SWOT Analysis (SW)

1. METHOD DESCRIPTION

Objective

Many tools exist to identify Strengths, Weaknesses, Opportunities and Threats (SWOT). References to some such tools and guidebooks are made in the tool: **SWOT Analysis INFORMATION SHEET**, which provides a brief explanation of the SWOT analysis methodology. For the purpose of the climate change mainstreaming process, a short, specially adapted SWOT analysis is introduced in this tool to assist with assessing availability and gaps in human, financial, informational, institutional and other resources among the Core Team, Reference Group and stakeholders on the national government level, to the end of carrying out the mainstreaming process and formulating, implementing and monitoring and evaluating the climate-responsive national level urban policy.

Specifically, this tool aids in gaining an overall picture of the institutional setup in which climate change mainstreaming will take place, as well as the government agencies and other institutional stakeholders that will be involved in the implementation of mainstreamed climate actions. Further, it helps to gain insight into factors that can substantially impact the effectiveness of the mainstreaming process, such as the capacity needs and power relationships of relevant governmental agencies involved, and effectiveness of inter-agency coordination, which will provide the basis for a more detailed Implementation Analysis in Phase B: Formulation. The tool can also serve as a preliminary assessment of institutional capacity for policy formulation, implementation and monitoring and evaluation, helping to identify areas for improvement. It can further serve to analyze a country's national and sub-national policies and other documents vis-a-vis climate responsive urban development to identify entry points and priority needs for mainstreaming, and to see if alignment is needed with relevant international development frameworks.

When to use

This activity supports the following tasks:

Phase/Element	Element I: Substantive Process	Element II: Resources and Capacities	Element III: Policies	Element IV: Institutions and Stakeholders
Phase A: Feasibility and Diagnosis		✓ Assess availability and gaps in needed human, financial, informational, institutional and other resources for undertaking the mainstreaming process; and develop a Financing and Capacity Development Strategy	✓ Identify relevant national, sectoral and sub-national urban-related documents, including stage of National Urban Policy development and sources of financing, and check if climate change has been mainstreamed ✓ Identify relevant national, sectoral and sub-national climate policies, strategies and frameworks that have relevance in urban context, and check if urban-related concerns are sufficiently covered	✓ Map and analyze relevant parts of your country's institutional landscape (government), and identify potential mainstreaming champions

			✓ Find existing mainstreaming efforts of climate change concerns into national, sectoral or sub-national urban policies from other countries, and diagnose if helpful for your context ✓ In the Diagnosis Paper, undertake a comparative analysis of the above-mentioned set of country documents and international frameworks, and identify urban policy document(s) to mainstream climate actions into (WHERE), / or propose using mainstreaming process to drive development of new National Urban Policy	
Phase B: Formulation	✓ Prepare a detailed Formulation Workplan for your Policy Proposal ✓ Undertake Implementation Analysis to understand the policy, legislative and institutional landscape in your country	✓ Undertake capacity development activities of Core Team or Reference Group if needed ✓ Formulate Policy Proposal, including clear indication of what other documents need to be aligned, and estimation for budget needs and other resources to implement the mainstreaming objectives		✓ Involve relevant institutions & key stakeholders in formulation process and Implementation Analysis
Phase C: Implementation	✓ Facilitate the process of having the Policy Proposal sanctioned/ adopted or agreed by the respective oversight / decision-making bodies in line with country-specific requirements ✓ Create detailed Implementation Plan on support/ coordination/ oversight by Core Team & wider Reference Group	✓ Develop capacities of sectoral and sub-national implementing bodies if mandated and needed (including on how to access climate financing), and support institutionalization of capacity building processes where possible	✓ Mandate, encourage or assist local governments to align existing policies and plans, or develop new ones in line with implementation objectives of the newly mainstreamed national-level urban policy/ies ✓ Oversee/ encourage that sectoral ministries/ government agencies are mandated to develop new policies & plans, or retrofit existing ones in line with implementation objectives of the mainstreamed national level urban policy/ies in line with the Implementation Analysis	✓ Facilitate delegation of roles & responsibilities to sectoral & sub-national implementation bodies ✓ Define roles & responsibilities for stakeholders & facilitate institutionalization of coordination processes (e.g. development of standards & procedures for stakeholders) if possible
Phase D: Monitoring and Evaluation				

Spatial Set-up

In a small group setting, print the Information Sheet and Checklist for each member, as well as the Template if desired, and have one participant write or type the answers agreed upon by the group.

