



Global Climate Change Alliance
Support Facility



Module 2

Mainstreaming climate change and strengthening institutions and capacities


Training workshops on
mainstreaming climate change



What is mainstreaming,
and why mainstream climate change?

2


From project-based approaches...



- Project-based adaptation approaches such as those developed in NAPAs are a first step in the right direction:
 - Contribution to national capacity building
 - Involvement of stakeholders at grassroots level
 - Identified projects usually correspond to real priorities and involve wider developmental benefits
- But there are also problems, notably:
 - Poor institutional arrangements for implementation
 - Low capacity for adaptation planning and implementation


Source: World Bank (2010a) WDR 2010

3

... to climate change mainstreaming 


- In the medium and long term, standalone projects are unlikely to meet all adaptation and mitigation requirements in a cost-effective, scalable manner
- There is a strong case for **mainstreaming** climate change into all development planning, both at strategic planning levels and in local development

4

What is mainstreaming? 

- The **mainstream**: the prevailing or dominant course, current, tendency or way of thinking
- **Mainstreaming**: the informed integration of a relevant value, theme or concern into the decisions of institutions that drive national, local and sectoral development policy, rules, plans, investment and action (adapted from Dalal-Clayton & Bass 2009)
- **Institutional strengthening and change** and **capacity building** are at the heart of any mainstreaming effort

5

Objectives of mainstreaming 

- Mainstreaming is a long-term, iterative process aimed at:
 - transforming ideas
 - even more importantly, transforming policies, resource allocations and practices
- in order to:
 - promote desired developmental outcomes (with regard to gender, environment, climate change, governance, human rights, ...)
 - and support integrated solutions to human problems

6

Why mainstream climate change?



- Climate change is a potentially significant threat to ongoing development / poverty reduction efforts
- Pursuing economic growth is necessary but not sufficient to respond to climate-related challenges
- Climate change impacts are complex and require coordination across multiple sectors
- Standalone responses to climate change may distort development priorities and foster maladaptation
- An adequate, strategically designed response can bring significant developmental benefits

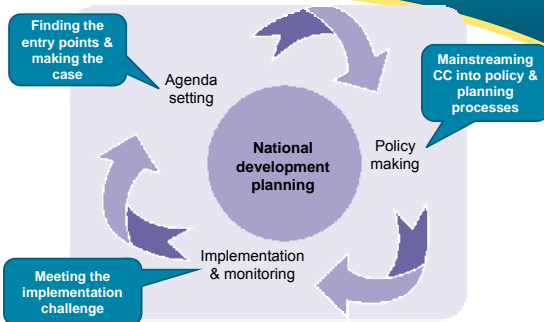
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A framework for mainstreaming climate change

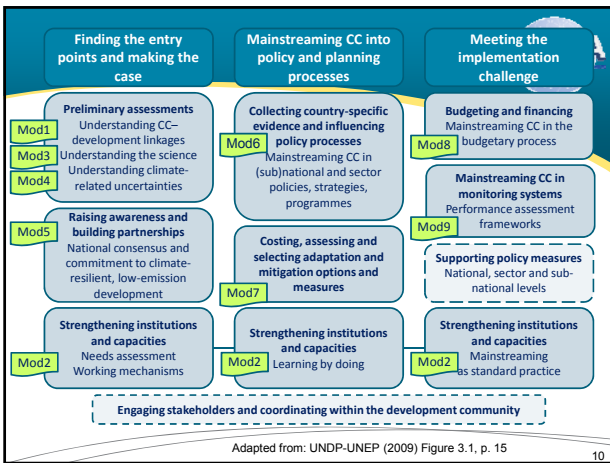


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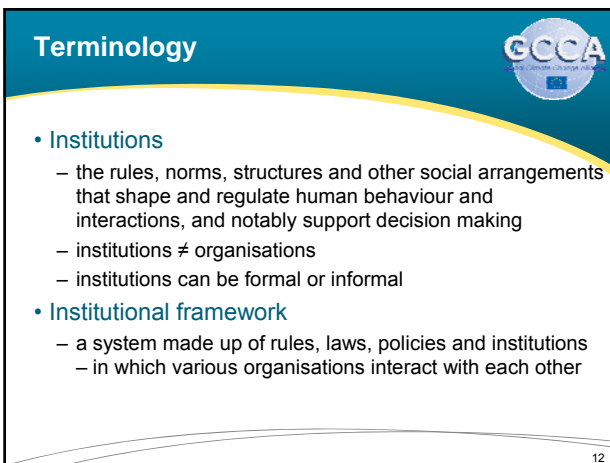
Entry points for mainstreaming in the policy cycle

