

**Supporting the mainstreaming
of climate change into Kenya's
Medium Term Plan III**

Final Report

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Acronyms

BCC	Budget Call Circular
CCA	Climate Change Act
CCD	Climate Change Directorate
CCTWG	Climate Change Thematic Working Group
CIDP	County Integrated Development Plan
CPEBR	Climate Public Expenditure and Budget Review
CRA	Climate Risk Assessment
CRE	Climate Relevant Expenditure
DAI	Development Alternatives Incorporated
DRR	Disaster Risk Reduction
EAC	East African Community
EACCCP	East African Community Climate Change Policy
EDPRS II	Second Economic Development and Poverty Reduction Strategy
EIA	Environmental Impact Assessment
EMCA	Environmental Management and Coordination Act
FONERWA	Rwanda National Environment and Climate Change Fund
GCF	Green Climate Fund
GoK	Government of Kenya
IPP	Independent Power Producer
MAPS	Mitigation Action Plans and Scenarios programme
MCDA	Multi Criteria Decision Analysis
MoE	Ministry of Environment and Natural Resources
MoDP	Ministry of Devolution and Planning
MTEF	Medium Term Expenditure Framework
MTP	Medium Term Plan
NAP	National Adaptation Plan
NCCC	National Climate Change Council
NCCAP	National Climate Change Action Plan

NCCRS	National Climate Change Response Strategy
NDC	Nationally Determined Contribution
PEI	Poverty-Environment Initiative
SEA	Strategic Environmental Assessment
SDGs	Sustainable Development Goals
SNA	System of National Accounts
StARCK+	Strengthening Adaptation and Resilience to Climate Change in Kenya Plus
T21	Threshold 21 model
UNFCCC	United Nations Framework Convention on Climate Change

Executive Summary

Purpose of this report

This Review Study draws on Kenyan and international experience to inform how climate change is and can be further mainstreamed into Medium Term Plan III (MTP III) and its Sector Plans. The aim is to provide tools, methodologies and guidance to support the mainstreaming of climate change into key sectors and planning processes identifying priority gaps and opportunities. In addition to this report, guidelines have been developed to assist the MTP Sector Working Groups (WGs) to mainstream climate change into their inputs as part of the MTP III development process.

Why mainstream climate change

Kenya is highly vulnerable to the impacts of climate change as its economy is largely dependent on natural resources. It is widely understood that due to Kenya's vulnerability, there is a risk that development gains made thus far and Kenya's development ambitions will be significantly affected by climate change. Key sectors of the economy, which are at risk, include agriculture, infrastructure, tourism and trade. In response the Government of Kenya has assessed priority areas of action that have been communicated through various policy documents such as the National Climate Change Response Strategy (NCCRS), the National Climate Change Action Plan 2013 - 2017 (NCCAP) and the National Policy Framework on Climate Change.

A number of assessments and technical analyses have been conducted to determine the economic costs of climate change to Kenya's economy. The economic impact of flooding for example is already well known, with estimates from the 1997/98 floods (which damaged infrastructure, including roads, buildings and communications, public health effects and crop losses) costing the economy between \$850m to \$1.212 billion. The economic costs of droughts have even wider effects across the whole economy, cutting across key sectors. The 1998-2000 drought was estimated at \$ 2.8 billion from the loss of crops and livestock, forest fires, damage to fisheries, reduced hydro-power generation, reduced industrial production, reduced water supply, mostly as annual losses. Other studies such as the Kenya National Human Development report (2013) identified the risks to key sectors, as well as opportunities to address climate change and improve human development.

While presenting a significant body of evidence, there remain gaps with respect to the type of economic evidence needed to inform mainstreaming. There are on-going efforts to cost climate actions in Kenya, which are detailed in this report.

Mainstreaming of climate change through all sectors of the economy therefore is key to ensuring that investments made are less vulnerable to the negative impacts of climate change. Mainstreaming will contribute to transitioning Kenya to a low carbon climate resilient economy and sustainable development.

International experience with regards to mainstreaming

The international literature suggests that key governance requirements for effective mainstreaming are leadership, the inclusion and participation of state and non-state actors within a clear framework and coordination of actors regarding cross-cutting issues.

Progress towards climate change mainstreaming requires multi-stakeholder, multi-sector working arrangements and the development of partnerships between actors who may not otherwise have worked together (Stringer, et al., 2014). Good examples include the Poverty-Environment Initiative guidelines¹ and the Long Term Mitigation Scenarios (LTMS) process in South Africa that led to the approach being adopted in Latin America as part of the Mitigation Action Plans and Scenarios programme. Of importance in the latter was the involvement of decision-makers and leaders from different sectors to ensure legitimacy and credibility.

Other countries such as Rwanda have demonstrated progress in climate mainstreaming efforts through the introduction of tools for mainstreaming environment and climate change issues into budgeting and planning systems at both national and subnational levels. Strong alliances between the Ministry of Natural Resources – through the Rwanda Environment Management Authority (REMA), the Environment and Climate Change Fund (FONERWA) and the Ministry of Finance and Economic Planning have enabled many achievements in climate compatible development to date.

¹UNDP-UNEP Poverty-Environment Initiative, 2015

These examples demonstrate that methodologies and tools for mainstreaming often vary according to the countries, sectors and local contexts. Despite this, common factors for a pathway to full integration include strong leadership and commitment, strong alliances between the national and subnational level, coordination and participation of all stakeholders at all levels. These would be useful enablers to consider as the Government of Kenya develops the MTP III.

Kenya's experience in mainstreaming climate change

Kenya has made significant progress to mainstream climate change into sectors and budgeting processes. An enabling policy framework exists, which provides a foundation for climate integration within existing and envisioned governance structures. The Constitution of Kenya for example, sets out sustainable development as a binding principle of national governance. The Climate Change Act (2016) sets out a statutory definition of mainstreaming as “the integration of climate change actions into decision making and implementation of functions by the sector ministries, state corporations and county governments.” The Climate change Act (2016) also sets out the roles and responsibilities of various stakeholders for climate change mainstreaming. The Act explicitly requires the national and county governments to mainstream climate change responses into development planning, decision-making and implementation in all sectors of the economy. The principal legal tool for mainstreaming under the Act is the NCCAP, which includes the National Adaptation Plan (NAP) and the NDC.

Various initiatives are underway, led by the Climate Change Directorate in the Ministry of Environment and Natural Resources. These include a coordination process to assist sectors with mainstreaming climate change as well as a sector analysis of Kenya's Nationally Determined Contribution (NDC)², which will form the basis for Kenya's NDC implementation plan. The sector analysis will provide the evidence base for the review and updating of the NCCAP. In addition, the analysis will include a costing of the actions required to fulfill the obligations outlined in the NDC.

Recommendations

The following recommendations have been put forward based on the literature review. There is recognition of ongoing work supported by other development partner programmes (particularly UNDP and DFID) to address existing gaps, build on existing capability and develop tools to support mainstreaming at national and county levels.

- Create and support partnerships to enhance the scale and scope of cooperation for mainstreaming. As an illustration, the MTP III process provides an opportunity for MoDP to foster greater collaboration with MENR.
- Identify and invest in leaders and champions at both national and sub-national levels that have the capacity to drive mainstreaming to meet the short, medium and long-term objectives.
- Co-generate credible legitimate and relevant evidence with stakeholders. Although Kenya has made progress in this regard, the international experience demonstrates the importance of climate-related evidence to inform planning that decision-makers buy into, that they have been involved in co-creating and that is relevant to their specific contexts. In a similar way, tools and methodologies need to be locally developed. The lack of clear examples of tools and approaches being applied consistently across different countries emphasises that local context is required for effective climate change mainstreaming.
- Harmonise efforts with key sectoral ministries, particularly the Ministry of Environment and Natural Resources, to enhance and develop systems that institutionalise and sustain mainstreaming activities. An assessment may be required to determine data needs and therefore what systems need to be developed and institutionalised.
- The NDCs agreed as part of the Paris Agreement in 2015, along with the resource mobilization potential of the Green Climate Fund (GCF), provide a unique window of opportunity to successfully integrate climate change into economic development. These processes have the potential to support mainstreaming efforts and to enhance Kenya's progress towards its international commitments.

In summary, as efforts to mainstream progress with time, they provide the foundation to explore and build appropriate institutional arrangements, demonstrate benefits and enable an iterative approach to the long-term development objectives related to climate change mainstreaming.

² The sectors being analysed are Agriculture, Energy, Transport, Waste, Forestry and Industry. More information can be found here - <http://www.starckplus.com/index.php/starck-components/technical-assistance/kenya-ndc-sector-analysis>

Introduction

This Review Study represents the first deliverable of a project which explores the potential of a process that establishes the evidence base for long-term transition to robust economies that is both carbon efficient and climate resilient in Kenya. The process would seek to draw relevant and applicable lessons from the Mitigation Action Plans and Scenarios (MAPS)³ programme aiming to facilitate dialogue and generate evidence that contributes to strengthening Kenya's long-term development. The objectives of the project are to:

- Generate some useful evidence to inform the Medium Term Plan (MTP) III and its Sector Plans; and
- Start a longer term process (the form will be determined) that could support for example the National Climate Change Council with sufficient buy-in from various stakeholders and resources.