Time

5-6 hours to complete the activities above.

Group Size

This tool can be used individually, or with small groups of 4-6 people within your Core Team and/or Reference Group

Materials

- **SWOT Analysis INFORMATION SHEET:** provides a brief explanation of what a SWOT analysis is.
- **SWOT Analysis TEMPLATE:** A series of activities to identify and analyze the institutional landscape and various institutional elements, leading up to a SWOT analysis.
- **Stakeholder Analysis METHOD DESCRIPTION, Stakeholder Analysis CHECKLIST** and **Stakeholder Analysis TEMPLATE:** To assist with the identification of relevant government stakeholders
- Prints of the above and pens or markers, AND/OR
- Computer

Instructions

➤ **Step 1:** Together with your Core Team and/or Reference Group, chart out the existing climate and urban-related government stakeholders on the national and subnational levels, using **Tables SW 3.1. Urban Institutional Stakeholders** and **SW 3.2. Climate Institutional Stakeholders** in the tool: **SWOT Analysis TEMPLATE**.

➤ **Step 2:** Using the guidance provided in the tool: **SWOT Analysis TEMPLATE**, create a map or sketch of the urban- and climate-related institutional structures, using arrows to illustrate institutional elements such as power relationships, administrative and decision-making processes and flows of funding.

➤ **Step 3:** Fill in responses to the questions in **Table SW 3.3. Institutional Capacity Assessment** to assess the capacities of key institutional stakeholders on the national level, and for institutions on the sub-national level if possible. Undertake individual assessments for each of the identified stakeholders.

➤ **Step 4:** Identify and analyze other important institutional elements such as inter-agency coordination, institutionalization of participation and capacity development, and Monitoring and Evaluation processes, using **Table SW 3.4. Analyzing Institutional Elements**.

➤ **Step 5:** Use **Table SW 3.5. Comparative Analysis of Urban- and Climate-related Policies and Legislation** to review the two policy lines and their respective targets in a comparative analysis. Both climate-related urban and urban-related climate targets will be compared in order to identify gaps, and in turn give insight into entry points for climate change mainstreaming into national-level urban-related policies. Urban and

climate-related legislative elements should also be examined to consider whether they adequately support urban climate-compatible development.

- ➢ **Step 6:** Fill in **Table SW 3.6. Climate Actions and Initiatives** to map out the climate-related processes, plans and initiatives of government stakeholders on both the national and subnational levels, and to find opportunities to synergize implementation processes.

- ➢ **Step 7:** Finally, bring all of the factors identified in the above activities together in a SWOT analysis to assess the institutional strengths, weaknesses, opportunities and threats with regards to climate change mainstreaming in your county. Use **Table SW 3.7. SWOT Analysis** and refer to the tool: **SWOT Analysis INFORMATION SHEET** for an explanation of the method.

SWOT Analysis (SW)

2. INFORMATION SHEET

What Is a SWOT Analysis?

The SWOT analysis is a basic, straightforward framework that summarizes the risks and opportunities for any organization, planned undertaking or intervention. There are factors which pertain to the internal environment, which are called Strengths (S) and Weakness (W). The external factors are called Opportunities (O) and Threats (T). The SWOT analysis is typically represented by a four-box model that lists strengths, weaknesses, opportunities, and threats in sequential order (see Step 7 of the **SWOT Analysis TEMPLATE**).

Conducting a SWOT Analysis

The main questions in conducting the SWOT analysis are:

- What are the internal **Strengths** of the institutional framework that support climate change mainstreaming?
- What are the internal **Weaknesses** of the institutional framework that may pose challenges to the mainstreaming process?
- What **Opportunities** exist in our external environment that support climate change mainstreaming?
- What **Threats** to the organization/intervention exist in our external environment may pose challenges to the mainstreaming process?

A SWOT analysis usually begins with examining the internal strengths and weaknesses, and then moves out to the opportunities and threats from external factors. The process and guiding questions introduced in the **SWOT Analysis METHOD DESCRIPTION** and **SWOT Analysis TEMPLATE** will guide you in identifying the strengths, weaknesses, opportunities and threats as they relate to climate change mainstreaming, from a variety of standpoints.

