Subnational Climate Compatible Development: Learning from CDKN's experience

CDKN-ICLEI Learning Workshop – 3-4 June 2013, Bonn, Germany

Workshop report

Final draft as of 12 July 2013 – ICLEI European Secretariat

Contents

1. Introduction

This report contains an overview and assessment of the two-day CDKN-ICLEI learning workshop organised in the context of the project 'Subnational Climate Compatible Development: Learning from CDKN's Experience'. The workshop was attended by representatives of ten CDKN sponsored subnational projects, as well as participants from ICLEI and CDKN. It took place in Bonn, Germany, on 3 and 4 June 2013.

The workshop programme was developed with the goal of addressing a set of key learning questions that had been formulated and agreed upon by CDKN and ICLEI during the inception period of the project. In addition, the workshop programme had a strong emphasis on interaction between participants thereby increasing the opportunities to learn from each other through the exchange of knowledge and experience.

It should be noted that this report aims to summarise the discussions and overall workshop outcomes rather than provide a detailed account of the project specific information that formed the basis of the different programme activities. Only in exceptional cases where experiences from individual projects are considered necessary to illustrate a particular point have they been referred to.

2. Background

CDKN is an alliance of six organisations spread across four regions with the common goal of supporting decision-makers in delivering 'climate compatible development'[1]. CDKN has partnered with ICLEI – Local Governments for Sustainability with the aim of capturing and disseminating key lessons from CDKN and its partners' experience on the success factors and preconditions of subnational and urban climate compatible development as well as the associated drivers and barriers. The CDKN-ICLEI subnational Climate Compatible Development (CCD) learning programme that has been established to facilitate this process runs from March 2013 until July 2014 and is working directly with ten CDKN-sponsored projects across South America, Africa and Asia.

The workshop was recognised as a key component of the learning programme in that it provided an opportunity for the participating projects to discuss and share information on the practicalities of moving towards CCD. These discussions will help to inform, and provide inspiration for, the succeeding activities to be carried out in the learning programme, most notably the project specific 'Inside Story' case studies.

The workshop was organised back-to-back with the Resilient Cities Congress 2013, also taking place in Bonn, Germany. In the framework of this congress, CDKN hosted a panel session to discuss the role of stakeholders in the assessment of local vulnerabilities at which five of the CDKN-sponsored projects selected to participate in the learning programme talked about their experiences.

3. Learning questions

As part of the inception period of the project, CDKN and ICLEI developed a set of central questions to guide the learning process for the programme as a whole. Formulated based on existing CDKN material and the overall learning aims of the programme, the list of questions was developed according to the salient features of CCD, the key actors involved and the outside influences that are anticipated to have an impact on its success or failure.

The list of questions was used to develop the workshop programme with the different sessions designed in a way to inform the relevant aspects of CCD and the associated target

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[1] Defined by CDKN as *'Development that minimises the harm caused by climate impacts, while maximising the many human development opportunities presented by a low emissions, more resilient, future'*

groups. In addition, the questions were also shared with participants at the workshop itself with the intention of providing further substance on what the workshop (and the learning programme as a whole) was aiming to achieve. However, it was not the intention that each of the project partners would go through the list of questions one by one either during the workshop or as part of the succeeding learning activities.

4. Objectives of the workshop

The overall objectives of the workshop were as follows:

- To present and discuss key lessons on the success factors and preconditions, drivers and barriers to subnational CCD experienced by the participating projects;
- To provide an opportunity for project partners to exchange findings and lessons learned with each other, thus developing new, mutually supportive working relationships; and
- To brief project partners on the format and requirement for the individual case study publications (Inside Stories) to be completed within the learning programme as a whole.

The workshop methodology was developed in a way that aimed to achieve these objectives through interactive activities, encouraging the exchange of ideas between participants.

5. Workshop preparation

Prior to the workshop, participants were asked to carry out some basic preparation activities including the following:

- To inform themselves on national policies and programmes for adaptation/resilience/ mitigation/development that are of relevance for the project(s) they were representing at the workshop;
- To familiarise themselves with the other CDKN-sponsored projects that were to be present at the workshop;
- To prepare a poster containing an overview of the project they were representing; and
- To give input in writing in relation to three distinct aspects of CCD (prerequisites, 'championship' and success factors) based on the participant's own professional experience.

