ICAT | INITIATIVE FOR Climate Action Transparency

CCBA ICAD

# Initiative for Climate Action Transparency - ICAT

## ICAT Stakeholder Participation Pilot Case Study:

Stakeholder Participation

# An Assessment of Stakeholder Participation in Malawi's National Climate Change Management Policy, and Implementation, Monitoring and Evaluation Strategy for the National Climate Change Management Policy

UNEP DTU PARTNERSHIP

WORLD RESOURCES INSTITUTE

## ICAT Stakeholder Participation Pilot Case Study:

# An Assessment of Stakeholder Participation in Malawi's National Climate Change Management Policy, and Implementation, Monitoring and Evaluation Strategy for the National Climate Change Management Policy


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# LIST OF ACRONYMS

| | |
|---|---|
| CISANET | Civil Society Agriculture Network |
| CISONECC | Civil Society Network on Climate Change |
| COWFA | Coalition of Women Farmers |
| CSO | Civil Society Organisation |
| DAPP | Development Aid for People to People |
| EPA | Extension Planning Area |
| FAO | Food and Agriculture Organisation |
| FEDOMA | Federation of Disability Organization in Malawi |
| FFS | Farmers Field Schools |
| GHGs | Greenhouse gasses |
| GIZ | Deutsche Gesellschaft fur Intenationale Zusammenarbeit |
| ICAD | Initiative for Climate Action and Development |
| ICAT | Initiative for Climate Action Transparency |
| MACOHA | Malawi Council for the Handicapped |
| NASFAM | National Smallholder Farmers' Association of Malawi |
| NCCMP | National Climate Change Management Policy |
| NDC | Nationally Determined Contribution's |
| NGO | Non-Governmental Organisation |
| NYNCC | National Youth Network on Climate Change |
| SDGs | Sustainable Development Goals |
| UNEP – DTU | United Nation Environmental Program – Denmark Technical University |

# SUMMARY OF OUTCOMES

Key lessons learned:

- The Guidance was an excellent tool and appropriate for this assessment
- The governments Implementation, Monitoring and Evaluation Strategy does not provide for the monitoring and evaluation of community participation. The same applies for marginalized groups where the monitoring and evaluation requirement relates to their consideration in projects and programmes of government.
- Interviews with representative organisations of stakeholders found a mixed response. Organisations of disabled, women farmers and handicapped were not consulted, however youth, civil society organisations and human rights groups were consulted
- Participants in farmers field schools (FFS) which were being assessed in a parallel pilot of the ICAT Sustainable Development Guidance found respondents were engaged, stating the participation was of major magnitude, positive and significant.
- The assessment identifies lack of coordination and leadership across sectors and between stakeholder groups as critical areas of concern.
- Stakeholders indicated the lack of a well-structured Policy results monitoring and evaluation framework leading to failure to measure targets and report on progress achieved as well as operationalizing the Implementation and Evaluation Strategy for the National Climate Change Management Policy.

Methods used:

- The research adopted a mixed methods approach of literature review and survey of relevant stakeholders as a qualitative study

Results achieved

- Application of the Guidance finds it is an excellent text to guide others developing a methodology for an assessment. However, modifications would benefit practitioners who are relying on the Guidance in its entirety
- The Guidance would benefit by the inclusion of the principles of relevance, completeness, consistency, transparency and accuracy as are presented in the Sustainable Development Guidance

# 1. OVERVIEW

## 1.1 The Project

This project assesses the effectiveness and efficiency of the participation by community stakeholders in the Malawi National Climate Change Management Policy 2016 (NCCMP) design, implementation and assessment. The assessment applies the principles of the ICAT Stakeholder Participation Guidance.

The NCCMP is the governing instrument for the governments approach to the management of the impacts of climate change. It is supported by Implementation, Monitoring and Evaluation Strategy 2016 (M&E Strategy).

The Implementation, Monitoring and Evaluation Strategy Section 3: Implementation Plan, Priority Area 6.4 Objective 4 is “To promote community participation in climate compatible development by providing for adequate stakeholder consultations”. It allocates responsibility to the Environmental Affairs Department, NGO’s, Private Sector, Development Partners and the Media. There is however no provision for monitoring the implementation of this Objective. For other Objectives, Section 4 Monitoring and Evaluation Plan nominates Outputs, Performance Indicator, Target, Baseline, and Source of Verification. No such indicators are included to measure the progress of implementation of the community participation Objective.

## 1.2 Methodology

The research adopted a mixed methods approach of literature review and survey of relevant stakeholders as a qualitative study.

