



ECRAN / TAIEX

Environment and Climate Regional Accession Network

Implementation: Entry-points, stakeholders and action planning

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- Flood risk management
- **Adaptation to climate change**
- **Climate protection**
- Traffic infrastructure (Rail, Airports, Roads)
- Sustainable regional development
- Conversion of brownfields
- Waste management
- Consulting in developing countries
- Project management



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(Inter)national projects – in different fields



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EU-Project / INTERREG



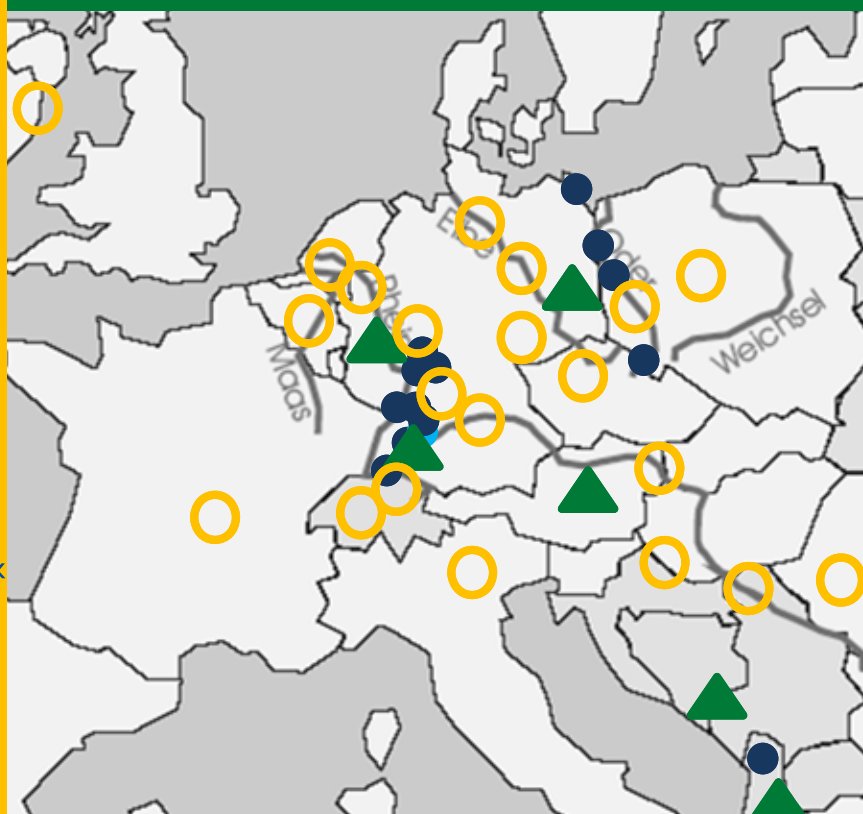
Future Cities
urban networks to face climate change



CC-Adaptation + FRM strategies

Germany, Federal Ministries
Baden-Württemberg
Nordrhein-Westfalen
Austria

Albania (GIZ) / Tirana / Shkodra
Montenegro (GIZ) / Podgorica
Serbia (GIZ) / Belgrade
(Vietnam, Lao)



Flood-risk- man. plans

Rhine River
(10 FRM plans)

Neckar
(with tributaries)

Main
(u.a. Schwarzbach)

Oder
(mit Lausitzer Neiße,
Oderbruch und
Stromoder)

Coast /
Vorpommern/
Usedom

Drin / Shkoder
(Albanien)

0. Basics on Implementation

1. Implementation instruments
2. Review / update of instruments
3. Seeking stakeholder agreement
4. Implementation roadmap / plan
5. Questions and answers

