society and academic institutions, such as Thammasat and Chulalongkorn Universities, contribute to policy development, while grassroots efforts focus on community engagement and climate justice.

Political Structure and Organisation

Thailand has established a cross-scale institutional framework as an integral part of its climate change governance to address climate change at national and sub-national levels. Thailand has adopted a comprehensive, whole-of-government approach, recognising that responsibility for climate action extends beyond just one or two ministries. Instead, it requires coordinated efforts from all ministries. The Office of Natural Resources and Environmental Policy and Planning (ONEP), currently under the Ministry of Natural Resources and Environment (MONRE), was designated as Thailand's National Focal Point (NFP) for the UNFCCC in the late 1990s. The ONEP coordinates various aspects of Thailand's climate change initiatives.

In 2007, the National Climate Change Committee (NCCC) was established as the apex of this institutional arrangement. It was created to fulfil Thailand's commitments under the UNFCCC and define national climate policies, mechanisms for implementation, and international collaboration. The NCCC, chaired by the Prime Minister, includes members from public and private sectors and experts from relevant agencies. It is currently organised into five sub-committees. In the same year (2007), Thailand also established the Thailand Greenhouse Gas Management Organisation (TGO) as an autonomous public organisation. Initially serving as a Designated National Authority (DNA) for the Clean Development Mechanism (CDM) in Thailand, the TGO later expanded its mission and mandate to support Thailand's GHG management aligned with evolving international climate change regulations.

The Climate Change Coordinator Officers (CCCOs) were introduced in 2009. They are senior officers responsible for facilitating communication and coordination of climate-related efforts between their respective agencies and the NCCC. 30 agencies under 19 ministries and 11 non-ministerial governmental agencies have designated CCCOs, providing comprehensive coverage across government agencies and a national-level platform for coordinating climate-related activities. Various appointed entities and bodies have also been established to facilitate and implement specific issues under the UNFCCC, Kyoto Protocol (KP), and Paris Agreement. For instance, the Department of Environmental Quality Promotion (DEQP) under the MONRE was appointed as a national focal point for Action for Climate Empowerment (ACE) in 2014, aiming to systematically coordinate, foster, and enhance ACE activities related to education, training, and public awareness. Moreover, the ONEP was appointed the National Designated Authority (NDA) for the Green Climate Fund (GCF) in 2017. It serves as the main point of contact between Thailand and the GCF, providing broad strategic oversight of GCF activities in the country.

Vertical coordination, extending from central agencies to provincial and local organisations, typically occurs through established mechanisms and channels within line ministries, departments, and regional and provincial offices of the MONRE, such as the Regional Environment Office and the Provincial Office of Natural Resource and Environment. Lastly, more recently, there has been a resolution to establish the Department of Climate Change and Environment under the MONRE. This new institutional arrangement aims to manage climate actions effectively in alignment with the Prime Minister's commitments made during COP26, ensuring the achievement of national climate targets.[27]

[27] Limsakul, Atsamon and Paengkaew, Wutthichai and Srethasirote, Buntoon and Suphaphong, Theerada. (2023). Thailand's climate change governance from the polycentric and zero emissions society perspective.