The NCCMP and the M&E Strategy distinguish between Community Participation, and Gender and Disadvantaged Groups participation, providing for consideration of, and engagement with, disadvantaged groups when designing and implementing plans, projects and programmes (NCCMP 3.6; M&E Strategy 2.6.3). The Performance targets are that at least 5 programmes and projects have included vulnerable groups, and they are included in 100% of all climate change mitigation programmes and projects (M&E Strategy, Policy Priority Area 6, Outcome 6).

The ICAT methodology introduces as a Key Concept the inclusion of marginalised people or groups as a stakeholder in the participation communities. This is consistent with the ICAD organizational objectives and was always the intension of ICAD in the conduct of this research. The research for this Project includes marginalized groups as stakeholders and as a valuable source of relevant data in the assessment of the effectiveness of community participation. This dichotomy was not considered when the Terms of Reference for the Pilot were being developed and although marginalized groups were considered in the identification of impact categories, specific impacts and indicators, these were not directly linked to NCCMP 3.6; M&E Strategy 2.6.3, an oversight which has been addressed through the stakeholder identification and is introduced into the data collection and analysis.

The data for this assessment was gathered from direct interviews and focus groups of identified stakeholders in communities, including marginalized groups and through their representative organisations. Interviews were guided by a detailed questionnaire prepared to specifically establish the extent of engagement in the process of policy development and implementation. The indicators used to frame the questionnaires are included as Appendices 1 and 2. The Policy Priority Areas selected as relevant, the objectives and strategies form the content of the stakeholder participation assessment. Questionnaires developed for a parallel pilot of the ICAT Sustainable Development Guidance were adapted to also provide relevant data of the stakeholder participation and is included in this assessment.

The outcomes from this assessment are expected to provide important information to the government and other stakeholders that will fill a gap in the monitoring and evaluation of the governments policy and strategies, and that is not otherwise available to other stakeholders.

# 2. ASSESSMENT OF STAKEHOLDER CONSULTATION PROCESS

## 2.1 Identifying and understanding stakeholders

In addressing the identification of stakeholders, an understanding of the work of ICAD helps establish a platform on which those recommendations build. ICAD has established links with most of the stakeholder's groups identified by the government as stakeholders to be engaged in the climate change policy development and implementation. ICAD is also committed to "higher ideals of governance and a commitment to improve the wellbeing of the communities" which, with the backing of a Board of established professional and academic leaders and committed staff has earned its credentials among target audiences and with government.

The process applied to this assessment has been sensitive to the principles of inclusiveness, transparency, responsiveness, accountability and respect for rights. Details are provided throughout the relevant Chapters of this report.

Government and other civil society organisations were contacted to assist in the identification of appropriate stakeholders. As well, stakeholders identified in the pilot of the ICAT Sustainable Development Guidance who were experts from government and UN agencies, farmers and impacted communities were interviewed. Announcements more broadly through newspaper notices and at other public meetings were not considered necessary to enhance the objectivity of the assessment, or the engagement of interested and relevant stakeholders.

Stakeholders were identified in three categories:

*Category 1: Government stakeholder engagement, UN Agencies and international donors:* The Director of Planning and Development (DPD) provided names of responsible officers who are relevant to the assessment.

*Category 2: Non-governmental/Civil Society Organization (NGO/CSO) stakeholder engagement*: Stakeholders from the NGO/CSO sector were identified in consultation with the Civil Society Network on Climate Change (CISONECC) and Civil Society Agriculture Network (CISANET).

*Category 3: Community stakeholder engagement:* Community stakeholders were identified in consultation with international donor and local agencies as well as government departments that are implementing climate change programmes guided by the NCCMP. We also consulted the National Youth Network on Climate Change (NYNCC), Coalition of Women Farmers (COFWA) and Federation of Disability Organization in Malawi (FEDOMA) – that represent youth, women, and people with disabilities.

Further and as has been mentioned, participants in the Sustainable Development Guidance assessment were asked to indicate their opportunity for involvement in the policy development process. While not involved in the FFS programme development, they were actively involved in the implementation and feedback used to refine the programme for future courses. Even so, there has not been a process established for evaluating the medium to longer term impacts.

## 2.2 Planning effective Stakeholder Participation; Providing information to stakeholders

The Advisory Group formed to manage the project comprised the ICAD

- Executive Director, Mr Gift Richard Maloya
- Project Manager, Mr Amos Banda
- International Development Manager: Dr Peter J Glynn

The broader objective of the Project was to assess the extent and effectiveness of community engagement in the development of the NCCMP, and the implementation, monitoring and evaluation strategy. The primary purpose was to pilot the ICAT Stakeholder Participation Guidance. The conduct of this pilot created the opportunity and a formalised methodology to

- Identify any gaps in the participation by communities
- Consistent with ICADs organisational objectives, ensure marginalised groups were informed and able to engage in the ongoing process of implantation of this and iterations of the NCCMP
- Establish a monitoring and evaluation mechanism for community participation to inform government and other agencies that was not currently part of the NCCMP M&E Strategy

The stakeholder participation planning was commenced at the start of this project. The NCCMP and the three farmers field school initiatives that were the focus of the assessment were all at the implementation stage, albeit in the early stages. It was found that some stakeholders had not been engaged in the Policy development phases, this Stakeholder Participation Plan should provide a template for the M&E, and for engagement in future initiatives.