Through engagement with the Ministry of Devolution and Planning (MoDP) as part of the first phase, a key need emerged for high-level guidance to understand and consolidate knowledge on how climate change has been integrated into planning processes, both in Kenya and internationally. This provides an opportunity for dialogue on how to mainstream climate change to strengthen Kenya's attainment of Vision 2030.

The objectives of this review study are to:

- Inform how climate change is and can be further integrated into MTP III, drawing on local and international experience
- Provide input on tools and methodologies to be used for engagement at both the national and county levels
- Provide guidance to MTP sector and thematic working groups on what can be integrated drawing on local and international experience
- Identify priority gaps and opportunities that will inform further work to be undertaken to mainstream climate change into key sectors and planning processes.

Methodology

This study draws on desktop research to summarise the economic costs of climate change in Kenya (as evidence to motivate for, and inform, mainstreaming) to identify methodologies used in other countries, and to outline governance structures and stakeholder engagement processes for mainstreaming to inform lessons for Kenya.

These lessons were then coupled with a consideration of the Sustainable Development Goals (SDGs) to inform recommendations that are intended to act as guidance for the mainstreaming of climate change into MTP III sector working groups and thematic working group processes. In addition, the lessons are applicable to the upcoming preparation of the second generation County Integrated Development Plans (CIDPs). Finally, recommendations are made regarding additional work that should be undertaken to further support climate change mainstreaming in Kenya.

This report should be read in conjunction with a separate Annexures Report that provides the detail used to inform this report. In addition, guidelines were developed to assist the MTP Sector Working Groups (WGs) to mainstream climate change into their MTP Sector inputs as part of the MTP III development process.

Defining mainstreaming

There is no single definition of mainstreaming climate change based on the literature review. Mainstreaming is referred to in different ways, however there is a strong emphasis on its iterative nature involving multiple and varied stakeholders as well as timescales with a focus on the long-term. The literature emphasised the importance of mainstreaming as a necessary requirement for the achievement of the SDGs and implementation of NDCs but noted that it is complex and multifaceted, with no "off the shelf" solutions. It should therefore be undertaken in a pragmatic and efficient manner (leveraging existing processes) specific to each context. Further detail is provided in Annex I of the Annexures (Dalal-Clayton & Bass, 2009) (European Commission, 2016) (Lebel et al., 2012) (McFatridge & Murphy, 2012) (REMA, 2015) (Raubenheimer & MAPS Team, 2015) (Stringer, et al., 2014) (UNDP-UNEP Poverty-Environment Initiative, 2015).

In Kenya, the Climate Change Act (2016) sets out a statutory definition of mainstreaming as "the integration of climate

³ The Mitigation Action Plans and Scenarios (MAPS) programme was a collaboration amongst developing countries to establish the evidence base for long term transitions to robust economies that are both carbon efficient and climate resilient in Latin America.

change actions into decision making and implementation of functions by the sector ministries, state corporations and county governments.” This high-level definition reveals the principles of mainstreaming that help illustrate what and how sectors should mainstream. These are:

- It should include the consideration of adaptation, mitigation and cross-cutting climate issues into development planning;
- It should be iterative incorporating lessons learnt;
- It should be inclusive (across all levels of government and involving non-public sectors); and
- It can be applied over the short, medium and long term.

Climate change mainstreaming can be undertaken in three ways:

- Basic integration: the inclusion of climate change interventions into a sector plan, where adaptation and / or mitigation is one of the key objectives;
- Partial integration: considering climate change when prioritising all projects, programmes and policies (applying a “climate lens”);
- Full integration: where climate change aspects are considered fundamental assessment criteria for all aspects of development planning and identification of development priorities. A key safeguard to ensure an iterative path towards full mainstreaming is to maintain a focus on the CCA objective requiring Kenya to take actions towards fulfilment of a low carbon, climate resilient economy.

Mainstreaming: Lessons from other countries

Much has been published regarding mainstreaming of the environment, including climate change into development planning internationally. The literature, particularly guidance material, included significant emphasis on motivating for climate change (and broader sustainability) mainstreaming. Given Kenya's progress, commitment and continuous goal to mainstream climate change into planning, this review focuses more on issues of how to mainstream (i.e. methodologies), rather than the motivation for such mainstreaming. Additionally, there is less emphasis on monitoring and evaluation and climate change mainstreaming as there is a separate UNDP project supporting climate change mainstreaming into GoK's monitoring and evaluation processes. There are instances where highly relevant or similar processes are currently being piloted or implemented in other countries (for example in Uganda). There is limited published analysis and reflection on these processes and therefore it is difficult to identify lessons, based on a review of publicly available literature and documentation, that could be applied in the Kenyan context.

Application of mainstreaming in practice

Mainstreaming has been applied in various ways and examples of mainstreaming in practice help to illustrate what the GoK could consider undertaking as part of mainstreaming climate change into MTP III. Experience in other countries suggests that mainstreaming has clear benefits, but it is not without challenges. These challenges can be overcome through careful design and application of an effective mainstreaming approach (UNDP-UNEP Poverty-Environment Initiative, 2015). The case study below illustrates how Rwanda has sought to integrate climate change into its planning and budgeting process. Additional examples arranged per project, finance, knowledge system and other related applications of mainstreaming is shown in Annex III of the Annexures.

Case study: Climate change mainstreaming in planning and budgeting in Rwanda

Success in mainstreaming climate change into planning and budgeting in Rwanda is attributed largely to the strategic development and use of a growing evidence base for climate compatible development. Key achievements in mainstreaming environment and climate change issues in Rwanda include:

- Sector-specific tools, such as environment and climate change mainstreaming guidelines for planning and budgeting, including a required annex in the Budget Call Circular (BCC) in which sectors must detail environment/climate related activities;
- Piloting of Strategic Environmental (and Climate) Assessments, e.g., in the agriculture sector;
- Check-lists and indicators to integrate environment and climate change issues into national sectoral strategic plans and district plans;
- Training on environment and climate integration and reporting for Sector and District technical staff and NGOs;
- Capacity building through an internship programme for sector focal points;
- Environmental Education for Sustainable Development (EESD), e.g., in schools and environment clubs;
- Including environment and climate results into performance contracts (Imihigo) and District Development Plans (DDPs); and
- Mainstreaming of climate change issues into Action Plans of the Women's National Council.
- Awareness remains a challenge. Involving stakeholders throughout the process has contributed to improving awareness and buy-in.

In terms of budgeting, Rwanda's Budget Call Circular (BCC) is the key tool used to guide the budgeting process. Following a successful pilot to mainstream environment and climate considerations into three sector' BCCs, and with the buy-in of MINECOFIN, the BCC annex for the 2012/2013 budget preparation required all sectors to ensure environment and climate change priorities are appropriately reflected in their budget submissions. The BCC mainstreaming programme was a success, but also uncovered significant knowledge and capacity gaps for CCD planning and budgeting within sectors (REMA, 2015)

Governance structures

Mainstreaming is a governance challenge. It is a long-term societal/institutional change endeavour that entails bringing together a new set of systems and a set of associated values, rules, norms, procedures and other tools that works for specific contexts (Dalal-Clayton & Bass, 2009). Examples of institutional arrangements have little in common other than that they were established in line with specific objectives in specific contexts. The international literature suggests the following governance requirements are needed; these were considered in the context of current and planned structures and frameworks in Kenya:

- Leadership that contributes to trust in decision-making
- State and non-state actors included within a clear framework to enable broader dialogue, structured outcomes and phased implementation

Stakeholder engagement

Coordination of actors and cross-cutting issues to enable alignment of policies, plans and programmes affected by, or affecting, climate change as a cross cutting issue. Progress towards climate compatible development requires multi-stakeholder, multi-sector working arrangements and the development of partnerships between actors who may not otherwise have worked together (Stringer, et al., 2014). The literature is clear that mainstreaming should be informed by both national and local contexts. While it appears more common that mainstreaming at the national level drives mainstreaming at the sub-national level, there is a need to allow sub-national planning to inform national planning. The review found that several countries and studies of countries recognize the need for institutional arrangements, capacity and knowledge at the sub-national levels.

The PEI guidelines emphasize the importance of a consultative process involving wide stakeholder engagement (UNDP-UNEP, 2015) and this was found to be a success factor of the Long Term Mitigation Scenarios (LTMS) process in South Africa that led to the approach being adopted in Latin America. Dialogue played an important role in positive international experience. Sector-specific arrangements were often necessary to generate buy-in. In the MAPS programme each country followed its own approach to choosing the “right people to have in the room”. Stakeholders were generally senior players in society who needed to be “hooked-in” to make the process legitimate.