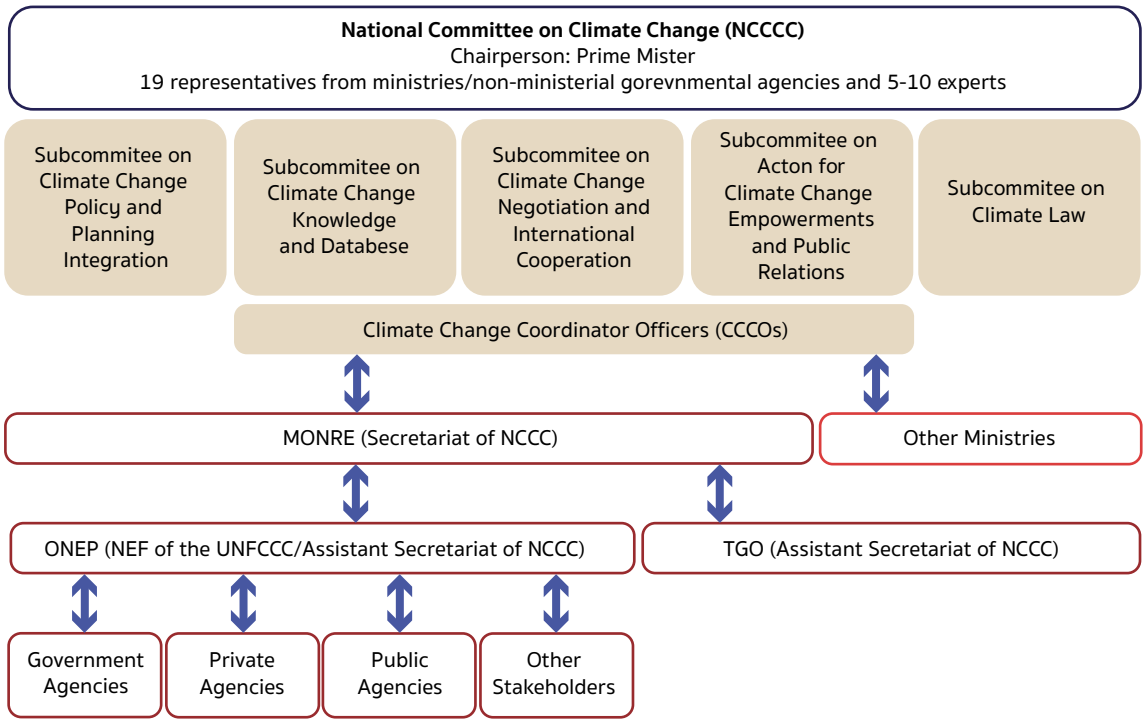


Figure 20 of the NCCC and its sub-committees and linkages with relevant agencies and stakeholders (Limsakul et al., 2023)

As a key step in combating the climate change crisis, the Thai government has recently established the Department of Climate Change and Environment (CCE) within the Ministry of Natural Resources and Environment. This central government agency focuses on the country's climate change efforts. Establishing the CCE and introducing several other upcoming climate-related regulations and initiatives emphasise Thailand's commitment to achieving its carbon neutrality goal by 2050 and net zero greenhouse gas emissions by 2065. In the mid-term, we are committed to elevating our ambition by raising the GHG reduction target from 20-25% to 30-40% by 2030. The CCE is tasked with supervising Thailand's missions and operations related to climate change while also coordinating with public and private agencies on climate change issues. Additionally, the CCE will assess the country's climate change risks and produce guidelines in line with Thailand's commitment to international protocols.

Local Government and Decentralisation System

The national constitution defines Local Government in Thailand. The general category includes three entities: provincial administrative organisations (PAOs), municipalities (Thedsaban), and Tambon administrative organisations (TAOs). On the other hand, the specific category encompasses the Bangkok Metropolitan Administration (BMA) and the city of Pattaya. Thailand's local governance system is a dual system comprising local administration (deconcentrated) and local autonomous self-government (decentralised). At the local administration level, the municipality and TAO are directly responsible for the local environment. The PAO supports the TAO and municipalities when their tasks overlap. However, scholars have argued that LGs in Thailand are still highly centralised in authority but decentralised in function by devolving powers to local authorities.[28]

The local officials have the power to prohibit anyone from causing a nuisance in a public place, way, or private place and to abate nuisance'. This authority includes overseeing, improving, and maintaining roads, land routes, waterways, drainage, trenches, canals, and other places within their jurisdiction to ensure they are nuisance-free. In this regard, the local official has the power to issue written orders to abate, eliminate, and control nuisances. If polluting entrepreneurs do not follow the instructions of the LGs, they will be fined and/or sentenced to prison. The LGs are authorised to control harmful businesses. These businesses must ask for legal permission and certification before they can continue their business and need to ask for an extension of this permit every year. This process allows the LGs to monitor the companies and their environmental

[28] K. Tevapitak, A.H.J. (Bert) Helmsing, The interaction between local governments and stakeholders in environmental management: The case of water pollution by SMEs in Thailand, Journal of Environmental Management, Volume 247, 2019, Pages 840-848, ISSN 0301-4797, https://doi.org/10.1016/j.jenvman.2019.06.097

Coordination Mechanism between State and Non-Governmental Actors

In Thailand, effective environmental and climate change governance and decision-making processes emphasise active involvement and wide public participation, as outlined by the Office of Natural Resources and Environmental Policy and Planning (ONEP) in 2018. These processes engage various national, sub-national, and local stakeholders, including governmental agencies, the private sector, civil society, and academia. Prominent actors in shaping Thailand's climate change policies, plans, and projects include ONEP, the Department of Environmental Quality Promotion (DEQP), the Thailand Greenhouse Gas Management Organisation (TGO), the Electricity Generating Public Company Limited (EGCO), the Charoen Pokphand Group (CP Group), the Siam Cement Public Company Limited (SCG), the Thai Working Group for Climate Justice (TCJ), Thammasat University, and Chulalongkorn University.