The analysis should not only be formulated on the basis of what exists now, but also considering future trends and developments. It is important to examine threats and opportunities together since they are often associated with each other.

The SWOT analysis provides an opportunity to determine the best approach to minimizing weaknesses and threats, and to improving strengths and maximizing opportunities. In other words, the output of the SWOT analysis can be used to develop strategies – such as an institutional Capacity Development Strategy or a Financing Strategy. Since the SWOT analysis can produce a huge list of factors, it is important to organize and prioritize them.

Adapted from Seecon International Imbh, Sustainable Sanitation and Water Management Toolbox: "SWOT Analysis". Retrieved from https://sswm.info/planning-and-programming/decision-making/situation-and-problem-analysis/swot-analysis

SWOT Analysis (SA)

3. TEMPLATE

Step 1: Institutional Stakeholders

Use the tables below to chart out the relevant climate and urban-related government stakeholders on the national and subnational levels (refer to the tool: **Stakeholder Analysis** tool as needed).

Table SW 3.1. Urban-Related Institutional Stakeholders

Urban-related agencies, institutions and specific organs (e.g. councils, boards)	Roles and responsibilities	Level of influence in decision-making (High / Medium / Low)

Table SW 3.2. Climate-Related Institutional Stakeholders

| Climate-related agencies, institutions and specific organs (e.g. councils, boards)	Roles and responsibilities	Level of influence in decision-making (High / Medium / Low)

Step 2: Institutional Structures and Relationships

A mapping of relevant institutions is important in order to gain a picture of the institutional setup in which climate change mainstreaming will take place, as well as the government agencies and other institutional stakeholders that will be involved in the implementation of mainstreamed climate change actions. Having an understanding of these institutional arrangements can make the assigning of roles and responsibilities more informed and evidence based.

In Box SW 3.1 below, create a map or sketch of the urban- and climate-related institutional structures identified in Step 1 of this TEMPLATE, using arrows to illustrate institutional elements such as power relationships, administrative and decision-making processes and flows of funding. Use the following questions to guide in this mapping exercise:

- What power relationships, or political influence exist between the above-identified national, regional and local government agencies, departments and sectors?
- Are there any "champions" of climate change mainstreaming within the government (i.e. willing individuals, groups of individuals or organizations that are willing to endorse the process by putting political or financial weight and influence behind the mainstreaming process, and actively work to increase political will and convince stakeholders to support the process), and if so, who do they have influence over (and how)?
- What are the flows of administrative procedures, or decision-making processes in relation to implementing the mainstreamed climate change actions?
- How does resource allocation, or flow of funding take place?

