

# Climate Governance Assessment

**HOW**  
*to note*





# Contents

01

The Governance Challenge of Climate Change

---

04

Climate Governance Assessment Process

---

02

Purpose of a Climate Governance Assessment

---

05

Undertaking a Climate Governance Assessment

---

02

Scope of a Climate Governance Assessment

---

26

Annexure

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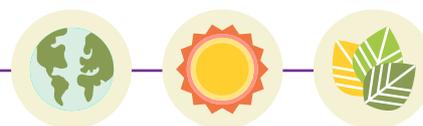
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# ACT Climate Governance Assessment



## 1. The Governance Challenge of Climate Change

Tackling climate change, and adapting to current and future impacts, is fundamentally a governance challenge. Action cannot be taken by just one country or government, but requires a global solution. It also requires all parts of government, and at all levels, to be working together towards a common aim. However, an economy-wide, global-to-local coordinated approach does not happen without strategically planned action.

As tackling climate change involves a shift in where and how countries develop and grow their economies, it is also a significant political challenge. For example, prioritising from a limited irrigation budget those villages which are particularly vulnerable to future erratic rainfall will upset the interests of other communities who will not benefit from irrigation investment. Similarly, highlighting the risk of flooding in tourist areas will likely reduce their investment value, and therefore be opposed by the owners.

Any programme which aims to support the transition to a climate resilient development pathway needs to navigate these complex institutional and political issues. Understanding the context for tackling climate change is therefore essential.

The Action on Climate Today (ACT) programme is a five year initiative funded by the UK Department of International Development which provides technical assistance to national and sub-national governments in Afghanistan, Bangladesh, India, Nepal and Pakistan. It supports partner governments to mainstream adaptation to climate change in policies, plans, programmes and budgets. ACT developed and tested a Climate Governance Assessment approach which allows practitioners to identify political and institutional opportunities and barriers for tackling climate change. This can be used to inform the design of technical assistance programmes, and as part of the process of monitoring and evaluating progress.

This Guide documents the process for conducting a Governance Assessment. It was originally designed to serve the specific needs of the ACT programme in terms of being a regional climate change programme in South Asia but it could be used in other locations and adapted for different issues. The Guide includes references to other assessment methodologies and tools which might also be useful for practitioners.

## 2. Purpose of a Climate Governance Assessment

The Climate Governance Assessment is a tool to help understand the salient features of the political economy and institutional context for climate change policy in a particular location. The assessment can be repeated each year to highlight what has changed in the overall context for tackling climate change in each location. This can feed into a programme's monitoring and evaluation framework, or it can be used to spark a wider discussion among stakeholders about the adequacy of the government's response to climate change, for instance by comparing the context in different countries or location.

The specific objectives of the Climate Governance Assessment therefore include the following:

- To inform the design and delivery of technical assistance climate change programmes through an understanding of the broader institutional and stakeholder environment;
- To monitor broad shifts in an individual government's response to climate change over time, and if relevant also to compare government responses across different locations;
- To facilitate a high-level discussion within a location on the state of progress in tackling climate change.

The Assessment tool is intended to be used by organisations and individuals who are supporting adaptation policy-making processes in a particular region or country, including donors, civil society and consultants. It could also be used by governments themselves as part of a self-assessment process.

## 3. Scope of a Climate Governance Assessment

The Assessment covers seven dimensions which add up to provide a comprehensive picture of the overall environment for climate change policy-making. These are organised within three broad themes: *Foundations* for action on climate change; *Stakeholders* for action on climate change; and *Mainstreaming* of climate change (see figure 1).

These dimensions are not specific to climate change, and this framework can therefore be easily adapted for other development issues.



Figure 1: Seven Key Dimensions of the Climate Governance Assessment

A description of each dimension, and why it is important is provided below:

## FOUNDATIONS FOR ACTION ON CLIMATE CHANGE:

### **1) Adequacy of the evidence available on climate change in the location, including its relevance, accessibility and the level of uptake.**

This dimension relates to the availability of research, data and analysis on climate change in the location, and how useful it is to policy-making (and the extent to which it is actually used). It therefore explores both the supply and demand side of evidenced-based decision-making on climate change. The type of information can range from scientific weather data, to analysis such as vulnerability and impact assessments.

### **2) Effectiveness of the policy-framework for tackling climate change, including adequacy and level of implementation and monitoring and evaluation.**

This dimension relates to whether there is an overarching cross-sectoral policy, strategy, legal framework or action plan for tackling climate change, and whether this has been implemented, and monitored and evaluated. This is important for understanding the level of political will, as well as specific government priorities for tackling climate change.

## STAKEHOLDERS FOR ACTION ON CLIMATE CHANGE:

### **3) Level of awareness and understanding of key stakeholders on tackling climate change.**

This dimension relates to the extent to which different stakeholders both within and outside government understand the cause and impact of climate change in the location. This is important for identifying points of confusion, as well as the language and narrative used for talking about climate change in the location.

### **4) Level of political commitment, in terms of priority and significance accorded by key stakeholders to tackling climate change.**

This dimension relates to the extent to which different stakeholders both within and outside government consider climate change a priority issue for the location. This includes the extent to which political leaders have voluntarily taken action to address climate change, rather than responded to an external pressure.

### **5) Level of participation and influence of key stakeholders on the decision-making process for tackling climate change.**

This dimension relates to the extent to which different stakeholders have the potential to participate in and influence decisions related to tackling climate change, and if so, whether they act on this potential and actually engage in and influence the decision-making process. This is important for identifying those individuals who can champion change within the system.

## MAINSTREAMING OF CLIMATE CHANGE:

### 6) Institutional capacity for mainstreaming climate change into development planning, including institutional mechanisms for coordination across government and between different levels of government.

This dimension relates to the wider institutional set-up for mainstreaming climate change within the regular planning and budgetary process in the location. For those locations with a cross-sectoral policy-framework, this also relates to the capacity for implementing it within sectoral ministries or departments.

### 7) Investment in mainstreaming climate change into development planning, including availability of public and private sector funding and international climate finance.

This dimension relates to the amount of public and private sector funding, and international climate finance, which is currently being invested in tackling climate change. This is another indicator of the level of political will, as well as the availability of resources to fund mainstreaming of climate change.



**Methodological note:** In the Climate Governance Assessment methodology, each of the dimensions are given equal weightage. In reality, some dimensions are more important than others. As such, no overall rating is provided for a location.

## 4. Climate Governance Assessment Process

The Assessment is intended to be as light-touch as possible, so that it can be easily carried out as part of an ongoing programme or project. It is designed to be carried out repeatedly, tracking changes over time, and comparing locations. It is primarily a qualitative exercise and relies heavily on the opinions and views of those involved in the assessment process. Figure 2 summarises the broad steps involved in the process, depending on what is the intended purpose of the assessment:

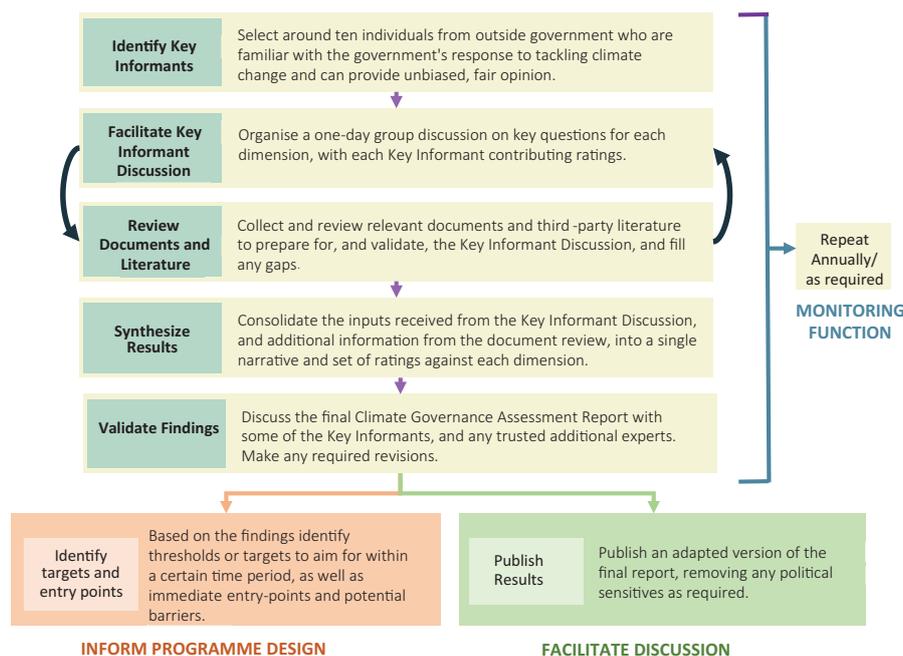


Figure 2: Climate Governance Assessment Process Steps

The duration of the process depends on the amount of resources and staff able to facilitate the process. At its quickest it can take around three weeks, although it can also be spread over a couple of months. This includes the time required for preparation and write-up of the final report. However, it is important to make it clear that the assessment findings reflect the situation at the time of the Key Informant Discussion, and any later changes to the context are not taken into consideration.