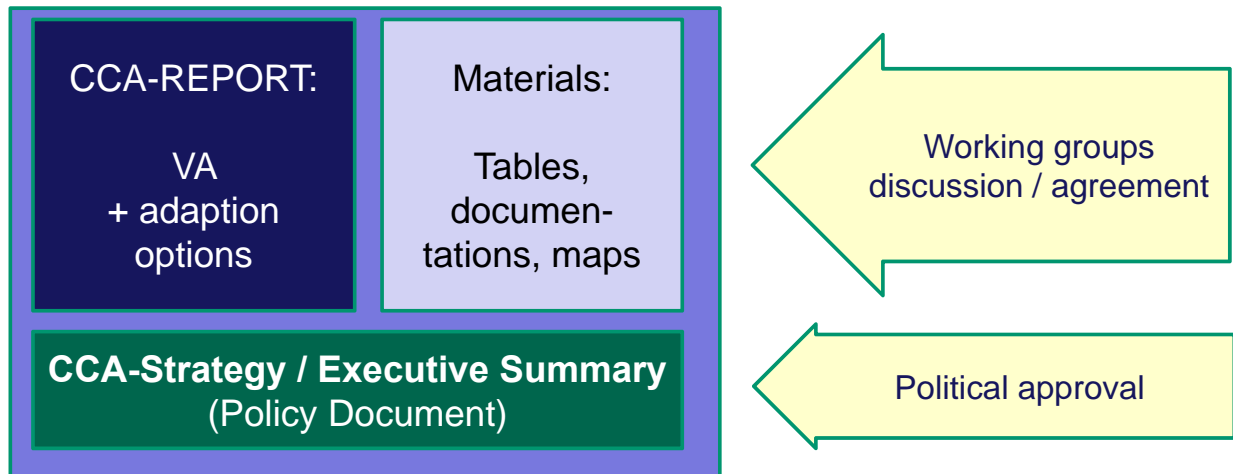
- ... presented with examples of cooperations on the different levels.



Implementation



Implement adaption options: report, decision making, mainstream



Implementation

- Which Instruments?
- Activate stakeholders / agreements
- Implementation road map / action plan



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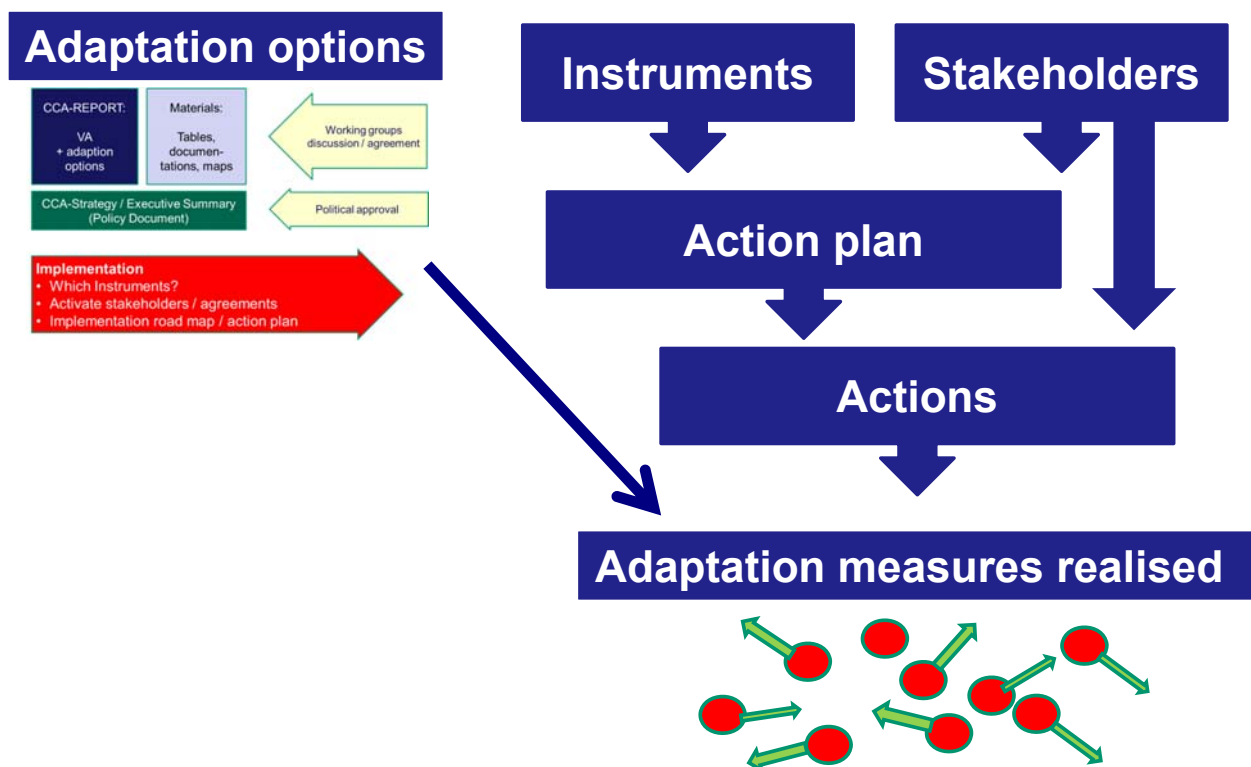
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Step 5: Implementation