Case study: Mitigation Action Plans and Scenarios as an example of mainstreaming climate change mitigation into long term planning⁴

The Mitigation Action Plans and Scenarios (MAPS) programme was a collaboration amongst developing countries to establish the evidence base for long term transitions to robust economies that are both carbon efficient and climate resilient in Latin America. In this way, MAPS contributed to ambitious climate change mitigation that aligned economic development with poverty alleviation. The MAPS approach generated knowledge about mitigation options, and exploring the way in which implementation of these options might interact with the economy and with the behaviour of people over time in society. The approach brought the best researchers into a partnership with decision makers within government, the private sector and civil society. MAPS facilitated a deep and long-term dialogue, in this way ensuring robust, co-created data that can be confidently used to drive implementation.

The MAPS Theory of Change was thus that knowledge “owned” by capacitated interest holders through co-creation and consequently considered legitimate, credible and relevant to their context, would drive change. Features included that the processes were country-owned, driven by governments, and relied on local teams. MAPS created a platform for collaboration and support that resulted in the co-production of knowledge. The process was transparent, transdisciplinary and had a problem-solving character in response to a clear mandate. The result was consensus building (Raubenheimer & MAPS Team, 2015).

⁴ More information on the MAPS programme can be found here - <http://mapsprogramme.org/>

The MAPS programme grappled with a number of intellectual challenges and partnerships. It worked with the philosophy that "struggling together" on a challenge would lead to innovation. Within the complex context of generating knowledge to inform transitions to low carbon, robust economies, the teams grappled with issues relating to:

- An appropriate "process design": what scenarios to look at, which stakeholders to include in the room, how to create the conversation (facilitation) and how to use scenarios; and
- A new way of doing research that explored, among other things, discount rates, sequencing, working with several models, reference cases, development as the central question, climate change mitigation co-benefits, data, unknowns and implementation (Raubenheimer & MAPS Team, 2015).

The approach proved successful in co-creating legitimate knowledge that informed and will continue to inform climate change mitigation and development planning in the MAPS countries. Key to the success were the following ingredients:

- A participatory process involving the best researchers in partnership with decision-makers within government, the private sector and civil society contributed to credibility;
- A focus on generating evidence that is relevant to society: mitigation needed to be considered in the contexts of a need for economic development, energy security, poverty alleviation and so on; and
- An authorising environment or mandate that ensured legitimacy and motivated participation and created a sense of ownership.

Kenya's experience in mainstreaming climate change

Kenya is vulnerable to the impacts of climate change. Over the years, the country has undertaken action to respond to these impacts, for instance through development of the 2010 National Climate Change Response Strategy (NCCRS), which set the basis for the development of the National Climate Change Action Plan (NCCAP) adopted in 2013 for the period up to 2017. The NCCAP identified the need for climate change legislation and policy to provide institutional, regulatory and policy mechanisms for national actions. As a result of this, work was undertaken to develop the Climate Change Bill which became the Climate Change Act, coming into force in May 2016.

The NCCAP process, through extensive technical analysis, determined that the mainstreaming of climate change actions into planning and budgeting processes would be the most suitable mechanism for Kenya to integrate climate change across sectors, including recognition of climate change as a cross-cutting challenge to development, rather than an environmental issue. Planning in Kenya has been driven through Vision 2030, and its medium term plans (MTP), including the current Second MTP (MTP II) for the 2013-2017 period. It is important to note that MTP II made initial progress towards mainstreaming of climate change across different sectors. The MTP II noted the importance of climate change, viewing it as an emerging issue that threatens Kenya's economic growth, and identifies actions to address climate change, many of them recommended in the NCCAP. The implementation of the NCCAP is a priority of the environment, water and sanitation sector of the MTP II. The legal and regulatory framework recommendations for this sector included the formulation of a Climate Change Policy and preparation of a Bill to guide the country's mitigation and adaptation, which has been developed and adopted (Climate Change Act, 2016). The MTP II priorities in the environment, water and sanitation sector that were recommended in the NCCAP include: modernisation of meteorological services; forest conservation and management; promotion and piloting of green energy; a water resources management programme; and a water harvesting and storage programme, among other activities.

Other sectors also take up many of the priority actions of the NCCAP such as:

- Agriculture – Adopt climate-smart agriculture, including water harvesting and irrigation national livestock insurance scheme, access to high-quality drought-tolerance crops.
- Disaster risk reduction and ending drought emergencies – Enhanced capacity to reduce drought vulnerability and enhance adaptation to climate change, including such actions as range land rehabilitation, fodder production and conservation; promotion of alternative sources of livelihoods; and establishment of a drought information platform.
- Energy – Geothermal development; wind development, solar energy development, small hydro power plants, co-generation projects.

At the county level, county planning is undertaken principally through a process of developing and adopting County Integrated Development Plans (CIDPs). These as required by the County Governments Act must be harmonized with national priorities (e.g. MTP priorities), considering local context. The CIDPs contain an underlying analysis of economic, social and environmental factors to guide development plans and projects.

In addition, s.19(2) of the CCA requires the CIDP to mainstream relevant priority actions of the NCCAP, considering local context. All of Kenya's 47 County Governments identified the impacts of climate change, and actions and priorities to address these. Adaptation actions were a priority for many counties, consistent with the NCCAP. Mitigation actions were also included, such as increasing forest cover through tree planting, restoration and rehabilitation of degraded forests, and promotion of renewable energy. A few counties indicated plans to allocate budgets for mitigation and adaptation actions. However, no county can be considered to have fully mainstreamed climate change in their CIDPs, but there is a readiness and an experience to build on to improve the integration of climate change in the upcoming 2017 CIDPs.

Legislative and policy approach to mainstreaming climate change

A detailed review of legislation and policy documents relevant to climate change mainstreaming was undertaken to examine how climate change is addressed, and the type of action that is proposed. This included those sources that are in draft format and under development. A matrix is provided (see Annex 8 in the separate Annex Report) that highlights the macro-level approach to sustainable development as a key imperative for Kenya to respond to climate change, as indicated in overarching documents such as the Constitution and climate change draft policy. A summary of the key findings is provided here:

- Climate change is recognised as a cross-cutting challenge to the sustainable development of Kenya (rather than a single environmental issue).
- The Constitution of Kenya, through the inclusion of sustainable development as a binding principle, requires that climate change action be taken.
- There is a value to, and a need for, enhanced linkage between evidence generation, e.g., scientific and other research, and policy making.
- The overarching and sectoral policies and laws reviewed indicate both a direct and indirect linkage to climate change. Reference is made to the need to mainstream or integrate, or “climate proof”, or implement low-carbon growth actions. There are existing institutional arrangements for mainstreaming that should be leveraged (e.g. through Environmental Impact Assessments (EIAs)).
- Planning (at the MoDP, Sector Working Group and County levels) plays a key role in mainstreaming of the climate actions prioritised by the NCCAP, through the MTP and associated activities. There needs to be alignment between the planning process, led by MoDP and the Medium Term Expenditure Framework (MTEF) budget process that is led by the National Treasury (a sector mapping exercise has been taken to ensure this through, for example, harmonising between the sector classifications. Additionally the Kenya Climate Public Expenditure and Budget Review (CPEBR) should support the incorporation of climate change actions into the MTEF.
- Climate finance is essential to implementation and mechanisms exist to leverage various sources of finance.

The legal basis for mainstreaming climate change into development planning, and implementation of sectoral actions can be drawn from the Constitution of Kenya, and from the 2016 Climate Change Act (CCA). Relevant features of the CCA include:

- The objectives which include application to develop, manage and regulate mechanisms to enhance climate change resilience and low carbon development for the sustainable development of Kenya. This focus draws from Article 10 of the Constitution, where sustainable development is set out as a binding principle of national governance.
- An explicit requirement (s.3(2)(a)) of its application by the national, and county governments to mainstream climate change responses into development planning, decision making and implementation in all sectors of the economy.
- The principal legal tool through which mainstreaming under the CCA is to be undertaken is the NCCAP, which includes the National Adaptation Plan (NAP) and the NDC.

In December 2016, Kenya ratified the Paris Agreement and submitted its NDC to the United Nations Framework Convention on Climate Change (UNFCCC) Secretariat. Kenya committed to reducing GHG emissions by 30% from the Business-As-Usual scenario by the year 2030. The NDC also sets out priority adaptation actions for each of the MTP sectors, which takes into account the NAP developed for the period 2015-2030. The outcome of ongoing NDC sector analysis will provide guidance on how Kenya can progressively fulfill and report on the NDC target. This analysis is currently being undertaken by the Climate Change Directorate (CCD), which is mandated by the CCA to coordinate the development of the NCCAP and support implementation of climate change priority actions. The analysis is being supported by the Technical Support Component of the StARCK Plus project. The analysis will contribute to the development of an NDC Implementation Plan, which will form part of the revised NCCAP 2018 – 2022.