Box SW 3.1: Institutional Mapping and Analysis
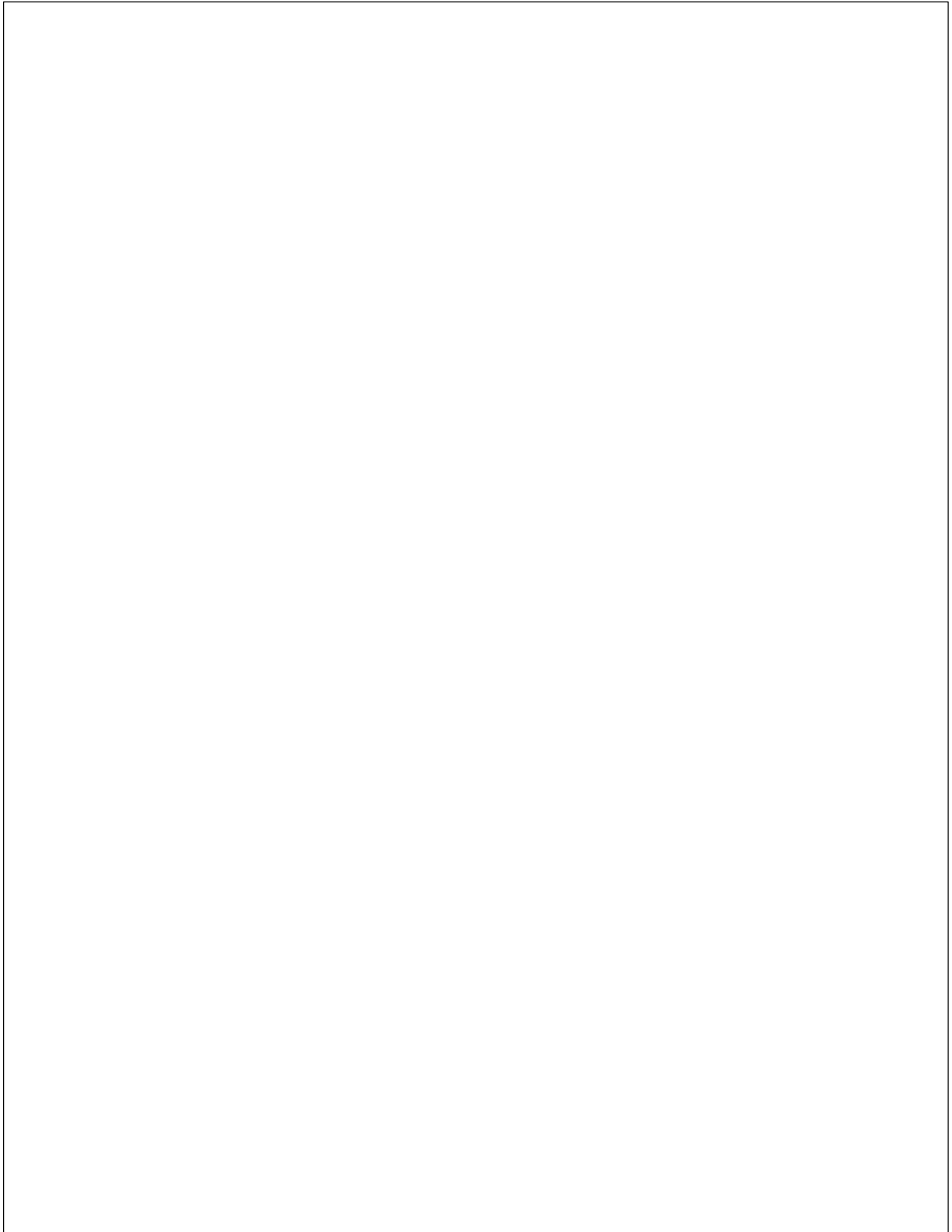
Step 3: Institutional Capacities

In order to have an understanding of whether institutional stakeholders have the necessary capacity to undertake the mainstreaming process, and whether implementing partners have the capacity to implement and monitor and evaluate the selected climate actions, it is necessary to conduct an institutional capacity assessment. Together with your Core Team and/or Reference Group, fill in responses to the questions in the table below to assess the capacities of key institutional stakeholders on the national level, as well as institutions on the sub-national level if possible. Create duplicates of Table SW 3.3 and undertake individual assessments for each of the identified stakeholders.

Table SW 3.3. Institutional Capacity Assessment

Questions	Responses / Comments
What is the institution, and what are its roles and responsibilities in the mainstreaming process?	
What processes are in place for preparing policies and plans?	
What stakeholders are involved in policy and plan preparation?	
What is the process of policy and plan approval and implementation?	

Questions	Responses / Comments
Are there any review mechanisms for policies and plans?	
What are the monitoring mechanisms for plan implementation?	
What are some gaps in institutional capacity (human, financial and technical resources) that might hinder implementation of plans?	
Based on the above factors, what are some of the institutional gaps that could hinder effective development, implementation, and monitoring and review of policies and plans?	

Step 4: Other Institutional Elements

In addition to the institutional arrangements and capacities of relevant governmental agencies analyzed in Steps 1-3, the effectiveness of inter-agency coordination can substantially impact the effectiveness of the mainstreaming process. It is also important to take a look at institutional factors as they relate to monitoring and evaluation, to ensure that processes are transparent and efficient.

Together with your Core Team and Reference Group, answer the questions in the table below to summarize the factors analyzed in Steps 1-3, and to identify and analyze other important institutional elements.

Table SW 3.4. Analyzing Institutional Elements

Questions	Responses / Comments
Based on factors identified in Step 3, what are some institutional elements (capacity needs, power relationships) that could hinder urban climate-compatible development?	
What is the degree and effectiveness of inter-agency coordination? Have coordination processes been institutionalized by assigning coordinating agencies, protocols etc.?	
Has participation and capacity development been institutionalized?	
Are monitoring and evaluation processes transparent? What existing processes (institutional arrangements, protocols, indicators) and data are suitable to monitor and evaluate implementation?	