The assessment was being conducted over a short time frame of two months, allowing little time for iterative adaptation. However, it was found that the methodology was suitable for the assessment, the stakeholder identification was comprehensive and appropriate, and no gaps were identified. The Stakeholder Participation Plan adopted for this pilot would provide an appropriate template for further assessments.

As has been reported earlier, the assessment of stakeholder participation in the NCCMP has been linked to three Farmers Field School initiatives which are being assessed under the ICAT Sustainable Development Guidance for Policy Priority Area 3.4 of the NCCMP (Policy Priority Area 4 of the NCCMP M&E Strategy): Research, technology development and transfer, and systematic observation.

The methodology for the assessment was a qualitative study using data collection by interviews with experts, stakeholder focus groups, and individuals in the communities. Questionnaires developed for the interviews that asked the likelihood (unlikely/possible/likely/very likely), magnitude (minor/moderate/major), positive/negative impact, and significant (yes/no). The questionnaires identified in the NCCMP the relevant specific impacts and indicators. Relevant indicators for the SDGs were selected from the Sustainable Development Guidance.

All stakeholders identified agreed to participate in the interviews. Interviews were arranged by telephone or personal meeting at which time the participant was briefed about the objectives and process. A further briefing in a standardised form was presented at the commencement of each interview. This format was considered appropriate for the audience who were already informed about the NCCMP and in most cases had some level of previous engagement in that process.

## 2.3 Establishing multi-stakeholder bodies

Multi-stakeholder bodies were not either used or created to disseminate or extend the reach of the assessment. This was not considered necessary given the nature of the subject being assesses ie the NCCMP which was well known and understood by the stakeholders. However, multi-stakeholder bodies were integral to the data collection process.

The representative bodies for civil society, the marginalized, and the specialist groups (farmers field schools) were interviewed through their nominated representative as an expert, and through focus groups of their membership which were usually 20-30 members and where consistent with their membership were a spread of females and males.

The multi-stakeholder bodies that were engaged in the assessment were FEDOMA (disabilities), CISONECC (climate change NGO), MACOHA (handicapped), Action Aid (human rights), COWFA (women farmers), NYNCC (youth), ACTIVISTA (Action Aid's youth network), and Farmers Field School participants

Those interviewed for the stakeholder participation assessment only were not region specific whereas the farmers field school focus groups were identified for 12 regions across Malawi.

All interviews in the Stakeholder Participation assessment were conducted using the one standard questionnaire. The questionnaire for participants in the Sustainable Development Guidance was adapted to ensure consistency where relevant with the Stakeholder Participation questions.

## 2.4 Designing and conducting consultations

Consultations were conducted as interviews with individual experts, focus groups of stakeholders aligned to a representative organization, and individual people from the community.

The interviews were conducted to obtain data using a standard questionnaire and interview technique. Interviewers participated in a training programme designed by ICAD to ensure a standardised approach and to guard against bias by the interviewer, and that the responses fairly reflected the opinions of the individual or group respondents.

The questionnaire was prepared using the approach of the ICAT Sustainable Development Guidance of choosing impact categories, specific impacts and indicators identified in the NCCMP. The SDG indicators were selected from Table 5.1 of the Sustainable Development Guidance. Each rated the likelihood, magnitude and significance of the impact.

The interviews were conducted during February and March 2019. Approximately 500 people were involved in the interviews across approximately 250 interview sessions. Tables of interview participants identifying organization, gender and region are included in Appendix 3.

The input from the participants was recorded by the interviewer and included responses to each question and any additional comments made by the participant or group.

## 2.5 Establishing grievance redress mechanisms

The Projects Advisory Group did not establish a grievance mechanism. Apart by being constrained by the short duration allowed for the assessment, it was our view that grievances which could arise were not a relevant consideration which we justify on two grounds:

- If the grievance related to the process undertaken for the assessment, unless it was a grievance raised by a representative number of participants, did not challenge the integrity of the assessment and while an individual may feel aggrieved, it was beyond the constraints of the project to redress. The interpersonal and/or professional nature of the organisations involved in the assessment was such that concerns about the integrity of the methodology or process would have been raised. No such concerns were raised.
- If the grievance related to the stakeholder participation in the NCCMP development or implementation, these grievances were recorded and will feature in the assessment report.