The pre-prepared input from participants was used in different workshop sessions in order to trigger discussions and share experiences on subnational CCD.

6. Participants and facilitators

17 participants from 17 different organisations represented the following ten CDKN-sponsored projects at the workshop:

1) Harnessing 'pedal power' to promote sustainable urban tourism in Chiang Mai (represented by Chiang Mai Municipality and the Asian Institute of Technology)
2) Understanding flood risk and resilience in eastern India (represented by Gorakhpur Environmental Action Group and the Institute for Social and Environmental Transition)
3) Multi-stakeholder action to mainstream DRR and climate adaptation (represented by the local civil society forum in Leh and SEEDS India)
4) Climate change: addressing heat – health vulnerability in rapidly urbanising regions of Western India (represented by the Indian Institute of Public Health and the Natural Resources Defense Council)

5) Building climate resilience in Ghana's growing coastal cities (represented by the Regional Institute for Population Studies)
6) A 'Public Private People Partnership' for climate compatible development in Maputo (represented by the National Environmental Fund of Mozambique (FUNAB) and University College London)
7) Scaling up climate resilience with Partners for Resilience (PfR) (represented by Assistance and Cooperation for Community Resilience and Development Inc. (ACCORD), the Philippine Red Cross and the Red Cross/Red Crescent Climate Centre)
8) Embedding climate change resilience in coastal city planning: Early lessons from Cartagena de Indias, Colombia (represented by Climate Development Knowledge Network Colombia)
9) Multisectoral analysis of vulnerability and adaptation to climate change in the agricultural sector in the Upper Cauca Basin (AVA) (represented by Climate Development Knowledge Network Colombia)
10) Monitoring impacts of urban and peri-urban agriculture and forestry on climate change adaptation and mitigation (represented by the Sri Lankan Ministry of Agriculture, Agrarian Development, Minor Irrigation, Industries and Environment, and RUAF Foundation)

In addition, representatives from the ICLEI Secretariats in South America, Africa, South Asia and Southeast Asia attended the workshop.

The workshop was facilitated by the ICLEI World and European Secretariats in collaboration with CDKN Global.

7. Workshop outcomes

The two-day programme was based on a range of interactive and participatory activities. The key messages and outcomes from these sessions are summarised under the following six discussion topics:

- The contribution of participating CDKN projects to CCD
- Prerequisites of successful CCD
- Enabling conditions and challenges for mitigation and adaptation in development
- Requirements for strengthening CCD
- The role of champions
- Maintaining project results over time

7.1 The contribution of participating CDKN projects to CCD

It was known prior to the workshop that at least one of the three overlapping components of CCD – the 'triple wins' of *development*, *mitigation* and *adaptation* – was targeted by each of the CDKN-sponsored projects represented. However, what was less clear was the extent to which any of the projects had succeeded in tackling CCD in its entirety (rather than focussing solely on comprehensive low carbon or climate resilient development) and had indeed achieved results that addressed the 'triple wins' of CCD as represented by the overlap of the three circles in Figure 1.

Based on feedback by participants, it was concluded that none of the participating projects set out specifically to achieve 'triple wins' (focussing instead on either low carbon development *or* climate resilient development). Figure 2 illustrates this by showing the location of each project within the CCD framework.

In most cases, and particularly where the focus was primarily on adaptation, this was because projects were initiated as a reaction to a particular situation or threat, such as

incidences of flooding or heat waves[2], and the scope of the project did therefore not extend beyond the boundaries defined according to the particular circumstances requiring attention.
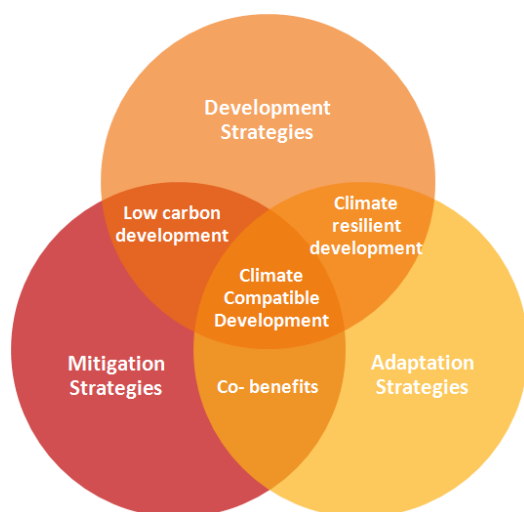