The frequency of the Assessment depends on its expected purpose. It can be a one-off exercise if intended to only provide a snapshot of the context at a certain point of time, for example to help design a technical assistance programme. However, it can also be repeated annually, or more regularly, if intended to monitor changes over time.

The only defined output of the process is a Climate Governance Assessment Report for the location. This includes the full findings, and targets and entry-points. However, there are a range of additional outputs which can be produced, such as a summary version for publication (see Methodological Note below).

## 5. Undertaking a Climate Governance Assessment

This section is intended to provide detailed guidance for undertaking each step of the Assessment process. The process is flexible, and each step can be adapted to suit the specific needs and interests of the user.

### 5.1 SELECTING KEY INFORMANTS

The Key Informant Discussion is the primary source of inputs to the assessment process, and as such, the quality of the assessment output will depend on the careful selection of the individuals.

The number of Key Informants required depends on the complexity of the context, and level of detail required, balancing the need for diversity of views with the ease of facilitating a smooth and open discussion. However, it could also be possible to hold multiple Key Informant Discussions with different groups of stakeholders depending on the objectives of the process, and resources available.

There are a number of key considerations when selecting individual Key Informants, including the following:

- Experience of working with or interacting with the government on climate change policy-making, and knowledge of the government's response and attitude to climate change;
- Contacts with and knowledge of a range of stakeholders both within and outside government working on climate change;
- Ability to provide an unbiased and fair opinion of the government and other stakeholders;
- Commitment to keeping anything discussed confidential.

It is important to have a diversity of experiences and backgrounds, and ensure that as far as possible the group includes people with an understanding of all the questions to be covered. For example, someone with an academic and research background would be helpful in knowing about the adequacy of the evidence base. Someone in the group should also have a thorough understanding of how the planning and budgeting system works within government. However, even if this specialist knowledge is not available for the Key Informant Discussion, follow-up bilateral discussions with such individuals can also be carried out. If it is not possible to get an adequate representation, then alternatives are possible such as a greater reliance on third party literature and document review, or a more formalised bilateral interview process.

An example of the types of profiles in a typical Key Informant Discussion includes the following:

- Former/ retired government bureaucrat;
- Academic / researcher on climate change;
- Non-government organisation (NGO) representative working on climate related sectors and issues (e.g. agriculture, disasters);
- Consultant with experience of working with the government on climate related sectors and issues;
- Donor agency representative;
- Private sector representative, from a climate related sector (e.g. agri-business).



**Methodological Note:** *Why is there no government representative? The Key Informant Discussion should be an open and frank discussion about the performance of the government. Including government representatives will usually restrict this discussion. However it could be possible to run a separate Key Informant Discussion with only government representatives, which will be more of a self-assessment process. A simpler solution would be to hold bilateral discussions with particular government representatives to get their inputs on some specific questions and/or validate the opinions of the Key Informants.*

## 5.2 REVIEW DOCUMENTS AND LITERATURE

To prepare for the Key Informant Discussion, there are a range of documents and literature and analysis which should be reviewed. This will help the facilitator prepare for the discussion, and identify specific gaps which will need to be filled by the Key Informants. Some of the findings can also be presented to the group, to help kick-start a discussion.

This step can also be repeated after the Key Informant Discussion, to validate their opinions, and fill in any gaps. This can include documents which provide additional evidence to justify (or challenge) the opinions of the Key Informants (e.g. departmental budgets, planning documents) and other assessments and reviews which can back-up (or question) the consensus emerging from the discussion.

The following is a list of possible documents and literature which could be helpful in preparing for, and validating the discussion, for each dimension:

- Literature reviews of climate change in the location, which will reference all available literature (Dimension 1);
- Climate change profiles which will reference all available data and analysis for example, UNDP's Climate Change Country Profiles, World Bank Climate Risk and Adaptation Country Profiles (Dimension 1);
- Internet search to check for availability of literature, and whether it features on the government's website and whether there is a central portal housing all available literature (Dimension 1);
- Speeches and comments from political leaders and senior officials on climate change to get some insight into their level of understanding and commitment (Dimension 2 and 3);
- Media screening of amount and type of reporting on climate change (Dimension 2 and 3);
- Training and Capacity Needs Assessment reports of the government (Dimension 2 and 6);
- Media reports on key decisions related to tackling climate change (Dimension 3);
- Reports from meetings of any government – civil society forums or committees on climate change (Dimension 4);

- Laws, regulations, policies, strategies or action plans related to climate change (Dimension 5);
- Monitoring reports on implementation of policy-framework (Dimension 5);
- Organogram of the government, and key ministries/ departments (Dimension 6);
- Budgetary Reviews, such as UNDP's Climate Public Expenditure and Institutional Reviews (CPEIR) and UNDP's Climate Change Budget Integration Index (CCBII), ACT's Climate Change Financial Frameworks (CCFF) Reports, and other general Public Financial Management assessments (Dimension 7);
- Government's budget guidelines or other documents to guide budget preparation process (Dimension 7);
- Assessment of climate finance trends, such as the Climate Funds Update Analysis (Dimension 7).

### 5.3 FACILITATING KEY INFORMANT DISCUSSION

The Key Informant Discussion is the most critical part of the assessment process and should therefore be carefully planned and delivered. If required, guidance and background literature can be circulated in advance, or each Key Informant briefed separately.

It is essentially a highly facilitated one full-day group discussion, and the facilitator needs to be well informed on the purpose and expected output of the assessment. The facilitator can also be the person writing up the report, or these responsibilities can be divided between two individuals. They should be supported by someone transcribing the full discussion, or capturing and documenting the key points from the discussion.

Over the course of the day, the group should discuss a series of guide questions related to each of the dimensions. This discussion will feed into the narrative in the final report. In addition, some of the dimensions have associated indicators, and the Key Informants should individually rate each of them. After they have completed the ratings, the facilitator can lead a discussion on whether the ratings were relevant and/or difficult to complete. This will help in the aggregation of the ratings, and highlight if any were interpreted incorrectly.

In summary, the discussion should go through each of the seven dimensions in turn, following a uniform structure as outlined in table 1. However, the exact duration will depend on the number of guide questions/indicators and the level of knowledge of the group.

Table 1: Outline of discussion structure for each dimension		
Duration	Activity	Responsible Person
5 min	Introduction to the dimension: what it covers, and why it is important	Facilitator
30-45 min	Group discussion on each of the guide questions posed by facilitator	Key Informants/ facilitator
10 min	Scoring the ratings of the indicators	Key Informants
5 min	Group discussion on process of scoring and any areas of difficulty	Key Informants/ facilitator

To guide the entire discussion, a power point presentation can be used which serves as both the agenda, but also includes all of the guide questions and indicators.

In addition, individual copies of the scoring sheets for the indicators should be provided to each Key Informant. See annex I for an example.



### **Methodological Note:**

- Do not feel constrained by the guide questions – if they are not understood, or do not lead to a fruitful discussion, try alternatives. Often it is helpful to use scenarios and specific examples, rather than talking in generalities. For example, in a discussion on who has political influence, it might be more useful to phrase the question as “*who is able to walk into the Minister’s office without an appointment?*”
- If one person is dominating the discussion, start to direct the guide questions to specific individuals to encourage everyone to give their opinion;
- For any general statement of fact or opinion, ask for a specific example to back it up. Examples tend to be more insightful and useful;
- There is often a tendency among Key Informants to focus too much on climate change as a single subject, rather than looking at it as a problem with multiple causes and effects. For example, they may state that “*the government does not understand or care about climate change*” but with further discussion it becomes clear that the government does care deeply about tackling the increased rate of drought (but this is not necessarily described in terms of climate change). It can therefore be useful to repeat every question replacing ‘climate change’ with this specific risk to see if there is any difference in response.