# 3. Report, Case Study and Summary

Key lessons learned:

- The Guidance was an excellent tool and appropriate for this assessment

- The governments Implementation, Monitoring and Evaluation Strategy does not provide for the monitoring and evaluation of community participation. The same applies for marginalized groups where the monitoring and evaluation requirement relates to their consideration in projects and programmes of government.
- Interviews with representative organisations of stakeholders found a mixed response. Organisations of disabled, women farmers and handicapped were not consulted, however youth, civil society organisations and human rights groups were consulted
- Participants in farmers field schools which were being assessed in a parallel pilot of the ICAT Sustainable Development Guidance found respondents were engaged, stating the participation was of major magnitude, positive and significant
- The assessment identifies lack of coordination and leadership across sectors and between stakeholder groups as critical areas of concern.
- Stakeholders indicated the lack of a well-structured Policy results monitoring and evaluation framework leading to failure to measure targets and report on progress achieved as well as operationalizing the Implementation and Evaluation Strategy for the National Climate Change Management Policy.

Results achieved

- Application of the Guidance finds it is an excellent text to guide others developing a methodology for an assessment. However, modifications would benefit practitioners who are relying on the Guidance in its entirety
- The Guidance would benefit by the inclusion of the principles of relevance, completeness, consistency, transparency and accuracy as are presented in the Sustainable Development Guidance
- The findings from this project will present evidence to government that has rigour and can contribute to the further development and effective implementation of policy

## 3.1 Reporting on Stakeholder Participation

Regarding participation in the development and implementation of the NCCMP:

- Individual interviews: FEDOMA (disabled), COWFA (women farmers) and MACOHA (handicapped) were not involved, government, NYNCC (youth), CISONECC (climate change NGO) and ActionAid (human rights group) were involved.
- Focus groups: NYNCC (youth), ACTIVISTA (Action Aid youth group) and one COWFA group were involved. Notable is that two of the COWFA groups had no involvement.

As has been noted, the M&E Strategy does not include a monitoring and evaluation requirement for community participation. The same situation exists for marginalized groups where the monitoring and evaluation requirement relates to their consideration in projects and programmes.

The NCCMP (Preface) states that “the Policy is a product of extensive consultation with government, civil society, academia, NGOs, private sector and development partners.” District consultations were conducted in districts “carefully selected through a consultative process to ensure that all critical

climate change issues including unique socio-economic and ecological profiles would be adequately considered". That said and despite the identification as a key stakeholder (NCCMP 4.1), communities and some vulnerable groups were not included in the consultation and have not been engaged since implementation.

This is an issue that should be pursued with government.

The assessment of stakeholder participation in the three farmers field school case studies found that all respondents were engaged, stating the participation is of major magnitude, positive and significant. It is however important to note that the assessment was related to participation through the farmers field schools rather than directly with the NCCMP and the government. It is also a measure of the role of the farmers field schools which, judging by these responses is effectively contributing to the M&E Strategies of the NCCMP, and are considered by FFS participants to be providing an avenue for effective feedback and engagement.

## 3.2 Case study

The responses mentioned here are presented as they relate to the NCCMP, and the SDG impacts.

### 3.2.1 NCCMP impact categories, specific impacts and indicators relating to community participation

Overall the NCCMP is delivering positive outcomes for the communities although the degree of participation in the process varies depending on the engagement by their representative groups.

The respondents highlighted their engagement in activities such as collaboration on disaster risk management; good agricultural practices including the use of technology; soil and water conservation practices; awareness and education on new adaptive research activities; and village savings and loan schemes. The focus groups proved more expansive, reinforcing the issues mentioned in expert interviews and adding the mainstreaming of eco-friendly technologies; capacity building on climate change issues; livestock production; and climate smart agriculture.

Challenges and recommendations for improvement were overall positive but indicated lack of support and finance as challenges. Common across the responses was the lack of feedback channels; lack of accountability; and the need for better coordination.

Women's networks, through the COWFA interviews and focus group responses provided a valuable insight into their leadership role in household management and in the development of their farms in relation to food and income security, crop selection; climate adaptation and farming as a business. Their comments about village savings and loan schemes and microfinance lenders provide grounds for greater regulation and government intervention in relation to high interest rates and possible unfair dealings with farmers.

### 3.2.2 SDG impact categories, specific impacts and indicators relating to community participation

The responses are positive for all indicators with the exceptions of engagement with the processes of institutions and legislation; and labour conditions which were seen as not applicable. This is consistent with the responses in the Sustainable Development assessment but are possibly a reflection of the early stages of development whereby the processes of adaptation to climate change are new and issues related to regulation and employment will become a reality as the ambition of the strategies and related programmes are realised.