The economic impact and/or cost of climate change to Kenya’s economy

The economic cost of the adverse impacts of climate change to Kenya have been identified, and affirmed in various technical analyses (SEI, 2009)(UNDP, Government of Kenya, 2013) and policy documents⁵. Risk to coastal zones, health risks, extreme events and impacts on agriculture because of climate change threaten the achievement of long-term sustainable economic growth up to and beyond Vision 2030. The following have been identified:

- I. The SEI report notes that adaptation can reduce the economic costs of climate change but it has a cost, and that the costs of adaptation are still emerging. The cost, in the 2009 report, is estimated at US\$ 500 Million per year, for 2012. In the intervening period – the 2015-2030 NAP has generated more recent and updated adaptation costs of implementing the priority actions, till the year 2030 at approximately US\$ 38 billion. Other studies such as the Kenya National Human Development report (2013) identified the risks to key sectors, as well as opportunities to address climate change and improve human development.
- II. The low carbon priorities are now based on the (NDC). The NDC focuses on six sectors (forestry, energy,

⁵ See for instance the National Climate Change Response Strategy, 2010. Technical analysis was undertaken during development of the 2013-2017 National Climate Change Action Plan and is available at the online repository: www.kccap.info

transportation, industry, waste and agriculture) and contains adaptation priority actions that are consistent with the National Adaptation Plan (NAP). Analysis of sector activities and costs for the NDC is ongoing based on the six sectors and will become clearer once it is finalised.

- III. It is important for assessment of economic costs to include analysis of climate finance, particularly investment pathways, incentives and sources of finances, including public funds (national budget, bilateral or multilateral financing), as well as private sector financing.
- IV. With regard to the energy sector, in the analysed SEI report, the investment costs to counter the burden, i.e. the real costs for bringing online expensive alternatives such as thermal power are not expressly disaggregated. Similarly, the real costs of investing in renewable energy - such as geothermal, as an alternative, including the often-high cumulative costs of drilling exploratory wells, land acquisition and resettlement, modern (low leakage high voltage transmission lines) are not set out. During the 2016/2017 financial year period, the government indicated there will be a slowdown in investments to meet the 5000MW electricity generation target by 2017 due to lack of sufficient demand and the risk of resulting in idle capacity.

The SEI report proposes that prioritisation should focus on the following:

- building adaptive capacity,
- focusing on no regret measures,
- encouraging pilot testing,
- identifying long-term potentially high risk issues that require proactive investigation.

In addition to this, the Human Development (GoK & UNDP, 2013) report adds that it is necessary to prioritize adaptation actions either as anticipatory or proactive adaptation (which is put in place before impacts of climate change have been observed), or reactive adaptation (which takes place after the impacts of climate change have been observed), to inform the planning and budgeting process adequately. It is important to note that both proactive and reactive adaptation can be implemented as planned adaptation interventions on the basis of a deliberate policy decision, informed by knowledge that conditions have changed or are about to change and that action is required.

Further work to determine the economic costs will be provided through the NDC sector analyses⁶, which show both mitigation and adaptation actions. For purposes of the updated post-2017 NCCAP, and the MTP III, the adaptation costs set out in the NAP provide a strong indicator of the technical needs and the financial costs, while the NDC sector analysis finalisation will provide similar details that will guide the MTP III working groups. While presenting a significant body of evidence, there remain gaps with respect to the type of economic evidence needed to inform mainstreaming.

Application of mainstreaming in practice

Mainstreaming of climate change into sectors and budgeting processes has been an on-going process in Kenya. The policy framework addresses low carbon climate resilient development, institutional arrangements, accessing climate finance and the explicit mainstreaming of climate change into planning and NCCAP implementation. The Threshold 21⁷ (T21) macroeconomic model has been customised to generate evidence associated with climate-related impacts and interventions across different sectors. The devolved system of government provides an opportunity to mainstream through the CIDP. Some Counties have already started to mainstream in their first CIDPs but some still see climate change as an environmental / conservation challenge rather than a cross cutting development driver.

With regards to budgeting and planning, as recommended in the NCCAP, the National Treasury has taken initial steps towards classifying development finance and climate finance separately, and prioritising climate change funding in the budget by creating climate change line items. Further work through the Kenya Climate Public Expenditure and Budget Review (CPEBR) should lead to the incorporation of climate change actions into the Medium Term Expenditure Framework (MTEF) and enable tracking of finance through the System of National Accounts (SNA).

In addition, there are currently a number of initiatives underway in Kenya, which serve to encourage broader mainstreaming of climate change. These include:

- The Ministry of Environment and Natural Resources (MENR) through the CCD has started a coordination process to assist sectors with mainstreaming climate change;
- The Vision 2030 Secretariat is developing a mainstreaming manual for the MTP III process
- The NDC mitigation sector analysis, driven by the CCD is looking at priority actions in the six mitigation

⁶ The sectors being analysed are Agriculture, Energy, Transport, Waste, Forestry and Industry. More information can be found here - <http://www.starckplus.com/index.php/starck-components/technical-assistance/kenya-ndc-sector-analysis>

⁷ The model is customised to be used for long-term development planning which also includes scenario analysis of adaptation options

sectors - with the process led by the various sectors.

- The CCD is leading a process to review and update the next version of the NCCAP 2018-2022
- The CCD has developed a summary of climate change success stories highlighting key achievements made in last 5 years, which provides a snapshot for relevant stakeholders.

Governance structures and frameworks for mainstreaming

The CCA outlines key roles in the coordination, design and implementation of climate change action in Kenya:

- The **National Climate Change Council** will provide an overarching national coordinating mechanism for climate change, ensuring mainstreaming and implementation at both national and county levels. The Council is also mandated to provide policy direction and guide harmonisation of sectoral laws and policies. The Council members include representatives of the Office of the Presidency, key ministries (Environment, National Treasury, Planning, Energy), the Council of Governors, and representatives from private sector, civil society, marginalised communities and academia.
- The **Climate Change Directorate** (formerly the Climate Change Secretariat) is already in place and functioning in its role as the coordinator of all climate change activities in the country. As part of its responsibilities, the Directorate is tasked with providing analytical support on climate change to sector ministries, and is required to establish a national registry for mitigation and adaptation activities. The focus of activities of the Directorate currently includes NCCAP review and updating, NDC implementation, implementation of the CCA, as well as sectoral and county level engagement.
- **Climate change units and focal points in line ministries** will provide sector-specific support and direction to climate change work. Section 15 of the CCA provides detailed guidance on how these climate change units would operate, include staffing, and approaches to mainstreaming. An oversight mechanism is set out, through the NCCC, which is required to submit its report to the National Assembly for further oversight.

Overall, the allocation of roles within the governance framework of Kenya between the national, and county government are defined by Article 6 of the Constitution. It states that the two levels of government are distinct and interdependent, and should conduct their mutual relations on the basis of consultation and cooperation. In this sense, a basis for consultation and cooperation is established for purposes of coordinating a coherent, inclusive and participatory planning process. There is a need to understand the basis for coordination horizontally at the national level.

In addition, the fourth schedule to the Constitution demarcates the functions of both levels of government – and it is worth noting that climate change is not explicitly set out as a function of any level of government. However, since implementation of many climate change actions directly touch on county functions, it has been interpreted as a concurrent function of both levels of government.

County planning is governed principally through the provisions of law set out in Part XI (s.102-115) of the 2012 County Governments Act. These provisions are the basis for the five-year CIDPs and 10-year sectoral plans that underlie CIDP implementation. It requires the establishment of a planning unit, and designation of planning authorities throughout the county. This law clearly stipulates that the county planning framework shall integrate economic, physical, social, environmental and spatial planning. It is also required to promote public participation through incorporation of non-state actors in the planning processes by all county planning authorities.

The 2012 Public Finance Management Act (PFMA) governs allocation of roles and responsibilities for the budgeting process at both the national and county government level. An important element of this public finance management framework is the requirement for policy statements to be prepared ahead of every budget, to set out the vision and strategy. Thus, every year the National Treasury sets out a Budget Policy Statement and each county prepares a County Fiscal Strategy Paper.

Stakeholder engagement

In Kenya, public entities are required to undertake public awareness and consultations, in line with the Constitution and the Climate Change Act (2014), when undertaking climate change activities. Several articles of the Constitution of Kenya (2010) call for the involvement of the public in the formulation of policies and plans. The MTP III process plans to undertake National and County consultation Forums to obtain views on national and county development priorities which will inform the formulation of policies, programmes and projects of the third MTP. All key stakeholders involving government, private sector, NGOs, Community Based Organisation (CBOs), faith based organisations, women and youth groups, and development partners are invited to participate in the consultation forums. All the key stakeholders are represented in the National MTP Stakeholders Forum and the MTPWGs. The grassroots and County consultative forums and National Consultative forums will serve as avenues to obtain consensus on the Third MTP priorities, strategies, programmes and projects.

