



NDC Mainstreaming Guidelines

Guidelines for Mainstreaming the NDC into Sector and Development Strategies in Malawi



IN CONTRIBUTION TO THE NDC PARTNERSHIP

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Tea grows in the fields at the base of a mountain in Malawi

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List of abbreviations

AFOLU	Agriculture, Forestry, and Other Land Use
BAU	Business as Usual
CAEP	Climate Action Enhancement Package
CBT	Climate Budget Tagging
CISONECC	Civil Society Network for Climate Change
COVID-19	Coronavirus Disease 2019
EAD	Environmental Affairs Department
GHG	Greenhouse Gas
IIED	International Institute for Environment and Development
INDC	Intended Nationally Determined Contributions
IPPU	Industrial Processes and Product Use
LEDS	Low Emissions Development Strategies
M&E	Monitoring and Evaluation
MEL	Monitoring, Evaluation, and Learning
MGDS	Malawi Growth and Development Strategy
MRV	Measurement, Reporting, and Verification
NAMA	Nationally Appropriate Mitigation Actions
NAP	National Adaptation Plan
NAPA	National Adaptation Programmes of Action
NCCMP	National Climate Change Management Policy
NDC	Nationally Determined Contributions
NPC	National Planning Commission
NYNCC	National Youth Network for Climate Change
PEI	Poverty Environment Initiative
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change

Foreword

The Government of Malawi is committed to make its contributions towards greenhouse gases (GHG) reductions and improve the adaptive capacity and resilience of its vulnerable populations through the development and implementation of Nationally Determined Contributions (NDCs).

The Ministry, through Environmental Affairs Department (EAD), published the National Climate Change Management Policy (NCCMP) in 2016 as a mechanism for harmonizing and enhancing the planning, development, coordination, financing and monitoring of climate change initiatives and programmes in Malawi. The Guidelines will address barriers that hinder efficient and effective implementation of climate change programmes, projects, strategies and plans as noted by the Policy. Therefore, these NDC Mainstreaming Guidelines will not only enhance the implementation of the mitigation and adaptation actions enshrined in the NDC but will also contribute to the overall implementation of the NCCM Policy and other strategic frameworks such as the National Adaptation Programmes of Action (NAPA), Nationally Appropriate Mitigation Actions (NAMA) and the National Adaptation Plan (NAP)

It is my expectation that these Guidelines will ensure that the NDC is mainstreamed in all sector plans and strategies to enable achievement of the mitigation and adaptation targets which will positively transform communities, ecosystems and eradicate poverty.



NANCY G. TEMBO, M.P.,
MINISTER OF FORESTRY AND NATURAL RESOURCES

Preface

Malawi is a signatory to various international treaties and instruments including the United Nations Framework Convention on Climate Change (UNFCCC). Malawi signed the Convention on 10th June 1992 and ratified it on 21st April 1994. Malawi also ratified the Kyoto Protocol on 26th October 2001 and the Paris Agreement on 29th June 2017. The treaties and instruments oblige the country to take various actions to address climate challenges including formulation of enabling policy frameworks, legislation and implementation of measures to mitigate and adapt to the adverse effects of climate change.

The Nationally Determined Contributions (NDC) document is the official channel through which the Government of Malawi has made publicly its commitments on climate change. For Malawi to achieve progress against the climate mitigation and adaptation targets in its NDCs, the country has used an economy-wide sector approach in which all sectors on Malawi's economy support its accomplishment through implementation of the measures in the NDC. The NDC contains both conditional (require external support) and unconditional (to be supported by domestic resources) measures.

The purpose of the NDC Mainstreaming Guidelines for Malawi is to provide guidance to decision-makers and implementers in Malawi, within the national, sub-national governments and key sectors, on mainstreaming Malawi's Nationally Determined Contributions into their respective sector policies, strategies, plans and other key governance instruments. The NDC Mainstreaming Guidelines have built on existing practice and guidance in Malawi on climate change mainstreaming in order to complement other sectoral strategies and plans that deal with various elements of climate change management.

It is my sincere hope that the NDC Mainstreaming Guidelines will serve as a springboard for mainstreaming the NDCs into sector plans and strategies to ensure sound climate change and environmental management, and a sustained economic growth as Malawi transitions into a net zero economy by 2040.



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Acknowledgements

The Nationally Determined Contributions (NDC) Mainstreaming Guidelines were prepared by ICLEI (Local Governments for Sustainability) and a team of consultants from Shravya Reddy Consulting. The NDC-Partnership provided financial and technical support through the Climate Action Enhancement Package (CAEP). The Guidelines were duly validated by key Ministries, Departments and Agencies, District Councils, Civil Society Organisations, Academia and the private sector.

The Government of Malawi through the Ministry of Forestry and Natural Resources would like to express its gratitude to ICLEI, the NDC-Partnership and various individuals from within the Government of Malawi for their input, information and expertise, without which the Guidelines would not have been possible to formulate.

Last, but not the least, I am especially grateful to the expert guidance and coordination of the Climate Change Section at the Environmental Affairs Department, Ministry of Forestry and Natural Resources on leading this commendable work.



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Executive summary

The Nationally Determined Contributions (NDC) document is the official channel through which the Republic of Malawi has made publicly recognized commitments on climate change. For Malawi to achieve progress against the climate mitigation and adaptation targets in its NDC, it is imperative that all sectors of Malawi's economy support its accomplishment through active implementation of the measures listed in the NDC. This requires that government decision-makers and planners should be aware of the NDC measures that fall within the purview of their respective Ministries, Departments, or Agencies (at the national as well as subnational level), and should integrate such NDC measures within the most consequential policies, strategies, plans, and frameworks linked to their sector. This integration or embedding of climate change action (in this case the NDC measures) into development instruments is regarded as "mainstreaming." Mainstreaming is best accompanied by policy alignment as well, to ensure consistency across major governance instruments and processes on climate change.

Globally, no uniform structure or framework exists at this time on climate change mainstreaming guidelines or on an NDC mainstreaming checklist. Nevertheless, a review of literature on climate change mainstreaming does provide direction on mainstreaming in national development strategies and plans, in budgetary processes, in poverty reduction programmes, as well as direction on how the mainstreaming can be evidenced in concrete, measurable ways (such as through the inclusion of relevant indicators, or allocation of budget). The majority of available literature on climate change mainstreaming focuses on mainstreaming at the national government level, or in sectors, and there is considerably less guidance that is applicable at the subnational or local government level. This has been taken into account, with the goal of ensuring that the NDC mainstreaming guidelines developed herein can be applied by either the national or local governments in Malawi.

The NDC mainstreaming guidelines prepared for Malawi take cognizance of existing practice and guidance in Malawi on climate change mainstreaming, so that the new guidelines will be additive and not duplicative, and can be used in tandem with existing guidance and tools. These existing documents include the Guide to Executive Decision-Making Process (2016) and Sectoral Guidelines for the Integration of Climate Change Adaptation into Development Planning (2017). The latter is particularly comprehensive, offering guidance on mainstreaming entry points and levers at the national, sectoral, as well as subnational (local government) level.

Consultations conducted in support of this report provided a range of insights on existing approaches to climate change mainstreaming in Malawi, which are pertinent to NDC mainstreaming. Stakeholders underscored that the integration of the updated NDC in the extended Malawi Growth and Development Strategy (MGDS III, which is now slated for extension from its current term that would expire in 2022/2023, to 2027/2028) would be the most powerful and effective entry point for NDC mainstreaming. By virtue of being embedded within the extended MGDS III (as part of the revisions that will accompany the extension process), NDC actions will flow into governance at the sectoral and subnational levels, including by being written into governance instruments at the sectoral and local scales (as several such documents are updated to align with the MGDS). This is also true of future processes that will create alignment with the Malawi Vision 2063; if the NDC is well-embedded in that instrument, other governance instruments - when updated in future years - will have to align with the NDC as well.

Another important insight from stakeholders is that even when guidance and tools exist on issues such as mainstreaming, the adoption of and adherence to such guidance is sub-optimal due to lack of awareness and knowledge. Across the spectrum, stakeholders (national, local, within government, the private sector, and civil society) expressed enthusiasm for the NDC and to be more actively involved moving forward in NDC mainstreaming and implementation.

The NDC mainstreaming checklist, scorecard, and guidelines presented in this report are centred on ten key elements or signposts of NDC mainstreaming in governance instruments. **These are:**

- (i)** Reference to the NDC
- (ii)** Reference to NDC measures
- (iii)** Reference to NDC targets and KPIs
- (iv)** Identification of specific actions
- (v)** Identification of outputs and outcomes
- (vi)** M&E and MRV for NDC-linked actions
- (vii)** Assignment of responsibility
- (viii)** Identification of partners
- (ix)** estimation of financial need
- (x)** Consistency with NDC updates

They provide step-by-step, accessible guidance on ten key elements that are characteristics of NDC mainstreaming, i.e. the integration of the NDC into a governance document or instrument (e.g. national, sectoral, or local policy, strategy, plan, or regulatory framework) in an effective manner. The guidelines may be applied by both national governments, and subnational governments, to national, sectoral, or local level governance instruments (policies, plans, strategies, regulations, or frameworks, as the case may be), and complement the existing EAD mainstreaming guidelines.

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Fishermen boat silhouette
against sunrise on Lake Malawi

Beautyyness / Adobe Stock

Purpose of this Report

This report is intended to provide guidance to decision-makers in Malawi, within national and subnational governments, on mainstreaming Malawi's Nationally Determined Contributions (NDC) into their respective sector or local area policies, strategies, plans, and other key governance instruments.

The Nationally Determined Contributions (NDC) document is the official channel through which the Republic of Malawi has made publicly recognized commitments on climate change. It is a formal document submitted to the multilateral body responsible for global climate change governance, the United Nations Framework Convention on Climate Change (UNFCCC). The NDC articulates the measures or actions that Malawi is committed to undertaking to reduce its emissions of greenhouse gases (i.e., climate change mitigation) and to strengthen its capacity to respond with preparedness to and cope with the effects of climate change (i.e., climate change adaptation and resilience).

Under the UNFCCC's Paris Agreement, which Malawi is a party to, countries must commence implementation of their NDCs in 2020, and continue implementing at least until 2030 (after which the UNFCCC will revisit the NDC process and provide further guidance). Over the course of this decade, the international community, through the UNFCCC, will conduct two global stocktakes of progress made by each nation on its NDC – in 2023 and again in 2028. The global stocktake of 2023 will inform governments about where they are making the progress intended on the NDC commitments and where progress is falling short. This will equip countries to recalibrate their NDCs and enhance the level of ambition of climate change, if required, during the planned NDC update scheduled for 2025. Similarly, the global stocktake of 2028 will provide an evidence-base for countries to gauge their performance on the NDCs towards the end of the decade of action, and assess – both individually and collectively – what further action is called for beyond 2030.

For Malawi to achieve progress against the climate mitigation and adaptation targets in its NDC, it is imperative that all sectors of Malawi's economy support its accomplishment through active implementation of the measures listed in the NDC. This requires that each sector should be

fully cognizant of the NDC measures that pertain to the sector, and should make a concerted effort to implement the relevant measures between 2020 and 2030. In particular, this requires that government decision-makers and planners should be aware of the NDC measures that fall within the purview of their respective Ministries, Departments, or Agencies (at the national as well as subnational level), and should integrate such NDC measures within the most consequential policies, strategies, plans, and frameworks linked to their sector. Doing so will ensure that as the sector or region pursues its socio-economic development mandates, and invests in programmes and projects to achieve its development targets, the NDC measures embedded within the sector or district development plans will organically be implemented. In this manner, climate change action will not be manifested as an additional administrative burden with further responsibilities and accountability for those in charge of governance – it will be part and parcel of existing and planned governance activities, as a matter of course.

This integration or embedding of climate change action (in this case the NDC measures) into development instruments is regarded as “mainstreaming.” Mainstreaming is intended to reduce transaction costs for government and other development implementing entities, and enhance alignment and mutual reinforcement between climate change-linked actions and socio-economic development-linked actions in countries.

There is reason for optimism about the mainstreaming of the NDC into development planning and implementation in Malawi. This is because the NDC's climate change mitigation and adaptation actions already have extremely strong linkages to the country's development plans: since climate change is a crosscutting issue, all the national climate change mitigation and adaptation measures and targets in Malawi's updated (2021) NDC were, in fact, derived from various socio-economic sectors. The sectors, in turn, base their own plans on the national medium-term development agenda – the Malawi Growth and Development Strategy (MGDS) III. This linkage will assist the NDC progress in tandem with MGDS III. However, as the timeframe of the NDC extends beyond the MGDS III period (2017 – 2022), it is necessary that the NDC be integrated into broader

national, local, and sectoral planning process so that it continues to be well aligned with emerging future plans.

Malawi recognizes the importance of climate change mainstreaming, and has already identified climate change mainstreaming as an intended policy outcome of the National Climate Change Management Policy (NCCMP) of 2016. Nevertheless, as the NCCMP acknowledged, there is room for improvement in such mainstreaming (the NCCMP noted that the lack of climate change mainstreaming across sectors is a hindrance to

effective and efficient implementation of climate change interventions in the country).

In this context, the purpose of this report is to be a primer on climate change mainstreaming (to this end it contains an introduction to this concept and highlights some fundamental mainstreaming precepts) and to offer Malawi a set of guidelines that will provide an impetus to climate change mainstreaming in national, local government, and sector governance instruments (through the application of the NDC mainstreaming framework or checklist and the guidelines contained herein).

