

# Workstream 4.1: Policy and institutional arrangements

**LEG regional training workshop on national adaptation plans (NAPs) for African Francophone developing countries**

28 September to 2 October 2015, Niamey, Niger



## Terms of reference for the parallel workstream group

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Objectives of the workstream on policy and institutional arrangements:

- a) To understand the workstream concept (using example of policy and institutional arrangements)
- b) To produce a sample mandate (elements of a mandate) and an overview road map covering the next 5-10 years under this workstream.
- c) To identify key elements and indicators of an M&E system for the NAP process.



## Terms of reference for the parallel workstream group

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### **Mechanics of the parallel group**

- Select a facilitator and rapporteur
- LEG member will present the objectives and overview of the particular workstream example, addressing how it fits in the whole process
- Presentations from the LEG, practical experiences from countries and organizations during the group work to add examples
- The facilitator will ensure an open and interactive session to arrive at the outputs of the session
- Produce outputs listed in the objectives by focusing on
  - the cluster of activities and steps pertaining to policy and institutional arrangements at the national level
  - specific actors involved in making policies to guide the whole NAP process across all sectors and levels of government

***Note: Please agree on a schedule to complete the work within the time allocated***

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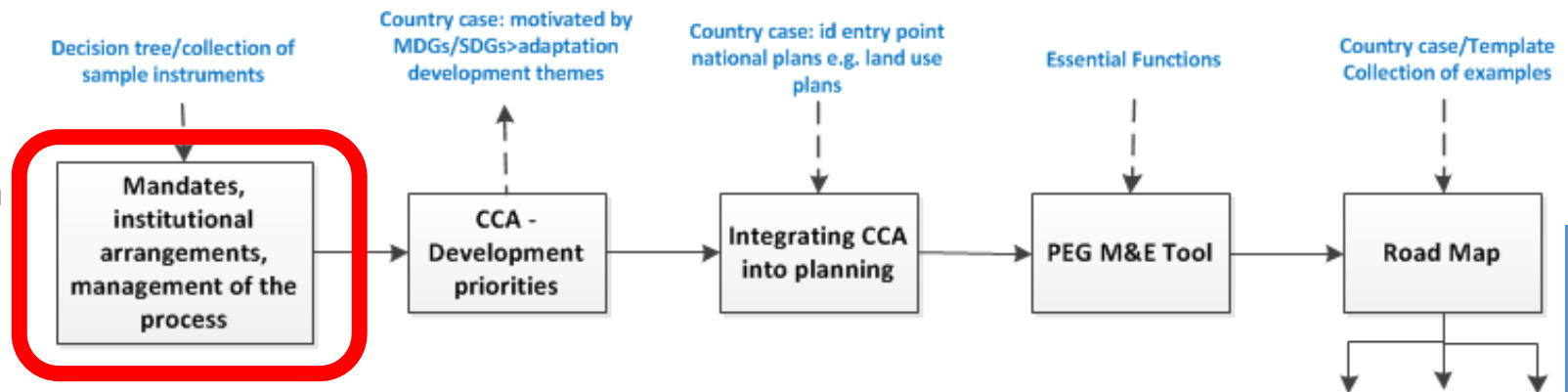


Time	Agenda
9:00 – 9:20	Introduction to WS 1: Policy and Institutional Arrangements: Discussion of the case study: what is expected at the end of the day
9:20 – 16:00	<p>Overview presentations and exercises to define</p> <ul style="list-style-type: none"> <li>- <b>Mandates, institutional arrangements</b>, and overall <b>management of the process</b></li> <li>- Definition of <b>Adaptation - Development themes and priorities</b> for the region/case study</li> <li>- How to <b>integrate climate change risk into planning</b>: survey of approaches</li> <li>- How to monitor and assess <b>progress, effectiveness</b> and <b>gaps (PEG)</b> towards meeting the Essential Functions of the NAP process at the broad level</li> <li>- <b>Main elements and milestones</b> of the <b>national road map</b> for the process (for this case study – individual road maps will be developed later in the programme)</li> </ul>
	Country presentations to share specific experiences and good practices on the above during the discussion
16:00 – 17:30	Consolidation of outputs of the workstream
17:30 – 18:00	Re-convene in plenary for wrap-up for the day