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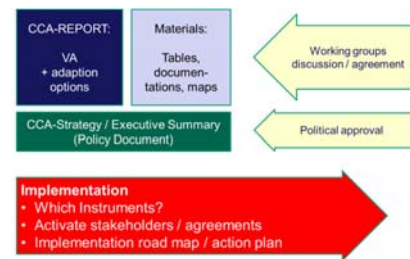
Step 5: Implementation

✓ strategic document on adaptation adopted

→ next step: to implement the strategy

→ prepare an action plan which sets out

- what needs to be done to convert adaptation options into action,
- specifying by whom and when
- allocating sufficient resources.



Comment:

However, it should be noted that concrete action plans and / or sectoral plans can also be elaborated as an integrated part of the national adaptation strategy.



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Step 5: Implementation

Focus for this step:

- a. suggestions on how to link from adaptation strategy to → action plan

Question 1:
What is the
difference?

- b. concrete recommendations + potential instruments to mainstream adaptation into existing sectoral policies.

Question 2:
Why “existing”?

We could create
NEW policies?



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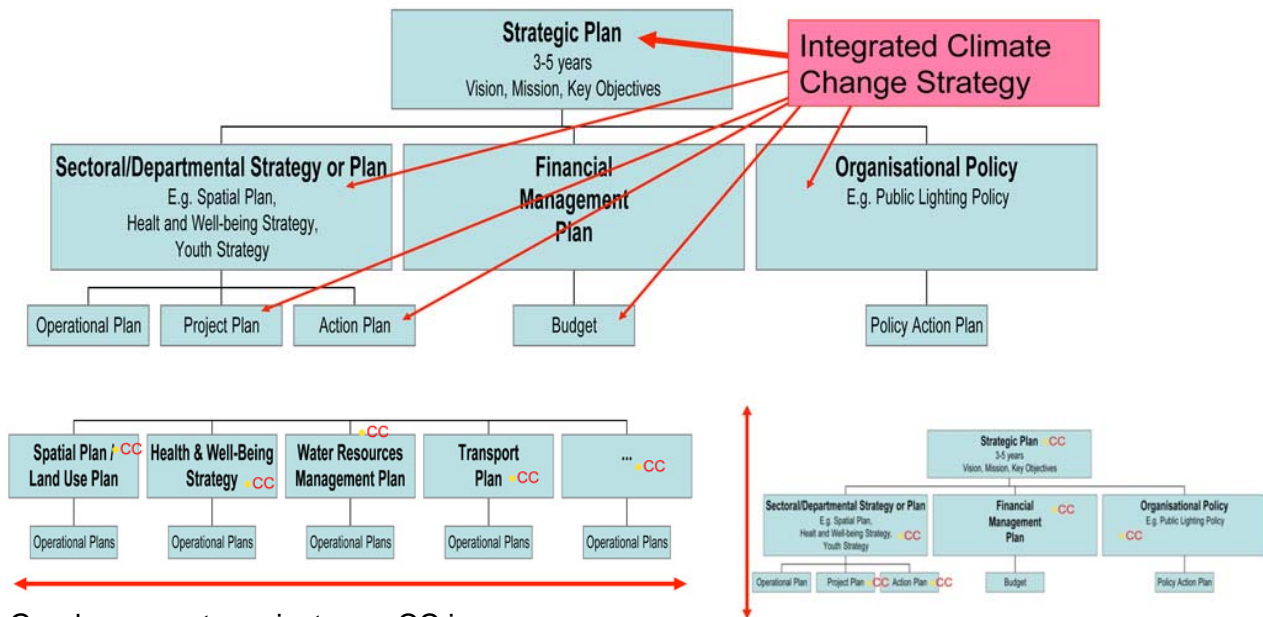
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Integrating / Mainstreaming Climate Change



Source: GIZ/ ICLEI –ICA Framework



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What does “mainstreaming climate change adaptation” mean?