The rest of the section goes through each of the dimensions in turn, introducing some guide questions, and the ratings and scorings.

## **DIMENSION 1**

### **Adequacy of the evidence available on climate change in the location, including its relevance, accessibility and the level of uptake.**



**Guidance for facilitating the discussion:** The discussion should cover both the supply and demand side of the evidence base on climate change – not just whether there is adequate information, but also whether what already exists is being used. It could be useful to do a quick survey of the Key Informants to find out how many are aware of the existence of certain research documents, as an indication of how far they have been disseminated. It could be useful to have a more general discussion on where decision-makers get information from to guide their decisions.

#### **Group Discussion Questions**

- What evidence is available on the extent of climate and environmental trends in the country/location? How reliable is the data source?
- What analysis is available about vulnerability and potential future impact of climate change in the country/ location? Does it cover economic impacts?
- What is the quality of the data and analysis available (in terms of completeness, reliability)?
- To what extent is the data and analysis disaggregated by gender and social group, to allow assessment of impacts on women and socially excluded group?
- Is it available in local languages?



- How easy is it to find and access the data and analysis? Is it available online? Is there a central portal housing all relevant information?
- Is it written and packaged in a manner which is helpful to government and other stakeholders and comprehensible to the public?

## INDICATORS

Table 2: Dimension 1 Indicator Descriptions		
Indicator Description	Score	Justification of Score
<b>1.1: Scope, relevance and coverage of available information</b>	<b>0:</b> No information	No information on climate change in the location is available.
	<b>1:</b> Very Limited	An assessment of current (not future) impacts of climate change, covering one sector (not disaggregated at local level) is available. Sectors studied are not economically or politically important. Provides no recommendations for adaptation.
	<b>2:</b> Limited	An assessment of current (not future) impacts of climate change, covering a few sectors (not disaggregated at local level) is available. Sectors studied have limited economic and political importance. Provides limited and vague recommendations for adaptation.
	<b>3:</b> Partial	An assessment of current and future impacts of climate change, covering a few sectors (not disaggregated at local level) is available. Sectors studied were not explicitly selected for economic and political relevance, but still valid. Provides lots of recommendations for adaptation, but without clear guidance on how to put into practice.
	<b>4:</b> Comprehensive	An assessment of current and future impacts of climate change, covering some sectors and some local levels, is available. Sectors, sub-sectors and localities studied were explicitly chosen for their economic and political relevance. Provides lots of recommendations for adaptation, with some prioritisation. Some limited guidance on how to put into practice.
	<b>5:</b> Very Comprehensive	An assessment of current and future impacts of climate change, covering all major sectors and local levels, is available. Sectors, sub-sectors and localities studied were explicitly chosen for their economic and political relevance. Provides lots of recommendations for adaptation, with prioritisation, and sequencing of actions. In-depth guidance on how to put into practice.
<b>1.2: Accessibility of available information</b>	<b>0:</b> No information	No information on climate change in the location is available.
	<b>1:</b> Very inaccessible	Largely available in hard copy only
	<b>2:</b> Inaccessible	Largely available in electronic version, but not online
	<b>3:</b> Partial	Largely available online (but not on government website)
	<b>4:</b> Accessible	Largely available online (including government website)
	<b>5:</b> Very Accessible	Largely available on multiple government and other websites and/or on a central portal housing all information about climate change for that location.

**Table 2: Dimension 1 Indicator Descriptions**

Indicator Description	Score	Justification of Score
<b>1.3: Level of uptake of available information by the Government</b>	<b>0:</b> No information	No information on climate change in the location is available.
	<b>1:</b> Very Limited	Nodal officers aware of main findings, but no evidence of informing policy or practice
	<b>2:</b> Limited	Some government officers aware of main findings, but no evidence of informing policy or practice
	<b>3:</b> Partial	Large number of government officers aware of detailed content, with some anecdotal evidence of informing policy or practice
	<b>4:</b> Comprehensive	Large number of government officers aware of detailed content, with significant anecdotal evidence of informing policy or practice
	<b>5:</b> Very Comprehensive	Large number of government officers aware of detailed content, with significant anecdotal and concrete evidence of informing policy or practice

## DIMENSION 2

### Status of the policy-framework for tackling climate change, including adequacy and level of implementation and monitoring and evaluation



**Guidance for facilitating the discussion:** At the beginning of this discussion it is important to get consensus about what is meant by the policy-framework for tackling climate change. In many locations there are a number of different plans, policies, or strategies related to climate change (e.g. National Adaptation Plans of Action in developing countries). These can be mapped in terms of how they relate to each other and which is the most important. It is possible to either classify the policy-framework as consisting of all of these documents, or just the most important. Regardless of how the 'policy framework' is defined, the agreed definition should be accepted and understood by all Key Informants and be used consistently.

It is worth doing a quick survey of the Key Informants for how many know that different policy documents exist and/or how many people have actually read or used them. This gives an indication for how far they have been disseminated.

One of the difficult questions and indicators relates to the level of implementation. It is often not clear what implementation of a policy framework actually means, and whether it has happened, especially in the context of no monitoring and reporting of implementation. A common comment is that the policy-framework includes activities that would have happened anyway regardless of whether the framework was in place. Therefore, the fact that these activities are underway, does this count as implementation? To overcome this problem, the following definition of implementation is used: whether the policy framework has been the catalyst for any new or improved action or investment in tackling climate change.

#### Group Discussion Questions:

- Is there an overarching cross-sectoral policy framework for tackling climate change?
- What does it include? Which document is the most important? Why was it developed?
- To what extent has the government developed a policy framework that is appropriate for the needs of the location? How and by whom was it developed? What is the level of ownership of, and political commitment to, the framework?



- What is the current status of the policy-framework? Has it been finalised? Has it been approved? If no, what remaining steps are required to approve it? Who has responsibility to ensure these steps are taken? What is the potential timeline for completion?
- How and to whom is responsibility for implementation allocated? Is it clear what responsibilities are involved in coordinating implementation?
- Extent to which sectoral actions listed in the policy-framework also feature in the annual development plans and budgets of the respective line ministry/department?

## INDICATORS

Table 3: Dimension 2 Indicator Descriptions		
Indicator Description	Score	Justification of Score
<b>2.1 What is the status of adoption of the policy framework?</b>	<b>0:</b> No policy framework	There is no policy framework on climate change
	<b>1:</b> Very Limited	Policy framework currently being drafted
	<b>2:</b> Limited	Final draft of the policy framework completed
	<b>3:</b> Partial	Final draft of the policy framework submitted to the responsible political leader and awaiting sign-off
	<b>4:</b> Secure	Policy framework approved by the responsible political leader, and submitted to the cabinet/parliament for adoption
	<b>5:</b> Very secure	Policy framework adopted as government policy
<b>2.2 Adequacy of the policy framework?</b>	<b>0:</b> No policy framework	There is no policy framework on climate change
	<b>1:</b> Very Limited (1 present)	How many of the following characteristics of the policy framework are present:
	<b>2:</b> Limited (2 present)	<ul style="list-style-type: none"> <li>• Based on assessment of climate change risks and cost-benefit analysis of adaptation options</li> </ul>
	<b>3:</b> Partial (3 present)	<ul style="list-style-type: none"> <li>• Explicitly based on and aligned with state development strategies;</li> </ul>
	<b>4:</b> Comprehensive (4 present)	<ul style="list-style-type: none"> <li>• Developed in a participatory fashion, with significant inputs from all stakeholders and parts of government;</li> <li>• Includes implementation framework, with details on sequencing and prioritisation of actions, responsible implementing actors etc.</li> </ul>
	<b>5:</b> Very Comprehensive (5-6 present)	<ul style="list-style-type: none"> <li>• Includes a detailed and comprehensive budget for implementation, and identifies source of finance</li> <li>• Includes detailed monitoring and implementation framework with targets and responsible actors for monitoring</li> </ul>