4.1

WS: Policy & Institutional arrangements



- Best practice: Mandates are important to guide adaptation planning
  - Samples include
    - 1 ...CC Act - UK
    - 2 ...Executive Order - USA
    - 3 ...National Policy Statement
- What are pros and cons of each?
- What are important elements of the mandate for the case study to ensure Essential Functions are met?
- **Output: Outline of a mandate**



### Defining the national mandate

- An **act, directive, executive order** or **policy** issued by the national government to guide action on adaptation;
- Establishes a clear **responsibilities** for government agencies (lead agency, coordination, reporting, etc) and all other stakeholders;
- Specifies key **actions, milestones** and **outputs of the whole NAP process over the next planning cycle (typically 5 years)**, can be for longer to cover the medium- and long-term planning approach



## Mandate (2/4)

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### Executive Order

Pros	Cons
No need for approval of congress as it is presumed to have legal basis owing to the delegated legislative powers of the president	It can be struck down by the judiciary if proven to be without legal basis or if constitutionality is disputed
It does not follow regular procedural rules of approval	It is limited in coverage (executive branch)
Orders the executive branch to implement the law	
Public consultation is not a pre-requisite	

### Act

Pros	Cons
As the case of all statutes, it forms part of the law of the land and it requires another law to repeal it	Long process of approval. Due to the procedural requirements, enactment takes a long time, sometimes transcending political terms
It is broader in scope. It covers all branches of the government: Executive, Legislative and the Judiciary	
It is sustainable. The mandate comes with allocation of technical and financial resources.	



## Mandate (3/4)

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Country	Agency/Unit	Mandate
USA	Environmental Protection Agency	Executive Order
Philippines	Climate Change Commission	Joint Congressional Act
Timor-Leste	Directorate for International Affairs and Climate Change	Directive of the Prime Minister
Spain	Spanish Office for Climate Change - Ministry of the Environment	Royal Decree





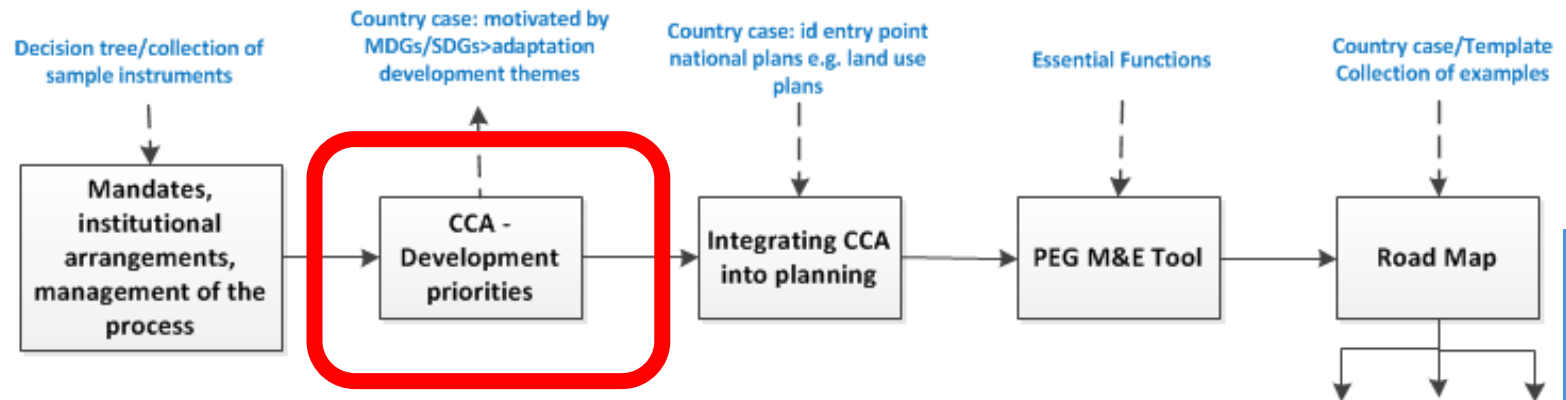
### **Possible elements of a national mandate for the NAP process**

- Designation of a **leader (person and institution)** for the NAP process
- Elaboration of specific **steps** to be to implement the mandate
- **Budget** for the NAP process, or an indication of allocated national resources and plans for raising additional funds;
- **Reporting instructions** on the outcomes of the NAP process over time for each key stakeholder group (ministries and other entities)
- Indicative timeline of key **milestones and outputs** of the NAP process;
- Instructions on how the formal outputs would be **processed and approved** including endorsement



4.1

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- Adaptation and Development: how connect the two?
- What are Adaptation – Development priorities and/or themes?
- Is it possible to derive specific adaptation goals – per sector and other system under consideration?
- **Exercise: Refer to presentation under Session 1.3 to identify/edit list of adaptation-development themes and priorities for the case study (we will align this with outputs of second workstream later)**



Box AI-3.