Engagement approaches include consultative dialogue sessions and validation meetings to review working drafts. The NCCRS did not establish a system for coordinated implementation of climate action in Kenya and following a process of inter-ministerial collaboration and stakeholder engagement, a National Climate Change Taskforce was set-up to support the NCCAP process. Each subcomponent of the NCCAP was supported by a Thematic Working Group (TWG). A lead Task Force member was appointed for each subcomponent of the Action plan, bringing together a range of experts, interested partners and stakeholders. The TWGs worked collaboratively; providing advice and technical expertise during the project process, as well as ensuring mainstreaming of climate considerations into sectoral plans. In addition, the NCCAP process organised two types of consultations. Two-national level consultations were held in Nairobi⁸ and nine county consultations were held, as open public forums, in: Eldoret, Kakamega, Kisumu, Nakuru, Mombasa, Garissa, Embu, Nyeri and Nairobi Counties.

Going forward, the CCA makes provision for public participation and access to information. Section 24 states that “public entities at each level of government shall, at all times when developing strategies, laws and policies relating to climate change, undertake public awareness and conduct public consultations.” (s.24-1). Further, s.24(2) requires that to implement s.24(1), “public consultations shall be undertaken in a manner that ensures the public contribution makes an impact on the threshold of decision making.” While no guidance has so far been developed on how to implement this, the MTP III process, the expected revision of the 2013-2017 NCCAP during 2017, expected revision of CIDPs during 2017, all present opportunities to develop and test various models of this public participation.

This currently represents a strength of the Kenyan stakeholder engagement process. Therefore, if existing and planned engagement platforms are adequately utilised, and if stakeholders are involved in mainstreaming decision-making rather than only commenting on it, then Kenya will be in a stronger position to achieve its mainstreaming objectives.

⁸ http://www.kccap.info/index.php?option=com_phocadownload&view=category&id=14&Itemid=53

Regional climate change policy frameworks

The literature suggests that Kenya is broadly aligned with regional climate change policy frameworks. An example, Namanya (2016), in an assessment of East African Community (EAC) energy policies, found that that climate change mitigation policies of the energy sector as outlined in the EAC climate change policy are consistent with those being undertaken at member States' level. This section considers the requirements, objectives, goals and planned actions associated with climate change-related policy frameworks of the EAC and the African Union (AU) more broadly.

The AU Agenda 2063 speaks to integration when committing that Africa will prioritise “adaptation in all our actions”. The Agenda commits countries to act with a sense of urgency on climate change and the environment with a focus on technology, women and the youth, climate resilient agriculture, sustainable forest management, adaptation and sustainable exploitation and management of Africa’s diversity. Mainstreaming of climate change is not referred to explicitly although it features indirectly through various commitments and goals (African Union Commission, 2015).

The following EAC documentation was seen as relevant for Kenya:

- Article 126 (2)(b) of the EAC Treaty, 1999 provides that “Partner States shall through their appropriate national institutions take all necessary steps to harmonise all their national laws pertaining to the Community” (Namanya, 2016). It is therefore a requirement emerging policy and legal framework on climate change within individual member States be harmonised with the EAC regional policy on climate change.
- The EAC Vision 2050 emphasizes the need to mainstream cross cutting issues into all development initiatives, although climate change is not explicitly included as one of these (EAC, 2016). The Vision does however refer to efforts toward the implementation of UNFCCC and the Post 2020 Climate Regime, with an emphasis on mobilizing climate finance and a scope that includes adaptation and mitigation.
- Similarly, the East African Community Climate Change Policy (EACCCP) emphasises the importance of mainstreaming climate change issues into national and regional development plans, taking a sectoral approach with an emphasis on key socio-economic sectors and sub-sectors adversely impacted by climate change and with potential opportunities to contribute to mitigation efforts and sustainable development of the Partner States and the region. These include, but not limited to: water resources, agriculture and food security (crop, livestock, fisheries production), energy, biodiversity and ecosystem services (forests, wildlife, wetlands, coastal and marine ecosystems), land use and soil protection, human health, tourism, industry, transport and infrastructure, disaster risk management, gender and community development, education, training and research and development (EAC Secretariat, 2011). The EACCCP conceptualizes mainstreaming according to challenges, specific objectives and policy statements and actions per sector (focusing on key sectors) and suggests prioritization especially where there are adaptation and mitigation benefits contributing to sustainable development goals.
- The East African Community Climate Change Master Plan (2011 – 2031) emphasises the cross cutting nature of climate change as a justification for the level of importance placed on mainstreaming (EAC Secretariat, 2011). The Master Plan recommends the immediate establishment of a Climate Change Coordination Unit to coordinate and facilitate implementation of the Master Plan and the Strategy but offers no further details on how it would operate, or link with the frameworks adopted by the Partner States.

Kenya’s approach to mainstreaming aligns with the EAC’s importance placed on a phased approach focussing on key socio-economic sectors and subsectors adversely affected by climate change and those with opportunities to contribute to mitigation efforts and sustainable development.

Alignment with the Sustainable Development Goals (SDGs)

Climate change mainstreaming is central to realising the achievement of the SDGs. The Government of Kenya's 2016 Roadmap to Sustainable Development Goals (SDGs) (Ministry of Devolution and Planning, 2016) sets out a 'transition strategy' that is intended to guide action within the country over the next 15 years to transition from the Millennium Development Goals and working towards realising the achievement of the SDGs in Kenya. It serves as a guide on key matters related to the mapping of stakeholders, establishing partnerships, advocacy and sensitisation, domestication/localisation with an emphasis on all national and county planning and budgeting processes, mainstreaming and accelerating implementation, resource mobilisation, and capacity building.

The Roadmap outlines mechanisms required for the application of the SDGs to Kenya and provides useful guidance on the institutional integration and coordination required to localise and realise the SDGs. Mainstreaming implies that climate change be applied across the goals and the Roadmap provides an institutional model for addressing those goals. While the SDGs present a platform to mainstream climate change within the country's broad development planning agenda, the Roadmap however does not elaborate on the opportunities presented.

The 2030 Agenda for Sustainable Development, stresses the indivisible and integrated nature of its SDGs. This linked and integrated character is central to the achievement of the Agenda. The European Union's "Integrating the environment and climate change into EU international cooperation and development" (European Commission, 2016) provides a useful guide on ways in which climate change can be mainstreamed into the SDGs. The table below illustrates this by providing an indication of how climate change mainstreaming can contribute to the implementation of each of the Sustainable Development Goals. Examples include:

Table 1: Mainstreaming climate change into the SDG's

Goal	Contribution of Climate Change Mainstreaming
Goal 1 — No poverty	<ul style="list-style-type: none"> creates resilience against climate change–related natural disasters that affect poor communities with limited abilities to cope; reinforces opportunities to draw on the inclusive green economy that benefit the poor; and improves livelihoods and incomes of the poor by slowing the fall in the productivity of natural resource.
Goal 2 – Zero hunger	<ul style="list-style-type: none"> strengthens resilience against extreme weather, droughts and pests associated with climate change; enhances agricultural production sustainability by improving water and land resources management; and contributes to food security and livelihoods by protecting ecosystem goods and services.
Goal 7 – Clean energy	<ul style="list-style-type: none"> promotes renewable energy; promotes energy efficiency; and reduces emissions, health impacts and environmental degradation associated with fossil fuel energy generation and use.
Goal 11 — Sustainable cities and communities	<ul style="list-style-type: none"> improves urban quality of life through improved waste and pollution management, and more sustainable transport; enhances climate-related adaptation and develops climate-resilient infrastructure; and promotes integrated provision of water, sanitation, drainage, waste management and other infrastructure.

<p>Goal 13 — Climate action</p>	<ul style="list-style-type: none">• enhances political and social awareness of climate change and its impacts, challenges and opportunities;• promotes mitigation efforts; and• promotes adaptation efforts.

A more detailed table is referred to in Annex IV of the Annexures report.

Recommendations

General recommendations

The following recommendations have been put forward based on the literature review. There is recognition of ongoing work supported by other development partner programmes (particularly UNDP and DFID) to address existing gaps, build on existing capability and develop tools to support mainstreaming at national and county levels.

1. MoDP harmonise efforts with key sectoral ministries, particularly the Ministry of Environment and Natural Resources, to strengthen data and systems to institutionalise and sustain mainstreaming activities. The workshop on mainstreaming held in Naivasha in July 2016 highlighted limited access to adequate data as a critical issue. An assessment is needed to determine what data is required and therefore what systems need to be developed and institutionalised. Efforts to improve this would support the creation of a sustainable system for ongoing mainstreaming and therefore it is important that immediate efforts related to MTP III utilise the opportunity to contribute to effective systems for sustained mainstreaming.
2. Leadership and champions are needed at both national and sub-national levels. Especially, as mainstreaming is devolved to sub-national levels, it will be critical to identify and invest in the leaders and champions who have the capacity to drive this process and buy into the short, medium and long term objectives. Identifying champions would also help improve continuity during political shifts.
3. Involve stakeholders and the public and generate credible, legitimate and relevant evidence. Although Kenya has made progress in this regard, the international experience demonstrates the importance of climate-related evidence to inform planning that decision-makers buy into, that they have been involved in co-creating and that is relevant to their specific contexts. In a similar way, tools and methodologies need to be locally developed. The lack of clear examples of tools and approaches being applied consistently across different countries emphasises the local context required for effective climate change mainstreaming.
4. There is need to foster institutional collaboration in order to reduce barriers and enhance cross-sectoral climate integration. Creating partnerships that operate continuously will enhance the scale and scope of cooperation. As an illustration, the MTP III process provides an opportunity for MoDP to enhance continuous collaboration with MENR by integrating the Climate Change Directorate as a key actor in the medium term working groups and in the Climate change thematic working group, as recommended below.
5. There is an opportunity for regional lessons learning and sharing among various countries looking to mainstream climate change. This presents an opportunity to learn from more advanced countries and to benefit from shared innovation necessitated by the challenges posed in mainstreaming climate change into planning.
6. The Nationally Determined Contributions (NDCs) agreed as part of the Paris Climate Change Agreement in 2015, along with the resource mobilisation potential of the Green Climate Fund (GCF), provide a unique window of opportunity to successfully integrate climate change into economic development. These processes have the potential to support mainstreaming efforts and to enhance Kenya's progress towards its international commitments.