Thailand's private sector has also significantly impacted climate change initiatives. Private sector representatives are part of the National Climate Change Committee (NCCC) and its sub-committees. Many leading Thai corporations have joined the Global Compact Network Thailand (GCNT), a local arm of the UN Global Compact dedicated to sustainable business practices. Several corporations, including CP Group, EGCO, and SCG, have committed to achieving net-zero emissions by the mid-21st century to support global and national efforts toward a low-carbon society. The Stock Exchange of Thailand (SET) also collaborates with partners from various sectors to promote sustainable environmental management aligned with the United Nations Sustainable Development Goals (SDGs). [29]

Civil society contributes to Thailand's climate change governance through grassroots efforts. Networks like the Natural Resource and Environmental Protection Volunteers, associated with MONRE, actively engage in climate change actions at national and community levels. The Thai Working Group for Climate Justice (TCJ), a civil society network established in 2008 by several NGOs, focuses on promoting fair civil society participation in addressing global warming issues, primarily raising public awareness and involvement in climate justice, environmental, and social matters.

Furthermore, experts, researchers, and academics from governmental agencies, research institutes, and universities play a crucial role in generating scientific knowledge related to climate change. They contribute to developing national climate change policies, plans, and reports. Thailand's First and Second Assessment Reports on Climate Change (1st and 2nd TARC), authored by experts and researchers, exemplify the scientific knowledge produced in this context. Experts and researchers from various institutes also provide essential information on greenhouse gas emission pathways and measures needed to advance toward a zero-emissions society, particularly in formulating Thailand's mid-century, long-term low GHG emission development strategy.

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[29] Thailand Business News. (2021). Thailand's Stock Exchange (SET) continues 2nd 561 year of project to tackle global warming. Retrieved from https://www.thailand-businessnews.com/set/82816-thailands-stock-exchange-set-continues-2nd-year-of-care-the-whale-project-with-alliances-to-tackle-global-warming.htmlperspective.

[30] Thai Climate Justice Working Group. (2022). Thai Climate Justice Working Group. Retrieved from http://www.thaiclimatejustice.org/about

[31] United Nations. (2021). Thailand Mid-century, Long-term Low Greenhouse Gas Emission Development Strategy

The Results of CEEECG in Thailand

Figure 21 illustrates Thailand's CEEECG ranking based on the assessment of various sub-criteria. The overall score is determined by averaging the scores across these five sub-criteria. According to the radar chart, Thailand scored 2.94 out of 4 overall. Notably, it scored significantly high in sub-criterion 1 and 2. Sub-criteria 4, which evaluates climate financing and resource mobilisation, scored 2.12, which is the lowest of all the criteria. Sub-criterion 5, which related to public participation, received a score of 2.33.