Golden green tea plantations at the foot of Mount Mulanje in Malawi





MWolf Images / Adobe Stock

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Manchewe Falls viewpoint

tr3gi / Adobe Stock

Introduction to Climate Change Mainstreaming

Globally, no uniform structure or framework exists at this time on climate change mainstreaming guidelines or on an NDC mainstreaming checklist. There are, however, several useful guides¹ on international best practice² for climate change mainstreaming.³ These provide direction on mainstreaming in national development strategies and plans, in budgetary processes, in poverty reduction programmes, as well as direction on how the mainstreaming can be evidenced in concrete, measurable ways (such as through the inclusion of relevant indicators, or allocation of budget).

The majority of literature on climate change mainstreaming appears to lean towards climate change adaptation, i.e. bridging climate resilience and development planning. There are fewer guides and tools on climate change mitigation mainstreaming. Nevertheless, several key principles of mainstreaming are universal, and apply equally to climate change adaptation and mitigation (noting that there are some sectors where climate mitigation mainstreaming may be more pressing than climate adaptation mainstreaming, and vice versa).

A few oft-referenced definitions of climate change mainstreaming include:

- *“the integration of climate change responses into development, so as to reduce potential development risks and take advantage of opportunities.”⁴*

- *“the integration of policies and measures that address climate change into development planning and ongoing sectoral decision-making, so as to ensure the long-term sustainability of investments as well as to reduce the sensitivity of development activities to both today’s and tomorrow’s climate.”⁵*
- *“integrating climate concerns and adaptation responses into relevant policies, plans, programs, and projects at the national, subnational, and local scales.”⁶*

A notable proportion of guidance on climate change mainstreaming comes from UNDP, which breaks down mainstreaming (specifically climate change adaptation mainstreaming) as the incorporation of climate change into:

- i) “National policies, programmes and priorities: ensuring that information about climate-related risk, vulnerability, and options for adaptation are incorporated into planning and decision-making in key sectors, such as agriculture, water, health, disaster risk management and coastal development, as well as into existing national assessments and action plans, including poverty reduction strategies and priorities; and
- ii) Development agency programmes and policies: ensuring that plans and priorities identified in development cooperation frameworks incorporate climate change impacts and vulnerability information to support development outcomes.”⁷

1. GTZ, *Mainstreaming Processes for Climate Change Adaptation – Collection of Best Practices* (2010). Available at <https://iwlearn.net/resolveuid/b7aab272d2e74473a03128cd3f9a00d3> (last accessed February 2021).

2. UNDP, *Screening Tools and Guidelines to Support the Mainstreaming of Climate Change Adaptation into Development Assistance – A Stocktaking Report* (2010). Available at <https://www.sprep.org/att/IRC/eCOPIES/Global/391.pdf> (last accessed February 2021).

3. IIED, *A Framework for Mainstreaming Climate Resilience into Development Planning* (2013). Available at <https://pubs.iied.org/sites/default/files/pdfs/migrate/10050IIED.pdf> (last accessed February 2021).

4. Organisation of Economic Cooperation and Development (OECD), *Integrating Climate Change Adaptation into Development Cooperation – Policy Guidance* (2009).

5. Klein et al., *Portfolio Screening to Support the Mainstreaming of Adaptation into Climate Change Development Assistance, Climate Change, Volume 84, pp. 23-44* (June 2007). Available at <https://link.springer.com/article/10.1007/s10584-007-9268-x> (last accessed February 2021).

6. UNDP, *Screening Tools and Guidelines to Support the Mainstreaming of Climate Change Adaptation into Development Assistance: A Stocktaking Report* (2010).

7. UNDP, *Screening Tools and Guidelines to Support the Mainstreaming of Climate Change Adaptation into Development Assistance: A Stocktaking Report* (2010).

UNDP also underscores that ideally, integration should become an ongoing, systematic process of utilizing climate information in decisions rather than a one-off process.

2.1 Distinction between climate change mainstreaming and policy alignment

It is important to distinguish two related but different concepts – climate change mainstreaming and climate change policy alignment. ICLEI Africa’s work with governments, on climate change and sustainability issues, has often brought these two concepts into sharp relief and has indicated that some decision-makers conflate the two. To differentiate climate change mainstreaming from policy alignment, ICLEI Africa has defined the two clearly in its Improved Municipal Planning in African CiTies for a climate-resilient urban future (IMPACT) Toolkit (2021).

The Toolkit emphasizes that mainstreaming involves the integration of climate change considerations in planning, budgeting, implementation and monitoring processes.

In contrast, “alignment is a process of *identifying synergies between* policy processes with common objectives to increase coherence, efficiency and effectiveness for improved climate resilient development. The process of alignment involves intentional coordination and collaboration among government actors across ministries and levels of government. Alignment looks at different policies or plans for common objectives and synergies. For example, the implementation of adaptation options for two sectors, such as agriculture and forestry, both may require that local stakeholders have access to improved water management practices for long-term sustainability. Therefore, an aligned approach could involve coordination of efforts to provide this service, to meet the needs for both agriculture and forestry management. Alignment therefore should be accompanied by continuous review and monitoring.”⁸

8. ICLEI Africa, *A Guide to Collaborative Multi-Level Governance for Climate Resilient Development* (2021).

ILLUSTRATION: THE VALUE OF POLICY ALIGNMENT BETWEEN THE NDC AND NAP PROCESSES

Nationally determined contributions (NDCs) and National Adaptation Plan (NAP) processes represent important elements of countries’ responses to climate change and building resilience, in line with the Paris Agreement. In countries where adaptation information is included in nationally determined contributions (NDCs), the two processes can be considered to be interrelated. Nationally determined contributions (NDCs) communicate the goals and targets that are intended for adaptation for the country, while the national adaptation plan (NAP) processes unpack how adaptation will be planned, implemented and monitored. Therefore, the national adaptation plan (NAP) process can function as the operational vehicle for implementing adaptation-related commitments that are included in a nationally determined contribution (NDC) (Hammill & Price-Kelly, 2017).

Given this close relationship between these two policies, a good starting point for alignment is the nationally determined contributions (NDCs) and national adaptation plan (NAP) processes. Additionally, as the two processes fall under the Paris Agreement, it is likely that similar national and subnational actors will be leading and involved in the two processes, therefore both strategic and systematic alignment can be achieved. The desired outcome of aligning the national adaptation plan (NAP) process and the nationally determined contribution (NDC) will depend on existing content within the nationally determined contribution (NDC) and the status of the national adaptation plan (NAP) process (Hammill & Price-Kelly, 2017).

While this report focuses on the concept of climate change mainstreaming of Malawi's NDC, i.e. the integration of NDC measures and actions into national, sectoral, and local plans, budgets, and development initiatives, decision-makers at the national, sectoral, and local level in Malawi must also pay heed to policy alignment, i.e. even when the NDC may not be explicitly integrated within different governance instruments, to be able to align the content of the instruments and to update or strengthen them in a coordinated manner so that each process supports and complements the other.

National policies that are particularly useful to align are NDCs, National Adaptation Plans (NAPs), national policies (or strategies) on the Sustainable Development Goals (SDGs), and national policies (or strategies) on Disaster Risk Management (DRM), under the Sendai Framework.

2.2 Highlights of global best practice on mainstreaming

A scholarly review of approaches to climate change mainstreaming found that the concept of what constitutes mainstreaming varies considerably from country to country, sector to sector, and even within each country or organization.⁹ Even in the face of this diversity, a few approaches are noteworthy and are presented here to inform the development of Malawi's NDC mainstreaming guidelines.

The International Institute for Environment and Development (IIED) developed a 'building blocks' framework for climate change adaptation mainstreaming, which identifies three major categories of action that facilitate mainstreaming.¹⁰ These 'building blocks,' as depicted in Figure 1, are:

- 1. Enabling Environment:** the political will as well as information services and information flow required for mainstreaming.
- 2. Policy and Planning:** the policy frameworks, financial frameworks,

and institutional arrangements into which climate change needs to be mainstreamed in order to be an effective component of development planning and implementation.

- 3. Programmes and Projects:** the operational side of development, i.e. activities on the ground that reflect policy and strategic intent, into which climate change must be embedded.

IIED's framework offers a series of diagnostic questions that development planners can engage with to determine whether climate change has been mainstreamed adequately through the three building blocks or not. It should be noted that IIEC's framework was articulated only for the national government. However, ICLEI Africa has annotated the framework's questions below (with the added language in italics), within the building blocks, to include reference to subnational or local governments where appropriate.

These questions, for each building block, are:¹¹

Enabling Environment:

Political will

- Whose political will is it (e.g., politicians; technocrats; donor partners)?
- What is political will responsive to (e.g., UNFCCC; parliamentary debate)?

Information services

- What sources of information are available to support decision making at the national and subnational levels?
- Is there a national system for generating climate information, and does it extend to subnational levels? (A system may include institutions and/or tools for generating and managing communication information services - e.g., monitoring and evaluation frameworks.)
- Is there information to help national and subnational planners deal with uncertainty?
- Is there information on costs and benefits? (Planners and decision makers will not only need climate information, but wider data on the costs and benefits of action or inaction, etc.)

Policy and Planning:

Policy framework

- How is climate change reflected in policy (e.g., in policy and strategy documents, action plans, legislation), whether at the national or subnational and local level, and do such policies align?

9. Mousumi Pervin et al., IIED, *A Framework for Mainstreaming Climate Resilience into Development Planning* (2013).

10. Mousumi Pervin et al., IIED, (2013). See *ibid.*

11. Mousumi Pervin et al., IIED, (2013). See *ibid.*

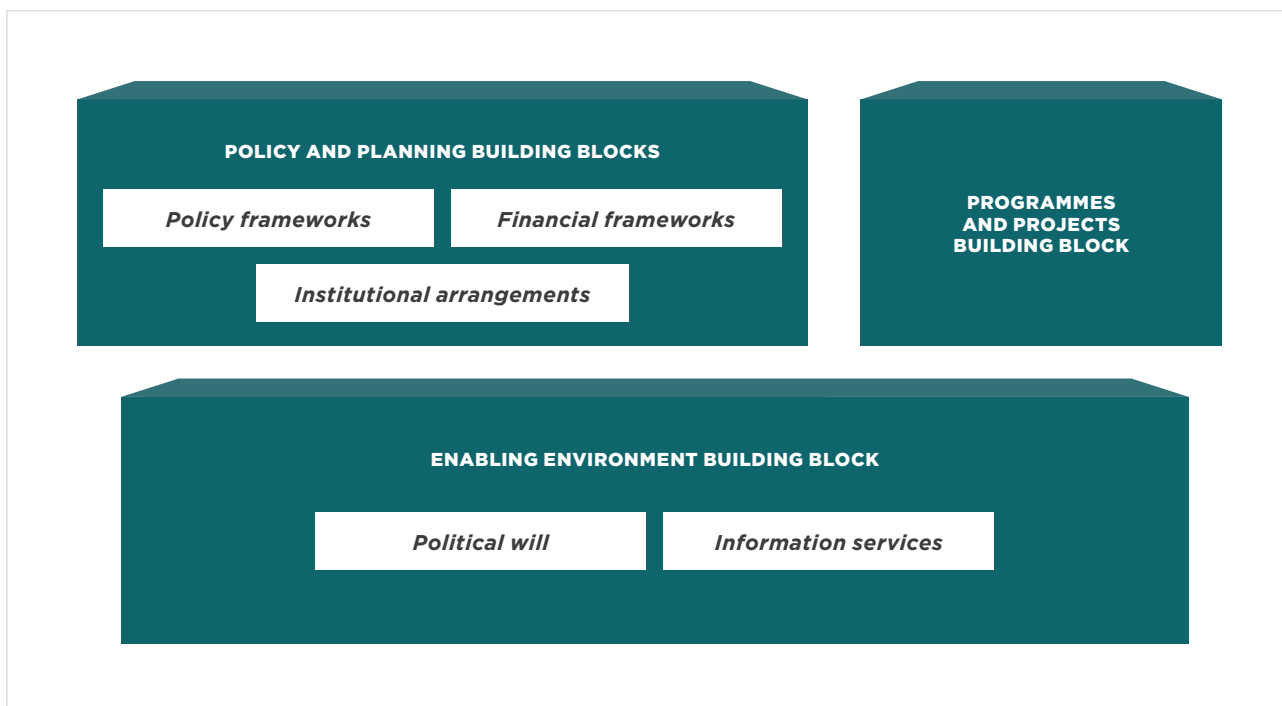


FIGURE 1 IIED'S BUILDING BLOCKS APPROACH TO CLIMATE CHANGE MAINSTREAMING (SOURCE: IIED, 2013)

- Has climate change been integrated into any national and subnational planning cycles? Which one(s)?

Institutional arrangements

- Have institutional arrangements been put in place to mainstream climate change into development planning (including financial institutional arrangements) at the national and subnational levels?
- Have existing institutional arrangements and mandates at the national and subnational levels been mapped out (i.e. institutional mapping and mandate mapping) to enable effective division of responsibility within the decision-making process, and a consistent understanding of different institutional mandates?
- Have institutional arrangements at the national and subnational level been made sustainable? How?

Financial framework

- How have climate change interventions have been costed and integrated into national and subnational development priorities and budgets, to ensure finance flows to climate actions?

- Is there a resource mobilisation strategy in place to develop and implement stated climate-resilient policy objectives, at the national and subnational levels?
- How does the management of climate funds support the articulation and implementation of integrated climate-resilient development objectives, at the national and subnational level?

Programmes and Projects:

- How do projects or programmes climate-proof existing development at the national and subnational level?
- How could projects and programmes potentially be integrated into national, local or sectoral development programmes?
- How do projects or programmes have the potential to deliver climate resilience at scale, at the national or subnational level?