In summary, as efforts to mainstream progress with time, they provide the foundation to explore and build appropriate institutional arrangements, demonstrate benefits and enable an iterative approach to the long term development objectives related to climate change mainstreaming.

Recommendations to inform mainstreaming of climate change into the MTP III

These recommendations are specific to the process of preparing the MTP III and integrating climate change in the priority programmes:

- 1. The Climate Change Directorate (CCD) should co-convene the Climate Change Thematic Working Group, to act in an advisory and peer review role to the Sector Working Groups and County planning teams**

The Climate Change Thematic WG (CCTWG), under the guidance of the CCD, should provide an advisory and review function for MTP III inputs. For example, with respect to the development of assessment criteria to be used in prioritising projects, programmes and policies, the CCTWG should provide advice and review the criteria, priorities and the decision-making processes. Where Sector Working Groups, for example, are required to agree on an assessment approach when applying a "climate lens" to all projects (see Annexure page 27, for two types of assessments proposed), the CCTWG should provide support relating to preparatory work that feeds into sector consultations.

- 2. Sector working groups should be encouraged to prioritise NCCAP actions in their sector inputs, as well as to align all projects with the climate change policy intent i.e. applying a climate lens**

A process should be undertaken to identify and include NCCAP priority actions within the MTP III sector inputs. It could include the following activities:

Select priority actions

- In this activity, the WG will select actions to include in the sector inputs by referring to the NCCAP. In doing so, the WG will review priority adaptation actions by sector (Table 5.1 of the NCCAP) and suggested priority low-carbon development opportunities (Table 6.2 of the NCCAP). The WG should select at least one or as many appropriate activities given practical implementation challenges, resource constraints and alignment with the sector's development priorities.

Estimate the cost of the selected actions

- Estimate the budgetary requirements to implement the selected adaptation and mitigation actions. This should be included in the implementation matrix of the MTP III, sector plans and CIDPs.

Determine barriers to implementation and the resources required

- The WG should consider how selected projects can be implemented. This includes an assessment of institutional arrangements and capacity with a consideration of devolution of certain functions and concurrent functions, the need for regulatory reform, capacity building, evidence generation and data availability to inform decision making.

In the case of sector inputs with no clear NCCAP priority action, a process should be undertaken to provide the WG with an approach to assessing all projects with a “climate lens” to ensure alignment with Kenya’s climate change policies, including the Climate Change Act, Climate Change Policy, NCCAP and the NDC. A simple “checklist” approach can be adopted or a more comprehensive criteria development, assessment and decision-making process developed and applied. Please refer to the Mainstreaming guidelines for further detail.

3. Undertake National and Sub-national climate change economics gap analysis and assessment

The literature and international experience emphasises the importance of legitimate, relevant and robust evidence on the economic costs and benefits of different climate change options. In the short term, as part of the MTP III development process, work should be undertaken to identify data gaps relative to the objectives for each phase along the journey, for different entities planning at different scales. A matrix illustrating the type of information that could be collected is shown in Table 8-2. In practice, there will be a need to focus on a sample of sectors / counties based on a targeted approach that considers the likelihood of success and potential to generate lessons applicable to other entities.

Table 2: identification of economic evidence needed at different scales

		Short term (MTP III development)	Medium Term (MTP IV development)	Long term – ongoing from 2020
Sector X	What exists			
	Gaps / what is needed			
County X	What exists			
	Gaps / what is needed			

In the short term, a rapid economic analysis could be undertaken to generate evidence to inform climate change mainstreaming in MTP III. In the medium term, a detailed economic analysis would be required, to prioritise the evidence needed for various planning processes. In each case, stakeholders need to be engaged as part of identifying the evidence needs and in the process of co-generating that evidence.

4. Undertake structured stakeholder engagement at the county level

Integration of the MTP III planning process with county-level actions is imperative. Section 19 of the CCA explicitly requires County Governments to mainstream climate change actions and duties contained in the CCA and the NCCAP, in performance of its functions. More specifically, s.19(2) requires county governments to mainstream implementation of the NCCAP, during development, updating and approval of CIDPs, and County Sectoral Plans required for CIDP implementation by the County Governments Act.

As stakeholder engagement with counties is undertaken, the objectives should be to:

- Build awareness and capability (collaborating with UNDP and potentially other development partners);
- Ensure a participatory process;
- Inform the strategy for mainstreaming climate change into MTP III; and
- Apply the climate lens methodology (initial pilot methodology) as part of a high-level screening of planned projects to be included in MTP III.

The county engagements are to be integrated into the existing planned engagements as part of the MTP III process. These could take the form of a presentation to inform approaches to mainstreaming outlining tools and methodologies available. It would then elicit feedback based on a select number of questions designed to test assumptions / approaches and to inform the broader approach. Finally, a high level, test screening would be undertaken to demonstrate how climate change can be considered in prioritising development projects but also to test the appropriateness of the tools. It is proposed that the engagements be done in collaboration with the UNDP mainstreaming support programme given the overlapping objective around awareness raising and capacity building. This proposal would therefore need to be considered by UNDP team involved in MTP III climate change mainstreaming capacity building.

Way forward

Recommendations are made for mainstreaming activities in line with short, medium and long term objectives to integrate climate change into development planning according to the NCCAP. A framework is proposed that considers the process as a journey, consistent with the definition of mainstreaming and what it means in practice (as detailed in Section 3) and is in compliance with the legal basis for mainstreaming. With regard to the latter, it is essential that the MoDP be guided by the Climate Change Directorate, and that the Climate Change Thematic Working Group (convened as part of the MTP III process) play an important role in ensuring that interpretation of these recommendations is consistent with the requirements of the NCCAP. In addition, upon approval of the climate change mainstreaming guidelines prepared as part of this report, it will be beneficial for MoDP to table these guidelines at the National Climate Change Council meeting for approval as part of the climate change governance framework for planning across Kenya.

The extent of mainstreaming that can be done is dependent on a number of factors including availability of resources (finance, data, capacity). Each sector (and county) should identify a long-term path to integration that is appropriate recognizing that different sectors have different greenhouse emissions and mitigation potential and are exposed to different levels of climate risk. The process towards achieving the appropriate level of integration will require investments in systems, data and capability. It is important that while mainstreaming climate change to achieve a basic or partial level of integration, the path towards full integration is considered so that investments in data and systems are made at the same time to allow for a higher level of integration in the future.

The framework below (Figure 1), illustrates that the extent of integration of climate change into development planning can increase over time, recognising existing needs, capabilities and constraints.

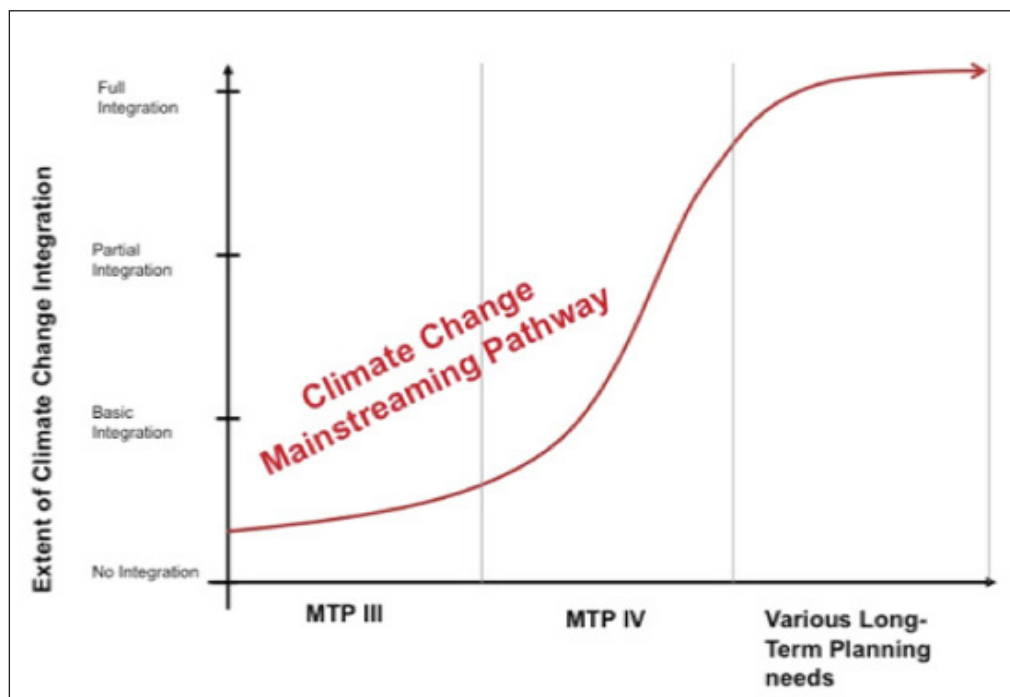


Figure 1: Kenya's mainstreaming pathway

Extent of climate change integration:

- Basic Integration: the inclusion of climate change interventions into a sector plan, where adaptation and / or mitigation is one of the key objectives;
- Partial Integration: considering climate change when prioritising all projects, programmes and policies (applying a “climate lens”);
- Full Integration: where climate change aspects are considered fundamental assessment criteria for all aspects of development planning and identification of development priorities. A key safeguard to ensure an iterative path towards full mainstreaming is to maintain a focus on the CCA objective requiring Kenya to take actions towards fulfilment of a low carbon, climate resilient economy. “Integration” would mean that climate change, together with other developmental objectives such as poverty alleviation, job creation and GDP growth, would inform decision-making regarding areas and projects of focus and how they can be implemented. Activities would include prioritisation based on evidence regarding climate change and development impacts (costs and benefits) of different projects as well as the application of a decision-making process that considers multiple criteria (such as Multi-Criteria Decision Analysis (MCDA)). The figure shows that this level of integration will take the longest to achieve, but would entail the greatest level of climate change integration.

Each stage reflects different objectives and associated actions. The “Basic Integration” pathway would reflect the current approach to Kenya’s mainstreaming of climate change, there is thus the potential to plan for and reach the “Partial Integration” stage in the medium term, and the “Full Integration” stage in the longer term. The objective should be to invest in a level of integration that is practical and contributes to meeting the current needs but allows the country to continuously step up to a new stage over time. In this way the process is iterative, it builds on existing capacities and it invests in and undertakes mainstreaming activities in line with a long-term objective.

The table below indicates the objectives of the different phases of Kenya’s mainstreaming journey.

Table 3: Objectives of different phases of Kenya’s mainstreaming journey

MTP III	MTP IV	Various Long- Term Planning needs
Inclusion / Consideration	Consideration / Integration	Full Integration
<ul style="list-style-type: none"> • Building capabilities & raising awareness • Developing methodologies / guidelines • Learning by doing (Piloting, gap identification, exploring institutional arrangements) • Coordinating development partner support • Mitigation actions (drawn from NDC) • Adaptation actions (focusing on building resilience, enhancing adaptive capacity, and disaster risk reduction – drawn from NAP and NDC) • Clear indicators, monitoring, evaluation and data generation • Integrating with the Kenyan Measurement, Reporting and Verification plus (MRV+) system 	<ul style="list-style-type: none"> • Addressing needs identified • Building capabilities • Refining methods • Embedding systems • Refining institutional arrangements • Vertical & horizontal coordination • Learning (?) 	<ul style="list-style-type: none"> • Meeting long term needs for climate change Mainstreaming to implement the CCA objectives: • NCCAP (review, update every five-years), implement. This includes NDC and NAP • CIDPs (review, update and, implement) • UNFCCC long term strategy (and other “requirements”)

This framework and recommendations for mainstreaming climate change into MTP III mentioned above should be refined through a workshop, involving key members of the climate change mainstreaming project steering group⁹.

Conclusion

Kenya has already started to mainstream, and put in place a legislative and institutional framework to define and support the mainstreaming of climate change across sectors. These existing processes need to be leveraged and augmented. The CCA (s.2) sets out a statutory definition of mainstreaming as “the integration of climate change actions into decision making and implementation of functions by the sector ministries, state corporations and county governments.” This high-level definition reveals the features of mainstreaming that help illustrate what and how sectors should mainstream: climate change mainstreaming includes the consideration of adaptation, mitigation and cross-cutting climate issues into development planning in an iterative and inclusive manner (across all levels of government and involving non-public sectors) applied over the short, medium and long term.

Kenya should invest in a level of integration that is practical and contributes to meeting the current needs but allows the country to integrate climate change further. In this way the process is iterative, building on existing capacities and it invests in and undertakes mainstreaming activities in line with a long-term objective. In line with the recommended journey, the following activities are proposed in support of objectives for MTP III and towards the medium-term:

- The CCD and the Climate Change Thematic Working Group to act in an advisory and peer review role to the Sector Working Groups and County planning teams
- Prioritise NCCAP actions in sector inputs and align all projects with the climate change policy intent - applying a climate lens
- Sub-national climate change economics gap analysis (short term) and assessment (medium term)
- Structured engagement at the national and sub-national level to build capability, ensure participation, elicit information to inform strategy and pilot methodologies.

⁹ The Establishment of a project Steering Group was recommended during a meeting with the project team and members of the MoDP team responsible for planning

Annex I: Supporting the mainstreaming of climate change into Kenya's Medium Term Plan III

1 Introduction

1.1 Purpose of the guidelines

This set of guidelines has been developed to assist the Medium Term Plan (MTP) Sector Working Groups (SWGs) to mainstream climate change into the MTP sector plans as part of the MTP III development process.

1.2 Legal basis for mainstreaming

The legal basis for mainstreaming climate change into development planning, and implementation of sectoral actions is drawn from the Constitution of Kenya, and from the 2016 Climate Change Act (CCA). The objectives of the CCA include its application to develop, manage and regulate mechanisms to enhance climate change resilience, and low carbon development, for the sustainable development of Kenya. This focus draws from article 10 of the Constitution, where sustainable development is set out as a binding principle of national governance. The CCA requires that:

- (i) Both national and county governments mainstream climate change responses into development planning, decision making and implementation in all sectors of the economy ((s.3(2)(a)).
- (ii) The National Climate Change Action Plan (NCCAP) is the principal legal tool through which mainstreaming will be undertaken.

Kenya has ratified the Paris Agreement and submitted its Nationally Determined Contribution (NDC) with mitigation actions across six sectors - Energy, Transportation, Industrial Processes, Agriculture, Forestry and Other Land Use (AFOLU) and Waste. In the NDC, Kenya commits to taking steps towards reducing GHG emissions by 30% from the Business as Usual scenario by the year 2030. The NDC also sets out priority adaptation actions for each of the MTP sectors, which take into account the National Adaptation Plan (NAP), which has been developed for the period 2015-2030.

The outcome of on-going NDC sector analyses will provide guidance on how Kenya could progressively fulfil and report on the NDC target. The analyses is currently being undertaken by the Climate Change Directorate (CCD), which is mandated by the CCA to coordinate the development of the NCCAP and support implementation of climate change priority actions. The analyses will contribute to the development of an NDC Implementation Plan, which will form part of the revised second NCCAP 2018 – 2022.

1.3 What is “climate change mainstreaming”?

The CCA sets out a statutory definition of mainstreaming as **“the integration of climate change actions into decision making and implementation of functions by the sector ministries, state corporations and county governments.”** This high-level definition reveals the principles of mainstreaming that help illustrate what and how sectors should mainstream. These include:

- Mainstreaming should include the consideration of adaptation, mitigation and cross-cutting climate issues into development planning;
- Mainstreaming should be iterative incorporating lessons learnt;
- Mainstreaming should be inclusive (across all levels of government and involving non-public sectors); and
- Mainstreaming could be applied over the short, medium and long term.

Climate change mainstreaming could be undertaken in a number of ways:

- Basic integration: the inclusion of climate change interventions into a sector plan, where adaptation and / or mitigation is one of the key objectives;
- Partial integration: considering climate change when prioritising all projects, programmes and policies (applying a “climate lens”);
- Full integration: where climate change aspects are considered fundamental assessment criteria for all aspects of development planning and identification of development priorities. A key safeguard to ensure an iterative path towards full mainstreaming is to maintain a focus on the CCA objective requiring Kenya to take actions towards fulfilment of a low carbon, climate resilient economy.

2 Steps for mainstreaming climate change into Sector Plans

The four steps proposed below outline short-term practical mainstreaming actions and a process to undertake additional cross-cutting interventions. Steps 2 and 3 are necessary to ensure alignment with the NCCAP, whilst Step 4 represents a process to establish an enabling environment to meet current and future mainstreaming requirements.

Step 1: Establish a common understanding and vision for mainstreaming in the sector

This is intended to establish a common understanding by all WG members of what is required in terms of climate change mainstreaming in the sector inputs. This could entail briefing presentations and facilitated discussions with the objective of ensuring that the WG members have a common understanding. It includes the following activities.