While the assessment against the SDGs provided an extended range of indicators to measure engagement with the implementation of the NCCMP, it is not considered to have added materially to the assessment of stakeholder participation. This analysis may have been different if the government had linked its strategies to the SDGs but this was not the case.

The following is an overview of the findings:

- The assessment reveals that most of non-expert stakeholders were not involved in the planning and designing processes of the Policy. For instance, members of the Coalition for Women Farmers in Malawi (COWFA), Malawi Council for the Handicapped (MACOHA) indicated having no knowledge of the process or participating in the planning and designing of the Policy.
- Expert stakeholders such as the National Youth Network on Climate Change (NYNCC), Civil Society Network on Climate Change (CISONECC), ActionAid, Government departments (Ministry of Agriculture, District Councils and Economic Planning and Development) were directly involved in the stages of the planning and designing, including participation in the validation stages of the Policy.
- Many stakeholders ranging from Government to development partners such as UNDP, DFID, international non-governmental organizations and local non-governmental organizations are operating across many climate change management sectors in Malawi and are implementing programs guided by this Policy. Non-expert stakeholders such as members of the Coalition for Women Farmers in Malawi (COWFA), Malawi Council for the Handicapped (MACOHA) indicated having not been involved but are benefitting from climate change adaptation, mitigation and resilience national programs.
- The programmes being implemented by institutions like Government, Development Aid for People to People (DAPP), HOPE, ActionAid, National Smallholder Farmers' Association of Malawi (NASFAM), and OXFAM that were referenced in the interview/forums includes afforestation, use of energy saving stoves, economic empowerment initiatives, capacity building, livelihoods promotion, disaster risk reduction and early warning initiatives. However, the assessment identifies lack of coordination and leadership across sectors and between stakeholder groups as critical areas of concern.
- Expert stakeholders indicated the lack of a well-structured Policy results monitoring and evaluation framework leading to failure to measure targets and report on progress achieved as well as operationalizing the Implementation, Monitoring and Evaluation Strategy for the National Climate Change Management Policy. Challenges under this level of assessment

include failure to translate mid-term program review outcomes to transformational impacts. Non expert stakeholders provided similar responses, commenting on the lack of coordination across programmes, poor monitoring and evaluation, and the inability to provide feedback.

## 3.3 Summary

This was a relatively simple assessment that did not require the full application of the methodology of the ICAT Stakeholder Participation Guidance. Stakeholders were a well-defined group of informed participants.

We are not aware of any limitations in the assessment

The review undertaken was a third-party review. Neither ICAD nor its representatives declare any interest that may influence the outcomes of the review.

# APPENDIX

**Appendix 1: Stakeholder Participation Guidance Indicators: NCCMP**

Each indicator was assessed as Relevant; In/Out of Jurisdiction; Likelihood; Magnitude; Positive / Negative; Significant; Summary of qualitative assessment results for each impact category; Methods/sources used

| **Stakeholder Participation Assessment Sheet 2 of 3** | | | |
|---|---|---|---|
| **Groups of impact categories** | **Impact categories** | **Specific impacts** | **Indicators** |
| **Policy Priority Area 1: Climate Change Adaptation** | **Objective 3:** | **Agriculture:** | |
| Policy Statement: The Policy will reduce vulnerabilities of populations in Malawi and promote community and ecosystem resilience to the impacts of climate change, women, girls and vulnerable groups engagement and involvement in planning and implementation of climate change adaptation interventions thereby ensuring that communities are able to adapt to climate change | To ensure that the policy responses will have a much stronger specific local autonomous adaptation context that will promote conservation of natural resources, improvement of food security and rural livelihoods, creation of green jobs and addressing other challenges such as rural-urban migration. | (1) Developing mechanism that will utilize early warning systems on adverse weather, pests and diseases occurrence which will also provide up to date information and decision support tools to assess the vulnerability of farmers and inform farm management decisions. | a) Stakeholders consulted<br>b) Mechanism in place or being developed |

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| by promoting climate compatible development. | | | |
| | | **Health:** | |
| | | (4) Recognise that the nutritional status of individuals is a key to building resilience to environmental health threats, and ensure that food security and good nutritional policies form part of an integrated approach to health adaptation strategies (by supporting existing health legislation) | a) Stakeholders consulted<br>b) Mechanism in place or being developed |
| | | **Human Settlements:** | |
| | | (7) Oblige cities and municipalities to dispose of solid waste in proper sanitary landfills and where possible, linked to carbon markets | a) Stakeholders consulted<br>b) Mechanism in place or being developed |
| | | **Energy:** | |
| | | (8) Encouraging afforestation activities and non extractive livelihoods from forests which will also improve catchments for hydropower generation (by supporting existing legislation on forestry) | a) Stakeholders consulted<br>b) Mechanism in place or being developed |
| | | **Biodiversity:** | |