Figure 1: Interactions between the three components of Climate Compatible Development (CCD) *Source: CDKN*
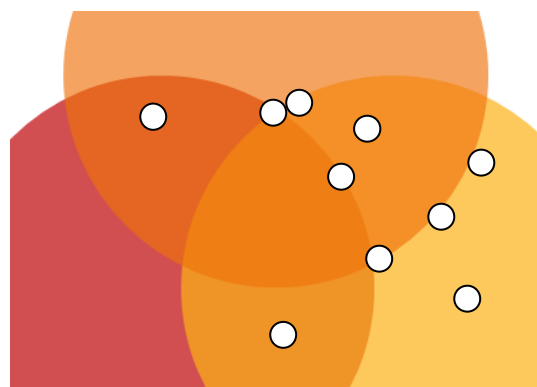

Figure 2: The location of the participating projects within the CCD framework

The group also explored how their project objectives and activities have evolved following project initiation and whether these changes have resulted in a broader (or possibly more limited) project scope. In most cases this was indeed the case with the overall focus of projects addressing aspects not necessarily foreseen at the outset, often in relation to local development goals. Some of the identified reasons for such change include the following:

The local context:

- Local needs and priorities are constantly shifting. Projects need to accommodate changes in local political, physical, economical and/or social conditions on an ongoing basis.

External factors:

- Project design and initiation is often carried out by academic institutions, NGOs and consultancies. Once up and running, however, a range of other stakeholders and their interests are likely to strongly guide proceedings. These framework conditions, particularly on the governmental side, have a tendency to steer the project in a direction not originally foreseen from the outset, for example a stronger focus on overall development goals.

Priorities of additional funders:

- The provision of additional funding during the course of the project may be under the condition that new focus areas are established in accordance with the priorities of the funding organisation. This can result in an obligation to extend the scope of the project beyond its original boundaries and objectives.

Move from theory to practice:

- Project design is often developed based on a theoretical solution to a perceived issue. As this theory is applied in practice during project implementation, the realities

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[2] On a related point, this raises questions concerning the difference between adaptation measures and Disaster Risk Reduction (DRR). Among the workshop participants it was agreed that there are distinct differences between adaptation and DDR (as well as considerable overlap) but that in the context of the workshop the two terms would be used interchangeably within the adaptation component of CCD.

of the situation become apparent requiring initial assumptions to be revisited and modified.

The impacts of the factors listed above could, in theory, expand the scope of a project, either deliberately or coincidentally, towards CCD (as well as away from it[3]). Whereas this could be a deliberate effort by project managers and stakeholders, it can also occur though the seeking of interventions and solutions which address not only the core project objective (e.g. climate resilient refurbishment) but also indirect results related to other aspects of CCD (i.e. development and mitigation). Such co-benefits could come in many forms, including the those listed in Table 1 as featured within the projects represented at the workshop:

Action taken	Primary purpose	Secondary CCD benefit
Reflective tiling applied to hospital roofing	Adaptive measure to reduce the impacts of heat waves on building temperature	Climate mitigation through reduced energy consumption for hospital cooling
Mangrove cultivation	Coastal protection from storm surges	Carbon sequestration
Solid waste collection	Prevention of drainage channel blockage and consequent flooding during heavy rainfall	Generation of biogas from separated waste

Table 1: Co-benefits for the advancement of CCD

7.2 Prerequisites of CCD

Exploration of the specific projects represented at the workshop highlighted the fact that CCD, if aimed for at all, tends to be an indirect benefit resulting from activities designed to address climate issues more limited in scope. It was therefore interesting to consider what would need to be in place in order to design and implement a project that is specifically aiming to achieve the CCD 'triple wins'. Figure 3 displays the various factors that were identified by the group as being prerequisites for CCD.