**Table 3: Dimension 2 Indicator Descriptions**

Indicator Description	Score	Justification of Score
<b>2.3 To what extent has the policy framework been implemented?</b>	<b>0:</b> No policy framework	There is no policy framework on climate change
	<b>1:</b> Very Limited	No evidence that it has resulted in policy actions or new and additional investment
	<b>2:</b> Limited	Very little influence on policy or investment
	<b>3:</b> Partial	Some influence on policy or investment
	<b>4:</b> Comprehensive	Substantial influence on policy or investment
	<b>5:</b> Very comprehensive	Transformative influence on policy and investment
<b>2.4 To what extent is progress in implementing the policy framework being monitored and reported on?</b>	<b>0:</b> No policy framework/system	There is no policy framework on climate change and/or no monitoring and reporting system in place.
	<b>1:</b> Very Limited	Monitoring and reporting system in place but not being followed
	<b>2:</b> Limited	Monitoring and reporting system in place, but only happening in an ad-hoc and occasional manner.
	<b>3:</b> Partial	Regular monitoring and reporting of implementation being carried out; covers only measuring financial inputs.
	<b>4:</b> Comprehensive	Regular monitoring and reporting of implementation being carried out; covers both measuring financial inputs, and to a limited extent results of action
	<b>5:</b> Very comprehensive	Regular monitoring and reporting of implementation being carried out; covers both measuring financial inputs, and comprehensive studies results and impacts

## DIMENSION 3

### Level of awareness and understanding of key stakeholders on tackling climate change



**Guidance for facilitating the discussion:** For Dimensions 3-6 it is necessary to first identify the key stakeholders in the location, who will then be rated against these indicators.

Therefore, prior to a discussion on dimension 3, the group should collectively list all the individuals and/or groups of stakeholders who are relevant. A draft list can be prepared in advance of the meeting, and validated/ amended by the group. It is easier and more useful to rate individuals, although for the sake of time, it will be necessary to generalise certain groups of stakeholders.

The following is a generic list of relevant stakeholders on climate change:

- Political leader(s) (could be an individual and/or cabinet);
- Minister responsible for climate change;
- Legislators (could be divided between different political parties);

- Most senior officials in the state (e.g. Chief Secretary);
- Senior official(s) with specific responsibility for climate change;
- Senior officials responsible for climate related sectors (e.g. agriculture, water);
- NGOs (could be divided between those specifically working on climate change, and those that are not);
- Research institutes (could be divided between those specifically working on climate change, and those that are not);
- Business actors (could be divided between large and small, or different types);
- Media (could be divided between different languages);
- Donor agencies;
- General public (could be divided between rural/ urban or men/women);

The rating of each stakeholder can happen first, and then the discussion, so that the participants have a chance to think about the issue in advance. The discussion should then be focused on going beyond general statements like “*they don’t understand about climate change*”, to dig deeper into exactly what are the areas of confusion.

### Group Discussion Questions

- Do stakeholders generally have a sufficient level of understanding and awareness for their particular role/ job – given for example that a political leader is not expected to have the same level of expertise as a climate scientist?
- What are the main areas of confusion? Is it mainly on the cause of climate change, its impacts and/or how to respond?
- Are there individuals/ groups of stakeholders who deny climate change is happening?
- How is climate change ‘understood’ or ‘described’ – for example, is it associated primarily with floods or droughts?
- What is the narrative around climate change in the location?



#### **Methodological Note: Generalising stakeholders**

*Stakeholder groups are rarely homogenous, and so ideally specific individuals would be identified, or at least tightly defined sub-groups. However, this would result in a very long list of individuals and groups, and the rating exercise will take a long time. As such, there is a need for some generalisation.*

## INDICATORS

**Table 4: Dimension 3 Indicator Descriptions**

Indicator Description	Score	Justification of Score
<b>3.1 How would you rate the level of understanding and awareness, in general, of each stakeholder group about the current and future impacts of climate change for the location's growth and development, and the location's contribution to climate change?</b>	<b>1:</b> Very Low	Unaware of basic concepts of climate change or general climate change risks
	<b>2:</b> Low	Understands and accepts basic concepts of climate change, not the specific risks for the location's growth and development
	<b>3:</b> Partial	Understands the specific risks for the location's growth and development, but only in a general sense
	<b>4:</b> High	Detailed understanding of the specific risks facing at least one sector in the location due to climate change, and some options for action
	<b>5:</b> Very High	Detailed understanding of the specific risks facing the location due to climate change, and a range of options for action

## DIMENSION 4

### Level of political commitment, in terms of priority and significance accorded by key stakeholders on tackling climate change



**Guidance for facilitating the discussion:** For completing the ratings for this dimension, the same list of stakeholders can be used. However, for the discussion, the interest is primarily on the level of commitment and ownership for tackling climate change among the political leadership. It is often more useful to start by discussing the main priorities of the government in general, and then how tackling climate change fits within these. For example, a government might not state that climate change itself is a priority, but could be focused on tackling a particular impact of climate change – for example, increasing agriculture productivity in the face of increasing occurrence of floods.

#### Group Discussion Questions:

- What are the main priorities of the Government? How significant is climate change as a priority?
- To what extent is there a consensus (e.g. across political parties) on the significance of climate change for the state, and on its implications?
- Does climate change feature on the election manifesto of the political parties? Does it get discussed at election time?
- How much public pressure is there on the Government to take action on climate change? Are there any ongoing or recent public campaigns on climate related issues? Is there any existing research on public perceptions on climate change?
- Is climate change regularly discussed in the media? What type of reporting on climate change gets featured?



## INDICATORS

**Table 5: Dimension 4 Indicator Descriptions**

Indicator Description	Score	Justification of Score
<b>4.1 How would you rate the priority and significance accorded to dealing with climate change by each stakeholder group?</b>	<b>1:</b> Very Low	Climate change risks of no perceived significance or concern
	<b>2:</b> Low	Climate change risks of limited significance and concern
	<b>3:</b> Partial	Climate change risks of some significance and concern, and has stated the need for action identified
	<b>4:</b> High	Climate change risks of substantial priority and concern, and has taken some form of action
	<b>5:</b> Very High	Climate change risks amongst those of highest priority and immediate concern, and has taken significant action

## DIMENSION 5

### Level of participation by, and influence of, key stakeholders on the decision-making process for tackling climate change.



**Guidance for facilitating the discussion:** As per the previous two dimensions, the same list of stakeholders can be used for completing the ratings for this dimension. The issue of a stakeholder's participation and influence over a decision are actually two separate things, as someone can actively participate but still have very little influence over the final outcome and vice versa. It is therefore possible to separate these as two different indicators. However, more important is to separate 'potential' from 'actual' participation and influence. It should also be stressed that influence can be both positive and negative. In addition, the level of participation and sphere of influence of an individual may be specific to a particular sector or issue, rather than in general.

The discussion should focus on which stakeholders have the most potential influence, and so are therefore important actors to engage with. In addition, the discussion can identify and discuss formal and informal mechanisms for how stakeholders engage with the decisionmaking process.

#### Group Discussion Questions:

- To what extent is there consultation and interaction between government and different stakeholder groups on climate change? At what level and in what form do these consultations take place? To what extent do these consultations influence government and other stakeholder actions?
- How difficult is it to access a government official or political figure to bilaterally discuss climate change issues?
- How regularly does the government commission technical advice or support from experts on climate change issues, and does this always get acted upon?
- In the past year, how many times has the government called other stakeholders to discuss climate change in a workshop, conference, event etc? How many times has a non-government actor held such a discussion – and did the government participate?
- If you invited every individual who worked on and/or is interested in climate change in the location – how many people would there be? i.e. how big is the community of practice on climate change?