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| | | (10) Promotion of the sound management of ecosystems integration biodiversity in national and sectoral adaptation programmes, projects and plans | a) Stakeholders consulted<br>b) Mechanism in place or being developed |
| | | **Fisheries:** | |
| | | (11) Promoting protection of water resources and good catchment management to allow ecosystems services such as water retention improvement in soils and regulating flow in rivers as they affect fisheries sector | a) Stakeholders consulted<br>b) Mechanism in place or being developed |
| | | (12) Promoting a harmonized and ecosystem approach in water resources management. | a) Stakeholders consulted<br>b) Mechanism in place or being developed |
| **Policy Priority Area 3: Capacity Building, Education, Training and Awareness** | **Objective 1: To build capacity on climate change through formal, non formal and informal systems** | (1) Engage formal and informal institutions to integrate climate change through curriculum review and advocacy materials | |
| Policy Statement: The Policy will build capacity in all sectors on climate change to attain socio economic development utilizing the principles of green economy and address capacity gaps on investment in skills and capabilities for negotiations, mechanisms for reducing | | | a) Stakeholders consulted<br>b) Mechanism in place or being developed |

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| emissions while supporting prudent environmental management and sustainable economic growth | | | |
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| | **Objective 2: To strengthen the capacity of relevant institutions to deliver climate change education and training.** | (2) Promote collaboration, targeted training and sensitization for specialized sectors and key actors including climate change negotiations. Conduct gap analysis, and establish coordination and resource mobilization mechanisms to ensure effective implementation of interventions to improve institutional, infrastructural and human capacities to implement climate change related interventions. | a) Stakeholders consulted<br>b) Mechanism in place or being developed |
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| | **Objective 3: To improve knowledge management in key sectors and the general public on climate change** | (3) Promote knowledge management through improved data collection, analysis and application for adaptation and mitigation. | a) Stakeholders consulted<br>b) Mechanism in place or being developed |
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| | | (4) Promote long term planning through modeling and scenarios building | a) Stakeholders consulted<br>b) Mechanism in place or being developed |

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| Policy Priority Area 4: Research, Technology Development and Transfer, and Systematic Observation | **Objective 2: To promote application of research, science and technology to support climate compatible development including climate proofing** | (2) Promoting application of research and technology advancement for climate change adaptation and mitigation based on relevant needs assessment, and state of science and technology reports. | a) Stakeholders consulted<br>b) Mechanism in place or being developed |
| Policy Statement: The Policy will enhance research, technology and systematic observations for climate change management, supported by appropriate capacity development and dedicated financing and encourage resource mobilization and commitment of government for the prioritized technologies. | **Objective 3: To develop and manage cleaner technology transfer, adoption and adaptation** | (3) Supporting technology transfer and innovation to enhance low carbon growth in both public and private sector. | a) Stakeholders consulted<br>b) Mechanism in place or being developed |
| **Policy Priority Area 6 Important Cross Cutting Issues** | **Objective 1: To ensure that sectoral policies and planning documents/ strategies including** | (1) Facilitate integration of climate change into sectoral policies and planning systems at national and district levels | a) Stakeholders consulted<br>b) Mechanism in place or being developed |
| **1. Legislation** | | | |

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| Policy Statement: The Policy will incorporate and mainstream climate change into programmes and projects through revising and updating its sectoral legislations, policies and planning documents | **population and gender take into account climate change management.** | (2) Ensuring that major developmental strategies such as the MGDS will continue to include climate change as a priority within priorities | a) Stakeholders consulted<br>b) Mechanism in place or being developed |
| | | (3) Ensuring that social protection policies and disaster-response strategies and actions take into account medium and long term coping and adaptation measures in disaster prone areas. | a) Stakeholders consulted<br>b) Mechanism in place or being developed |
| **2. Population** | **Objective 1: To integrate population issues into climate change management programmes and projects** | (1) Creating awareness on the linkages between population and climate change. | a) Stakeholders consulted<br>b) Mechanism in place or being developed |
| Policy Statement: The Policy will to integrate population issues into climate change management in development agenda through an integrated approach which would help reduce poverty, protect natural resources and reduce inequality. | | (2) Facilitate integration of climate change issues into policies that address population dynamics, reproductive health and family planning within the rights based approach framework | a) Stakeholders consulted<br>b) Mechanism in place or being developed |