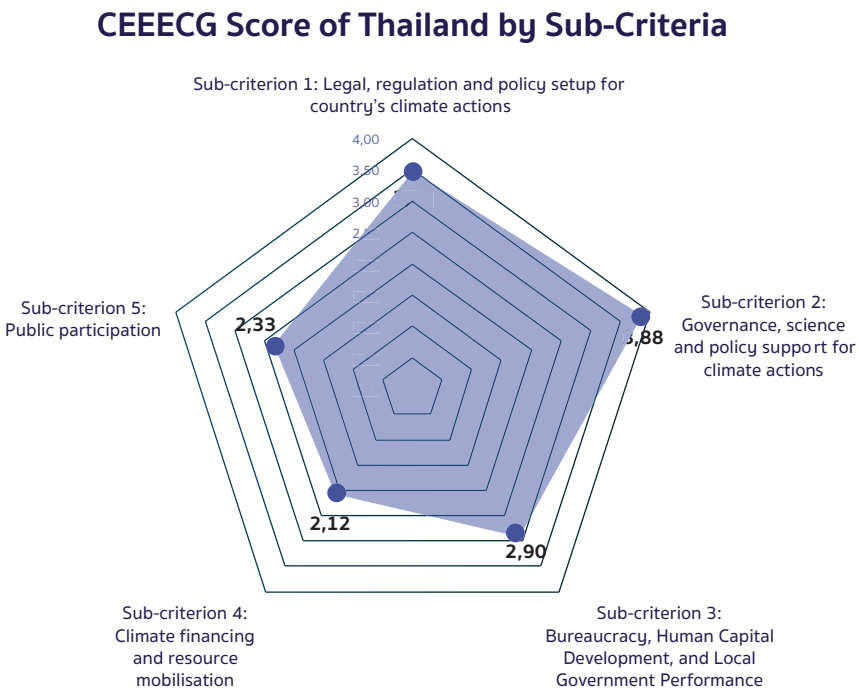

Figure 21 CEEECG Score of Thailand

Sub-criterion 1: Legal, regulation and policy setup for country's climate actions

Thailand has fully met indicator 1.1 as it has ratified international environmental protection and promotion commitments through its Climate Change Act, National Disaster Management Plan 2015 and The Master Plan for Integrated Biodiversity Management (2015-2021). Thailand has developed a Nationally Determined Contributions (NDCs) report, a NAMAs report, a NAP report, and the Climate Change Master Plan 2015-2030, which outlined the importance of city/urban areas and the roles of local governments in climate actions (indicator 1.2). Although the country admitted the presence of national regulation requiring local governments to report their GHG emission, the evidence is still limited. Climate change as a strategic issue, as well as the importance of city/urban areas and the role of local government in climate actions at the national and local levels, have been considered in several national documents (indicator 1.3), including in disaster risk management plan (indicator 1.5) and Master Plan for Integrated Biodiversity Management (indicator 1.6). However, some of the documents are only available in Thai language. In addition, several national planning documents mention Monitoring, Reporting, and Verification (MRV) programmes, such as the Climate Change Master Plan 2015-2050 and the Nationally Determined Contributions (NDC) report. Still, it does not have any national regulation/framework for Monitoring, Reporting, and Verification (MRV) of city-level climate actions (indicator 1.4).

Sub-criterion 2: Governance, science and policy support for climate actions

Thailand has a periodical national-level report on climate action (indicator 2.1) and an initiative/ mechanism to conduct or support a national climate change risk assessment (indicator 2.2). In addition, the country has nationally centralised and digitalised database services on climate change information, a digitalised self-reporting mechanism for national ministries/governments to update their data on the national database, a mechanism to channel digitalised climate-related data at the city level for NDCs and NAPs implementation, as well as a mechanism/ framework for local governments to leverage on digitalisation of climate data, information, and knowledge, for planning purposes (indicator 2.3-2.6). The country also has research centres focusing on climate actions, such as the Office of Natural Resources and Environmental Policy and Planning (ONEP) and the Climate Change Management Coordination Division (CCMC) (indicator 2.7-2.9). Regarding policy support, Thailand has a mechanism for the national and local governments to collaborate with civil society, local businesses, and academics for climate actions indicated in the Climate Change Master Plan 2015-2050 (indicator 2.10-2.13)

Sub-criterion 3: Bureaucracy, human capital development, and local government performance

Thailand has appointed ministry/national agencies responsible for climate actions and assists the provincial and local governments in implementing climate actions (indicators 3.1-3.2). Moreover, the country also has the Local Government Act at the national level that enables local governments to establish a dedicated local agency for planning and implementation of climate actions along with an existing local government network or associations that concern environmental issues (indicator 3.3-3.5). In terms of bureaucracy, this review did not find any evidence of an institutional strengthening mechanism for national governance for climate action and resilience, a mechanism for integrating bureaucracy on climate action, and a national mechanism for e-governance and e-government integration (indicator 3.6-3.8)

Sub-criterion 4: Climate financing and resource mobilisation

Thailand had a national budget allocation for climate actions attached to the national strategy and/or action plan document (indicators 4.1). Currently, there is no budget code specifically for climate action. However, some budgets have been allocated for environmental protection. Those were implied in Part III of Thailand 's Budget in the brief fiscal year 2021. Thus, despite the limitation, there was a funding mechanism for local government initiatives in addressing climate actions attached to the national strategy and/or action plan document (indicators 4.2). The country's national regulation allowed local governments to access/initiate various fiscal measures for climate actions (indicator 4.8).