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[3] In the case of Maputo, the realities on the ground and the support required by the local government resulted in the project moving from a starting point open to both adaptation and mitigation activities towards the prioritisation of adaptation
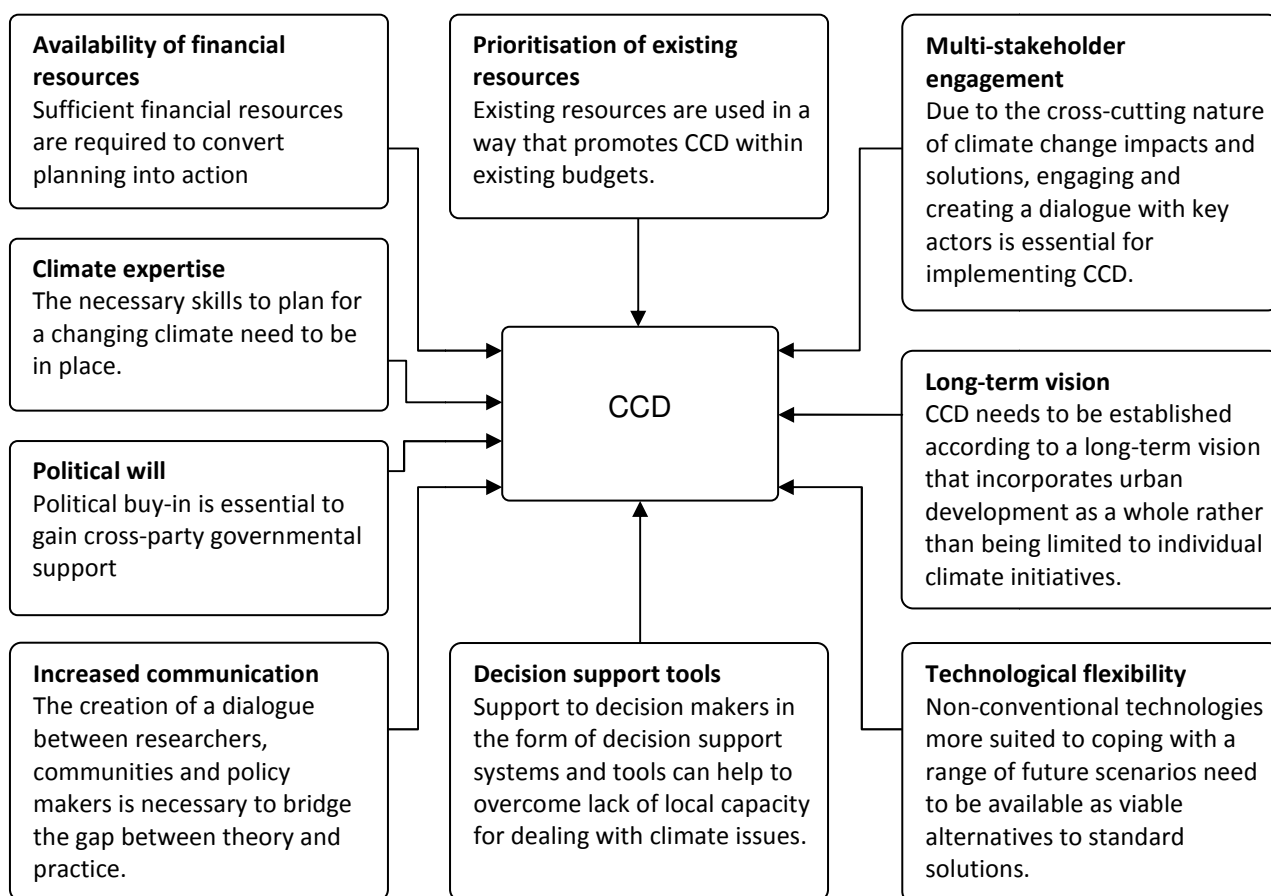
Availability of financial resources Sufficient financial resources are required to convert planning into action	**Prioritisation of existing resources** Existing resources are used in a way that promotes CCD within existing budgets.	**Multi-stakeholder engagement** Due to the cross-cutting nature of climate change impacts and solutions, engaging and creating a dialogue with key actors is essential for implementing CCD.
Climate expertise The necessary skills to plan for a changing climate need to be in place.	**CCD**	**Long-term vision** CCD needs to be established according to a long-term vision that incorporates urban development as a whole rather than being limited to individual climate initiatives.
Political will Political buy-in is essential to gain cross-party governmental support		
Increased communication The creation of a dialogue between researchers, communities and policy makers is necessary to bridge the gap between theory and practice.	**Decision support tools** Support to decision makers in the form of decision support systems and tools can help to overcome lack of local capacity for dealing with climate issues.	**Technological flexibility** Non-conventional technologies more suited to coping with a range of future scenarios need to be available as viable alternatives to standard solutions.