1.1: Develop a common understanding at the national level of climate change mainstreaming requirements/ objectives

Enable WG members to develop an understanding of the climate change mainstreaming requirements and objectives, as articulated in national policy, such as the Climate Change Act, the Climate Change Framework Policy, the NCCAP, NAP and the NDC.

1.2: Determine what the national level requirements / objectives mean for the sector

On the basis of the common understanding, outline the implications for / expectations of the sector with regards to climate mainstreaming. This would include benefits assessment and consideration of risks.

Step 2: Identify priority actions to be included in the sector inputs

This is aimed at providing the WG with a process to identify and include the NCCAP priority actions within the MTP III sector inputs. It includes the following activities.

2.1: Select priority actions

In this activity, the WG will select actions related to climate change to include in the sector inputs, referring to the NCCAP and the NDC. In doing so, the WG will review priority adaptation actions by sector (Table 5.1 of the NCCAP - see Annex 1) and suggested priority low-carbon development opportunities (Table 6.2 of the NCCAP - see Annex 2). The WG should select at least one or a number of actions (as appropriate) given practical implementation challenges, resource constraints and alignment with the sector's development priorities.

2.2: Estimate the cost of the selected actions

Estimate the budgetary requirements to implement the selected adaptation and mitigation actions. This should be included in the implementation matrix of the MTP III, sector plans and CIDPs.

2.3: Determine barriers to implementation, and the resources required

The WG should consider how selected projects could be implemented, reflecting and building on previous experience. This includes an assessment of required institutional arrangements and capacity to deliver, with a consideration of the devolution of certain functions and concurrent functions and data availability. In addition, the WG should consider what type of regulatory reform and evidence generation is required to inform decision-making.

Step 3: Apply a climate lens to all projects / interventions considered for inclusion in the MTP III

This step aims to provide the WG with an approach to assessing all projects to be included in the MTP III for that particular sector with a “climate lens” to ensure alignment with Kenya’s climate change policies, including the Climate Change Act, the Climate Change Framework Policy, the NCCAP and the NDC. A SIMPLE “checklist” approach could be adopted OR a more **COMPREHENSIVE** criteria development, assessment and decision-making process developed and applied.

The **SIMPLE** checklist would potentially be applicable to MTP III sectors indirectly impacted by climate change, for example, sectors under the Political Pillar (Devolution; Governance, Judiciary and Rule of Law) and sectors under Enablers (ICT; Labour and Employment). The **COMPREHENSIVE** checklist would potentially be applicable to MTP III sectors directly impacted by climate change, for example, sectors under the Economic Pillar (Agriculture, Livestock and Fisheries; Tourism) and sectors under the Social Pillar (Environment, Water and Sanitation; Health). The step includes the following activities:

3.1: Agree on an assessment approach to apply to all projects

SIMPLE checklist: This step involves developing a checklist to assess projects in terms of the relevant climate change policies. The objective is to identify those projects which are at risk due to climate change, those that could play a role in influencing resilience and adaptive capacity, and those which could have a significant GHG impact. This would include all projects considered for inclusion in the sector inputs and not only those identified as part of step 2. Table 21b includes a checklist that could be used as a basis but should be tailored by the working group. For adaptation, the WG should check the project or action based on the goal of building resilience and/or adaptive capacity. For mitigation, the WG should examine the existing data on GHG emissions reduction potential and NDC sectoral analyses data to support decision making. The WG should also note instances where they anticipate overlaps with other WG’s prioritisation, or risk of negative outcomes from other WG’s prioritisation. Reference to the Climate Change Working Group can help the WG to reconcile any areas of overlap or identified risks.

COMPREHENSIVE assessment criteria: This step involves looking at a broad set of criteria that relate to the country’s development priorities. The criteria should be sector-specific and cross-cutting. This may include binary criteria such as whether or not there is a contribution to climate resilience; additionally, it should also consider ranges of impacts relevant to Vision 2030 and climate change policies. In developing criteria, other efforts to assess actions should be drawn on, such as the high-level climate risk screening undertaken for Kenya’s Vision 2030 flagship projects, and the in-depth screening of the five flagship projects considered most vulnerable to climate change. See Table 1b for examples of possible assessment criteria, which could be drawn on.

3.2: Undertake the assessment

SIMPLE application of the checklist: Apply the climate change checklist and flag projects that are not aligned with policy objectives of adaptation and mitigation as described in 3.1. above. Flagged projects should be discussed with the Climate Change Thematic Working Group to ensure consistency with Kenya’s climate policy goals.

COMPREHENSIVE assessment and decision-making process:

- a) Projects being considered for inclusion in the sector inputs should be listed along with available information associated with each of the assessment criteria (see Table 1a as an example). This process will be determined by what information is currently available to the WGs. The process will identify gaps and inform future information requirements.
- b) Evaluate projects in terms of the criteria in Table 1b and other sector specific criteria, which are used by the Ministry of Devolution and Planning. A complex decision making tool could be developed and applied in a facilitated exercise allowing the WG to review each project in terms of relevant climate change criteria, and thereafter rate and prioritise the projects. This could be based on, for example, multi-criteria decision analysis (MCDA) tools to be determined by the availability of time and data, or any constraints.

Table 1a: Possible (non-exhaustive) climate change checklist questions (SIMPLE)

Does climate change present any risks to the interventions? (Yes / No)	Does the project align with mitigation objectives? (Yes / No)
Are interventions being planned in one of the following sectors: agriculture and rural development; forests/forestry; natural resources management and biodiversity; water; disaster management; urban, municipal, county or regional development; health; or energy?	Are interventions/projects being planned that will use a large amount of fuel for their construction? (Gasoline, diesel, kerosene, charcoal, fuelwood, other biomass)
Are interventions situated in one of following geographic regions: coastal zones; floodplains; ; semi-arid and arid areas; or mountain regions?	Are interventions/projects being planned that will use a large amount of fuel / electricity for their operation? (Gasoline, diesel, kerosene, charcoal, fuelwood, other biomass)
Does the impact of the intervention depend on important climate parameters such as temperature, precipitation or wind?	Are interventions/projects being planned that relate to infrastructure? (energy, ICT or transportation infrastructure)
Is the intervention currently impacted by climate change? Is it expected that in the future the intervention will be impacted by climate change?	Are interventions/projects being planned that will affect forest or biomass cover, such large-scale deforestation or reforestation or changes in agricultural and land-use practices?
Does the intervention provide opportunities to significantly increase resilience and/or the adaptive capacity of the target group(s) or ecosystem(s)? Does the intervention take into account gender considerations?	Are interventions being planned that will lead to production of renewable energy, or could renewable energy options be included in project plans? (solar, geothermal, wind, hydro, biomass)
Does the intervention include preventative measures that will contribute to Disaster Risk Reduction (for example, reduce the damage caused by natural hazards such as floods and droughts)?	Are interventions being planned that increase the efficiency of energy use, or could energy efficiency be included in project plans?

Table 1b: Climate mainstreaming project assessment matrix (COMPREHENSIVE)

Project / Programme	Climate Risk Assessment	Environmental Impact	Economic Impact	Socio-political impact	Enablers
<i>List the projects here</i>	<ul style="list-style-type: none"> Risks Consequences of the risk (low, medium, high) Options for addressing the risks 	<ul style="list-style-type: none"> GHG emissions (range of CO2e) Impact on water resources Impact on biodiversity Impact on air quality 	<ul style="list-style-type: none"> Impact on GDP (range of %) Cost (range of KSh) Impact on unemployment (jobs retained / created, by type) 	<ul style="list-style-type: none"> Impact on poor/vulnerable communities (poverty alleviation) Impact on food security Impact on health Gender considerations 	<ul style="list-style-type: none"> Enabling environment (technology, information, finance, capacity)

Step 4: Consider practical implementation challenges and interventions required to overcome these

For this step, the WG should outline potential challenges in the implementation of projects identified in the above steps and consider intervening actions that should be taken to ensure the establishment of systems capable of meeting current and future requirements to mainstream climate change into the sector's planning. The step includes the following activity.

4.1: Consider practical implementation challenges and interventions required to overcome challenges

In considering projects discussed as part of the above steps, the WG should discuss the following questions and identify additional interventions needed to enable climate change mainstreaming in the short, medium and long term. As part of the evaluation, ask:

- (i) Does the climate change intervention have additional budgetary consequences and how can these be addressed?
- (ii) intervention require changes in strategy, policy, legislation or institutional arrangements?
- (iii) Does the intervention have cross-sectoral implications and if so, what level of institutional coordination is required?
- (iv) Does an intervention involve a function that is devolved, or a joint function between the national and county governments, and if so, how will implementation be streamlined?
- (v) What barriers to implementation exist and what additional resources / systems (finance, information, capability, institutions, etc.) are needed to overcome these?
- (vi) What additional evidence in terms of scope and type is needed to support mainstreaming activities?
- (vii) Consider existing criteria for allocating budget according to priorities in the national plans.



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