## INDICATORS

Table 6: Dimension 5 Indicator Descriptions		
Indicator Description	Score	Justification of Score
<b>5.1. How would you rate the level of POTENTIAL participation in, and influence over, climate change policy decisions for different stakeholders?</b>	<b>1:</b> Very Low	Not able to participate in discussions or decision-making processes and have no potential direct influence over policy decisions
	<b>2:</b> Low	Able to participate in discussions or decision making processes to a limited degree (occasional, unstructured, or formal processes of limited significance), with little potential influence over policy decisions
	<b>3:</b> Partial	Able to have regular participation in discussions or decision-making, with some potential influence over decision-making
	<b>4:</b> High	Able to have substantial participation in discussions and decision-making with potential for significant impact on decisions made
	<b>5:</b> Very High	Able to have substantial participation in discussions and decision-making and have potential for decisive influence over decision-making
<b>5.2. How would you rate the level of ACTUAL participation in, and influence over, climate change policy decisions for different stakeholders?</b>	<b>1:</b> Very Low	Does not participate in discussions or decision-making processes and has no actual direct influence over policy decisions
	<b>2:</b> Low	Participates in discussions or decision-making processes to a limited degree (occasional, unstructured, or formal processes of limited significance), but little actual influence over policy decisions
	<b>3:</b> Partial	Regular participation in discussions or decision-making, with some actual influence over decision-making
	<b>4:</b> High	Substantial participation in discussions and decision-making with significant impact on decisions made
	<b>5:</b> Very High	Substantial participation in discussions and decision-making and has decisive influence over decision-making
<b>5.3. Effectiveness of formal government – stakeholder coordination mechanism</b>	<b>0:</b> No mechanism	No formal government - stakeholder coordination mechanism/forum on climate change exists, and no equivalent for other subjects discusses climate;
	<b>1:</b> Very ineffective	No formal government - stakeholder coordination mechanism/forum on climate change exists, but one with a different focus (e.g. water) sometimes discusses climate change
	<b>2:</b> Ineffective	Formal government - stakeholder coordination mechanism/forum on climate change exists but is not operational, has met only a few times and has never informed policy and practice;
	<b>3:</b> Adequate	Formal government - stakeholder coordination mechanism/forum on climate change is semi-operational, meets occasionally and rarely informs policy and practice;
	<b>4:</b> Effective	Formal government - stakeholder coordination mechanism/forum on climate change is operational, meets regularly and often informs policy and practice;
	<b>5:</b> Very Effective	Formal government - stakeholder coordination mechanism/forum on climate change is fully operational, meets regularly and has high degree of influence over policy and practice;

## DIMENSION 6

# Institutional capacity for mainstreaming climate change into development planning, including institutional mechanisms for coordination across government, and between levels of government.



**Guidance for facilitating the discussion:** If a cross-sectoral policy framework is in place for tackling climate change, then this dimension can be reframed to look at effectiveness of the implementation process. This relates to the issue of the institutional set-up and capacity, particularly in key climate related sectoral ministries and departments, to mainstream the actions within their regular annual development planning process. If there is no policy framework in place, then this dimension relates to whether and how climate change is autonomously being integrated into this planning process.

In both instances, two of the most important issues include a) the capacity of the sectoral line ministries or departments for taking action on climate change; and b) the institutional set-up for coordinating across these sectors, including the role of a nodal or responsible ministry or agency, as well as between levels of government (e.g. national, provisional/ state, city).

This dimension is often the most confusing area of the assessment process for Key Informants, which reflects the fact that there has generally been insufficient discussion and thought on how the mainstreaming process should work in practice. To help the discussion, it could be useful to prepare a process diagram for how in general climate change could get tackled in the planning process. The group can then discuss which parts of this process are currently working well, failing or do not exist.

Figure 3 below provides an example of a mainstreaming process at the national level, with the weaknesses and some of the key blockages in the process marked in red.

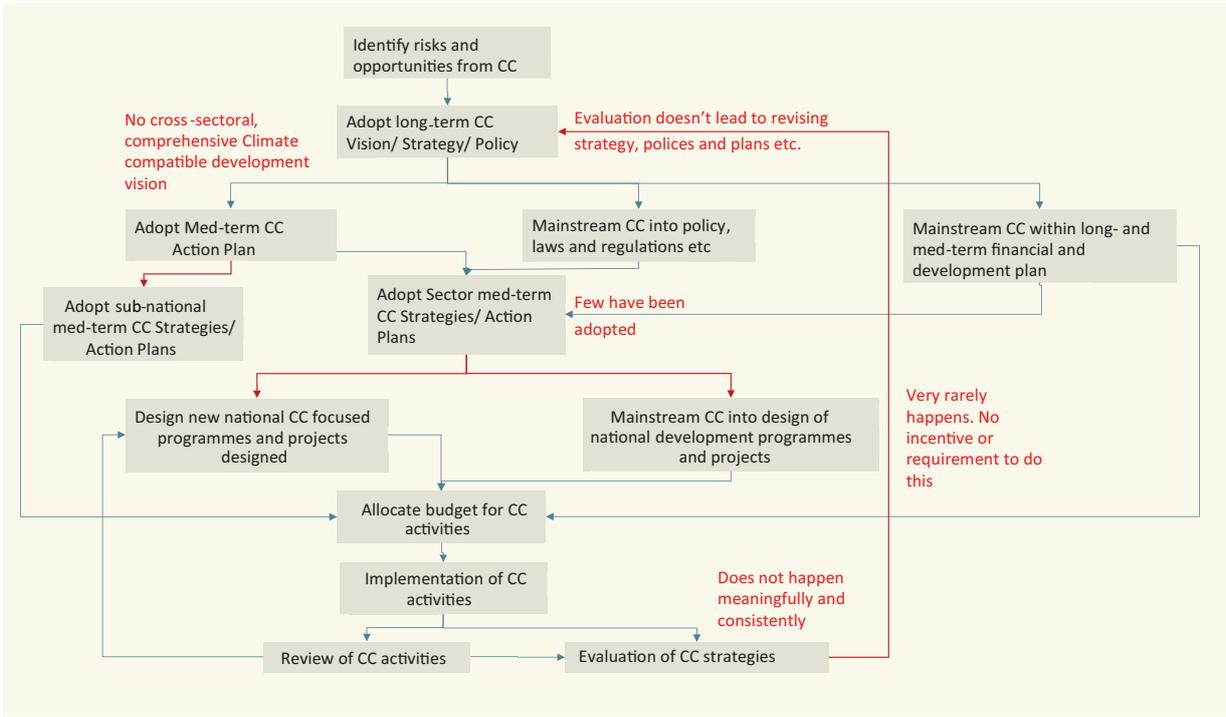


Figure 3: Example of a mainstreaming process map with key blockages identified

An extra step in the discussion could be to ask the group to identify steps that need to be taken to overcome these blockages. This can be particularly helpful when designing a technical assistance programme. Table 8 below provides a template for identifying the actions required to strengthen the process, with an example.

**Table 7: Template for mapping actions to strengthen mainstreaming process**

Action Required	Challenges and Constraints	Most influential Stakeholders	Risks
<b>Example: Strengthen the ownership of the line ministries/ departments over the cross-sectoral policy framework on climate change.</b>	They currently do not recognise that tackling climate change is their responsibility, and there is no incentive/ requirement for them to focus on the climate policy framework.	Minister and senior officials within the line ministries.	The nodal agency for tackling climate change feels their mandate and role is under threat if the line ministries become more active.

**Group Discussion Questions**

- What are the bottlenecks in the planning and budgeting process for climate change? Describe the strengths and weaknesses of the planning and budgeting process where relevant for climate change.
- What is required to make the planning and budgeting process more effective?
- What is the capacity of the responsible ministry/department and officer for managing the government's response to climate change? What is their relative power and authority over the rest of Government? Does this individual have a background in climate change?
- What is the capacity of the sectoral ministries/ departments for taking action on climate change? Is there a nominated officer responsible for tackling climate change in each line ministry/department? What incentive or requirements are there for the ministries/ departments to take action on climate change? Have they received any training on the subject?
- What inter-sectoral arrangements are in place for coordinating the preparation and implementation of climate change policies? Who participates in and leads these arrangements? What is the relative commitment to the key member institutions? Consider both the formal arrangements and how they operate in practice.
- What inter-government arrangements are in place for coordinating action between different levels of government, such as national, provisional/ state, local and city? Who participates in and leads these arrangements? What is the relative commitment to the key member institutions? Consider both the formal arrangements and how they operate in practice.