- describes a process of considering climate risks in many different sectors, policies, activities, decision making, projects,
- adjusting sector activities and project activities and approaches to address risks of CCA / make them robust for CC.
- different from a “targeted” community-based adaptation project, where the explicit goal is to build resilience to climate change.
- Mainstreaming climate change adaptation can therefore ensure that development programs and policies contribute to CCA.

Based on: *Mainstreaming Climate Change Adaptation: A Practitioner's Handbook*
(CARE International in Vietnam, 2009)



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Why should we mainstream climate change adaptation?

Mainstreaming climate change adaptation can achieve

2 main objectives:

- ensuring that **plans, programs or project activities** maximize their contribution to **adaptive capacity of target populations**.
 - and do not increase vulnerability to climate change
 - but contribute to build resilience while achieving development goals.
- **reducing the risks** posed by climate change **to decision making**, investments or project activities, stakeholders, and results.
 - sometimes referred to as 'climate-proofing'



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Step 5.a. Mainstreaming

= Identify and make use of entry points for adaptation into existing instruments and / or create new instruments for adaptation

Adaptation should not be performed in isolation from existing policies, management structures and processes.

- **To allow synergies, instruments in place** with relevance for adaptation should
 - be reviewed and modified
 - to cope with current and future impacts of climate,
 - including better considerations for disaster risk management practices.
- **Integrating adaptation through reviewing and modifying existing instruments** shall
 - not be restricted to the environmental sector or to the public authority
 - also refer to economic sectors and private organisations.



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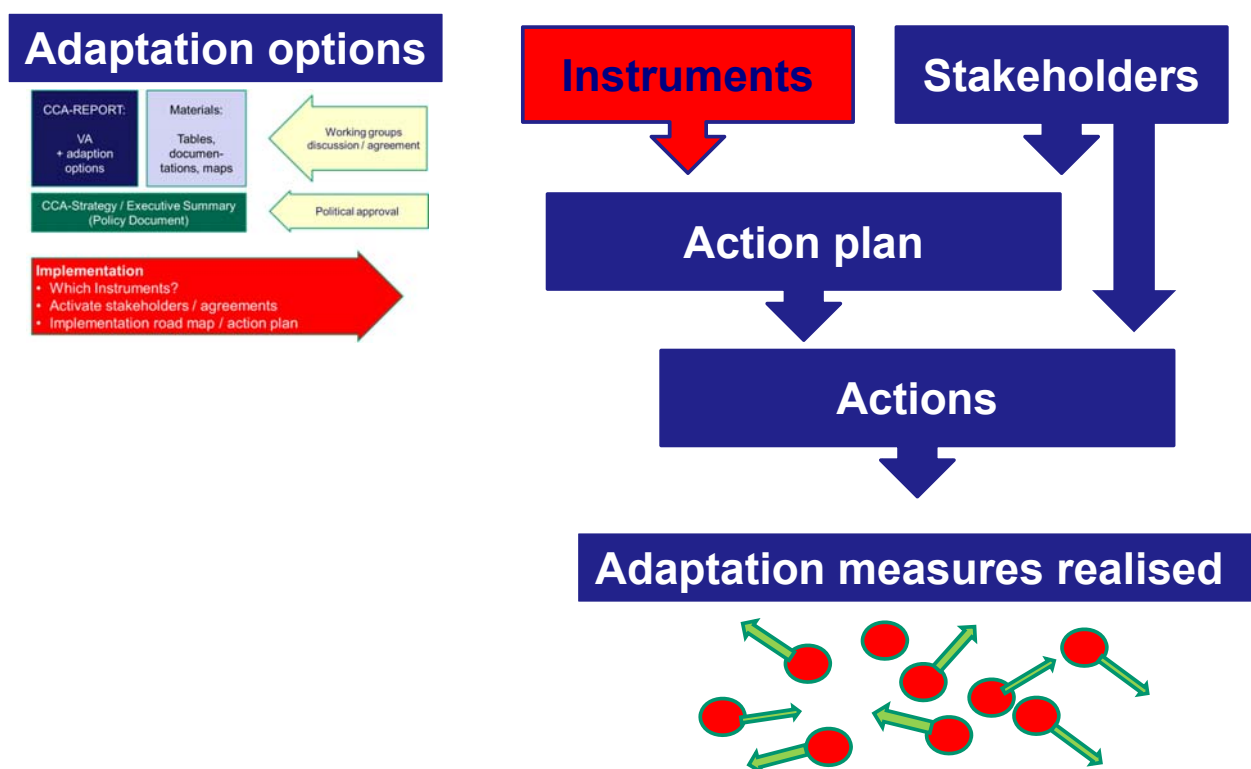
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1. Implementation instruments