### Adaptation goals

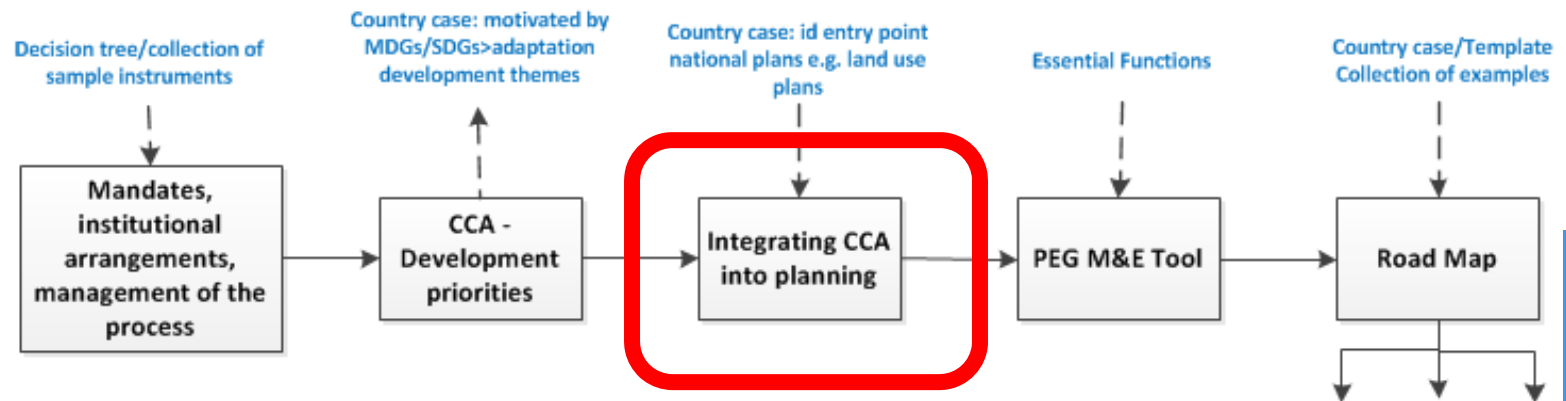
- **Agriculture and Food Security:** Achieve and Safeguard Food Security
- **Water Resources:** achieve and safeguard water security and sanitation
- **Physical Safety:** Protecting Life and Property against climatic extremes and disasters including along low-lying and coastal areas
- **Protecting livelihoods and enhancing adaptive capacity**
- **Climate Proofing** major components of national economies and Sustainable Development  
[Climate proofing the socio-economic growth engine]
- Supporting and Enhancing **Human Health and Safety**
- Protecting and Enhancing Ecosystem structure and function for Sustainable Provision of **Ecosystem Goods and Services** including Land Use
- Climate Proofing Renewable **Energy Sources and Supplies**
- Protecting and Preserving **Cultural Values and Cultural Systems**
- Protecting and Improving the Design of Critical **Infrastructure and Land Use Planning**

*Least Developed Countries Expert Group. 2009. Step-by-Step Guide for Implementing National Adaptation Programmes of Action. FCCC/GEN/250 E, UNFCCC: Bonn, Germany, pp 29. Disponível em <[http://unfccc.int/resource/docs/publications/ldc\\_napa2009.pdf](http://unfccc.int/resource/docs/publications/ldc_napa2009.pdf)>.*



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➤ What are examples of integrating CCA into national development planning?

- E.g. Climate budget codes
- Mainstreaming CC in planning (various levels)
- etc .....