A synthesis of best practice in climate change mainstreaming, by GTZ, identified 13 typical steps to environment and climate change mainstreaming.¹² In GTZ's original publication,

12. GTZ, *Mainstreaming Processes for Climate Change Adaptation - Collection of Best Practices (2010)*. Available at <https://iwelearn.net/resolveuid/b7aab272d2e74473a03128cd3f9a00d3> (last accessed February 2021).

the 13 typical steps were framed with a focus on the national level, i.e. mainstreaming into national governance, by national actors. However, to demonstrate the relevance of such steps at the local government level as well, ICLEI Africa has annotated the 13 steps below (with the added language in italics). **These 13 steps are:**

1) Scope the political economy and governance structures (*at the national and subnational level*) affecting environment and development

– who is making decisions and for whom, who is benefiting, who is bearing costs and risks – and associated motivations and incentives.

2) Convene a multi-stakeholder (*covering national and subnational stakeholders*) group to steer the mainstreaming process.

This should combine environment and development interests as well as those who bridge the interests¹³ – to act as ‘champions’ for environmental mainstreaming, track progress, and provide policy and other recommendations to government, etc. Composition will be informed by step one.

3) Identify the current links between development and environment, both positive and negative *at the national and subnational levels*.

This could be expressed, for instance, in terms of how specific environmental issues or initiatives help to achieve or inhibit progress towards each commitment or goal (or in terms of benefits such as incomes, livelihoods, health, safety net, growth, etc.); or how development initiatives support or impair particular ecosystem services.

4) Propose desirable environment-development outcomes *at the national and subnational levels*

and clarify how they differ from the current links – their potential to open up and develop environmental opportunities or tackle key environmental constraints or hazards.

5) Map institutional roles and responsibilities *at the national and subnational level*

for each of the links and desirable outcomes (by spatial level, or by sector) – identifying synergies as well as lacunae/clashes.

This institutional and mandate mapping must include an identification and assessment of

what roles are already being performed and what mandates are being carried out. This will be crucial to ensuring that additional burden on governance bodies (ministries or departments, including offices in local government) in terms of climate change activities and mainstreaming is not generated without formally adjusting mandates. Moreover, this would need to be done in a manner that allocates new and additional resources along with any new and additional expectations.

6) Identify associated institutional, governance, and capacity changes *at the national and subnational levels*

required to improve outcomes and evolve more appropriate roles and responsibilities (*formally, through enactment of legislation or regulation*). As far as possible, diagnose the current levels of capacity.

7) Identify relevant entry points for environmental mainstreaming in key decision making processes *at the national and subnational levels*.

National planning, *local government planning*, public sector reform, and aid planning processes can all offer effective entry points.

8) Conduct expenditure reviews and make the ‘business’ case *at the national and subnational levels* for improving environmental inclusion

in each of the specific links (benefits, costs, risks and their distribution – in financial terms as far as possible and where relevant) and feed this into the ‘entry points’ *at the national and subnational levels*.

9) Establish or use existing forums and mechanisms *at the national and subnational levels* to engage the public/multi-stakeholder debate

and to agree on/build consensus on what needs to be prioritized e.g. national and *local-government* planning procedures, or donor coordination mechanisms.

10) Reflect agreed changes in key mainstream documents *at the national and subnational levels* that have a recognized mandate

– notably (a) policies, (b) strategies, plans and programmes, and (c) budgets. In general (but not exclusively), the more ‘upstream’ the better – e.g., fiscal policy rather than one financial instrument.

¹³ Such as institutions with a mandate or focus on sustainable development, including civil society organisations and non-governmental organisations.

11) Promote key investments in development-climate change links, at the national and subnational levels, that pass cost-benefit tests

– by government, private sector and civil society
– especially where these contribute directly to key sectors in the national/local economy.

12) Develop integrated institutional systems and associated capacities at the national and subnational government levels

– for coordination, management, financial, information and communication, and monitoring systems – so that they incorporate environment on a sustained basis.

Such integrated systems could take the form of a multi-sectoral or inter-ministerial / inter-departmental committee on climate change, or the appointment of a climate change focal point in each ministry or department, to liaise with counterparts in other institutions, as well as knowledge-sharing and information-flow platforms, for improved coordination.

13) Ensure responsible organizations at the national and subnational levels are accountable develop/adopt a clear set of indicators

that measure if a society or initiative is truly based on sustainable development principles and ensure these measurements can hold organizations accountable and support continuous improvement.¹⁵

The United Nations Development Programme's (UNDP's) and the United Nations Environment Programme's (UNEP's) Poverty-Environment Initiative (PEI) has developed a three-level mainstreaming framework that rests on entry points, policy processes, and implementation.¹⁶

Under the UNDP-UNEP approach, **finding the entry points and making the case** is concerned with setting the stage for mainstreaming. This involves understanding the linkages between climate change and national development priorities, as well as understanding governmental, institutional and political contexts and needs, in

order to define pro-poor adaptation outcomes on which to focus.

Mainstreaming climate change adaptation into **policy processes** focuses on integrating adaptation issues into an ongoing policy process, such as a national development plan or sector strategy. These efforts are based on country-specific evidence, including impact, vulnerability and adaptation assessments, socio-economic analysis and demonstration projects.¹⁷

Meeting the **implementation challenge** aims to ensure that climate change adaptation is mainstreamed into budgeting and financing, implementation and monitoring, and that mainstreaming is established as standard practice. UNDP's approach to mainstreaming, as captured in Figure 2, provides guidance on how to mainstream, i.e. how to integrate climate change considerations, at the national level, sectoral level, and project level. Specifically, it identifies effective entry-points for mainstreaming at each of these levels.¹⁸

What is missing in the UNDP approach, described above and captured in Figure 2, is a more granular focus on subnational or local scales. It is symptomatic of most literature and guidance on climate change mainstreaming being top-down, and heavily focused on national-level governance instruments.

Given that most projects and programmes are ultimately implemented at the local level, it is crucial that guidance developed on mainstreaming be applicable to subnational or local governments, linked to their mandates and taking cognizance of existing activities they are implementing that could be aligned with the NDC. Effective mainstreaming guidance that targets the local government level must integrate what the local governments are already doing, what more they ought to be doing, and how the additional efforts on mainstreaming contribute to climate-resilient and low-carbon development.

15. GTZ, *Mainstreaming Processes for Climate Change Adaptation – Collection of Best Practices (2010)*. See *ibid*.

16. UNDP-UNEP PEI, *Mainstreaming Climate Change Adaptation into Development Planning: A Guide for Practitioners (2011)*.

17. While UNDP-UNEP's framework focuses on climate change mainstreaming (i.e. a holistic approach whereby embedded or integrated concepts (climate change) organically flow from within a governance instrument (e.g., policy or strategy), due to the concept being intrinsic to the governance instruments), it is also useful to emphasize on policy alignment, i.e. a more externally orchestrated process to create synergy and complementarity between multiple distinct governance instruments.

18. UNDP, *Screening Tools and Guidelines to Support the Mainstreaming of Climate Change Adaptation into Development Assistance: A Stocktaking Report (2010)*.

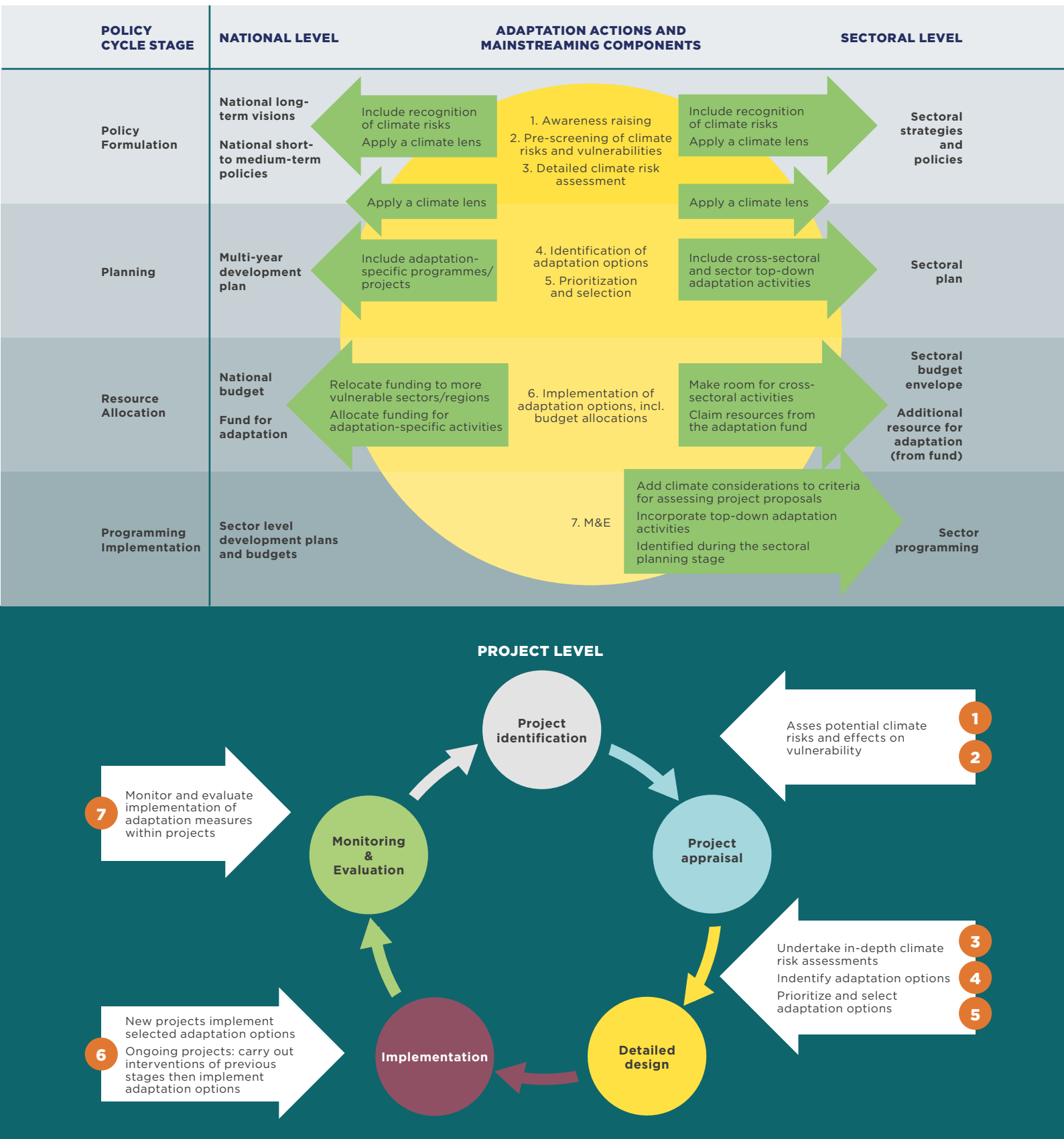


FIGURE 2 ENTRY POINTS FOR CLIMATE CHANGE AT THE NATIONAL, SECTORAL, AND PROJECT LEVELS (SOURCE: UNDP, 2010)

2.2.1 Collaborative multi-level governance for climate-resilient development mainstreaming in the NDCs

National commitments to United Nations Framework Convention on Climate Change (UNFCCC) processes trickle down to the local level via national legislation or policies. Subnational governments are responsible for fulfilling these service delivery and sector-based mandates on a daily basis. Subnational governments are led by national strategies and oversight, but carry the mandate to serve their communities and deliver services. As such, subnational governments sit at the coal-face as the primary implementors of localised actions.

Because subnational governments are on the frontlines, with closer relationships with the businesses and industries that generate the world's GHG emissions, and with closer ties to the households and communities affected by climate-driven hazards and disasters, subnational governments should be regarded as the 'first responders' to climate change. In terms of climate change mitigation, subnational governments may be best placed to monitor changes in business and industry that are meant to reduce GHG emissions, and to manage service-delivery of systems that are themselves the subject of mitigation actions. In terms of climate change adaptation, impacts from flooding, droughts, or extreme weather events induced by climate change affect the food security, health, energy security, and thus the social wellbeing of the communities which subnational governments are responsible for. Consequently, it falls on subnational governments to deal with these crises - reinforcing their key role in activating transformative change and driving sustainable, low-emission and resilient development at municipality and city level.

Subnational governments have a pivotal role to play in achieving their countries' measurable adaptation and mitigation targets in the NDCs. Cities, in particular, own and are responsible for many of the services and assets that do (or can) contribute to successful delivery of domestic mitigation and adaptation targets. Cities (and their citizens) in particular are powerful drivers of

change, because they can drive solutions to the challenges they face, that are more progressive, more targeted and faster-acting than those delivered at national and international levels. Thus, urban areas provide subnational governments with the opportunity to both develop and implement innovative solutions to deal with some of the most complex challenges facing humanity. This opportunity positions cities at the forefront of change and transformation.

Thus, local governments are central to the achievement of NDCs, as well as a multitude of other international goals and agreements. Although a significant mix of both local and national government-steered mandates generally exist across sectors, local level governments often have limited decision-making power, despite being the responsible actors in implementing on-the-ground activities. National government is generally seen as having more influence in executive processes such as enforcement of policies. In the context of the NDC, it is important to delineate where national government's administrative power ends and local level execution begins.

If decisions are being made at the local level that do not align with the overarching national climate change policy framework, then subnational governments authorities are effectively failing in their duties to advance a transition to a climate resilient future at the local level. For this reason, it is important for local authorities to understand the different objectives for both adaptation and mitigation activities, and specifically understand the sectoral targets. Additionally, subnational governments need to play an active role in the monitoring and reporting processes to the international climate change governance framework established under the UNFCCC.