Figure 3: Prerequisites for CCD

Whereas the achievement of both mitigation and adaptation objectives is a key challenge to be overcome in moving towards CCD, the importance of the third element of the 'triple wins', development, should not be overlooked within climate planning. Development is an important driver of CCD, particularly as an entry point for embedding climate initiatives into planning frameworks and linking outputs to existing development targets and goals, and is therefore considered a key prerequisite of CCD in addition to the more specific factors shown in Figure 3.

7.3 The relationship between mitigation and adaptation in CCD

As discussed in Section 7.1, the projects represented at the workshop targeted either mitigation or adaptation along with overall development goals. Only in a few cases could a project claim that both low carbon and climate resilient development was the result of the project activities and even then largely through indirect co-benefits rather than as a fundamental aim of project planning and design. This raises the question of whether or not the achievement of CCD 'triple wins' is actually feasible (and desirable) within the context of projects such as those present at the workshop. In other words, is it realistic to design a project that contains both mitigation *and* adaptation goals as core components?

7.3.1   Drivers and barriers

To explore this question in more detail, the drivers and barriers for both mitigation and adaptation were discussed with the aim of identifying commonalities and potential contradictions between the two. The outcomes of these discussions are listed in Table 2.

demonstrating the extent to which drivers and barriers for mitigation and adaptation in development are thought to overlap and where they are rather in opposition to one another.

	Adaptation specific	Relevant for both adaptation & mitigation	Mitigation specific
Drivers	Short-term needs	Exposure to hazards Cost savings Incentives / subsidies Evidence base	Power shortages Achievement of emission targets
Barriers	Lack of infrastructure finance Mitigation based institutional structures	Knowledge gaps Resistance to change Uncertainty Lack of administrative coordination (within, as well as between, different levels of government) Capital costs Lack of capacity Lack of public engagement Social/cultural values and beliefs Party politics Infrastructural lock-in	

Table 2: Overlaps between drivers and barriers for adaptation and mitigation

7.3.2 The integration of mitigation and adaptation objectives

The information contained in Table 2 indicates that there are indeed significant synergies between the drivers and barriers of mitigation and adaptation. However, the exercise also highlighted that there are a number of crucial underlying factors that complicate the debate. These include the following conditions which may still hinder efforts to integrate mitigation and adaptation initiatives:

- By linking adaptation with mitigation the field of risk management (climate resilient planning) becomes associated with the reduction of greenhouse gases and consequently labelled an *environmental issue*. This has the negative effect of implying that the issue of adaptation is the responsibility of environmental agencies rather than sectors that have the most influence on, and are likely to be most affected by, the consequences of climate change (e.g. land-use planning, transport, urban drainage, etc.). As a result adaptation is ignored by the very institutions that are best placed to respond.

- Mitigation and adaptation, while linked through climate change, remain topics that differ significantly. Whereas evidence linking a changing climate with greenhouse gas emissions has been known for many years, the impacts of a changing climate are still highly speculative. This means that the development of a mitigation strategy can identify and implement various measures that reduce greenhouse gas emissions with fairly predictable outcomes, whereas an adaptation strategy is likely to be much more about adopting flexible measures intended to cope with a range of possible future scenarios. The two different approaches are not necessarily contradictory, but neither are they obviously complimentary further raising the issue of why they should be addressed equally within a project.