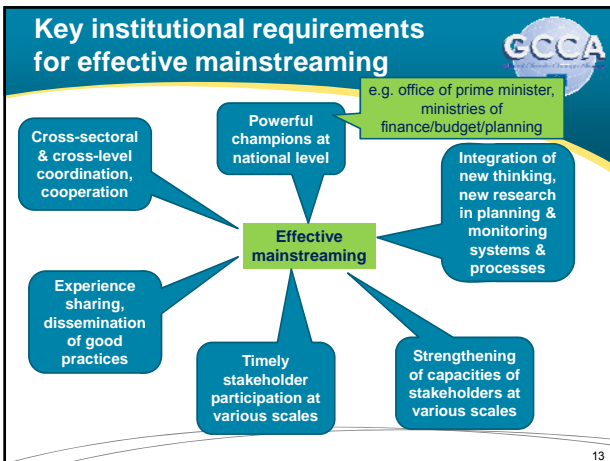


9









Roles & responsibilities of main stakeholders

Stakeholder group	Main roles & responsibilities
Central government (incl. office of prime minister, ministries of finance/budget/planning, ...)	Leadership, performance management frameworks Policies, standards & regulations Allocation of budget resources Guidance & capacity building
Local governments	Implementation of national policies Integration with community strategies
Private sector	Preparation for losses & opportunities, risk mgmt Contribution to sustainable investments & vulnerability reduction through development
Scientific & academic organisations	Policy-oriented research Support for decision making
Investment promotion agencies	Climate-proofing of investments, bridging of development gaps
Poverty reduction organisations	Climate change adequately addressed


Adapted from: Schipper et al (2008)

14

Principles for institutionalising climate change mainstreaming

Source: UNDP-UNEP (2010)

15

Which institutional model? 

- There is no single, 'blueprint' institutional model for effective mainstreaming of climate change
- Each country has to determine the most suitable institutional arrangements based on:
 - current institutional structures
 - a clear diagnosis of their strengths and weaknesses
 - a clear plan for overall governance improvement
- However, there are some agreed principles and examples of good practice

16

Principles for institutional and capacity strengthening (1) 

- Move coordination of climate adaptation/mitigation to a central body with a coordination mandate and decision-making power over line ministries
 - e.g. China: National Development & Reform Commission
 - e.g. Kenya: Office of the President
- Establish or strengthen coordination mechanisms, with a clear allocation of responsibilities and permanent arrangements
 - e.g. Mexico: Inter-Ministerial Commission on Climate Change (CICC) with dedicated working groups


Source: UNDP-UNEP (2010) 17

Principles for institutional and capacity strengthening (2) 

- Build on pre-existing intersectoral coordination mechanisms wherever possible
 - e.g. coordination structures for food security, disaster risk reduction and management, sustainable land management, environmental management
- Institutionalise flexibility
 - e.g. commitment to regular policy/strategy revisions and reassessment of available knowledge
- Institutionalise adaptation/mitigation mainstreaming
 - e.g. in guidelines, procedures, systems, criteria for screening and prioritising programmes and projects

Source: UNDP-UNEP (2010) 18

Principles for institutional and capacity strengthening (3)



- Develop effective national–local coordination mechanisms, identifying the most suitable level at which to cooperate/coordinate
 - e.g. Rwanda: annual performance contracts between various levels of government, with clear definition of goals, indicators and activities
- Strengthen institutions at the sub-national level, matching the transfer of competences with the transfer of resources


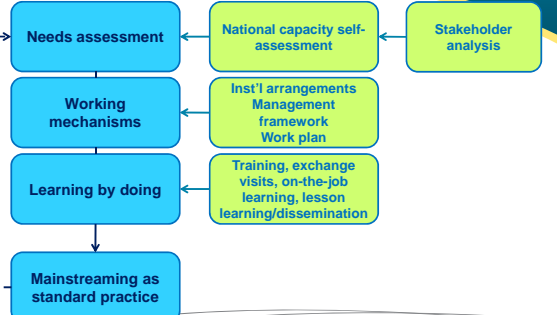
Source: UNDP-UNEP (2010) 19

Tools and actions for supporting institutional and capacity strengthening



20

Steps in institutional and capacity strengthening





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graph TD
    NA[Needs assessment] --> WM[Working mechanisms]
    WM --> LBD[Learning by doing]
    LBD --> MSP[Mainstreaming as standard practice]
    NA -.-> NA
    
    SNA[Stakeholder analysis] --> NCSA[National capacity self-assessment]
    NCSA --> NA
    
    IAWFWP[Inst'l arrangements Management framework Work plan] --> WM
    
    TEL[Training, exchange visits, on-the-job learning, lesson learning/dissemination] --> LBD
  
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Source: UNDP-UNEP (2009) 21

Needs assessment: capacity development for whom, for what?