Crucially, NDCs open up the opportunity for improved collaborative governance to take place between levels of government in the fight against climate change. A focus on national-local collaboration that enhances NDC implementation will contribute significantly to the research discourse, particularly that which informs government policy (e.g. IPCC reports), as well as assisting the citizens, in a tangible way, on their path towards climate resilient development. Such collaborative governance can improve municipal planning and, in turn, increase the resilience of cities to the effects of climate change and numerous social and developmental challenges, such as those faced in African cities. Well-managed,

resilient cities can accelerate economic growth and employment, create liveable environments for their citizens, attract investment, drive innovation and break urban poverty cycles.

To ensure that such collaborative governance takes place, a clear understanding of the policies that guide the implementation of activities at the local level, such as the NDC, is critical for city and municipal authorities. Building on such understanding, climate change activities can be mainstreamed into local governance and development activities.

2.2.2 Mainstreaming climate change into national budgets

A consistent theme in literature on climate change mainstreaming is the importance of using a powerful lever such as the national budgeting process to push climate change integration into development planning and implementation. Organizations and country governments have started adopting the practice of “Climate Budget Tagging” (CBT).¹⁹ This is a form of public expenditure tracking that specifically “tags” or “codes” climate change related finance, for accountability purposes. At the same time, by allocating certain funding under the climate change “tag” or “code,” this practice encourages budget recipients to include climate-change related expenditure in their plans, to seek access to and secure allocations of such “tagged” or “coded” funding.²⁰

Uganda is often pointed to as a successful example of CBT. The case study below briefly summarizes Uganda’s approach.²¹

19. UNDP, *Knowing What You Spend – A Guidance Note for Governments to Track Climate Finance in their Budgets* (2019).

20. UNDP, *Knowing What You Spend* (2019). See *ibid.*

21. Republic of Uganda, Ministry of Water and Environment, *Guidelines for the Integration of Climate Change in Sector Plans and Budgets* (June 2014).

UGANDA'S STEP-WISE APPROACH TO CLIMATE CHANGE MAINSTREAMING IN BUDGETS

Uganda has adopted a six-step process to mainstream climate change into sector plans, as well as sector budgets. **These six steps are:**

- Step 1:** Conduct Climate Change Impact and Vulnerability Assessment
- Step 2:** Identify and Analyze Adaptation and Mitigation Options
- Step 3:** Identify and cost programmes and actions for climate interventions
- Step 4:** Design and Implement a plan for mainstreaming Climate change in the different sectors
- Step 5:** Monitor the CCMA Implementation Process
- Step 6:** Evaluate performance and Review the Adaptation and Mitigation Process

The integration into budgetary processes begins visibly after Step 3. The costs of climate change related activities are recorded for inclusion in the annual budget framework. During the annual budget process, a percentage of funds for different sectors is allocated to climate change activities, and coded as such. For accountability purposes, finance reporting tracks climate change mainstreaming by tracking the expenditure code. In order to avoid diversion of funds, Internal Auditors at the project level are used to monitor that the funds were used as intended.

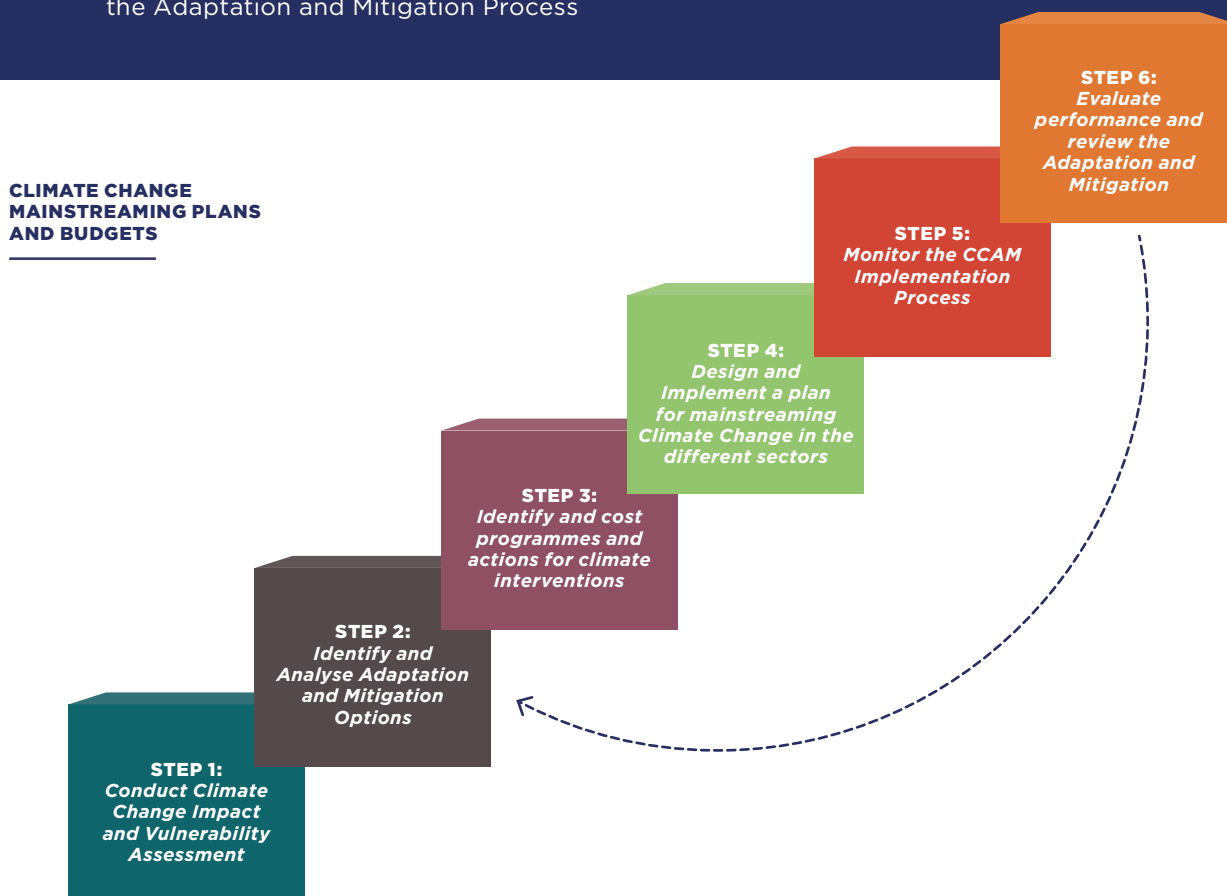


FIGURE 3 UGANDA'S STEP-WISE INTEGRATION OF CLIMATE CHANGE INTO BUDGETS (SOURCE: REPUBLIC OF UGANDA, 2014)

2.2.3 Mainstreaming climate change into local budgets

Just as national budgets offer a powerful tool for climate change mainstreaming, by creating momentum through financial resources, local government budgets can also be a key channel for climate change mainstreaming – including mainstreaming of NDC-linked activities – at the subnational level.

The national agenda or priorities on climate change and the NDC are set by national government, in the form of directives, which local government then typically follows. This steering of priority areas by the national government thereafter needs to be translated into financial flows locally, through allocations in local budgets.

To be able to integrate climate change, and specifically the NDC, in local government budgets, it is important that such local governments better understand their own mandate regarding climate change (including where the mandate of national authorities ends and the mandates of local governments begin). This mandate at the local level also needs to be acknowledged by national government and reflected in joint or collaborative decision-making and planning processes that involve both national and local government, which will facilitate local government has a greater say in upstream decision-making that affects it (in most countries, including Malawi, local governments continue to have limited decision making power on climate change despite being the focal point for implementing activities on the ground).

The growing focus on ‘Good Governance’ provides a holistic approach for integrating climate change actions (including relevant NDC actions) into local government activities. Good Governance can be reflected in the form of municipal performance measurements, incentivising local authorities to incorporate best practice across sectoral programmes, and catalysing results-based funding or budget flows.

In addition, Good Governance at the local level would lend itself to strong data collection and reporting on results, which in turn supports verification of progress on climate change adaptation and mitigation activities (including

NDC activities). This is important and necessary to funders, for accountability purposes. In this way, Good Governance practice within local governments can directly and indirectly influence climate resilient and low-carbon development, and help meet national and international climate goals.

Specifically in Malawi’s context, most city councils have Finance Committees. These Finance Committees, through the guidance of the Director of Finance, are responsible for coordinating budgets at this level. The Director of Finance and Finance Committees prepare budgets on the basis of guidelines issued by the national government. Therefore, if such guidelines expressly contained directions on inclusion of climate change activities stemming from the NDC, they would enable local budgets to become a lever for furthering the NDC.

3



Auf Durchreise in Malawi

Olaf Schlenger / Adobe Stock

Climate Change Mainstreaming in Malawi – Existing Guidance and Practice

3.1 Development planning in Malawi – an overview

At the national scale, Malawi undertakes development planning in three temporal timeframes:

- Long-term planning: aspirational planning and goal-setting for the future Malawi wishes to realize for its people. The most recent long-term plan is Malawi Vision 2063, which has replaced Vision 2020.
- Medium-term planning: cyclical, five-to-ten-year planning to set the agenda for the foreseeable future. The most recent medium-term plan is the third Malawi Growth and Development Strategy (MGDS III), which has a five-year tenure from 2017 to 2022.²² Sectors develop sector plans for the same period as the MGDS, linked to the priorities set in the MGDS. It is expected that the successor to the MGDS III will be a ten-year plan, rather than a five-year plan. Medium-term plans such as the MGDS are subject to annual and mid-term reviews, and terminal evaluations.
- Short-term planning: planning for the immediate future, typically on a yearly basis or to coincide with government annual and multi-year budget cycles. Annual budgets are an example of such short-term plans. In Malawi, the annual Public Sector Investment Programme (PSIP) is another important illustration. A contemporary example is a sectoral five-year accelerator plan for the 2021 – 2025 period, developed by each Ministry.

Long-term planning is not mirrored at the subnational scale in Malawi. However, local

governments (District Councils) do engage in both medium-term planning and short-term planning. District Councils develop District Development Plans (DDP) to operate in tandem with the national medium-term plans (such as MGDS III), and to translate the national plan into localized, on-the-ground activities. Similarly, District Councils also undertake an annual budgeting process, and feed into annual national budgets²³.

3.2 Evolution of climate change mainstreaming in Malawi

3.2.1 Institutional arrangements

A review of climate change mainstreaming in Malawi necessarily calls for a brief examination of the history of climate change within Malawi's institutional arrangements.

Although Malawi signed and ratified the United Nations Framework Convention on Climate Change (UNFCCC) in 1992 and 1994 respectively, major climate change activities started in the late 90s leading to publication of Malawi's Initial National Communication in 2002. The Environmental Affairs Department (EAD) has been the main government institution coordinating climate change programmes, projects and activities in Malawi over several decades, even though its parent Ministry has changed from time to time. The Department of Climate Change and Meteorological Services (DCCMS) also plays a key role in Malawi's institutional arrangements on

22. An older example is the predecessor of the MGDS – the Malawi Poverty Reduction Strategy Paper (2002 – 2006). This was followed by MGDS I (2006 – 2011) and MDGS II (2012 – 2016).

23. Government of Malawi (2019). *Guidebook on Local Government System in Malawi*, Ministry of Local Government and rural Development, Lilongwe.

climate change, by providing technical expertise in weather forecasting and climate change science and chairing several technical committees.

Climate change emerged as a significant theme within Malawi's development agenda as a result of the Africa Adaptation Programme (AAP), from 2008 to 2012.²⁴ As part of AAP project activities, policy makers at ministries and departments as well as parliamentarians in the Committee responsible for environment-related matters were trained in various aspects of climate change theory. The AAP put forth a number of recommendations on an appropriate institutional framework for climate change, which then manifested into Malawi's National Climate Change Programme (NCCP). At the time, in recognition

of the cross-sectoral and economy-wide nature of climate change, the NCCP was housed in the Department of Economic Planning and Development in Malawi's Ministry of Economic Planning and Development Cooperation.²⁵ A National Steering Committee on Climate Change (NSCCC), comprising Principal Secretaries from relevant sector ministries, was established, along with a National Technical Committee on Climate Change (NTCCC), whose membership included not only government experts but also academia and NGO representatives.²⁶ The NTCCC is co-chaired by DCCMS and the Department of Disaster Management Affairs (DODMA). Figure 4 shows the current institutional arrangement for implementing climate change programmes, projects and activities in Malawi.