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| | **Objective 2: To support community resilience to climate change adaptation and mitigation through enhanced family planning and reproductive health** | (3) Inclusion of climate change in programmes targeting vulnerable groups including the girl child, youths, people living with HIV and the physically and mentally challenged. | a) Stakeholders consulted<br>b) Mechanism in place or being developed |
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| | **Objective 3: To support rural and urban settlement planning to mitigate against climate related disasters.** | (4) Create an enabling environment for planned human settlements in rural and urban areas to reduce climate related disaster risks | a) Stakeholders consulted<br>b) Mechanism in place or being developed |
| | | | |
| **3. Gender and Disadvantaged Groups** | **Objective 1: To include vulnerable and disadvantaged groups such as women, children, the elderly and the physically and mentally challenged in adaptation, mitigation, technology transfer and capacity building plans, project and programmes** | (1) Consideration of, and engagement with, disadvantaged groups when designing and implementing adaptation, mitigation, technology transfer and capacity building plans, projects and programmes; | a) Stakeholders consulted<br>b) Mechanism in place or being developed |
| Policy Statement: The Policy will mainstream gender, HIV and AIDs and issues affecting the disadvantaged groups into all climate change strategies, plans, projects and programmes | | | |
| | | (2) Promotion of technologies which are amenable and culturally | a) Stakeholders consulted |

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| | | appropriate for use by vulnerable groups. | b) Mechanism in place or being developed |
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| **4. Private Sector and Community Participation** | **Objective 4: To promote community participation in climate compatible development by providing for adequate stakeholder consultations** | (4) Ensure adequate stakeholder consultations in EIAs and climate compatible development by engaging communities in decision making. | a) Stakeholders consulted<br>b) Mechanism in place or being developed |
| Policy Statement: The Policy will provide for adequate community participation and private sector involvement in climate change adaptation and mitigation activities | | | |

**Appendix 2: Stakeholder Participation Guidance Indicators: Sustainable Development Goals**

Each indicator was assessed as Relevant; In/Out of Jurisdiction; Likelihood; Magnitude; Positive / Negative; Significant; Summary of qualitative assessment results for each impact category; Methods/sources used

| **Stakeholder Participation Assessment Sheet 3 of 3** | | | | |
|---|---|---|---|---|
| | **Impact category** | **Specific impacts** | | |
| **Dimension** | Impact categories included in the assessment | Specific impacts identified | Relevant | Jurisdiction |
| Environmental impacts | Air | · Climate change mitigation (SDG 13) | No | In |
| | | · Ozone depletion | No | In |
| | | · Air quality and health impacts of air pollution | No | In |
| | | · Visibility | No | In |
| | | · Odors | No | In |
| | Water | · Availability of freshwater (SDG 6) | Yes | In |
| | | · Water quality (SDG 6, SDG 14) | Yes | In |
| | | · Biodiversity of freshwater and coastal ecosystems (SDG 6, SDG 14) | No | In |
| | Land | · Biodiversity of terrestrial ecosystems (SDG 15) | No | In |
| | | · Land use change, including deforestation, forest degradation, and desertification (SDG 15) | Yes | In |
| | | · Soil quality (SDG 2) | Yes | In |

| | | | | |
|---|---|---|---|---|
| | Waste | · Waste generation and disposal (SDG 12) | Yes | In |
| | | · Treatment of solid waste and wastewater (SDG 6) | Yes | In |
| | Other/cross-cutting | · Resilience of ecosystems to climate change (SDG 13) | Yes | In |
| | | · Adverse effects of climate change | No | In |
| | | · Energy (SDG 7) | No | In |
| | | · Depletion of nonrenewable resources | No | In |
| | | · Material intensity | No | In |
| | | · Toxic chemicals released to air, water and soil | Yes | In |
| | | · Genetic diversity and fair use of genetic resources (SDG 2, SDG 15) | No | In |
| | | · Terrestrial and water acidification (SDG 14) | Yes | In |
| | | · Infrastructure damage from acid gases and acid deposition | No | In |
| | | · Loss of ecosystem services from air pollution | No | In |
| | | · Nuclear radiation | No | In |
| | | · Noise pollution | No | In |
| | | · Aesthetic impacts | No | In |
| Soc+A31:C91ial impacts | Health and well-being | · Accessibility and quality of health care (SDG 3) | No | In |
| | | · Hunger, nutrition, and food security (SDG 2) | Yes | In |
| | | · Illness and death (SDG 3) | | In |