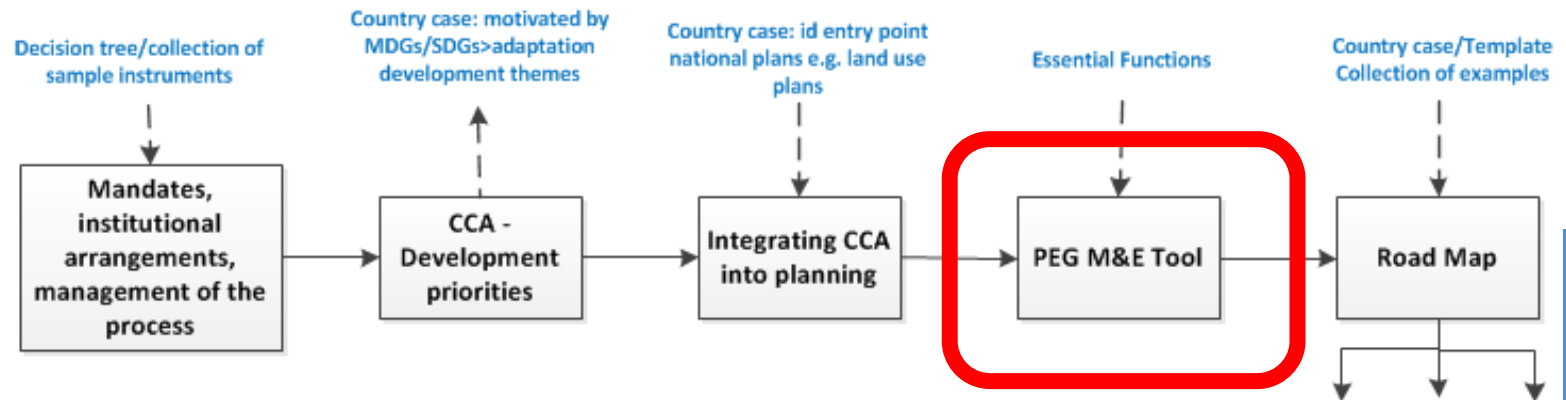
➤ Share experience and examples from countries on specific methods applied and document opportunities and constraints

➤ **Exercise: Develop specific actions for the integration that would be mandated to all actors**



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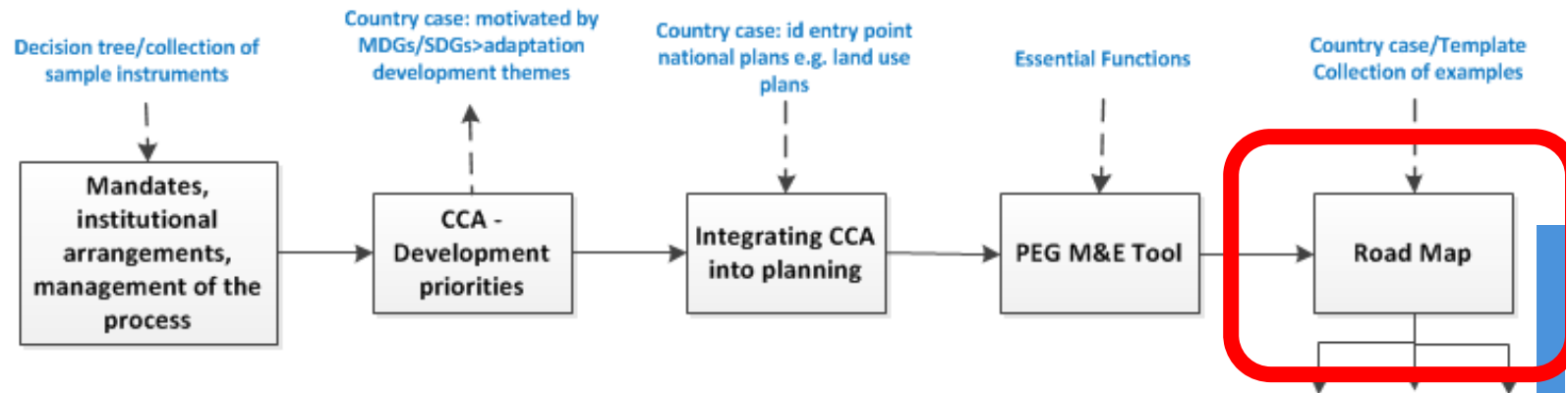


- Monitoring and assessing the NAP process using the PEG M&E Tool
- Background presentation on the PEG M&E tool and how it measures the essential elements?
- **Exercise: Elaborate few questions to cover the essential elements and the derived expected results as contained in the tool for use in the case study – this will be the M&E for the sample process**
- **Output: List of questions/indicators that can be used (will apply these later to assess the process)**



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- Road mapping
  - What are key elements of a road map?
  - What is expected during the next 1, 5, 10 and 20 years? Longer timeframe?
- **Output: A one-page diagram summarizing the road map**



# United Nations Framework Convention on Climate Change

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