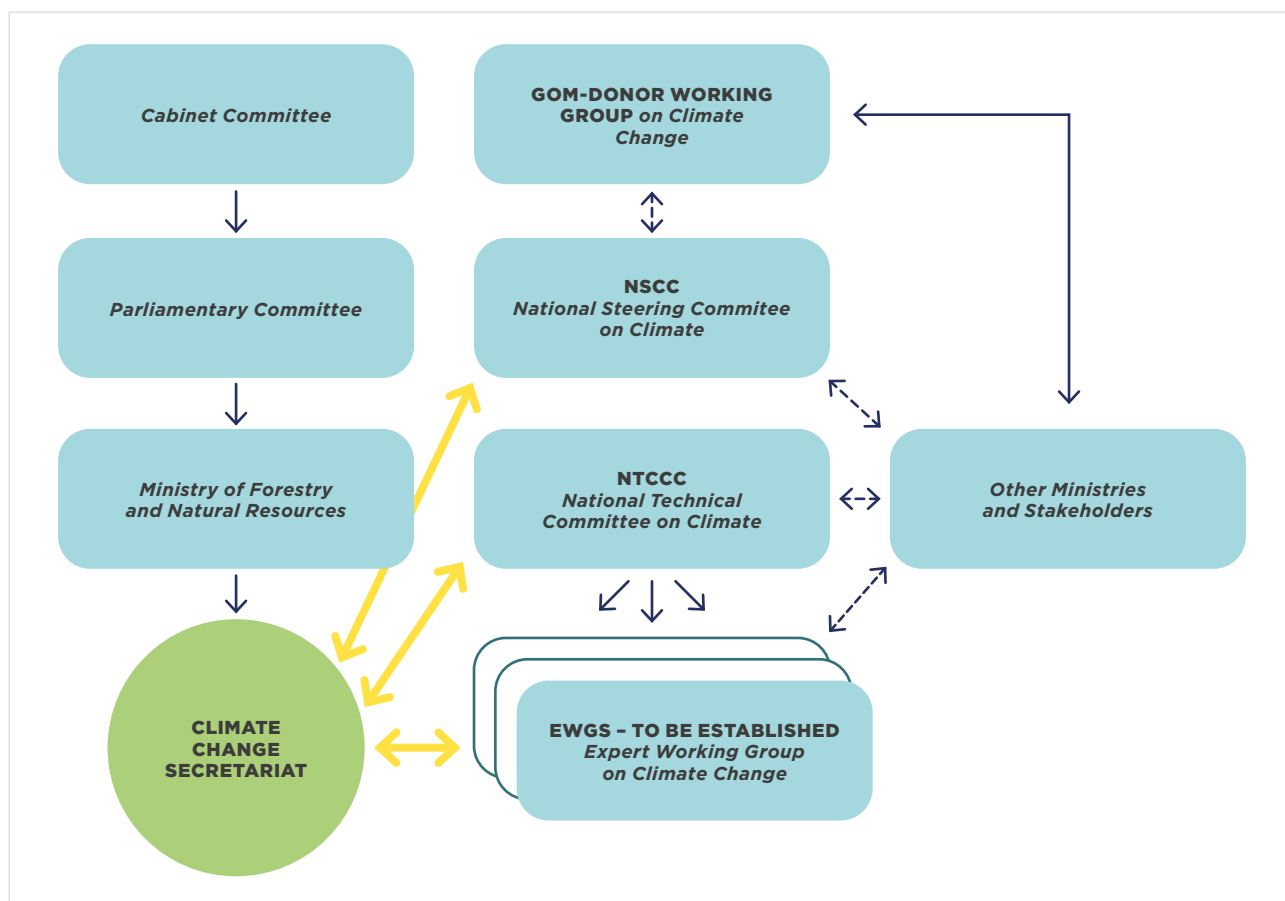


FIGURE 4 MALAWI'S CLIMATE CHANGE INSTITUTIONAL FRAMEWORK

24. Joanna Pardoe et al., *Evolution of National Climate Adaptation Agendas in Malawi, Tanzania, and Zambia - the Role of National Leadership and International Donors*, *Regional Environmental Change*, Volume 20, No. 118 (October 2020). Available at <https://link.springer.com/article/10.1007/s10113-020-01693-8> (last accessed February 2021).

25. Joanna Pardoe et al., (2020) see *ibid.*

26. Joanna Pardoe et al., (2020) see *ibid.*

A 2012 study of climate change mainstreaming in Malawi found that despite these developments, climate change governance faced several challenges at the time.²⁷ According to the study, Malawi had experienced a “proliferation” of new climate change institutions without a clear policy or legal mandate to coordinate climate change.²⁸ This resulted in weak institutional coordination, coupled with limited technical and administrative capacity. The study recommended that Malawi should put in place a new, coherent, national level climate change policy to formalize and clarify institutional mandates and coordination mechanisms, and recommended that the natural custodian of climate change governance in Malawi was the Environment Affairs Department (EAD).²⁹

In recognition of such institutional ambiguity, and to give the issue of climate change more prominence, in 2013 Malawi created the Ministry of Environment and Climate Change Management (MECCM), within which EAD was located (EAD has always been the focal point for the UNFCCC). The Department of Climate Change and Meteorological Services (DCCMS) was also located within the same Ministry.³⁰

Subsequently, Malawi developed key governance instruments to signal its commitment to climate change action, including the National Climate Change and Environment Communication Strategy (2012-2016), the National Climate Change Investment Plan (2013 – 2018), and the National Climate Change Management Policy – the overarching national policy framework that Malawi needed to provide direction on climate change governance – in 2016.³¹ Institutional restructuring in 2014 led to the EAD and DCCMS being subsumed within the Ministry of Natural Resources, Energy, and Mining.³²

The inclusion of climate change in Malawi’s Growth and Development Strategy (MGDS I) was

a major boost of visibility. Initially, MGDS I did not include climate change as a priority issue in its first version, but subsequently an addendum was made to expressly include climate change. Since then, the government has consistently recognized climate change as a core development issue. MGDS II included ‘climate change, natural resources, and environmental management’ as one of its nine priority areas, with a focused section on climate change management.³³ In MGDS III, climate change is embedded within one of the six national priorities, ‘agriculture, water development, and climate change management.’³⁴ In both documents, climate change is also referenced in other contexts, including disaster response and management, as well as in relation to gender equity.

In terms of cooperation with donors and international NGOs, Malawi has a well-established Government – Development Partner Working Group that has been working for well over a decade on a range of development issues, including climate change (see Figure 4).

The institutional structure at national level is not reflected at the district level. Development at the district level is led by District Councils and supported by District Executive Committees (DECs), which are made up of controlling officers from sectors at district level, government parastatal heads, and CSOs/NGOs. District Environmental Officers (DEOs), who represent EAD at the district level, are members of the DECs and are in a position to drive and support climate change activities at the district level. DECs are perhaps the most crucial institutional entry-point for incorporating NDC activities into local government planning. Given their central role, there is a need for more awareness and understanding regarding climate change, and capacity-building within the DECs to tackle the linkages between climate change and development.

27. Centre for Environmental Policy and Advocacy (CEPA), *Mainstreaming Climate Change into Development Policies in Malawi, Policy, Volume 8, Issue 1 (March 2012)*.

28. CEPA (2012), *see ibid.*

29. CEPA (2012), *see ibid.*

30. Joanna Pardoe et al., *Evolution of National Climate Adaptation Agendas in Malawi, Tanzania, and Zambia – the Role of National Leadership and International Donors, Regional Environmental Change, Volume 20, No. 118 (October 2020)*. Available at <https://link.springer.com/article/10.1007/s10113-020-01693-8> (last accessed February 2021).

31. Joanna Pardoe et al., (2020) *see ibid.*

32. Joanna Pardoe et al., (2020) *see ibid.*

33. *Malawi Growth and Development Strategy II (2011 – 2016)*

34. *Malawi Growth and Development Strategy III (2017 – 2022)*

DECs receive inputs from Area Development Committees (ADCs) and Village Development Committees (VDCs).

In Malawi's context, the participation of CSOs/NGOs in advocacy, capacity building, and project implementation at the local level has also been crucial. These non-state groups often bring in skills, knowledge, and expertise in climate change at the district level.³⁵

In relation to the NDC, District Councils (through the support of DECs) will be expected to translate NDC measures and priorities (appearing in the national plans) into district-level activities, to be implemented by government officers heading various sectors at district level.

3.2.2 Climate change mainstreaming in practice

There are two major documents in Malawi that offer government decision-makers guidance on mainstreaming climate change into national and sectoral policy.

The first is not exclusively focused on climate change, but is nevertheless a touchstone for mainstreaming climate change considerations into development planning. This is the **Guide to Executive Decision-Making Process, 2016**, issued by the Office of the President and Cabinet (OPC).³⁶ The guide was prepared as a reference document for Ministers, Principal Secretaries and others responsible for developing policies in ministries, departments, and agencies. It emphasizes how to develop evidence-based policies that are well-aligned with the ecosystem of laws and regulations and overarching national priorities in Malawi.

Amongst the Annexes of this guide are 'Guidelines for Integrating Environmental Sustainability and Natural Resource Management in Policymaking and Planning in Malawi.' While climate change is not explicitly highlighted under these guidelines, the broad coverage of the concept of environmental sustainability would indicate that these guidelines do apply to the integration of climate change

within policymaking and planning in Malawi.

In a key section, the guidelines underscore that to strengthen integration of environment and natural resources management into Malawi's policy and decision-making landscape (i.e., mainstreaming), a series of key considerations should be taken into account:

- **Timing:** Integration of environmental issues into the policy planning and development processes should begin at the earliest stages of the policy development or review process;
- **Knowledge:** Environmental education and outreach should be intensified to ensure that all are aware of linkages between the environment and poverty, and hence the linkages between environment and development planning;
- **Capacity:** The capacity of the sectoral ministries and ENRM coordinating institutions should be strengthened on how to carry out a Strategic Environmental Assessment (SEA), an Integrated Ecosystem Assessment (IEA), and an Economic Assessment (EA);
- **Budgeting:** The ENRM sector working group should be operationalized and strengthened to provide a robust platform for advocacy on environment, and to lobby for significant allocation for ENRM programmes in the national budget;
- **Evidence:** National environmental audits should be regularly carried out and environmental outlook reports should be regularly produced to help inform policymaking on ENRM issues;
- **Awareness:** the level of awareness on ENRM amongst various structures such as the Principal Secretaries Policy Review Committee, Cabinet Committee, and the Parliamentary Committee on Agriculture and Natural Resources should be strengthened;
- **Cross-sectorality:** sector alignment and harmonization with ENRM priorities and concerns should be enhanced by the establishment of a ENRM sector wide approach programme;
- **Tracking:** the Environmental Sustainability Criteria Framework (ESCF) and Monitoring and Evaluation Framework (MEF) should be promoted in line ministries; and
- **Resource-Mobilization:** More financial and human resources should be mobilized and allocated for ENRM activities.

35. Government of Malawi (2019). *Guidebook on Local Government System in Malawi*, Ministry of Local Government and rural Development, Lilongwe.

36. Malawi Government, *Guide to Executive Decision-Making Processes* (February 2016).

The Guidelines also provide specific direction on the incorporation of ENRM issues into the national policy development cycle (a multi-stage process followed by all national policies, i.e. integration into each of the following steps:

- i.** Identification of issues and policy agenda setting;
- ii.** Development of concept paper;
- iii.** Review of concept paper;
- iv.** Policy analysis including policy impact assessment;
- v.** Consultations
- vi.** Review of policy analysis document;
- vii.** Cabinet decision;
- viii.** Policy implementation; and,
- ix.** Policy Monitoring and Evaluation (M&E).

The guidance provided in the guidelines is high-level, but is a useful starting point for considerations of mainstreaming climate change into national policy-development and policy-updating processes.

The second crucial document that is material to climate change mainstreaming in Malawi is the **Sectoral Guidelines for the Integration of Climate Change Adaptation into Development Planning, 2017**, issued by EAD.³⁷ While the guidelines are focused on climate change adaptation alone, and not on mitigation (a natural emphasis, given Malawi's vulnerability to climate change as well as its negligible contribution to global greenhouse gas emissions), the principles reflected in the guidelines are indeed applicable to climate change more generally. The stated goal of the guidelines is to provide direction on how climate change measures can be integrated into national policies, strategies, and planning, as well as how to promote knowledge and awareness on climate change adaptation amongst all stakeholders, including at the community level. The guidelines also affirm that they are intended to help development practitioners avoid engaging in socio-economic development work that is maladaptation.

The guidelines stipulate that the process of integrating adaptation into development planning should be premised on:

- (1)** key planning levels and entry points;
- (2)** sector vulnerability, climate change risks, and adaptation options; and
- (3)** the use of generic integration guidelines and tools (such as SEAs or CBAs).

The guidelines do not specify the exact positions and titles of the responsible parties (individual persons) at each level, potentially due to the changing nature of government nomenclature in Malawi (Ministerial re-structuring, cabinet reshuffles etc.). Nevertheless it will be useful to identify the post or position within each key planning level who may be the locus of responsibility. It is unlikely that Ministers would be charged with mainstreaming, but Principal Secretaries or Director-level positions could be an appropriate locus for such responsibility (with the possibility of further delegation).

Of particular note are the identified entry points for mainstreaming, captured in Table 1

37. Republic of Malawi, *Sectoral Guidelines for Integration of Climate Change Adaptation in Development Planning (June 2017)*.

TABLE 1 KEY PLANNING LEVELS AND POSSIBLE ENTRY POINTS FOR CLIMATE CHANGE MAINSTREAMING IN MALAWI (SOURCE: EAD GUIDELINES, 2017)

Key Planning Level	Possible Entry Points
Central Government	<ul style="list-style-type: none"> • National development plans formulation and review processes (Malawi Poverty Reduction Strategy Paper, MGDS, Malawi Vision 2063), • National budget formulation, allocation, adoption, execution and control processes • International development partner plans and portfolio formulation processes • Private sector corporate strategy development processes and/or Corporate Social Responsibility (CSR) plans
Sectors / Ministries	<ul style="list-style-type: none"> • Sector policies, strategies, and planning and review process (e.g., National Agriculture Policy, National Water Policy, National Forestry Policy) • Sector expenditure reviews • Government sectoral programmes and projects (large sectoral development initiatives) • Development of academic curriculum by government
Local Government / Districts	<ul style="list-style-type: none"> • Decentralization policy • Preparation or review of District Socio-Economic Profile (SEP) and District Development Plans • District budget allocation processes • Development of village and area development plans, and Village Action Plans (VAPs) • Private sector and CSOs' planning processes
Households	<ul style="list-style-type: none"> • Development planning process for household livelihoods • Design and development of projects by donors, development partners, and stakeholders
Projects	<ul style="list-style-type: none"> • Project design • Project cycle management processes

The guidelines use the sectors of agriculture, water, and forestry and pilot cases, to provide examples of the types of climate change vulnerability and climate risks that are experienced in the sectors, and an illustrative list of climate change adaptation options that planners in these sectors can build into their respective development plans.