## INDICATORS

Table 8: Dimension 6 Indicator Descriptions		
Indicator Description	Score	Justification of Score
<b>6.1 What is the authority of the lead agency for climate change within government?</b>	<b>0:</b> No lead agency	No ministry/department has been nominated as the lead agency for climate change
	<b>1:</b> Very Limited	Lead agency for climate change has been nominated but has no convening and decision- and budgeting- making powers vis-à-vis line ministries (e.g. weak environment ministry)
	<b>2:</b> Limited	Lead agency for climate change has very limited amount of convening and decision- and budgeting- making powers vis-à-vis line ministries (e.g. environment ministry)
	<b>3:</b> Partial	Lead agency for climate change has some convening and decision- and budgeting- making powers vis-à-vis line ministries (e.g. weak planning department)
	<b>4:</b> Comprehensive	Lead agency for climate change has some convening and decision- and budgeting- making powers vis-à-vis line ministries (e.g. quite powerful planning department)
	<b>5.</b> Very comprehensive	Lead agency for climate change has complete convening and decision- and budgeting- making powers vis-à-vis line ministries (e.g. PMO, very powerful ministry or finance planning)
<b>6.2. What is the capacity of the line ministries/ departments for tackling climate change?</b>	<b>1:</b> Very Limited	No line ministry/ department has nominated climate change focal persons, and hardly any staff have received training on climate change. No sectoral strategies/ plans on climate change in place.
	<b>2:</b> Limited	Very few line ministries/ departments have a nominated climate change focal person, and very few staff have received training on climate change. Very few sectoral strategies/ plans in place, and are not being followed.
	<b>3:</b> Partial	A few line ministries/ departments have a nominated climate change focal person, and a few staff have received training on climate change. Some sectoral strategies/ plans in place, but very few are being followed.
	<b>4:</b> Comprehensive	Most line ministries/ departments have at least one nominated climate change focal person, and some staff have received training on climate change. Many sectoral strategies/ plans in place, and some are being followed.
	<b>5.</b> Very comprehensive	Each line ministry has a dedicated climate change cell/ office staffed with more than 3 climate change experts, and most staff have received significant training on climate change. All have sectoral strategies/ plans in place, and most are being followed.

**Table 8: Dimension 6 Indicator Descriptions**

Indicator Description	Score	Justification of Score
<b>6.3. How effective are the coordination mechanisms for tackling climate change?</b>	<b>0:</b> No mechanism	No coordination mechanism is in place.
	<b>1:</b> Very Limited	There is no formal coordination committee for climate change in place, but occasionally line ministries/ departments are convened on an ad-hoc basis to discuss the issue.
	<b>2:</b> Limited	Coordination committee for climate change exists but has no decision-making powers, is headed by a mid-senior official, involves junior officials from a few line ministries/ departments, and has met just a few times
	<b>3:</b> Partial	Coordination committee for climate change has very limited decision-making powers, is headed by a senior official, involves officials from most line ministries/ departments, and meets infrequently
	<b>4:</b> Comprehensive	Coordination committee for climate change has some decision-making powers, is headed by a Minister, involves senior officials from most key line ministries/ departments, and meets quite regularly
	<b>5:</b> Very comprehensive	Coordination committee for climate change has full decision-making powers, is headed by the Head of State, involves ministers from all key line ministries/ departments, and meets regularly

## DIMENSION 7

### Investment in mainstreaming climate change into development planning, including availability of public and private sector funding and international climate finance.



**Guidance for facilitating the discussion:** The discussion on this dimension may be quite limited if there are no finance and budgeting experts within the group. Most of the analysis, and completing the indicators, can happen at the next step of the assessment process which involves a document and literature review. However, the group can discuss whether a lack of finances is an actual or perceived constraint.

#### Group Discussion Questions:

- Is a lack of funding the primary constraint to tackling climate change?
- Where does the government expect the funding to tackle climate change to come from – domestic, international, private sources?
- Is the government interested in accessing international sources of climate finance? What steps have they taken to access it, in terms of building institutional capacity? Is the location 'ready' to receive funding from the Green Climate Fund?
- What internal tools and processes exist to help sector ministries/ departments to consider climate change when planning and budgeting? Describe any planning and budgeting tools and processes which are routinely used for integrating climate change concerns within the policy- and decision-making process, such as: climate change mentioned within the annual budget circular, climate risk screening of sectoral budget and project proposals etc.



## INDICATORS

**Table 9: Dimension 7 Indicator Descriptions**

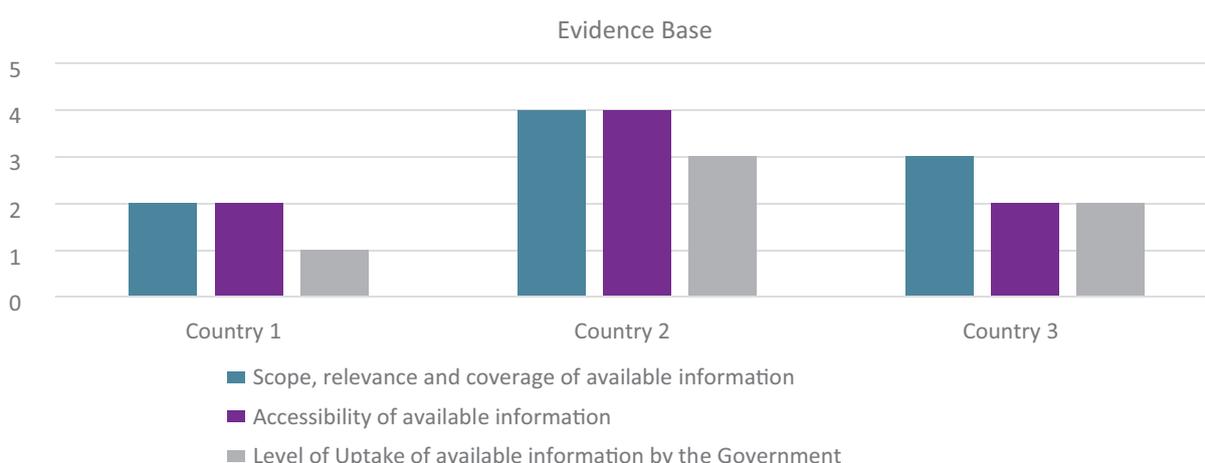
Indicator Description	Score
<b>7.1 Approximate proportion of last year's annual development budget which is contributing to tackling climate change?</b>	% of the annual development budget which can be classified as contributing climate change.
<b>7.2 Estimated amount of international adaptation climate finance approved for the country in the last year?</b>	Total amount of climate finance received (USD)

Note, for both these indicators, it is possible to establish ratings which set bands for the amount of development budget which contributes to tackling climate change, and amount of climate finance available respectively. These can be set on the basis of recent trends and/or comparable rates in neighbouring or similar locations.

### 7.1 SYNTHESISE RESULTS INTO AGGREGATE RATINGS AND A NARRATIVE

One of the most difficult steps is to take all the individual ratings from each of the Key Informants and aggregate them into a single rating. The challenge is that some of the Key Informants will have misunderstood or understood them very differently, giving outlier scores that skew the results. There are statistical options for overcoming this, but the most practical approach is to spend more time clarifying with the group the criteria and definitions for the ratings. After completing the ratings individually, the group can then discuss their results to see if there is consensus or whether there are stark differences which should be recorded.

The final results can be presented in any form, depending on the expected use of the assessment. Each dimension should have a narrative description, together with the aggregate ratings of the indicators. It is possible to present the ratings in multiple ways. Figure 4 shows an example of how to compare the results of a single dimension with multiple indicators from multiple locations, and figure 4 an example of comparing a dimension across multiple years.



**Figure 4: An example of presenting the results of indicators from multiple locations**



**Figure 5: An example of presenting the results of indicators over multiple years**

The methodology for this assessment intentionally does not quantify everything. Not all the dimensions include indicators that can be rated. As such, there is no methodologically robust way of providing a single score for each dimension and/or the location as a whole. The assessment has been designed as such to put more focus on the narrative and description of the context for each dimension, which will provide more useful insights than a single score.

However, if there is a need to provide a single score for each dimension and/or the location as a whole, then this can be done but based on the judgement of the facilitator or the Key Informants. If the assessment results will be compared with other locations, or repeated regularly to compare across time periods, then then the same person, or at least a consistent process, needs to be used to make this judgement.

## 7.5 VALIDATE FINDINGS

The assessment results should be validated to limit the personal bias of the final author. This validation process can be as light-touch or extensive as it demands. The final report can be shared with some or all of the Key Informants to ensure the results reflect the discussion. It can also be valuable to share with individuals who were not involved in the process.

### Additional Steps:

#### Identify targets and immediate entry-points

This is an optional step in the assessment process, most relevant to those completing the assessment to help design a technical assistance or other type of programme. It involves reflecting on the assessment results, and identifying opportunities for strengthening and improving the situation. This can be completed in various ways, including by a single individual or during the Key Informant Discussion, but crucially needs to involve the programme team.