Sub-criterion 5: Public participation

Thailand has acknowledged the importance of public participation, gender perspective vulnerable communities, and public education in climate action, as indicated in the Climate Change Master Plan and NDC reports (indicators 5.1-5.4). The country also has a national database on climate adaptation/disaster risk map and information accessible to the public, which can be found at http://portal.disaster.go.th/ (indicator 5.5)

Key Learning Messages

- **Limited Local Autonomy:** While local governments have authority over environmental issues, decision-making remains highly centralized, with local governments often dependent on national-level coordination and funding.
- **Insufficient Climate Financing:** Thailand has significant difficulties in accessing climate financing and resource Mobilisation, with no dedicated budget code for climate actions. Although funds for environmental protection exist, mechanisms for local government initiatives are underdeveloped.
- **Need for Strengthened Bureaucratic Integration:** Thailand lacks a comprehensive institutional mechanism for integrating climate action within its bureaucracy, and there is limited evidence of e-governance or e-government integration to enhance coordination and transparency.
- **Public Education and Participation:** Public participation is recognized, but mechanisms for deeper engagement, especially through digital tools and public databases, require further development to support local-level climate actions effectively

10

Conclusions and Recommendations

This report on Evaluating the City Enabling Environment for Environmental and Climate Governance (CEEECG) for China, India, Thailand, Indonesia, and the Philippines provides a broad overview of these countries' preparedness and governance mechanisms in addressing the environmental and climate challenges of cities. These countries have developed a mix of legal frameworks, policies, and institutions to support their local government units (LGUs) in environmental protection, climate change mitigation, and disaster risk reduction (DRR). However, the results show significant capabilities, governance structures, and policy implementation variations. The key findings of the report are outlined below.

1

Legal, Regulatory, and Policy Frameworks: All five countries have established regulatory frameworks that support climate change actions at the national and local levels. These include national action plans and adherence to international agreements such as the Paris Agreement and the Convention on Biological Diversity (CBD). The Philippines leads in this area, achieving the highest score in this criterion, having developed robust policies that ensure the participation of LGUs in climate action through clear legal mandates. Indonesia and India have also demonstrated strong policy commitments, but Indonesia lacks explicit mention of the importance of urban governance in biodiversity protection. Despite being committed to international climate targets, Thailand lacks comprehensive frameworks for reporting greenhouse gas (GHG) emissions at the local level.

2

Governance, Science, and Policy Support: Countries have an apparent disparity regarding governance structures and support mechanisms for local governments in climate action. China, India, and Thailand have developed robust governance frameworks, with central agencies supporting scientific research and policy. However, digitalised systems for reporting climate actions at the local level are either underdeveloped or lacking, especially in Indonesia and the Philippines. Furthermore, there is a lack of dedicated research bodies focused on climate issues in several countries, hindering scientific input into policymaking at the local level.

3

Bureaucracy and Human Capital: China, India, and the Philippines have established specialised agencies dedicated to climate action, with formal mechanisms to assist LGUs. However, coordination between different levels of government remains a challenge, particularly in Thailand and Indonesia. The Philippines demonstrates a good example of a multi-stakeholder approach involving national and local governments, private sector actors, and civil society, but there is room for improvement in fostering stronger local government networks and coordination

1

Climate Financing and Resource Mobilisation: China, India, and the Philippines have developed national funding mechanisms to support climate actions, with clear accountability measures in place for LGUs. The Philippines has a dedicated climate financing fund, the People's Survival Fund, to help local governments adapt to climate change. Thailand lags behind in this area, lacking a national budget code specifically for climate actions, though some allocations for environmental protection exist. Despite having access to international climate finance, Indonesia lacks a well-coordinated framework for distributing funds at the local level.

2

Public Participation: Indonesia and the Philippines score high in public participation, with national regulations mandating the inclusion of vulnerable communities and gender perspectives in climate action. Public education and awareness programs are also prevalent in both countries. On the other hand, China, India, and Thailand need to enhance mechanisms for deeper public engagement and participation, particularly at the local government level

Weaknesses

1. Weak Local Governance and Coordination: While national frameworks are in place, many countries lack effective mechanisms for coordinating between national and local governments, particularly in reporting, monitoring, and verifying local climate actions. For example, Thailand does not have a national regulation for LGUs to report GHG emissions.
2. Inadequate Digital Reporting Systems: The absence of a well-developed digital reporting system for climate action data is a significant weakness in countries like India, Indonesia, and the Philippines. This hampers governments' ability to monitor progress and ensure accountability at the local level.
3. Insufficient Financial Mechanisms for Local Governments: While national strategies exist, there is often a disconnect regarding resource mobilisation at the local level. Thailand, for instance, lacks specific budgetary allocations for climate actions, which limits the ability of local governments to implement climate projects.
4. Limited Public Participation in Climate Decision-Making: While public participation is acknowledged in countries like Thailand and India, mechanisms to engage local communities in meaningful climate governance, especially in integrating vulnerable populations' needs, remain underdeveloped.

