

Module 4

Strengthening institutions and capacities

Training workshops on
mainstreaming climate change



MWH

BUILDING A BETTER WORLD

Key topics covered by this module



- Institutional aspects of mainstreaming
- The 'ideal' institutional setup for climate change mainstreaming
- Tools for supporting institutional and capacity strengthening



Institutional aspects of mainstreaming

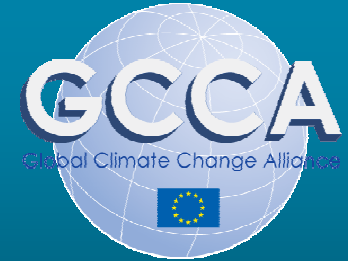
Main source: Dalal-Clayton & Bass (2009)

Terminology



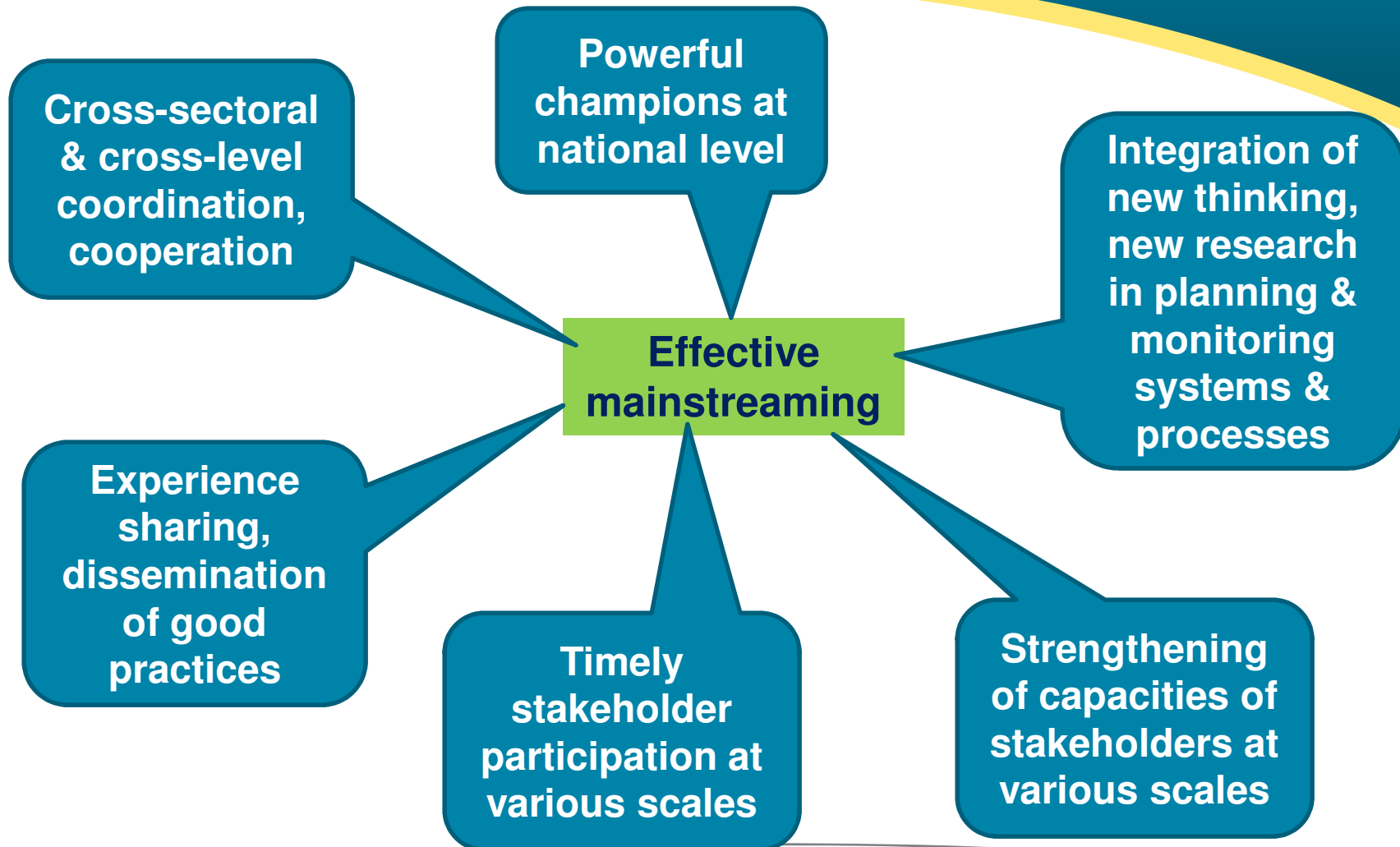
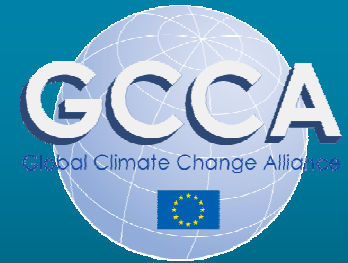
- Institutions
 - the rules, norms, structures and other social arrangements that shape and regulate human behaviour and interactions, and notably support decision making
 - institutions ≠ organisations
 - institutions can be formal or informal
- Institutional framework
 - a system made up of rules, laws, policies and institutions
 - in which various organisations interact with each other