Table 10 provides an example of thresholds to reach or targets, and immediate entry-points for a location. The targets are defined here in terms of what can be achieved within the 5 year period of the programme, and

immediate entry-points are opportunities which can be utilised in the first year. The 'current status' rating uses a traffic light system, but a quantitative rating could be used.

<b>Table 10: Example of targets and immediate entry-points for a location</b>			
<b>Dimension</b>	<b>Current Status</b>	<b>Threshold for change/target</b>	<b>Immediate Entry Points</b>
<b>Adequacy of the evidence available on climate change in the location, including its relevance, accessibility and the level of uptake.</b>		<ul style="list-style-type: none"> <li>A central repository established for all available information and research on climate change.</li> </ul>	<ul style="list-style-type: none"> <li>The Government is committed to e-governance, and this could fall under this remit.</li> </ul>
<b>Level of awareness and understanding of key stakeholders on tackling climate change.</b>		<ul style="list-style-type: none"> <li>More clarity about what is additional or new about mainstreaming climate, rather than sustainable development.</li> <li>Responsibility for tackling climate change broadened to include private sector.</li> </ul>	<ul style="list-style-type: none"> <li>Private sector has already expressed its wish to understand more about adaptation, and take action.</li> </ul>
<b>Level of political commitment, in terms of priority and significance accorded by key stakeholders on tackling climate change.</b>		<ul style="list-style-type: none"> <li>Political will built for a cross-sectoral vision for tackling climate change, rather than sectoral piecemeal approach.</li> </ul>	<ul style="list-style-type: none"> <li>Senior government official is now engaging in the process and taking cross-sectoral perspective.</li> </ul>
<b>Level of participation and influence of key stakeholders on the decision-making process for tackling climate change</b>		<ul style="list-style-type: none"> <li>A formal mechanism established for consultation on crosssectoral climate change issues with stakeholders.</li> </ul>	<ul style="list-style-type: none"> <li>There is an active and broad civil society and research community, well informed on the subject.</li> </ul>
<b>Status of the policyframework for tackling climate change, including adequacy and level of implementation and monitoring and evaluation.</b>		<ul style="list-style-type: none"> <li>Senior policy makers understand and accept the value of having a policyframework, and how it fits with existing action on adaptation at the sectoral level.</li> </ul>	<ul style="list-style-type: none"> <li>Senior officials are now engaged in the process, and are taking personal ownership over it.</li> </ul>
<b>Institutional capacity for mainstreaming climate change into development planning, including institutional mechanisms for coordination across government.</b>		<ul style="list-style-type: none"> <li>Guidance and incentives, in place for further sectoral mainstreaming, while the policyframework monitors this action across sectors, and identifies new opportunities.</li> </ul>	<ul style="list-style-type: none"> <li>It has been proposed to Cabinet that the Steering Committee be made permanent.</li> </ul>
<b>Investment in mainstreaming climate change into development planning, including availability of public and private sector funding and international climate finance.</b>		<ul style="list-style-type: none"> <li>In-house capacity in place within the government for applying for international funding, and monitoring spend.</li> </ul>	<ul style="list-style-type: none"> <li>There is interest in accessing national and international climate finance, as it is flexible, and could be an incentive for further mainstreaming.</li> </ul>

### **Publish results**

The Assessment was designed with the primary purpose of informing the design and monitoring of a programme. It was therefore originally considered an internal tool to guide the decision-making of the programme. As such, the final findings of the assessment were never expected to be published, partly because the subjective nature of the inputs into the process.

However, there is no reason why the results cannot be published, although it is advised to make it clear that they do not attempt to provide a full evaluation of the performance of any government. The Key Informants should also be informed in advance that the results will be published but their anonymity will be respected.

**Repeat assessment process annually, or as required**

The Assessment can be repeated to form part of a programme monitoring function, tracking changes in the context. Ideally, the full process is repeated, reconvening the Key Informants for a follow-up discussion. However, time and resources might require a more streamlined process.

The challenge is how to attribute responsibility for any of the positive (or negative) changes which have occurred, and there is a risk of a programme wanting to claim undue credit for changes in the context. It is therefore important to present the process as separate from the routine monitoring and evaluation function where the focus is on showing results. Therefore, there are two questions which should be answered by the group:

- What has changed?
- Why has this change happened?

Table 11 presents an example of how to report on an update in the context for one dimension.

Table 11: Template for Update of a Dimension			
Dimension 1: Availability and use of accurate and relevant information on climate change and its impact on growth and development		Status last year	Current Status
Key Question	What has changed?	Why has this change happened?	
Availability of Evidence:			
Accessibility of Evidence:			
Usefulness of Evidence:			
Indicator	Rating last year	Current rating	Justification
Scope, relevance of and coverage available information			
Accessibility of available information			
Level of uptake of the available information by Government			

# Annexures



## Annex I: Templates of hand-outs for scoring indicators

The following tables provide a template for hand-outs for the Key Information Discussion for scoring the indicators.

1.1. Scope, relevance and coverage of available information		
Rating	Description	Tick
<b>0:</b> No information	No information on climate change in the location is available.	
<b>1:</b> Very Limited	An assessment of current (not future) impacts of climate change, covering one sector (not disaggregated at local level) is available. Sectors studied are not economically or politically important. Provides no recommendations for adaptation.	
<b>2:</b> Limited	An assessment of current (not future) impacts of climate change, covering a few sectors (not disaggregated at local level) is available. Sectors studied have limited economic and political importance. Provides limited and vague recommendations for adaptation	
<b>3:</b> Partial	An assessment of current and future impacts of climate change, covering a few sectors (not disaggregated at local level) is available. Sectors studied were not explicitly selected for economic and political relevance, but still valid. Provides lots of recommendations for adaptation, but without clear guidance for how to put into practice.	
<b>4:</b> Comprehensive	An assessment of current and future impacts of climate change, covering some sectors and some local levels, is available. Sectors, sub-sectors and localities studied were explicitly chosen for their economic and political relevance. Provides lots of recommendations for adaptation, with some prioritisation. Some limited guidance on how to put into practice.	
<b>5:</b> Very Comprehensive	An assessment of current and future impacts of climate change, covering all major sectors and local levels, is available. Sectors, sub-sectors and localities studied were explicitly chosen for their economic and political relevance. Provides lots of recommendations for adaptation, with prioritisation, and sequencing of actions. In-depth guidance on how to put into practice.	
1.2. Accessibility of available information		
Rating	Description	Tick
<b>0:</b> No information	No information on climate change in the location is available.	
<b>1:</b> Very inaccessible	Largely available in hard copy only	
<b>2:</b> Inaccessible	Largely available in electronic version, but not online	
<b>3:</b> Partial	Largely available online (but not on government website)	
<b>4:</b> Accessible	Largely available online (including government website)	
<b>5:</b> Very Accessible	Largely available on multiple government and other websites and/or on a central portal housing all information about climate change for that location.	
1.3. Level of uptake of available information by the Government		
Rating	Description	Tick
<b>0:</b> No information	No information on climate change in the location is available.	
<b>1:</b> Very Limited	Nodal officers aware of main findings, but no evidence of informing policy or practice	

<b>2:</b> Limited	Some government officers aware of main findings, but no evidence of informing policy or practice	
<b>3:</b> Partial	Large number of government officers aware of detailed content, with some anecdotal evidence of informing policy or practice	
<b>4:</b> Comprehensive	Large number of government officers aware of detailed content, with significant anecdotal evidence of informing policy or practice	
<b>5:</b> Very Comprehensive	Large number of government officers aware of detailed content, with significant anecdotal and concrete evidence of informing policy or practice	

### 2.1. What is the status of adoption of the policy framework

Rating	Description	Tick
<b>0:</b> No policy framework	There is no policy framework on climate change	
<b>1:</b> Very Limited	Policy framework is currently being drafted	
<b>2:</b> Limited	Final draft of the policy framework is completed	
<b>3:</b> Partial	Final draft of the policy framework submitted to the responsible political leader and awaiting sign-off	
<b>4:</b> Secure	Policy framework approved by the responsible political leader, and submitted to the cabinet/parliament for adoption	
<b>5:</b> Very secure	Policy framework adopted as government policy	