The guidelines go on to identify the major policy cycle stages in Malawi, and list the types of actions and interventions planners and decision-makers involved in these stages can take, to ensure that climate change considerations are mainstreamed.

TABLE 2 KEY INTERVENTIONS FOR CLIMATE CHANGE ADAPTATION IN NATIONAL LEVEL POLICY FORMULATION (SOURCE: EAD GUIDELINES, 2017)

Policy Cycle Stages	Broad Interventions for Climate Change Adaptation
Policy Formulation	<ul style="list-style-type: none"> • Recognition of CC risks, considering their medium to long-term timeframes within relevant national policies • Application of a climate lens to examine the extent to which policies or strategies could be vulnerable to CC risks, or the extent to which they could lead to maladaptation. Tools such as Strategic Environmental Assessment (SEA) may be used • Identification and consideration of ideal adaptation options within relevant national policies such as NAPAs, NAPs, NDC.
Planning	<ul style="list-style-type: none"> • Application of a climate lens to proposed sectoral plans to assess climate risks and/or opportunities and potential responses. Adoption of existing sectoral guidelines and criteria to assess plans with a view of adding climate change specs might be an important approach • Proactive action on programmes or projects specifically aimed at enabling adaptation to climate change.
Resource Allocation	<ul style="list-style-type: none"> • Reallocation of funds to key sectors and regions that will be more vulnerable to climate change. • Provision of funding for nation-wide plans specifically aimed at enabling adaptation and also establishing a basket fund for adaptation
Programming and Implementation	<ul style="list-style-type: none"> • Application of a climate lens to ensure endorsement and implementation of climate proof development projects
Monitoring and Evaluation	<ul style="list-style-type: none"> • Provision of resources to strengthen M&E systems and capacities at the national and sectoral levels (which will benefit climate change performance tracking as well) • Development of indicators to track progress on integration of climate change in development planning

Furthermore, the guidelines provide similar direction for integration of climate change considerations in sectoral planning processes as well.

TABLE 3 KEY INTERVENTIONS FOR CLIMATE CHANGE ADAPTATION IN SECTORAL LEVEL POLICY FORMULATION (SOURCE: EAD GUIDELINES, 2017)

Policy Cycle Stages	Broad Interventions for Climate Change Adaptation
Policy Formulation	<ul style="list-style-type: none"> • Reflection upon and further deepening of action on climate change priorities that may have been established at the national level; • Recognition of climate change and the need for adaptation within sectoral policies and strategies; • Application of a climate lens in the formulation of sectoral policies and strategies, and make the necessary adjustments.
Planning	<ul style="list-style-type: none"> • Application of a climate lens in the formulation of sectoral plans to ensure that they are climate proof. This may lead to the reorientation and modification of sectoral plans and/or to the development of new activities. • Building in of cross-sectoral adaptation activities and projects identified at the national level. This may include measures in relation to disaster risk management
Resource Allocation	<ul style="list-style-type: none"> • Proactive sectoral management to identify any emerging climate change risks needing measures which might not have been considered at local government /or district level in specific regions • Making room in the budget for climate change responses identified in the context of cross-sectoral plans • Claiming resources from a basket fund established for additional sectoral climate change initiatives
Programming and Implementation	<ul style="list-style-type: none"> • Addition of climate change lens to the range of criteria used to screen project proposals such as Social Impact Analysis (SIA), Environmental Impact Assessment (EIA) and Cost-benefit Analysis (CBA).
Monitoring and Evaluation	<ul style="list-style-type: none"> • Provision of resources to strengthen M&E systems and capacities at the sectoral level • Development of indicators to track performance against climate change

The guidelines also showcase approaches for mainstreaming climate change within local government, at different stages of the policy development process. An especially helpful element in the guidelines, for local government, is the identification of key questions that planners at the local level can ask themselves while engaging in district development planning.

TABLE 4 KEY INTERVENTIONS AND PRIORITIES FOR INTEGRATING ADAPTATION IN THE LOCAL/DISTRICT DEVELOPMENT PLANNING PROCESS (SOURCE: EAD GUIDELINES, 2017)

Local Government Planning Stages	District Development Planning System	Key Questions to Consider for Integrating Climate Change
Situation Analysis (understanding the current development situation in the district/community)	Production of Socio Economic Profile (SEP) (provides necessary information for situational analysis and formulation of DDPF)	<ol style="list-style-type: none"> 1. What livelihoods are practiced in the district and communities? 2. How are they affected by climate change? 3. How can the Household Livelihood Security Framework be used to identify livelihoods impacted by climate change? 4. What policies and institutions help or hinder people's ability to manage climate risk? 5. How do local by-laws and programmes affect exposure to climate hazards? 6. Which stakeholders within district and local institutions are relevant to disaster risk response and climate change?
Visioning and Goal Setting (describing where the community wants to be in the future and what it needs to do to get there)	Formulation of District Development Plan Framework (DDPF) (the DDPF becomes the road map for formulation of all programmes and projects)	<ol style="list-style-type: none"> 1. How can known and analyzed local climate risks affect attainment of sectoral related community development goals i.e. agriculture, water, forestry, health? 2. How can meeting development goals enhance or undermine community vulnerability and resilience to climate risk? 3. How can one apply a climate lens to appraise goals and subsequent programmes
	Approval of District Development Plan Framework (DDPF)	
Priorities Identification; (identifying what should be done in the short, medium, and longer term)	Feedback and Project Identification (commences after the approval of the DDPF)	<ol style="list-style-type: none"> 1. How can climate risk information be used to prioritize and fine-tune development goals at district level? 2. How can vulnerability and capacity assessments be used to identify vulnerable areas and people, and thus priority targets for interventions? 3. How can one use climate information to reveal emerging climate risks to community development priorities? 4. Can a Livelihoods and Coping Strategies Assessment help to understand effective and sustainable strategies thereby guide resource allocation and investment? 5. How can one apply a climate lens to ensure climate proof development programs?
	Project Proposal Preparation and Appraisal (involves examining and evaluating the feasibility of proposed projects based on technical, institutional, financial/economic, social and environmental perspectives)	
Programmes/Projects/Policy (regulations) formulation (developing targeted actions to address priorities)	Formulation of District Development Plan (DDP) (A plan for socioeconomic development directing resources and investment packages for accelerated poverty reduction in the district)	<ol style="list-style-type: none"> 1. Have climate risks been taken into account in the design of projects to avoid maladaptation? 2. Which interventions can build the capacities needed to implement priority development activities that reduce climate-related vulnerabilities? (Examples include: increased access to micro-credit; better communication infrastructure such as roads, bridges, telecom networks; establishing early warning systems; building community storm drains; establishing mitigation works and adaptation initiatives such as riverbank stabilization in flood-prone areas; community education and awareness campaigns; capacity building for climate risk information management; establishing or strengthening decentralized structures and institutions for effective climate risk reduction, etc.)
	Negotiations and Approval of District Development Plan (DDP)	
	Planning and Implementation of Projects	
Monitoring and Evaluation; (tracking progress and measuring socioeconomic development achievements)	Monitoring and Evaluation	<ol style="list-style-type: none"> 1. What indicators can be established that help assess local vulnerability to climate change and the capacities of communities to reduce it? 2. Can the Livelihood Framework be used for baseline data on livelihood vulnerability?
	Annual Review and Reappraisal	

The guidelines also provide direction on how to approach climate adaptation mainstreaming at the household level and project level, the majority of which overlaps with the considerations already pointed to at the national, sectoral, and local government levels (reflected in the tables above).

Overall, the guidelines are an extremely useful tool for policy planners and decision-makers in Malawi to be better equipped to mainstream climate change into their areas of operation. What is less clear is whether the guidelines are, in fact, being widely applied across government. For the value of these guidelines to be realized, it is critical that they be adopted and used by planners at the national level, in different Ministries, and at the local level, in different District Councils.

In light of the utility of these guidelines, and their ability to facilitate mainstreaming of the NDC as part of climate change mainstreaming in Malawi, it is recommended that they be updated to (a) include climate change mitigation as well; and (b) to specifically include mention of the NDC, and to point planners and government decision-makers toward the specific interventions (adaptation and mitigation measures) in the NDC, which could be incorporated in various national, sectoral, and local plans and policies.

3.3 Emerging insights from stakeholder consultations and the impact project

A number of stakeholders were consulted in order to get inputs (from the bottom-up) to inform the process of development of this Mainstreaming Guidelines. Online consultative meetings were conducted with an NGO/CSO network, a youth network, the National Planning Commission, city planners, and academia. The key issues raised by stakeholders, on mainstreaming, were:

- i) Awareness:** The process of NDC development has not been well publicized;
- ii) Involvement/ Participatory approach:** The level of involvement in the process of development was rather low. A number of stakeholder groups were missed out;
- iii) Capacity building:** Despite past efforts to

enhance capacity of decision makers on the issues of climate change, the majority of policy makers face challenges in articulating linkages between climate change and development. The need to strengthen technical capacity on mainstreaming is even more crucial at local government level;

iv) Alignment with national planning process: According to the National Planning Commission, activities that are not reflected in or derived from the national development agenda and the medium term development plan (MGDS) would not receive support from the government. This implies that if NDC measures require support, they must be embedded in the MGDS.

v) Gender inclusiveness: Gender issues must receive consideration in all stages of the NDC development and implementation, and be mainstreamed more into NDC-driven activities.

Furthermore, specific and dedicated stakeholder consultations were held to seek the views of local government officials on NDC mainstreaming (and climate change mainstreaming more broadly).

A discussion with the Director of Planning and Development at City of Blantyre indicated that the Blantyre City Council (BCC) considers environment – inclusive of climate change – as a cross cutting issue and already is well-versed in mainstreaming it in its planning processes. Implementation of specific environmental projects is handled through the Blantyre Directorate of Park Recreation and Environment. The BCC was not directly involved in the current process of updating of Malawi’s NDC. However, the BCC has participated in a number of climate change projects and initiatives as a key stakeholder or implementer, and is aware of the NDC.

The BCC is usually invited to participate in the process of development or review of Malawi’s national development plans including the Malawi 2063 and MGDS III. This process may offer a linkage between national development and the NDC, and therefore could enable the NDC to then be linked to local development.

A consultation with the Director of Planning and Development at Ntchisi District Council indicated that the Director’s role focuses on programming (i.e., leading in the programming of all developmental activities of the district council); coordination (i.e., coordination of the process of planning, implementation, reporting and monitoring of project activities); as well as policy updates (i.e., ensuring that policy documents

within the Council are updated. This includes District Development Plans and Sectoral Plans which are informed by the Malawi Growth and Development Strategy III. District Development Plans are developed from bottom-up using the local government decentralisation structures in which data from Village Development Committees and Area development Committees is collected and synthesized to inform District Development Committees. These documents detect what developmental activities the Council could implement, and are therefore excellent entry points at the subnational level for NDC-related activities).

The Ntchisi District Council was not involved in the NDC development process but is looking forward to learning more about the NDC. It was observed that since the NDC is a national activity originating from environmental sector, at the local level it could best be handled by Sector Committee of District Executive Committee (DEC).

The DPD holds quarterly meeting with Local Government to review implementation of district development plans, identify challenges and make recommendations to ensure achievement of annual work plans. Once NDC-linked activities are mainstreamed into district development plans, the monitoring and implementation of the same will automatically become part of the quarterly review meetings with local government.

Valuable insights were also received from local government stakeholders who have been involved with the IMPACT project in Malawi. The stakeholders noted that they have been involved in the NDC activities but have not been directly involved in the current process of updating the NDC. It was observed that the level of engagement and coordination was limited.

The group reaffirmed that in order for the NDC to be mainstreamed into the District Development Plans (DDPs), the mainstreaming needs to occur through specific policy guidelines, which would be helpful. The most effective entry points for NDC mainstreaming at this level would include approval processes (for budgets and projects); sectoral planning instruments; and quarterly M&E and Reporting.

The stakeholders involved in the IMPACT project emphasized that the best opportunity for mainstreaming the NDC into subnational development processes lies in ensuring that it is

included in the extended MDGS III which is the key policy document that informs the development of district development plans. Given that district development plans flow from and need to be aligned to the MGDS, integrating the NDC explicitly and clearly in the MGDS III extension (now expected to be modified to a ten-year timeframe) would then trigger the integration of the NDC into district development plans.



CASE STUDY

PARTICIPATORY PROCESSES UNDERTAKEN BY THE IMPACT RESEARCH PROJECT TO UNDERSTAND THE CHALLENGES AND OPPORTUNITIES FOR IMPLEMENTING NDCS ACTIVITIES AT LOCAL LEVEL

Malawi's Local governments often lack the necessary collaboration mechanisms to effectively harness the needed relationships for inclusive governance and decision-making that builds local level climate resilience. Complex barriers prevent collaboration mechanisms that have been adopted to achieve maximum effectiveness.

The NDC climate dialogues conducted in Malawi provided the baseline on which to analyse the gap and build a plan of activities to improve the NDC communication between local and national government in Malawi. Through these dialogues, Malawi stakeholders investigated existing collaboration methods and their impact, barriers and enablers to implement and maintain them, and the ways in which they enable improved planning for climate resilient development. This process led to the co-development of a roadmap with both national and local government representatives with a specific focus on the following:

1. Process of communicating the NDCs at local level.
2. Ensuring that the communication and awareness of the NDCs is enhanced at local level.
3. Local government is actively included in updating the NDC

These focus areas are a collection of options with information about how to proceed with implementation of a particular task in the roadmap plan, what types of resources are needed and who holds the core responsibility for implementation. The 12-24 months roadmap for the NDC communication and collaboration at local level will feed into Malawi's proposed 5 year NDC implementation plan to articulate the local government desired outcomes and provide additional guidance and space for them to reflect on the most appropriate actions to undertake at a certain time.