Key constraints to environmental (& climate change) mainstreaming

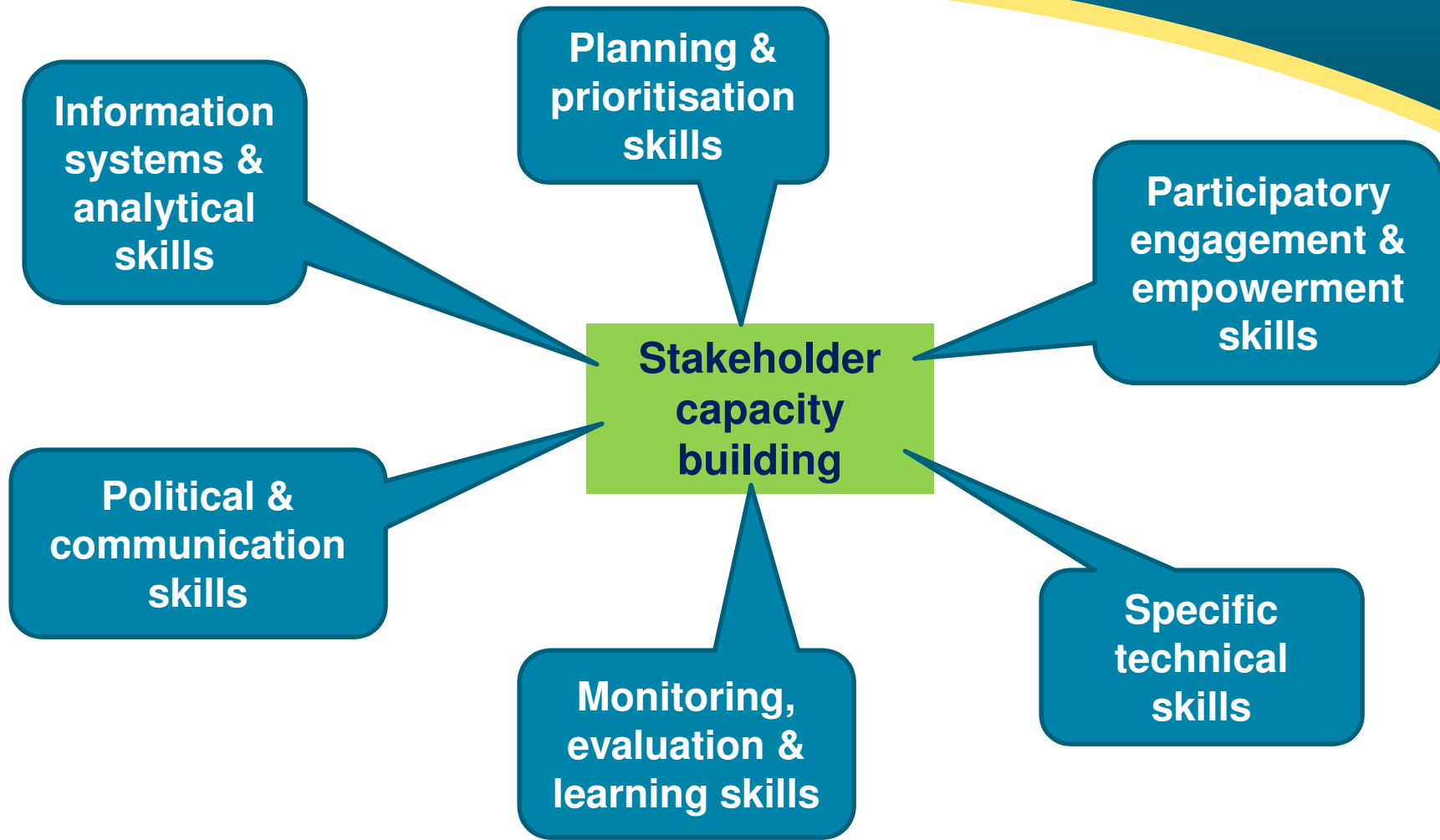


- Lack of political will for change
 - Lack of understanding and awareness
 - Lack of data, institutions, capacities & resources to develop a good understanding of environment & climate–development linkages
 - The prevailing development paradigm
 - Focus on GDP, consideration of environment (and climate) as institutional and economic ‘externalities’
 - Competing needs and priorities
- ⇒ The principal challenge is to improve governance
- ⇒ Long-term societal/institutional change endeavour