Without coming to a firm conclusion, discussions among the group suggested they were in agreement that opportunities do exist, and should be taken advantage of, to integrate both

adaptation and mitigation development. However, objectives between the two areas are varied (and not necessarily compatible) and as such there is a strong argument for seeking solutions within adaptation projects that achieve mitigation goals, and vice versa, rather than aiming to develop a project that combines the two fields in its overall objectives.

7.4 Requirements for strengthening CCD

Due to the variety of different sectors that are relevant for CCD, it is inevitable that a range of different stakeholders will need to be engaged with when planning and implementing CCD initiatives. For the purpose of the workshop, four key target groups were defined with the aim of looking at how these different groups have influenced and impacted upon the represented projects. The target groups under consideration were as follows:

- Local governments
- The private sector
- Donors
- Capacity building organisations
- Higher level institutions

Each target group was analysed in more detail in terms of their relationship to, and impact upon, the represented projects and, in general, the role that this group can play in realising the needs of CCD. The outcomes of these discussions were as follows:

What is needed from local governments?

- **Departmental integration:** Local governments are in an ideal position to facilitate the integration between municipal departments that is so important for successful climate change planning. In many cases institutional fragmentation may be the norm and a significant barrier, particularly to a coherent adaptation strategy.
- **Community engagement:** As the lowest tier of administration, local governments have the highest potential to engage the communities within their jurisdiction. This is a key responsibility when it comes to stakeholder consultation and awareness raising activities associated with climate change planning.
- **Ability to act:** The formulation of climate policy may come from higher levels of government, but the implementation of this policy is often reliant on action at the local level. The embedding of climate policy into local planning processes helps to ensure that national climate objectives are met on the ground.
- **Local budgets:** Local budgets may be considered insufficient to address what are in many cases perceived to be costly measures to either increase resilience or reduce greenhouse gas emissions. However, this may be due to climate planning being low on the local list of priorities rather than a genuine shortage of finance. Opportunities also exist to incorporate climate sensitive measures into ongoing investments such as drainage infrastructure, housing construction and energy supplies.

What is needed from higher level institutions?

- **Policy development:** The development of national policies that target climate change enables the subnational level to embed their own climate priorities within an existing strategic framework. This alignment of objectives serves the purpose of legitimising and providing credibility to local climate action and expenditure.
- **Coordination:** Higher level institutions, particularly regional (state) and national government, are well positioned to coordinate climate planning and action that requires collaboration across subnational boundaries. This not only facilitates partnerships but also encourages the spread of good practice and lessons learned thereby encouraging uptake and replication beyond the local level.
- **Financing:** The allocation of national funds for climate action at the local level is in many cases essential for putting subnational climate planning into practice.
- **Capacity building:** Higher level institutions can support CCD by building, or providing the resources to build, the institutional capacity at subnational level.

What is needed from capacity building organisations?

- **Bridging the gap between science and practice:** Capacity building organisations can make the latest scientific research on climate change accessible to decision-makers at the subnational level. This includes the interpretation of scientific results within a practical context as well as training on the use of climate planning tools and decision support systems.
- **Identification of needs:** As well as addressing knowledge gaps, capacity building organisations are also well placed to identify the needs of institutions responsible for implementing CCD measures. An independent institutional analysis can reveal areas where additional support is required at the subnational level.
- **Awareness raising:** Capacity building can raise awareness of key issues that may be overlooked or considered low priority by institutions responsible for climate change planning.
- **Empowerment of stakeholders:** Informing and training local stakeholders about the impacts of climate change empowers them to act independently as well as to hold public institutions to account over climate change inaction.

What is needed from donors?

- **Creation of impetus:** Donors have the opportunity, through provision of both funding and expertise, to act as a driving force for implementing change through the delivery of projects.
- **Establishing buy-in:** Externally funded projects can prioritise institutional and community engagement with the aim of raising awareness and generating buy-in concerning climate change. This could involve stakeholder engagement activities, institutional analysis and specific objectives to influence local development plans.
- **Direction of funding:** Donors have the responsibility to ensure that external funding is used to address genuine priority climate and development issues, such as prioritising support to the most vulnerable communities.
- **Project follow-up:** Rather than withdrawing following the conclusion of a project, donors have a responsibility to ensure that investments are maintained over time and that an effective handover of ownership occurs.