| | | | | |
|---|---|---|---|---|
| | | · Access to safe drinking water (SDG 6) | Yes | In |
| | | · Access to adequate sanitation (SDG 6) | No | In |
| | | · Access to clean, reliable and affordable energy (SDG 7) | No | In |
| | | · Access to land (SDG 2) | | In |
| | | · Livability and adequate standard of living | Yes | In |
| | | · Quality of life and well-being (SDG 3) | Yes | In |
| | Education and culture | · Accessibility and quality of education (SDG 4) | Yes | In |
| | | · Capacity, skills, and knowledge development (SDG 4, SDG 12) | Yes | In |
| | | · Climate change education, public awareness, capacity-building and research | Yes | In |
| | | · Preservation of local and indigenous culture and heritage (SDG 11) | Yes | In |
| | Institutions and laws | · Quality of institutions (SDG 10) | Yes | In |
| | | · Corruption, bribery and rule of law (SDG 16) | No | In |
| | | · Public participation in policy-making processes | Yes | In |
| | | · Access to information and public awareness (SDG 12) | Yes | In |
| | | · Compensation for victims of pollution | No | In |
| | | · Access to administrative and judicial remedies (SDG 16) | Yes | In |

| | | | | |
|---|---|---|---|---|
| | | · Protection of environmental defenders | No | In |
| | | · Freedom of expression | No | In |
| | Welfare and equality | · Poverty reduction (SDG 1) | Yes | In |
| | | · Economic inequality (SDG 8, SDG 10) | Yes | In |
| | | · Equality of opportunities and equality of outcomes (SDG 10) | Yes | In |
| | | · Protection of poor and negatively affected communities (SDG 12) | Yes | In |
| | | · Removal of social disparities | Yes | In |
| | | · Climate justice and distribution of climate impacts on different groups | Yes | In |
| | | · Gender equality and empowerment of women (SDG 5) | Yes | In |
| | | · Racial equality | No | In |
| | | · Indigenous rights | | In |
| | | · Youth participation and intergenerational equity | Yes | In |
| | | · Migration and mobility of people (SDG 10) | Yes | In |
| | Labour conditions | · Labour rights (SDG 8) | Yes | In |
| | | · Quality of jobs (SDG 8) | Yes | In |
| | | · Fairness of wages (SDG 8) | Yes | In |
| | | · Quality and safety of working conditions (SDG 8) | Yes | In |

| | | | | |
|---|---|---|---|---|
| | | · Freedom of association (SDG 8) | No | In |
| | | · Just transition of the workforce (SDG 8) | No | In |
| | | · Prevention of child exploitation and child labour (SDG 8, SDG 16) | No | In |
| | | · Prevention of forced labour and human trafficking (SDG 8) | No | In |
| | Communities | · City and community climate resilience (SDG 11) | Yes | In |
| | | · Mobility (SDG 11) | No | In |
| | | · Traffic congestion (SDG 11) | No | In |
| | | · Walkability of communities (SDG 11) | No | In |
| | | · Road safety (SDG 3, SDG 11) | No | In |
| | | · Community/rural development | Yes | In |
| | | · Accessibility and quality of housing (SDG 11) | No | In |
| | Peace and security | · Resilience to dangerous climate change and extreme weather events (SDG 13) | No | In |
| | | · Security (SDG 16) | No | In |
| | | · Maintaining global peace (SDG 16) | No | In |
| Economic impacts | Overall economic activity | · Economic activity (SDG 8) | No | In |
| | | · Economic productivity (SDG 8, SDG 2) | No | In |

| | | | | |
|---|---|---|---|---|
| | | · Economic diversification (SDG 8) | No | In |
| | | · Decoupling economic growth from environmental degradation (SDG 8) | No | In |
| | | · Jobs (SDG 8) | Yes | In |
| | Employment | · Wages (SDG 8) | Yes | In |
| | | · Worker productivity | Yes | In |
| | | · New business opportunities (SDG 8) | No | In |
| | Business and technology | · Growth of new sustainable industries (SDG 7, SDG 17) | No | In |
| | | · Innovation (SDG 8, SDG 9) | No | In |
| | | · Competitiveness of domestic industry in global markets | No | In |
| | | · Economic development from tourism and ecotourism (SDG 8) | No | In |
| | | · Transportation supply chains | No | In |
| | | · Infrastructure creation, improvement and depreciation | No | In |
| | Income, prices and costs | · Income (SDG 10) | No | In |
| | | · Prices of goods and services | | In |
| | | · Costs and cost savings | No | In |
| | | · Inflation | No | In |
| | | · Market distortions (SDG 12) | No | In |

| | | | | |
|---|---|---|---|---|
| | | · Internalisation of environmental costs/externalities | No | In |
| | | · Loss and damage associated with environmental impacts (SDG 11) | Yes | In |
| | | · Cost of policy implementation and cost-effectiveness of policies | Yes | In |
| | Trade and balance of payments | · Balance of payments | No | In |
| | | · Balance of trade (imports and exports) | No | In |
| | | · Foreign exchange | No | In |
| | | · Government budget surplus/deficit | No | In |
| | | · Energy independence, security or sovereignty | No | In |
| | | · Global economic partnership | No | In |