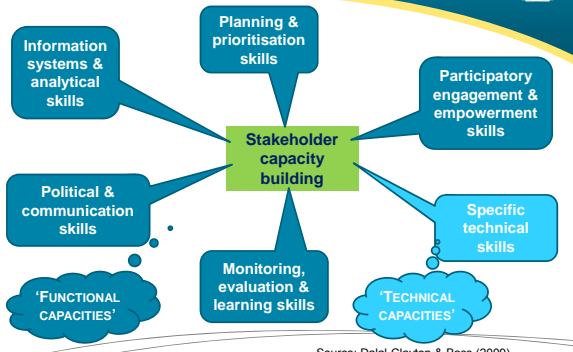


- Capacity development (CD) should take place at three complementary levels:
 - the 'enabling environment' or 'system level' (overall institutional level)
 - the organisation level
 - the individual level

Start by determining: 'Capacity development for what?' -> Define specific objectives


Source: UNDP (2011) 22

Needs assessment: stakeholders' CD needs for mainstreaming


Source: Dalal-Clayton & Bass (2009) 23

Needs assessment: national capacity self-assessments




- Based on existing or *ad hoc* institutional assessments, consider for all relevant organisations:
 - Level of education & awareness of climate change
 - Organisations' mandates & functions with regard to climate-related issues
 - Influence of climate risks on capacity to function
 - Technical, financial, legal/regulatory capacities & information systems in relation to climate-related issues
 - Planning, decision-making, budget allocation & programming mechanisms
 - Collaboration & coordination structures & mechanisms

Source: UNDP-UNEP (2010) 24

Setting up working mechanisms for a mainstreaming initiative 


- Define institutional arrangements (political and technical) (e.g. steering and technical committees)
- Set up a management framework
 - Leadership arrangements
 - Human resources
 - Financial arrangements
 - M&E arrangements
- Develop an operational work plan


Source: UNDP-UNEP (2010) 25

Learning-by-doing: multiple approaches 

- Formal training on mainstreaming and on specific technical aspects
- Exchange visits
- On-the-job learning through national mainstreaming programmes (e.g. GCCA-funded) including:
 - Interdisciplinary teams
 - Twinning between organisations
 - Technical assistance
 - Demonstration projects
- Lesson learning and dissemination

Source: UNDP-UNEP (2009) 26

Illustration: Capacity needs assessment in Malawi 



GOVERNMENT OF MALAWI


Final Report
ON
CAPACITY NEEDS ASSESSMENT
(CNA) FOR CLIMATE CHANGE MANAGEMENT
STRUCTURES IN MALAWI

Submitted to

Ministry of Development, Planning and Cooperation,
P.O. Box 30136, Lilongwe 3, MALAWI.

27


Illustration:
Assessment objectives



- Analyze how government institutions develop/ implement/monitor their CC programmes
- Understand which programmes adequately address CC and sustainable NRM issues
- Analyse existing coordination mechanisms
- Recommend staff incentives and performance assessment to enhance collaboration
- Assess the ability of the MDPC to implement joint programmes and deliver the expected results

28


Illustration:
Methodology



- Semi-structured checklist used for interviews
- Self-administered questionnaire used to collect individual information relating to skills, knowledge, and competences
- Data from the survey captured and analysed using SPSS
- Information from discussions analysed using a 'grounded theory' research approach

29

Illustration:
Some recommendations



- Capacity development:
 - CC coordinating structure (now development-focused) to support research and science
 - Create a 'one-stop service centre' to help various agencies deal with CC issues
- Institutional development:
 - Legal and policy framework needed to guide mainstreaming efforts at national level
 - In the long term, put in place a semi-independent Commission on Climate Change
- Policy development:
 - Review of existing policies and laws -> use findings to strengthen the CC priority area in the MGDS II

30
