

UCCRN Second Assessment Report on Climate Change and Cities (ARC3-2) Midterm Authors Workshop

**September 28-30,
The Crystal, London, UK**

Outcome Report

Summary

The UCCRN ARC3-2 Midterm Authors Workshop took place from September 28-30, 2014 at The Crystal in London, and served as the midpoint 'check-in' as the Second Assessment Report on Climate Change and Cities (ARC3-2) heads towards publication in late 2015. Participants included 80 urban climate change experts, stakeholders, and practitioners from over 40 cities in Asia, Australia, Europe, Africa and the Americas. This report serves as a synopsis of the event and the key themes that emerged.

Participants were divided into chapter teams for several breakout sessions during the Workshop, to work on draft versions of their chapters while receiving real-time feedback from UCCRN ARC3-2 Editors. Authors also had the chance to meet with other chapter groups, during a series of energetic and collaborative round-robin discussions, to ensure integration of cross-cutting themes throughout the report. Authors emerged at the end of the Workshop process with significantly improved drafts of their respective chapters.

Chapter Teams at ARC3-2 Midterm Workshop

- Urban Planning and Design
- Mitigation and Adaptation
- Equity and Environmental Justice
- Economics, Finance, and the Private Sector
- Urban Climate Science
- Disasters and Risk
- Urban Energy
- Water, Wastewater, and Sanitation
- Urban Solid Waste

- Housing and Informal Settlements
- Urban Health
- Urban Ecology, Biodiversity, and Ecosystem Services
- Coastal Zones
- Governance & Policy



Goals of the ARC3-2 Midterm Workshop

Specifically, the stated objectives of the ARC3-2 Midterm Workshop were to:

- Provide updates on the status of ARC3-2 chapters and the publication process
- Work in Chapter Breakout Groups and with cross-cutting theme chapter authors to further develop ARC3-2 chapters
- Receive real-time feedback on chapters from the UCCRN Co-Editors and invited Review Editors
- Meet with invited stakeholders on stakeholder engagement strategies
- Re-set and reiterate a timeline for drafts, reviews, and publication
- Discuss the status and strategies for the Case Study Docking Station and Communications & Outreach for ARC3-2
- Continue refining the structure and content of ARC3-2



Key Themes Emerging From the ARC3-2 Workshop

Some of the key themes that emerged during the Workshop were:

- 1) **ARC3-2 can serve as a ‘call to action’ and a policymaking tool.** ARC3-2 has the potential to enable policy-makers to take action. Authors should pay attention to stakeholder information needs in order to ensure that ARC3-2 is an accessible and relevant resource. Co-production of knowledge, through side events at city stakeholder conferences, is an effective way to accomplish this goal.
- 2) **A strategy for communications and outreach is essential.** To ensure that ARC3-2 is an accessible and functional resource for cities, an ad-hoc group of authors is working to address communications and outreach. This strategy is an essential component of stakeholder engagement for ARC3-2.
- 3) **The ARC3-2 Outline was updated to reflect current thinking among authors.** For Instance, changes were made to take into account that Urban Ecosystems fits more closely with Section III, as a system, and Climate Science is more akin to a cross-cutting theme.
- 4) **A shared Risk Framework will bring cohesion and clarity.** The group agreed to adopt a common framework for risk based on the work of the Disasters and Risk Chapter.
- 5) **The Workshop resulted in a reiterated and revised timeline.** A final manuscript will be submitted to Cambridge University Press by the end of May 2015.
- 6) **Progress was made towards solidified plans for an official launch of ARC3-2 and of the first UCCRN Regional Hub in Paris, at COP21.** Discussions on other hub locations are ongoing.
- 7) **Key Messages and Glossary of Definitions were collected from all chapter teams.** Two types of messages emerged, which will be highlighted at the beginning of each chapter.
 - i) **Key Findings:** This includes key scientific findings and other research findings. These will be the specific pieces of information that a well-informed decision-maker needs to know. These messages are descriptive, objective, and evidence-based (and model based). As such, they cannot

be prescriptive. There is no specific number of Key Findings per chapter. Rather, the most salient pieces of information should be selected.

- ii) **Major Messages for City Leaders:** This list includes the most relevant points that will interpret Key Findings for an urban decision-maker. The message should convey what the Key Findings mean, how to apply them, and why they are important and relevant. These messages necessarily reach beyond the Key Findings to figure out how to act accordingly or put the Key Findings into practice. The messages might or might not be prescriptive, but if they are prescriptive they ought to include context and rationale. There is no specific number of such messages per chapter. Rather, the goal is to give city leaders a practical snapshot of the chapter themes.