Key institutional requirements for effective mainstreaming



Strengthening stakeholder capacities



Roles & responsibilities of main stakeholders



Stakeholder group	Main roles & responsibilities
Central government	Leadership, performance mgnt 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 mgnt 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 dvpt gaps
Poverty reduction organisations	Climate change adequately addressed

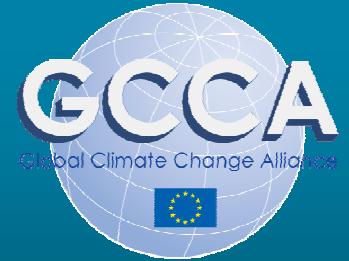
Adapted from: Schipper et al (2008)

Challenges associated with stakeholder participation



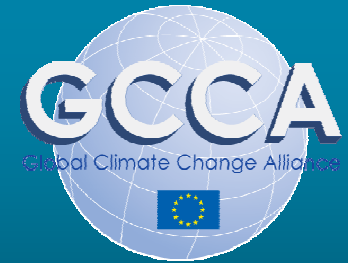
- Different meanings & approaches
 - Continuum from superficial consultation to true participation in planning, decision making, monitoring
- In many countries, lack of experience of stakeholder consultation and engagement
- Time and resource requirements:
 - True stakeholder engagement requires time and financial resources, especially at grassroots level
 - For participation to be meaningful, disadvantaged and other groups may need special trust & capacity building
- Conflicting interests may paralyse processes

Benefits of stakeholder participation



- Better information and insight
 - e.g. about autonomous adaptation strategies, acceptability and feasibility of adaptation & mitigation measures
- Raised awareness and capacity building
- Increased ownership and empowerment
 - Likely to increase the feasibility and effectiveness of selected options and their long-term cost-effectiveness
- More balanced, equitable and consensual solutions
- Increased transparency and accountability

Participatory approach to adaptation mainstreaming: illustration



- Kiribati: mainstreaming of adaptation in the national development strategy (2003)
 - First national consultation: identification of climate hazards, their impacts and proposed coping strategies
 - Second national consultation: rating and classification of adaptation options
 - Based on urgency and level of government assistance required
 - Final prioritisation: results of national consultations included in decision criteria
 - All major inhabited islands involved in consultations

Source: UNDP-UNEP (2010), based on World Bank (2006)



The 'ideal' institutional setup for mainstreaming climate change

Source: UNDP-UNEP (2010)

The 'ideal' institutional setup



- 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

Principles for successful inst'l & capacity strengthening (1)



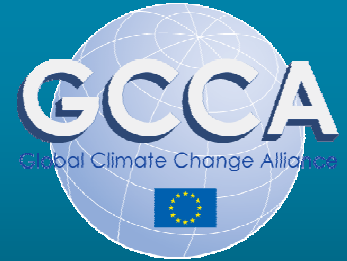
- Move coordination of climate adaptation/mitigation to a central body with a coordination mandate and decision-making power over line ministries
 - e.g. China: National Development and Reform Commission
 - e.g. Kenya: Office of the President
- Establish or strengthen coordination mechanisms, with a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

Principles for successful inst'l & 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

Principles for successful inst'l & 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



Tools for supporting institutional and capacity strengthening

Tools for supporting institutional and capacity strengthening (1)



- National capacity self-assessments
 - Based on identified vulnerabilities and existing institutional assessments (where available), consider for all relevant organisations:
 - Level of education and awareness of climate variability & change
 - Organisations' mandates & functions w/ regard to climate-related issues
 - Influence of climate risks on organisations' capacity to function
 - Technical, financial, legal/regulatory capacities & information systems in relation to climate-related issues
 - Planning, decision-making, budget allocation and programming mechanisms
 - Collaboration and coordination structures & mechanisms

Source: UNDP-UNEP (2010)

Tools for supporting institutional and capacity strengthening (2)



- National capacity self-assessments (cont'd):
 - Expected output: a 'baseline report', allowing the tracking of progress and achievements as a result of the mainstreaming process
- Knowledge-sharing tools
 - e.g. Adaptation Learning Mechanism (www.adaptationlearning.net)



Discussion: Institutional and capacity
strengthening in the Pacific region