Recommendations

The assessment of CEEECG indicators across China, India, Indonesia, the Philippines, and Thailand reveals progress in creating enabling environmental and climate governance environments. However, it also highlights key challenges in governance structures, financing, and public participation. To address these issues, it is crucial to focus on the following:

1. Strengthening Local Governance and Vertical Coordination: Countries should prioritise strengthening the institutional linkages between national and local governments, particularly in enforcing regulations, monitoring climate actions, and reporting mechanisms. China and Thailand, for example, should establish clear regulations for LGUs to report climate actions, including GHG emissions, as part of a coordinated national framework.
2. Investing in Digitalisation for Climate Action Reporting: To ensure transparency and better governance, countries must invest in digital platforms that enable LGUs to report climate actions and outcomes. In particular, India, Indonesia, and the Philippines need to enhance their digital self-reporting mechanisms, allowing real-time data collection and integration into national databases. This will facilitate better monitoring of local contributions to national climate goals.
3. Enhancing Public Participation and Local Capacity Building: Governments should institutionalise public participation in climate governance, ensuring the voices of vulnerable communities and marginalised groups are heard in climate policy formulation. Thailand, India, and China can improve by developing structured mechanisms that engage the public and encourage more robust local-level climate education initiatives.
4. Increasing Financial Support and Resource Allocation to Local Governments: Thailand and Indonesia should prioritise creating dedicated budget codes and funding mechanisms specifically for climate actions at the local level. National governments should also provide more capacity-building programs to help LGUs access international climate finance, ensuring that local projects can be adequately funded and implemented.

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About the Urban-Act Project

The Integrated Urban Climate Action for Low-Carbon and Resilient Cities (Urban-Act) is a regional project funded by the International Climate Initiative (IKI) of the German Federal Ministry for Economic Affairs and Climate Action (BMWK) over the period April 2022 to December 2027. This regional project aims to support the transformation towards low-carbon and resilient urban development in Asia-Pacific while also contributing to countries' Nationally Determined Contributions (NDCs) and the advancement of the Sustainable Development Goals (SDGs). Urban-Act is implemented in China, India, Indonesia, the Philippines, and Thailand. Regional project partners include the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH, the United Nations Economic and Social Commission for Asia and the Pacific (ESCAP), the United Cities and Local Governments Asia-Pacific (UCLG ASPAC), the TU Dortmund and the University of Stuttgart, as well as national consortium partners in each of the 5 partner countries.

At the local level, the project supports cities in developing climate-sensitive urban development plans with underlying budgets. Innovative climate projects are identified, and project preparation and finance access is facilitated. Policy frameworks are further developed at the country level with a focus on technical services, cross-sectoral and multi-level coordination, and incentives for urban climate action. At the Asia-Pacific level, the project partners UNESCAP and United Cities Local Governments Asia Pacific (UCLG-ASPAC) support regional advocacy through intergovernmental and city-to-city dialogue and facilitate knowledge sharing to enable the scaling-up of project results and good practices within the region.

Across these different countries and levels, the Urban-Act has the following four output areas:

1. Improved institutional environment for climate-sensitive urban development
2. Evidence-based and inclusive climate-sensitive spatial and urban planning
3. Project concepts for urban climate action investments identified
4. Enhanced knowledge through regional networking, exchange, and learning

Annex

Interpreting CEE-ECG Results

This part explains how to interpret the result of the CEEECG assessment.