Step 5: Policies, Strategies, Plans and Legislation

The mapping and inventory of urban and climate change policies, strategies, frameworks and legislation, along with an assessment of their implementation and practices is important in a gaining a broad picture of the current policy situation on the ground.

Together with your Core Team and Reference Group, use the table below to review these two policy lines and their respective targets in a comparative analysis. Both climate-related urban and urban-related climate targets will be compared in order to identify gaps, and in turn give insight into entry points for climate change mainstreaming into national-level urban-related policies. Both urban and climate-related legislative elements will also be examined to consider whether they adequately support urban climate-compatible development.

Table SW 3.5. Comparative Analysis of Urban- and Climate-related Policies and Legislation

Questions	Responses / Comments
What national-level urban-related policies, strategies and frameworks are in place?	
Which of their urban targets (short, medium and long-term) are of interest?	
Is there an existing National Urban Policy, or one currently under development?	
What urban legislation is of relevance?	
What national-level climate change-related policies, strategies and frameworks are in place?	
Which of their climate change targets are of interest?	

Questions	Responses / Comments
What climate-related legislation is of relevance?	
What urban or climate related policies are currently under development? Are there opportunities for harmonizing their processes?	
Are global urban and climate-related targets adequately covered in urban-related policy? What are the gaps?	
Based on all of the above identified factors, what are the climate-related gaps in urban policy?	
Based on all the above identified factors, what national-level urban-related policy should climate change be mainstreamed into? What are some of the specific climate actions that should be mainstreamed?	
What are the gaps in legislation that could hinder urban climate-compatible urban development?	
Are other principles, such as participation and capacity development adequately addressed in urban policy?	
Are there opportunities for simultaneously mainstreaming cross-cutting issues (Gender, Youth, Human Rights, other)?	

STEP 6: Climate Actions and Initiatives

Identifying ongoing or completed climate actions and initiatives to identify climate change issues and collect evidence and data (e.g. climate change vulnerability assessments and action plans), on both the national and local levels, can bring insight to the priority climate change issues that your country is facing. In addition, it is important to identify opportunities to synergize policy solutions with existing initiatives in order to create efficiency in implementation.

Fill in Table SW 3.6 below together with your Core Team and Reference Group, using the guiding questions below:

- What are some initiatives being undertaken on the national and sub-national levels, or within different urban sectors to compile evidence and data pertaining to climate change?
- What are some of the priority climate change issues identified through these initiatives?
- What are some existing plans and initiatives on the national, sub-national and sectoral levels to address the above climate change issues?
- Are there existing inter-agency coordination processes (i.e. vertical, horizontal)?
- What are some protocols, agencies, etc. through which coordination processes can be institutionalized?

This table can also be used to map out processes, plans and initiatives outside of the government (private sector, NGOs, international organizations, civil society organizations or academia).

Table SW 3.6. Climate Actions and Initiatives

Climate Change Issues	Existing plans and initiatives on the national, subnational, and sectoral levels	Opportunities for creating synergies

STEP 7: SWOT Analysis

In Steps 1-6, various institutional factors have been identified and analyzed, including:

- Institutional structures, power relationships and administrative/decision-making processes
- Resource allocations
- Institutional capacities
- Other institutional elements (inter-agency coordination, M&E processes, and institutionalization of participation and capacity development)
- Urban- and climate-related policies, strategies, plans and legislation
- Climate actions and initiatives, and opportunities to synergize processes

Using the tool: **SWOT Analysis INFORMATION SHEET** as a reference to understand the SWOT analysis methodology, use Table SW 3.7. below to assess the institutional strengths, weaknesses, opportunities and threats in your country together with your Core Team and/or Reference Group, based on the above identified factors.

The following questions can be used to guide the identification of external opportunities and threats:

- What are some potential issues (political, legislative, social, economic etc.) that may pose challenges to the process of climate change mainstreaming?
- What drivers (external funding opportunities, climate-related disasters) present opportunities for climate change mainstreaming?
- How is the process of climate change mainstreaming accepted by urban stakeholders?
- What technologies or best practices support potential mainstreaming actions?

Table SW 3.7. SWOT Analysis

	Strengths	Weaknesses
Internal		
	Opportunities	Threats
External		