What is needed from the private sector?

- **Awareness on the importance of their involvement**: Businesses need to become aware of the fact that climate change resilience can only be achieved through a joint effort of both public and private sectors.
- **Proactive engagement**: Local governments might not necessarily be familiar with the potential deriving from working with the private sector. Businesses and their associations should therefore not wait for being 'called' into relevant activities, but proactively address local governments from their side.
- **Recognition of local priorities**: The private sector should not only link to regional or national priorities, but also acknowledge those at community level, playing a catalytic role in initiating innovative local practices.

7.5 The role of champions

In recognition of the fact that many of the participating projects gained significant benefits from the drive and support provided by local individuals, the role of such champions was discussed by the participants. In particular the extent to which champions are needed in order to achieve CCD was addressed as well as what makes a person suitable for this role and whether or not such an individual (or group of individuals) can be nurtured for this purpose

The outcomes of the discussions were as follows:

- A respected and well connected local champion has the ability to **influence politics**, particularly policy development and the allocation of finances.
- Champions tend to be prominent figures within the local community and are therefore influential when it comes to gaining **stakeholder buy-in** for climate initiatives.
- Champions who are positioned within the local administration can **influence planning processes and local budgets**. They can also establish a knowledge base to **ensure continuity** of climate policy and initiatives by, for example, systematically sharing learning and knowledge among staff.
- Champions represent the **interests of the community** as a whole rather than being motivated by personal achievement. An established relationship with the local population and an understanding of common needs is therefore a typical characteristic.
- Champions can be **both male and female** although, depending on the region, the role may often be considered masculine.
- Champions are not necessarily natural born leaders but rather **individuals whose knowledge and position has empowered them to take on the role**. Their ability to lead has therefore been developed rather than an existing character trait.
- The power afforded to champions can **corrupt** over time. Individuals who started off with good intentions may be unable to resist taking advantage of their position for personal gain.
- Projects can play a role in promoting or even **establishing champions**, particularly through facilitating increased visibility. However, while acknowledging the importance of champions in CCD, it is an issue of debate over the extent to which the empowerment of individuals (rather than the collective) should be targeted within a project.

7.6 Maintaining project results over time

Although in many cases embedded within a larger initiative, each of the projects represented at the workshop was nevertheless of relatively short duration (typically 2 to 3 years). This inevitably presents the challenge of ensuring that project goals and achievements are followed up upon and continue to be utilised after the expertise and funding provided by the project is no longer available. The extent of this challenge naturally varies on a case by case basis depending on a range of factors such as the degree of governmental involvement, the level of buy-in the project achieved among the key target groups and the availability of local financial and human resources to maintain the momentum established within the project timeframe.

The issue of continuity was therefore an important discussion topic at the workshop. The results of this discussion are summarised below.

- Along with establishing an effective monitoring programme, projects need to recognise and plan for how their **impact will be maintained in the long-term**. This could mean including specific objectives that target precisely what is required in order to achieve long-term change, such as institutional reform, establishing participatory planning processes, adapting legislation, seeking council approvals and setting up strong partnerships that are not wholly dependent on project support.
- **Local buy-in**, whether from the affected communities, the relevant government institutions, or other key stakeholder groups, is essential to ensure that projects have an impact beyond the funded period. This buy-in may be something tangible such as the ownership of project interventions, outputs and results, but could also simply be recognition of the importance of what the project was trying to achieve and an appreciation of the value of continuing the work.
- The establishment of a robust and feasible **monitoring programme** to continue, independently, after the project conclusion is a means to ensure that there is, at a minimum, documentation of the impact beyond the project timeframe. Ideally, a

monitoring programme should be established in a way that it feeds into existing processes, such as informing local planning and decision-making.

- Well **documented outputs** from the project can ensure that success stories, challenges encountered and lessons learned are accessible to organisations and institutions that continue to work on similar issues in the area. Cases in which project achievements are hidden within formal reports and academic literature are less likely to benefit those who look to build on project achievements and learn from the experience.