### 2.2. Adequacy of the policy framework

Rating	Description	Tick
<b>0:</b> No policy framework		
<b>1:</b> Very Limited (1 present)	How many of the following characteristics of the policy-framework are present:	
<b>2:</b> Limited (2 present)	<ul style="list-style-type: none"> <li>Based on assessment of climate change risks and cost-benefit analysis of adaptation options</li> </ul>	
<b>3:</b> Partial (3 present)	<ul style="list-style-type: none"> <li>Explicitly based on and aligned with state development strategies;</li> <li>Developed in a participatory fashion, with significant inputs from all stakeholders and parts of government;</li> </ul>	
<b>4:</b> Comprehensive (4 present)	<ul style="list-style-type: none"> <li>Includes implementation framework, with details on sequencing and prioritisation of actions, responsible implementing actors etc.</li> <li>Includes a detailed and comprehensive budget for implementation, and identifies source of finance</li> </ul>	
<b>5:</b> Very Comprehensive (5-6 present)	<ul style="list-style-type: none"> <li>Includes detailed monitoring and implementation framework with targets and responsible actors for monitoring</li> </ul>	

### 2.3. To what extent has the policy framework been implemented

Rating	Description	Tick
<b>0:</b> No policy framework	There is no policy framework on climate change	
<b>1:</b> Very Limited	No evidence that the plan has resulted in policy actions or new and additional investment	
<b>2:</b> Limited	Very little influence on policy or investment	
<b>3:</b> Partial	Some influence on policy or investment	
<b>4:</b> Comprehensive	Substantial influence on policy or investment	
<b>5:</b> Very comprehensive	Transformative influence on policy and investment	

## 2.4. To what extent is progress in implementing the policy-framework being monitored and reported on?

Rating	Description	Tick
<b>0:</b> No policy framework/ system	There is no policy framework on climate change and/or no monitoring and reporting system in place.	
<b>1:</b> Very Limited	Monitoring and reporting system in place but not being followed	
<b>2:</b> Limited	Monitoring and reporting system in place, but only happening in an adhoc and occasional manner.	
<b>3:</b> Partial	Regular monitoring and reporting of implementation being carried out; covers only measuring financial inputs.	
<b>4:</b> Comprehensive	Regular monitoring and reporting of implementation being carried out; covers both measuring financial inputs, and to a limited extent results of action	
<b>5:</b> Very comprehensive	Regular monitoring and reporting of implementation being carried out; covers both measuring financial inputs, and comprehensive studies results and impacts	

## Indicators 3.1- 5.2: Stakeholder Analysis (see definitions in section 5.2)

Stakeholder name	Understanding and awareness	Priority and significance	Potential participation and influence	Actual participation and influence
E.g. Prime Minister	4	2	5	1

## 5.3. Effectiveness of formal government – stakeholder coordination mechanism

Rating	Description	Tick
<b>0:</b> No mechanism	No formal government - stakeholder coordination mechanism/forum on climate change exists, and no equivalent for other subjects discusses climate;	
<b>1:</b> Very ineffective	No formal government - stakeholder coordination mechanism/forum on climate change exists, but one without climate change focus sometimes discusses the issue	
<b>2:</b> Ineffective	Formal government - stakeholder coordination mechanism/forum on climate change exists but is not operational, has met only a few times and has never informed policy and practice;	
<b>3:</b> Adequate	Formal government - stakeholder coordination mechanism/forum on climate change is semi- operational, meets occasionally and rarely informs policy and practice;	
<b>4:</b> Effective	Formal government - stakeholder coordination mechanism/forum on climate change is operational, meets regularly and often informs policy and practice;	
<b>5:</b> Very Effective	Formal government - stakeholder coordination mechanism/forum on climate change is fully operational, meets regularly and has high degree of influence over policy and practice;	

### 6.1 What is the authority of the lead agency for climate change within government?

Rating	Description	Tick
<b>0:</b> No lead agency	No ministry/department has been nominated as the lead agency for climate change	
<b>1:</b> Very Limited	Lead agency for climate change has been nominated but has no convening and decision- and budgeting- making powers vis-à-vis line ministries (e.g. weak environment ministry)	
<b>2:</b> Limited	Lead agency for climate change has very limited amount of convening and decision- and budgeting- making powers vis-à-vis line ministries (e.g. environment ministry)	
<b>3:</b> Partial	Lead agency for climate change has some convening and decision- and budgeting- making powers vis-à-vis line ministries (e.g. weak planning department)	
<b>4:</b> Comprehensive	Lead agency for climate change has some convening and decision- and budgeting- making powers vis-à-vis line ministries (e.g. quite powerful planning department)	
<b>5:</b> Very comprehensive	Lead agency for climate change has complete convening and decision- and budgeting- making powers vis-à-vis line ministries (e.g. PMO, very powerful ministry or finance planning)	

### 6.2. What is the capacity of the line ministries/ departments for tackling climate change?

Rating	Description	Tick
<b>1:</b> Very Limited	No line ministry/ department has nominated climate change focal persons, and hardly any staff have received training on climate change. No sectoral strategies/ plans on climate change in place.	
<b>2:</b> Limited	Very few line ministries/ departments have a nominated climate change focal person, and very few staff have received training on climate change. Very few sectoral strategies/ plans in place, and are not being followed.	
<b>3:</b> Partial	A few line ministries/ departments have a nominated climate change focal person, and a few staff have received training on climate change. Some sectoral strategies/ plans in place, but very few are being followed.	
<b>4:</b> Comprehensive	Most line ministries/ departments have at least one nominated climate change focal person, and some staff have received training on climate change. Many sectoral strategies/ plans in place, and some are being followed.	
<b>5:</b> Very comprehensive	Each line ministry has a dedicated climate change cell/ office staffed with more than 3 climate change experts, and most staff have received significant training on climate change. All have sectoral strategies/ plans in place, and most are being followed.	

### 6.3. How effective are the coordination mechanisms for tackling climate change?

Rating	Description	Tick
<b>0:</b> No mechanism	No coordination mechanism is in place.	
<b>1:</b> Very Limited	There is no formal coordination committee for climate change in place, but occasionally line ministries/ departments are convened on an ad-hoc basis to discuss the issue.	

<b>2: Limited</b>	Coordination committee for climate change exists but has no decisionmaking powers, is headed by a med-senior official, involves junior officials from a few line ministries, and has met just a few times	
<b>3: Partial</b>	Coordination committee for climate change has very limited decisionmaking powers, is headed by a senior official, involves officials from most line ministries, and meets infrequently	
<b>4: Comprehensive</b>	Coordination committee for climate change has some decision-making powers, is headed by a Minister, involves senior officials from most key line ministries, and meets quite regularly	
<b>5: Very comprehensive</b>	Coordination committee for climate change has full decision-making powers, is headed by Head of State, involves ministers from all key line ministries, and meets regularly	

### 7.1 Approximate proportion of last year's annual development budget which is contributing to tackling climate change?

<b>Rating</b>	<b>Description</b>	<b>Tick</b>
<b>1: Very Low</b>	Under [X]% of the annual development budget which can be classified as contributing climate change.	
<b>2: Low</b>	Over [X]% of the annual development budget which can be classified as contributing climate change.	
<b>3: Medium</b>	Over [X]% of the annual development budget which can be classified as contributing climate change.	
<b>4: High</b>	Over [X]% of the annual development budget which can be classified as contributing climate change.	



## Background to the Action on Climate Today (ACT) programme

Action on Climate Today (ACT) is a DFID funded regional programme which aims to transform systems of planning and delivery for adaptation to climate change in South Asia. It is also attracting further climate change investment from the public and private sector.

Managed by Oxford Policy Management (OPM), the programme is working with governments in Afghanistan, Bangladesh, India, Nepal and Pakistan, and in six states in India (Assam, Bihar, Chhattisgarh, Kerala, Maharashtra and Odisha).

The overall theory of change for the programme is that by strengthening the governance systems and policy environment for climate change it is possible to influence the amount and type of investment in tackling climate change, which will ultimately improve the resilience of vulnerable communities.

Some of the activities include linking planning and budgetary frameworks on climate change, developing decision-making support tools, and creating strong systems for transparency, accountability and feedback. In addition the programme is providing technical support to design and deliver targeted climate resilience measures, such as early-warning systems for natural disasters, climate-smart agriculture practices, and urban flood planning.

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