Table 7 Interpreting Sub-Criteria 1 Assessment Result

Sub-Criteria 1 - Legal, Regulation, and Policy	Interpretation
Class 1 (Score 0 – 1)	The country has **not:** • **Ratified** the Paris Agreement through national legislation, OR • **Adopted** Sendai Framework for DRR through a national legislation/regulation/policy equivalent to national strategy, OR • **Ratified** Convention on Biological Diversity through national legislation
Class 2 (Score 1 – 2)	**The country has ratified any of the international documents mentioned in Class 1,** and: **Climate Change:** • **Pledged commitments** through NDCs and/or • **Climate change is among the strategic issues** in national planning documents and/or, • The country's **policy identifies priority LGUs for climate actions** **DRR:** There is **a national strategy or action plan** document on Disaster Risk Reduction and/or, **Biodiversity:** There is **a national strategy or action plan** document on biodiversity (NBSAP) and/or,
Class 3 (Score 2 – 3)	**Class 2 indicators are met,** and: **Climate Change:** There is **an explicit mention of the role of LGUs** in the implementation of legislation/regulation on climate actions, **DRR:** There is **an explicit mention of the role of LGUs** in the implementation of legislation/regulation on DRR, and/or, **Biodiversity:** There is **an explicit mention of the role of LGUs** in implementing NBSAP.
Class 4 (Score 3 – 4)	**Class 2 and 3 indicators are met**, and: **Climate Change:** A regulation and/or law **ensures LGU discretion to make decisions and access to national funding**, **PPP mechanism, or other funding mechanisms** for climate actions, e.g. National Budget documents. **DRR:** A regulation and/or law ensures **LGU discretion to make decisions and national funding, PPP mechanism, or other funding mechanism** for DRR, e.g. National Budget documents. **Biodiversity:** A regulation and/or law ensures **local government access to national funding, PPP mechanism, or other funding mechanism** for Biodiversity, e.g. National Budget documents.

Table 8 Interpreting Sub-Criteria 2 Assessment Result

Sub-Criteria 2 -Governance, science and policy support	Interpretation
Class 1 (Score 0 – 1)	• **No periodical/annual national-level report** on national achievement or the current state of climate action, DRR, and Biodiversity exists. • There is no channel for LGUs to access science and policy support for climate actions, DRR, and biodiversity
Class 2 (Score 1 – 2)	• There is **a periodical/annual national-level report** on the national achievement or the current state of climate action, DRR, and Biodiversity. • OR • An initiative exists to conduct or support **a national climate change risk assessment.**
Class 3 (Score 2 – 3)	• There is a **periodical/annual national-level report** on the national achievement or current state of climate action, DRR, and Biodiversity, with a substantial contribution from local reports. • A national research centre/body focuses on climate action, DRR, and biodiversity research. • There is a **supporting mechanism for LGUs to receive assistance** from universities, civil societies, and other forms of public participation for disaster or climate risk assessment, including expert consultation, monitoring, and evaluation processes
Class 4 (Score 3 – 4)	• There is a legal basis for LGUs to initiate their own periodical/annual **urban-level report** on risk and achievements portraying the current state of climate action, DRR, and Biodiversity. • There is **a national research centre/body and/or legal basis for LGUs to set up their own research body** focusing on climate action, DRR, and biodiversity research. • There is **a legal basis and/or incentives for LGUs to set up multi-stakeholder mechanisms** with university/research bodies/civil society/businesses for receiving and using scientific measures to create climate actions, DRR, and biodiversity policy and planning documents. .

Table 9 Interpreting Sub-Criteria 3 Assessment Result

Sub-Criteria 3 -Bureaucracy, human capital, and LGUs performance	Interpretation
Class 1 (Score 0 – 1)	• **No appointed ministry / national agency** is responsible for climate change, DRM, biodiversity protection, or sustainable management (each).
Class 2 (Score 1 – 2)	• **An appointed ministry/national agency** is responsible for Climate Change, DRM, biodiversity protection and sustainable management (each).
Class 3 (Score 2 – 3)	• There is **an appointed ministry/national agency** responsible for Climate Change, DRM, and biodiversity protection and sustainable management (each) • Relevant ministries/national agencies have **representatives or mechanisms** to assist sub-national governments. • **Local Government Act at the national level (or equivalent) enables LGUs to be equipped with a dedicated agency/body/coordinating agent** that allows for planning and implementing climate actions, DRR, and environmental management.