- 8) **Authors were provided standardized style guidelines to ensure consistency throughout ARC3-2.**
- 9) **The UCCRN Case Study Docking Station (CSDS) will be launched simultaneously with the ARC3-2 report.** During the workshop, authors were asked to upload the case studies of their chapter into the CSDS. There was also a case study “auction”, where authors looked through the first version of CSDS to find additional case study they could use in their chapter. The CSDS will be a web-based, extractable database to inform both research and practice on climate change and cities. It will enable scientifically valid comparisons across a range of social, bio-physical, cultural, economic, and political contexts.

Important Points from ARC3-2 Midterm Workshop Discussions

- “Stakeholder Engagement” primarily refers to the way each chapter works with stakeholders to write their chapter and to gather knowledge. A summary of these methods will be included in the report. A stakeholder is also a broad term that refers to users, key audiences, and co-creators of knowledge.
- UCCRN is a burgeoning network that ought to include private sector and civil society. The Network Diagram was updated to reflect this.
- The “Highlights” listed in the report outline do *not* need to be included in each chapter.
- The question was raised about how “policy prescriptive” the ARC3 Reports should be. The answer was that each chapter *should* include suggestions for policy. A key component of ARC3-2 will be a Summary for City Leaders, drawing from chapter recommendations.
- There was an important discussion about use of “developed” vs. “developing” and “low, medium, high income countries”. ARC3-2 is committed to looking at all types of cities.

- There is an ongoing discussion on how and where to include GHG emissions. Potential options are to include GHGs in the Mitigation & Adaptation Chapter or Energy Chapter.

Timeline and Next Steps

The following timeline will guide the ARC3-2 writing process following the Midterm Workshop.

- **December 1, 2014: Third-Order Drafts due**
- **Third Review:** Co-Editors, Stakeholders, and Institutional Review
- **March 1, 2015: Fourth-Order Drafts due**
- **Fourth Review:** Co-Editors, Stakeholders, and Institutional Review
- **May 1, 2015: Fifth-Order Drafts due**
- **May 2015:** Review and Polishing
- **May 29, 2015: Submission Drafts due; submission to Cambridge University Press**
- **December 2015:** Publication and launch at COP21 in Paris
- **2016:** International launches on all continents.

Updated Outline

Front Matter: Co-Editor Bios, Pull-Out Quotes, Title Page, Table of Contents, Forewords, Preface

Summary for City Decision-Makers

Introduction

Chapter 1 – Urbanization of Climate Change Solutions

Chapter 2 – Disasters and Risk in Cities

Section I: Cross-Cutting Themes

Chapter 3 – Urban Climate Science

Chapter 4 – Mitigation and Adaptation: Barriers, Bridges, and Co-Benefits

Chapter 5 – Economics, Finance, and the Private Sector

Chapter 6 – Equity and Environmental Justice

Section II: Urban Ecosystems and Human Services

Chapter 7 – Ecosystems and Biodiversity

Chapter 8 – Coastal Zones

Chapter 9 – Health

Chapter 10 – Housing and Informal Settlements

Section III: Urban Infrastructure Systems

Chapter 11 – Energy

Chapter 13 – Transportation

Chapter 12 – Water and Sanitation

Chapter 14 – Solid Waste

Section IV: Governance and Urban Futures

Chapter 15 – Planning and Design

Chapter 16 – Governing Carbon and Climate in Cities

Appendix 1 – UCCRN Case Study Docking Station

End Matter: Case Studies and Topics; Acronyms and Abbreviations; UCCRN Steering Group, ARC3-2 Authors, and Reviewers; Index



IPCC Assessment Report and ARC3 Series Sessions

ARC3-2 Midterm Workshop Presenters and Session Topics

Day 1:

Stakeholder Information Needs

Sam Bickersteth, CDKN

Tom Bowman, Bowman Change Inc.

Oswaldo Lucon, São Paulo State Environment Secretariat

Marcus Mayr, UN-Habitat

Day 2:

Nathalie Jean-Baptiste, UFZ-Leipzig

Michael Stevns, Siemens

IPCC Assessment Reports and ARC3 Series

David Satterthwaite, IIED

Shobhakar Dhakal, Asian Institute of Technology

Anthony G. Bigio, George Washington University

Day 3:

DFID and Cities – Current Thinking on Climate and Economic Development

Simon Ratcliffe, DFID



UCCRN ARC3-2 Team at Midterm Workshop

Workshop Agenda

Day 1

- 10:00am-10:05am Opening Remarks**
David Simon, Royal Holloway – Chair of Local Organizing Committee
- 10:05am-10:40am Welcome, Introductions, UCCRN Activities, Progress on ARC3-2, and Workshop Goals**
ARC3-2 Co-Editors: Cynthia Rosenzweig, William Solecki, Shagun Mehrotra, Paty Romero-Lankao, Shobhakar Dhakal
- 10:50am-11:05am ARC3-2 Outline and Chapter Templates**
Shobhakar Dhakal, Asian Institute of Technology
Paty Romero-Lankao, National Center for Atmospheric Research
- 11:05am-12:20pm ARC3-2 Chapter Progress ‘Lightning Round’**
3 slides per team – 1) Status of Chapter and Stakeholder Interactions
2) Key Messages so far
3) Challenges
- 12:40pm-1:30pm Stakeholder Information Needs Panel and Discussion**
Sam Bickersteth, CDKN
Tom Bowman, Bowman Change Inc.
Oswaldo Lucon, São Paulo State Environment Secretariat
Marcus Mayr, UN-Habitat
- Questions:**
a) What information do stakeholders need now, about climate change and cities?
b) How do information needs differ as the implementation phase gets going?
c) How can communication between stakeholders and scientists be improved?
- 1:30pm-1:40pm Nuts and Bolts – Chapter Team Guidelines**
Somayya Ali Ibrahim, UCCRN
- 1:40pm-3:30pm Chapter Working Groups -- Address Reviewer comments and inputs**
What are the main reviewer comments, and how will chapter teams address these?
- 3:50pm-5:00pm Reconvene and Report Back**
William Solecki and Cynthia Rosenzweig

Day 2

- 9:30am-9:45am UFZ Video from Dar es Salaam**
Introduction by Nathalie Jean-Baptiste, UFZ Leipzig
- 9:45am-10:00am Goals for the Day**
ARC3-2 Co-Editors
- 10:00am-10:20am Siemens Talk**
Michael Stevns, Siemens
- 10:20am-10:50am IPCC Assessment Reports and UCCRN ARC3 Reports**
David Satterthwaite, IIED
William Solecki, CUNY Institute for Sustainable Cities, Hunter-CUNY
Shobhakar Dhakal, Asian Institute of Technology
Anthony G. Bigio, George Washington University
- 11:00am-11:30am Case Study Docking Station – Purpose and Progress**
Patrick Driscoll, Aalborg University
William Solecki, CUNY Institute for Sustainable Cities
- 11:30am-1:30pm Chapter Working Groups – Case Studies and Case Study Auction**
- 2:00pm-4:00pm Cross-Cutting Themes Working Groups (Round 1)**
- 4:15pm-5:30pm Reconvene and Report Back**
William Solecki, CUNY Institute for Sustainable Cities
- 7:00pm Joint Stakeholder-Knowledge Provider Reception with MunichRe/Siemens
‘Creating Resilient Cities’ Conference**

Day 3

- 9:30am-9:50am DFID and Cities – Current Thinking on Climate and Economic Development**
Simon Ratcliffe, DFID
- 9:50am-10:15am Chapter Overlaps and Gaps in ARC3-2**
- 10:30am-12:30pm Cross-Cutting Themes Working Groups (Round 2)**
- 1:15pm-2:45pm Working Group Final Presentations**
- 2:45pm-3:15pm Discussion and Feedback from Co-Editors and Steering Group**
- 3:15pm-3:45pm Timeline, Review Process, and Next Steps**
- 3:45pm-4:00pm ARC3-2 Midterm Authors Workshop Wrap-Up**

Context

The UCCRN's first major publication, *Climate Change and Cities: First Assessment Report of the Urban Climate Change Research Network (ARC3)* was published in 2011 by Cambridge University Press. ARC3 was the first-ever global, interdisciplinary, cross-regional, science-based assessment to address climate risks, adaptation, mitigation, and policy mechanisms relevant to cities. The UCCRN Leadership disseminated complimentary copies to developing country scholars and practitioners in Asia, Latin America, and Africa, and at urban climate change conferences and meetings held on these continents. The ARC3 report has been used in graduate-level courses and by urban officials to shape city mitigation and adaptation plans.

Building upon several well-attended and active scoping sessions held at major conferences around the world, and positive feedback from both city decision-makers and researchers, the UCCRN embarked on the process of writing the *Second UCCRN Assessment Report on Climate Change and Cities (ARC3-2)*. The UCCRN hosted the ARC3-2 International Initiating Workshop from September 17-19, 2013 at Columbia University in New York City. With ARC3-2, UCCRN has begun a process for an on-going, sustained global city-focused climate change knowledge assessment and solutions program.

The Second Assessment Report is based on comments and feedback from the existing readership of ARC3, which has sold over 1,650 copies, as well as from city stakeholders. ARC3-2 is focused on new topics crucial to urban decision-makers as they take on the challenges associated with adapting to the already-changing climate and mitigating greenhouse gas emissions, the root cause of climate change. These topics include housing and informal settlements, sanitation, urban ecology and biodiversity, urban finance and the private sector, and coastal zones. Urban sector topics covered in the first ARC3 report (Urban Energy, Water and Wastewater, Urban Transportation Systems, and Human Health) are updated in ARC3-2 to reflect new research findings since 2010. Four cross-cutting themes will be addressed in all of the chapters: Urban Planning and Design; Mitigation and Adaptation: Barriers, Bridges, and Co-Benefits; Equity and Environmental Justice; and Economics, Finance, and Private Sector.