Through participatory engagement across face to face and virtual interactions, many learnings were exchanged, barriers identified, and opportunities discussed. These include insights that:

- Improved institutional arrangements and knowledge exchange would promote institutional capacity building at local level for actual implementation of the INDC
- National level needed to communicate the NDC portfolio to the local level, particularly local councils, in order for them to understand the role that they can play in the collaboration and provide support with the implementation of the NDC activities at local level.
- Localised climate action can improve government's ability to deal with other pressing developmental needs, as local authorities have a clear understanding of the priority needs of their communities from a climate action standpoint.
- Despite the challenges posed by the Covid-19 pandemic, the IMPACT project largely met its intended objectives, in particular, it:
 - Integrated climate change issues horizontally across water, energy and city governance sectors, and vertically between tiers of government;
 - Improved access to, and development and dissemination of NDC communications strategy;
 - Promoted awareness on climate change adaptation and mitigation for policymakers to make informed, evidence based decisions; and
 - Improved implementation arrangements through establishment of forums, committees and networks.

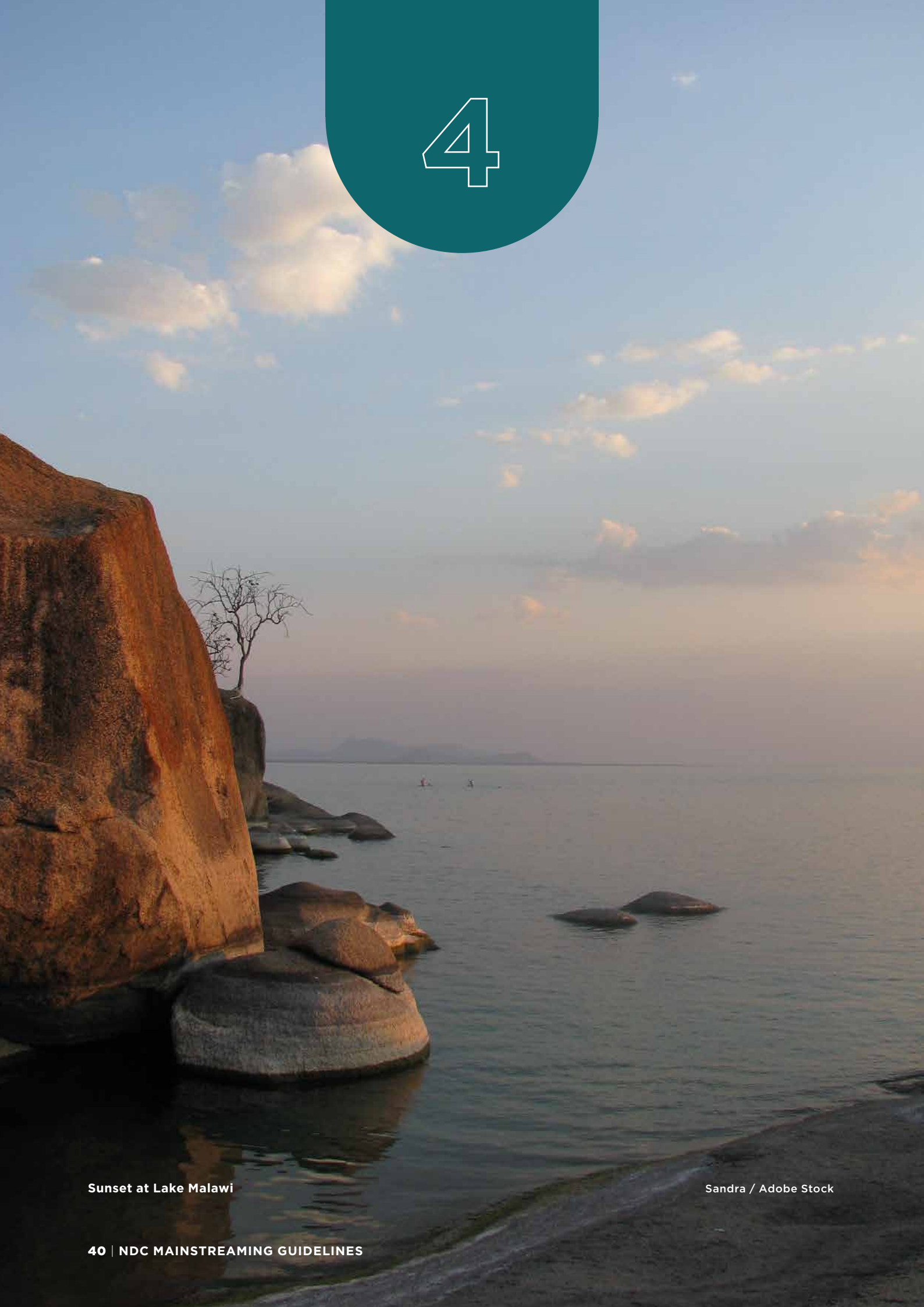
Source: ICLEI Africa, *Why NDCs are So Important, Case Studies from Zimbabwe and Malawi (2021)*.



Mountains in Lake Malawi, Malawi

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4



Sunset at Lake Malawi

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NDC Mainstreaming Framework: Checklist and Guidelines

4.1 Checklists for NDC readiness and development

While this report (and the project it is linked to) is intended to focus on NDC mainstreaming guidelines (i.e. guidelines to help integrate the NDC, once developed, into national and local government plans, policies, and strategies) as opposed to guidelines for the preparation or development of NDCs, it is useful to briefly take note of checklists and guidelines that relate to the NDC more generally.

UNDP has developed (in 2020) a quality assurance checklist for governments to refer to when undertaking a revision of the NDC. This checklist is based on three principal dimensions:

- (i) Country ownership and inclusiveness:** the engagement of society and political stakeholders at all levels (including national and subnational levels) during the revision process, and the inclusion of engagement outcomes in the NDC;
- (ii) Robustness and ambition:** the clarity, transparency, and understanding of mitigation and/or adaptation components, cross-cutting issues communicated, and the enhancement of key targets and measures in the enhanced NDC; and
- (iii) Feasibility:** key enabling conditions for implementing NDCs, i.e., finance mobilization, technology transfer and institutional capacity building.

Under each of these dimensions, UNDP's checklist articulates a comprehensive set of guiding questions, which can be answered with either a 'yes,' 'partially,' or 'no.'

Similarly, UNDP and WRI have developed (in 2020) an NDC implementation readiness checklist, which identifies nine key steps or stages that country governments need to consider as they prepare to

translate their NDCs into implementation. Each of the nine steps or stages includes a series of questions intended to guide the national conversation on NDC implementation, at national and subnational levels. It is noteworthy that the checklist explicitly takes into account subnational governments within all of its recommended nine steps or stages, which are organized into five categories, as follows:

Preparation for NDC Implementation Planning

- (i)** Building NDC awareness and support;
- (ii)** Identifying institutional arrangements and strengthening institutional capacities;
- (iii)** Technical preparations for NDC implementation;

NDC Implementation Planning and Mobilization of Resources

- (iv)** Developing an NDC implementation plan
- (v)** Mobilizing resources for NDC implementation

Implementation of NDC and Monitoring of Progress

- (vi)** Developing enabling conditions and implementing NDC actions
- (vii)** Monitoring progress of NDC implementation

Revising and Updating NDCs

- (viii)** Amending the NDC implementation plan to meet goals

Future NDC Cycles

- (ix)** Planning for future NDCs

ICLEI Africa, through the IMPACT project, has developed an NDC checklist for local authorities to understand their countries' NDCs, and to better grasp the relevant adaptation and mitigation outcomes (with sectoral targets) at a local level. The checklist is intended to help familiarize local government decision-makers with the key elements of the country's NDC and, in the process, begin to internalize what it might imply for their own mandates, and to start observing linkages to local government development activities.

TABLE 5 IMPACT PROJECT CHECKLIST FOR LOCAL GOVERNMENT TO UNDERSTAND NDC ELEMENTS
(SOURCE: ICLEI AFRICA, 2021)

Does your Nationally determined contributions (NDC) include the following?			
Adaptation Targets	Tick box	Mitigation Targets	Tick box
Specific sectoral outcomes related to i) avoided negative impacts of climate change, and ii) reduced climate vulnerability?		Specific commitments to reducing greenhouse gas (GHG) emissions, the scope/sectors, the baseline (year/ measurement), and the underlying units (e.g. tons of CO ₂ per capita).	
Socio-economic indicators for monitoring and evaluating increased climate resilience, based on country context.		A clear timeframe, and related milestones and goals.	
Links to overall economic developmental needs and policy landscape, including climate related plans or strategies.		Physical data indicators linked to milestones for monitoring, reporting and verification on emissions targets	
Assumptions and methodologies.		Specific policy instruments needed or to be used in order to achieve the goals, (e.g. carbon tax, carbon budgets, regulatory standards and controls).	
Investment requirements per goal per annum.		Links to overall economic developmental needs and policy landscape, including climate related plans or strategies.	
A clear timeframe, and related milestones and goals.		Assumptions and methodologies.	
		Investment requirements per goal per annum.	

A review of such checklists, targeting both the national and local levels, allows for an appreciation of the utility and typical contents of NDC-related checklists. These learnings have informed the preparation of the checklist developed for this assignment.

4.2 NDC mainstreaming checklist and scorecard

The NDC Mainstreaming Framework recommended here is not intended to replace or duplicate the climate change adaptation mainstreaming guidelines issued by EAD in 2017. Those guidelines (discussed in the preceding chapter) remain relevant and have utility for the integration of climate change considerations into a wide range of developing planning activities in Malawi. If the guidelines can be amended as suggested – i.e., broadened to include climate change mitigation and to explicitly include mention of the NDC as one of the key instruments planner should use as a reference when identifying climate change interventions to incorporate in their policies and plans – they will provide a strong impetus to the operationalization of the NDC.

Nevertheless, the guidelines can and should be complemented by additional decision-support tools that increase clarity for decision-makers

and planners on what precisely mainstreaming looks like, and how to ensure that any gaps in mainstreaming the NDC into national, sectoral, and local development plans can be prevented as well as rectified.

Based on a synthesis of such best practice, coupled with consideration of what's applicable and practicable in Malawi's context, we suggest the following approach: the use of a mainstreaming checklist and scorecard coupled with clear guidance (in directive language) on how to undertake each of the mainstreaming steps indicated by the ten mainstreaming elements in the checklist and scorecard.

The ten elements are informed by literature and best practice on climate change mainstreaming, and the most effective entry points and levers of mainstreaming. These include identification of implementation responsibility, allocation of finance, assignment of M&E mechanisms, amongst others.

The checklist and scorecard is attached to this report as an Excel-based diagnostic tool. A schematic diagram of its interface is provided below.

The start of the Ruo Path in the Lujeri Tea Estate leading up to the plateau of Mount Mulanje.



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NDC MAINSTREAMING CHECKLIST AND SCORECARD

S. No.	Identification of Mainstreaming Element	Yes	Partial	No	Comments
1	The governance instrument / document makes explicit mention of the NDC and its linkage or relationship to the guidance document / plan				
2	The governance instrument / document makes explicit mention of relevant NDC measures	<p>NOTE: The score-card adopts a traffic-light system (Yes = green), and requires the user to enter a numeric value (yes = 5) to arrive at a total score (out of 50) and averaged score (out of 10) to facilitate</p>	<p>NOTE: The score-card adopts a traffic-light system (Partial = amber), and requires the user to enter a numeric value (partial = 2-4) to arrive at a total score (out of 50) and averaged score (out of 10) to facilitate comparison</p>	<p>NOTE: The score-card adopts a traffic-light system (No = red), and requires the user to enter a numeric value (no = 1) to arrive at a total score (out of 50) and averaged score (out of 10) to facilitate comparison</p>	
3	The governance instrument / document makes explicit mention of targets or key performance indicators linked to relevant NDC measures				
4	The governance instrument / document explicitly states what actions in its area of coverage or purview will be taken to support / achieve the NDC's relevant measures (linking actions to specific, relevant NDC measures)				
5	The governance instrument / document explicitly identifies measurable outputs and outcomes from its actions in support of the NDC's relevant measures (linking the outputs and outcomes to specific, relevant NDC measures)				
6	The governance instrument / document explicitly provides for an M&E and MRV mechanism (such as measurement and reporting of indicators) to track progress on the outputs and outcomes from its actions in support of the NDC's relevant measures				
7	The governance instrument / document explicitly identifies direct implementation responsibility for the actions it provides for in support of the NDC's relevant measures				
8	The governance instrument / document explicitly identifies implementation partners (and their respective roles in the institutional arrangements) for the actions it provides for in support of the NDC's relevant measures				
9	The governance instrument / document estimates and/or earmarks additional investment and finance needed for its identified actions in support of the NDC's relevant measures, above business-as-usual allocations				
10	The governance instrument / document's own review mechanism for periodic revisions and updates explicitly stipulates that when Malawi's NDC is updated, the guidance document / plan will be updated to reflect the latest NDC measures or targets, with corresponding revisions to its actions in support of the NDC's relevant measures				
Total score (out of 10)					(Final Value)
Key: color range for total score (final value) out of 10			NDC requires significantly more mainstreaming		
			NDC is moderately mainstreamed		
			NDC is already extremely well mainstreamed		

4.3 NDC mainstreaming guidelines

The following guidelines are intended to be a companion to the NDC Mainstreaming Checklist and Scorecard described above (and attached as an Excel Workbook). They can, however, be used as standalone guidelines even without the diagnostic tool.