Sub-Criteria 3 -Bureaucracy, human capital, and LGUs performance	Interpretation
Class 4 (Score 3 – 4)	• **An appointed ministry/national agency** is responsible for climate change, DRM, biodiversity protection, and sustainable management, with the explicit task of assisting LGUs in climate action. • Relevant ministry/national agen**cy has a representative or mechanism to assist** at the sub-national level. • **A periodical national-level forum/meeting** involves local government representatives in the national planning process. • **An existing local government network or associations** (at the national/provincial level or site-specific, such as river-bound areas) are concerned with environmental issues, including DRM, biodiversity, environmental protections, and climate change mitigation. • **The local government networks(s) have endorsement** from the national government

Table 10 Interpreting Sub-Criteria 4 Assessment Result

Sub-Criteria 4 -Financing and resource mobilisation	Interpretation
Class 1 (Score 0 – 1)	• **No national budget** is allocated for CCA and CCM, DRM, biodiversity protection, or sustainable use.
Class 2 (Score 1 – 2)	• There is **national budget allocation** for CCA and CCM, DRM, and biodiversity protection and sustainable use attached to national strategy and/or action plan document, but all funding and resource mobilisation decisions lie with the National Government.
Class 3 (Score 2 – 3)	• **National budget allocation** for CCA and CCM, DRM, and biodiversity protection and sustainable use is attached to a national strategy and/or action plan document. • A national funding mechanism for local government initiatives addressing CCA and CCM, DRM, biodiversity protection, and sustainable use is enshrined in a national document.
Class 4 (Score 3 – 4)	• **National budget allocation** for CCA and CCM, DRM, and biodiversity protection and sustainable use is **attached to a national strategy and/or action plan document.** • **A national funding mechanism for local government initiatives** addressing CCA and CCM, DRM, biodiversity protection, and sustainable use is enshrined in a national document. • **A specific research funding mechanism exists** for advancement in CCA and CCM, DRR, and biodiversity. • A national regulation allows LGUs to **access/initiate various fiscal measures for climate actions***, DRR, and biodiversity. • There is **a clear accountability mechanism for LGUs** to report their resource utilisation and contributions to NDCs, NAPs, and other national reporting. • **The national government provides local governments capacity-building** programmes for LGU staff to conduct climate actions. Notes: (*) the capability to earmark city budget, availability of inter-governmental fiscal transfer, independence to access global financial mechanisms, enablement to issue municipal bonds, setting up public-private partnership mechanism, and other budgetary measures for climate actions.

Table 11 Interpreting Sub-Criteria 5 Assessment Result

Sub-Criteria 5 - Public Participation	Interpretation
Class 1 (Score 0 – 1)	• **Public Participation** - **No national regulation/legislation/mechanism** acknowledges the importance of public participation in climate action governance. • **Gender Lens - No national regulation/legislation/mechanism** acknowledges the importance of gender perspective in climate action. • **Vulnerable Communities - No national regulation/legislation/mechanism** acknowledges the importance of vulnerable communities in climate action. • **Climate education** - There is no national programme/ initiative/ mechanism for climate education to raise public awareness about the impact and actions of climate change.
Class 2 (Score 1 – 2)	• **Public Participation - National regulation/legislation/mechanism** acknowledges the importance of public participation in climate action governance. • **Gender Lens - National regulation/legislation/mechanism** acknowledges the importance of gender perspective in climate action. • **Vulnerable Communities -** National regulation/legislation/mechanism acknowledges the importance of vulnerable communities in climate action. • **Climate education -** There **is a national programme/ initiative/ mechanism** for climate education to raise public awareness about the impact and actions of climate change.
Class 3 (Score 2 – 3)	• **Public Participation - National regulation/legislation/mechanism** acknowledges that local governments must integrate public participation into their climate action regulation/mechanism. • **Gender Lens - National regulation/legislation/mechanism** requiring local governments to integrate the gender perspective in climate action • **Vulnerable Communities** - National regulation/legislation/mechanism requires LGUs to integrate vulnerable communities' perspectives into climate action. • **Climate education** - There **is a national programme/initiative/mechanism** requiring climate education to be integrated as a key initiative for local governments' climate action regulation/mechanism.
Class 3 (Score 3 – 4)	• **Public Participation - National regulation/legislation/mechanism** requires local governments to integrate public participation into their climate action regulation/mechanism. • **Gender Lens** - Local government has **a mechanism to produce periodical climate action reports, and gender approaches** are included as a specific chapter/sub-chapter. • **Vulnerable Communities** - Local government has **a mechanism to produce periodic climate action reports and vulnerable communities' perspectives are** included as a specific chapter/sub-chapter. • **Climate education** - Local governments have **periodical climate education and other types of public awareness programme.**

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