They provide step-by-step, accessible guidance on ten key elements that are characteristics of NDC mainstreaming, i.e. the *integration* of the NDC into a governance document or instrument (e.g. national, sectoral, or local policy, strategy, plan, or regulatory framework) in an effective manner. The guidelines may be applied by both national governments, and subnational governments, to national, sectoral, or local level governance instruments (policies, plans, strategies, regulations, or frameworks, as the case may be).

4.3.1 Referencing the NDC

- i) When drafting, revising, or amending the instrument, ensure that the document includes a reference to the latest available NDC.
- ii) Ensure that in mentioning the NDC, the instrument notes clearly why the NDC is important for the issues that the instrument addresses, i.e. why is the NDC relevant to the subject-matter of the instrument.
- iii) Ensure that the instrument captures in writing the linkage or relationship between the NDC and the instrument (e.g. the NDC represents Cabinet-approved international commitments by the Government of Malawi, through 2040, in relation to the instrument's level of approval and timeframe).

4.3.2 Reference to NDC measures

- i) When drafting, revising, or amending the instrument, ensure that the document includes a reference to measures from the NDC (adaptation or mitigation measures, as the case may be) that are important for or have a bearing on the subject-matter of the instrument.
- ii) Ensure that in mentioning the relevant NDC

measures, the specific measures are articulated, instead of a general reference to adaptation or mitigation, or to the sector the measure is classified under.

- iii) Even in an instance when all measures under a given NDC sector are relevant to the issues that the instrument addresses, identify all the individual measures for clarity, as opposed to noting the sector. This will allow for greater clarity and consistency in future identification of these as priorities by implementing parties.

4.3.3 Reference to NDC targets and indicators

- i) When drafting, revising, or amending the instrument, and referring to a specific and relevant NDC measure, ensure that the document includes a reference to the corresponding NDC target and/or indicators linked to the measure.
- ii) To identify the targets and indicators to mention, refer to the short, medium, and long-term implementation framework contained in the latest NDC, and to any accompanying detailed NDC implementation plans, which contain targets and indicators.
- iii) In the event of the longer-term NDC implementation plan and the short-term detailed implementation plan having different targets or indicators linked to the same NDC measure, select the targets or indicators most relevant to the timeframe of the instrument.

4.3.4 Identification of specific actions / activities

- i) When drafting, revising, or amending the instrument, and referring to a specific and relevant NDC measure, identify what actions or activities the instrument can mandate or drive – within its remit or area of coverage – that would support the achievement of the referenced NDC measure(s).
- ii) Once the actions or activities are identified, articulate them in the instrument (noting, if required, that they may be provisional or subject to change). This will still allow for greater clarity and consistency in future identification of these as priorities by implementing parties.
- iii) In the event of the longer-term NDC implementation plan and the short-term detailed implementation plan having different targets or indicators linked to the same NDC measure, select

the targets or indicators most relevant to the timeframe of the instrument.

4.3.5 Identification of outputs and outcomes

- i) When drafting, revising, or amending the instrument, and referring to actions or activities the instrument can mandate or drive – in support of the achievement of the referenced NDC measure(s) – identify what specific outputs and outcomes would be expected from such actions.
- ii) To identify the outputs and outcomes to mention, refer to the short, medium, and long-term implementation framework contained in the latest NDC, and to any accompanying detailed NDC implementation plans, which contain outputs and outcomes linked to each NDC measure.
- iii) In the event of the longer-term NDC implementation plan and the short-term detailed implementation plan having different outputs or outcomes linked to the same NDC measure, select the outputs and outcomes most relevant to the timeframe of the instrument.

4.3.6 M&E / MRV for NDC-linked actions

- i) When drafting, revising, or amending the instrument, and referring to actions or activities the instrument can mandate or drive – in support of the achievement of the referenced NDC measure(s) – clearly identify what performance measurement mechanism will be used to track such actions.
- ii) The performance measurement mechanism could be either an M&E or MRV mechanism already in use for tracking progress on the instrument (such as quarterly or six-monthly or annual reports, or periodic national or sectoral statistical surveys, or even an existing performance management tool into which data reported is included), or – in the absence of an M&E or MRV mechanism for the instrument or the sector the instrument relates to – the M&E or MRV mechanism in use to track progress on the relevant measures in Malawi's NDC (since Malawi's NDC will have its own M&E and MRV framework, which will be operationalized by EAD).
- iii) In the event that no existing M&E or MRV system would be viable for tracking progress on the actions to be driven by the instrument, develop an M&E or MRV mechanism for the actions, aligned with broader national M&E and

MRV (e.g. in Malawi's case, a national performance measurement system overseen by the Ministry of Finance, Economic Planning, and Development)

Guidance note:

Monitoring and Evaluation (M&E): Monitoring and evaluation (M&E) is the term used for measurement of adaptation initiatives. Adaptation actions are based on country-specific risks and vulnerabilities (physical and socio-economic conditions), and cannot easily be compared due to a lack of standardised, global reference metric; thus M&E systems need to be context-specific. M&E is important to ensure the long-term success of climate adaptation interventions, and helps countries determine whether envisioned outcomes that improve resilience have been achieved.

Monitoring, Reporting and Verification (MRV):

This term originated in the context of mitigation, first mentioned within the 2007 Bali Action Plan. It is typically specific to the accurate measurement of GHG emissions (physical conditions), and actions and support of mitigation efforts. Establishing or following an established MRV system fulfils Paris Agreement provisions on accounting and transparency, tracking progress on the NDCs..

4.3.7 Assignment of responsibility

- i) When drafting, revising, or amending the instrument, and referring to actions or activities the instrument can mandate or drive – in support of the achievement of the referenced NDC measure(s) – clearly identify which government entity (Ministry, Department, Agency, or other unit or division) will be responsible for the implementation of the actions or activities.
- ii) Where applicable, if there are multiple implementing entities, identify all that would be responsible.
- iii) In the event of multiple implementing entities, clearly identify which one would be the lead implementing entity, primarily accountable for implementation by the collective.

4.3.8 Identification of partners

- i) When drafting, revising, or amending the instrument, and referring to actions or activities

the instrument can mandate or drive – in support of the achievement of the referenced NDC measure(s) – clearly identify the specific non-state entities (such as development partners, multilateral development banks, international NGOs, academic institutions, research organizations, think tanks, community-based organizations, private companies and businesses, industry associations etc.) that would be partners in implementation of the actions or activities.

ii) Where applicable, if there are multiple implementing partners, identify all that would be involved.

iii) In the event of a coalition or consortium of implementing partners, clearly identify which one would be the lead implementing partner or focal point for the coalition or consortium.

4.3.9 Estimation of financial need

i) When drafting, revising, or amending the instrument, and referring to actions or activities the instrument can mandate or drive – in support of the achievement of the referenced NDC measure(s) – clearly identify the cost of the actions or activities, or the budget needed for implementing them.

ii) Where detailed, comprehensive costs are not available, provide indicative costs, noting that these may be subject to change. Even as estimates, these will be useful to implementing parties and for resource mobilization to support the instrument.

iii) In the next budget cycle that follows the drafting, revising, or amendment of the instrument, submit the costings for approval and inclusion in the budget allocation that would be linked to the instrument (or the sector to which the instrument is applicable). Use the budget code for climate change (or for the NDC, if available).

4.3.10 Consistency with NDC updates

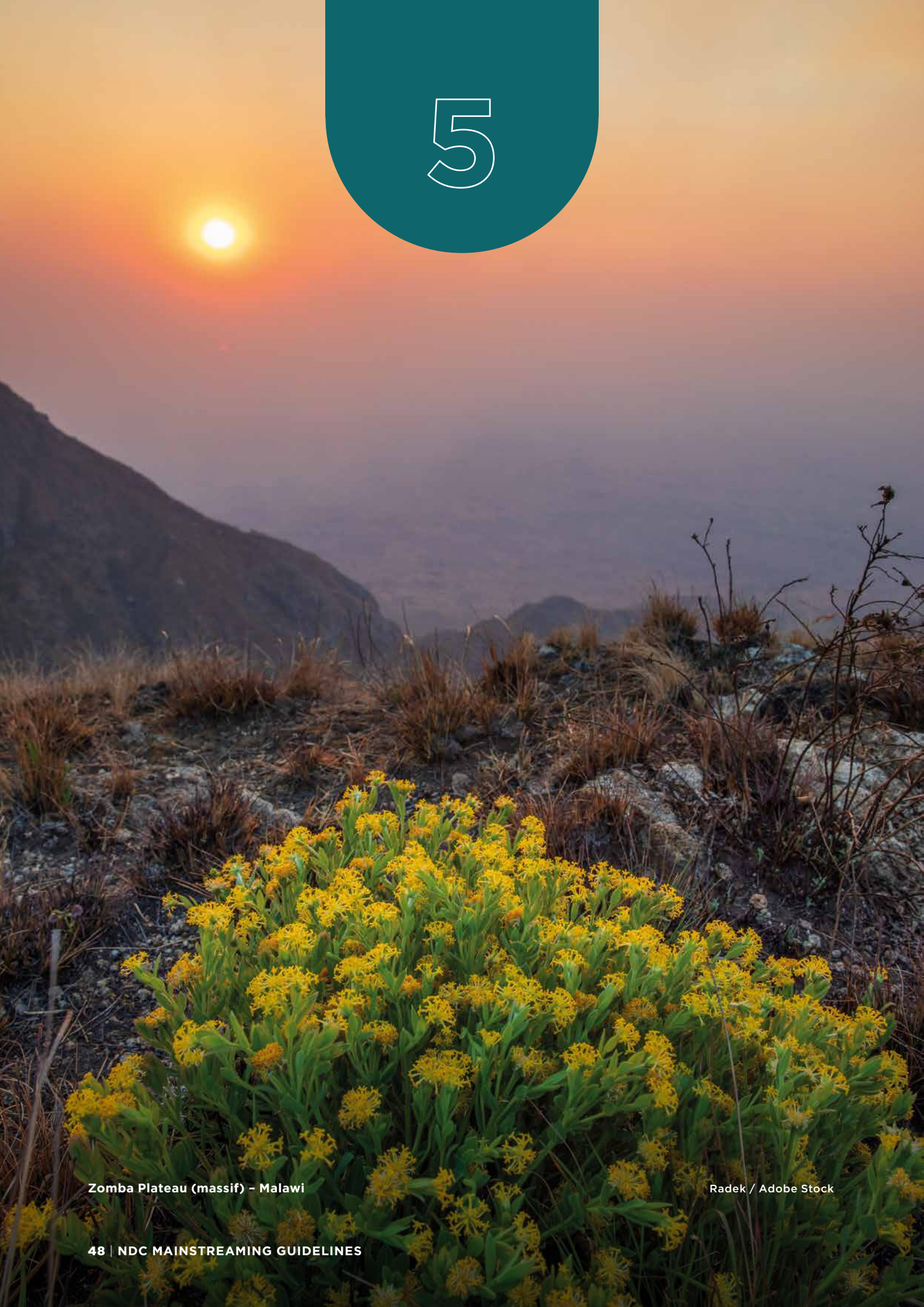
i) Given that the NDC is updated every five years, with new measures likely to be included in each update, the integration of the NDC in the instrument should be refreshed each time the NDC is updated. Insert in the instrument a clear ‘trigger’ for such revisions.

ii) In the event that the instrument already contains language regarding its periodic updates, amend

such language to mention that such periodic updates will explicitly make note of updates in the NDC that would have implications for the actions or activities that the instrument can mandate or drive – in support of NDC measures.

iii) If no language exists about periodic revisions of the instrument, when drafting, revising, or amending the instrument, note clearly and visible within the instrument that its NDC-linked content will be updated when the NDC is updated.

5



Zomba Plateau (massif) – Malawi

Radek / Adobe Stock

Conclusion

Malawi is committed to its climate change adaptation and mitigation goals, as articulated in its updated (2021) NDC. It intends to pursue the unconditional measures contained therein, as well as the conditional measures contingent on external support (financial and technical), and make demonstrable progress on the NDC in time for the global stocktake in 2023, and by the next NDC revision cycle in 2025.

This requires effective implementation of the NDC at the national and subnational level, across all relevant sectors. Such implementation will receive an impetus through the mainstreaming of the NDC into national, sectoral, and local government instruments (plans, policies, strategies, frameworks etc.), as the mainstreaming will enable NDC actions to be 'automated' into national, sectoral, and local development planning and activities.

Malawi recognizes the importance of such mainstreaming. In fact, it already has a fully developed existing national set of guidelines on climate change adaptation mainstreaming into development planning. These guidelines by EAD address climate change adaptation mainstreaming at the national, sectoral, and local government levels, and are specific to Malawi's context and institutional arrangements. Thus, it is imprudent to duplicate this excellent resource and develop fresh climate change mainstreaming guidelines.

Nevertheless, given the elevated focus on the NDC, and the need for greater emphasis on NDC mainstreaming (beyond more general climate change mainstreaming), the NDC mainstreaming diagnostic checklist and scorecard developed under this project, and the companion NDC mainstreaming guidelines, will be useful resources to supplement the existing EAD guidelines.

As is the case in many countries, in Malawi the mere existence of a set of mainstreaming guidelines or decision-support tools does not necessarily translate into the widespread adoption, use, and application of the same. In fact, consultations undertaken for this assignment revealed that there is limited knowledge and awareness of the existing EAD climate change adaptation mainstreaming guidelines – both within national government and local government. Other barriers to mainstreaming, beyond information imbalances, include limited technical capacity to dedicate resources (time

and funding) to mainstreaming activities, and inconsistent communication and engagement between national government counterparts and local government counterparts on the updating and revision of the NDC.

Thus, the development of the NDC mainstreaming checklist and scorecard, and the accompanying NDC mainstreaming guidelines, must be supported by efforts on the part of the national government and its partners to widely disseminate these tools, and encourage the use by decision-makers at all levels.

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