2. Review / update of instruments
3. Seeking stakeholder agreement
4. Implementation roadmap / plan
5. Questions and answers

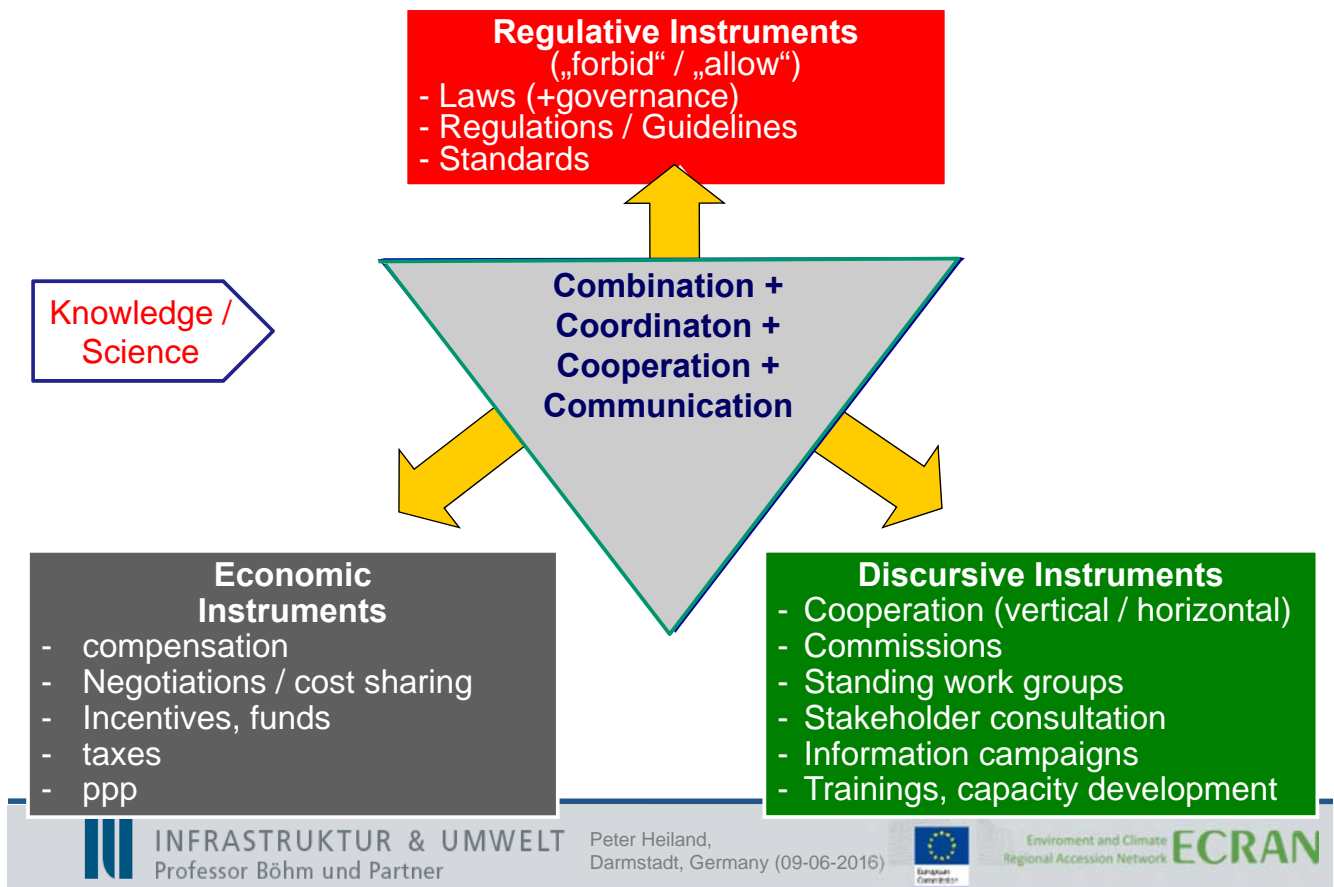


Step 5: Implementation / Instruments

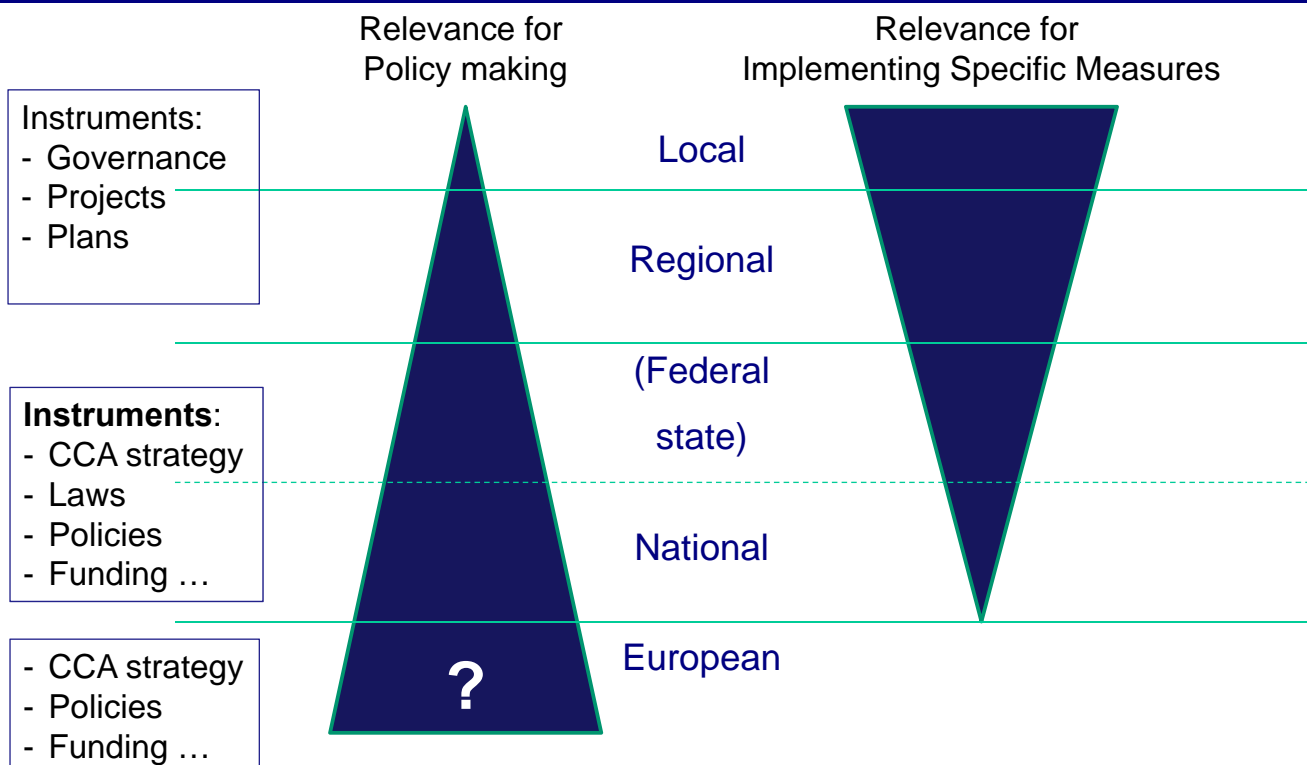


1. Implementation Instruments

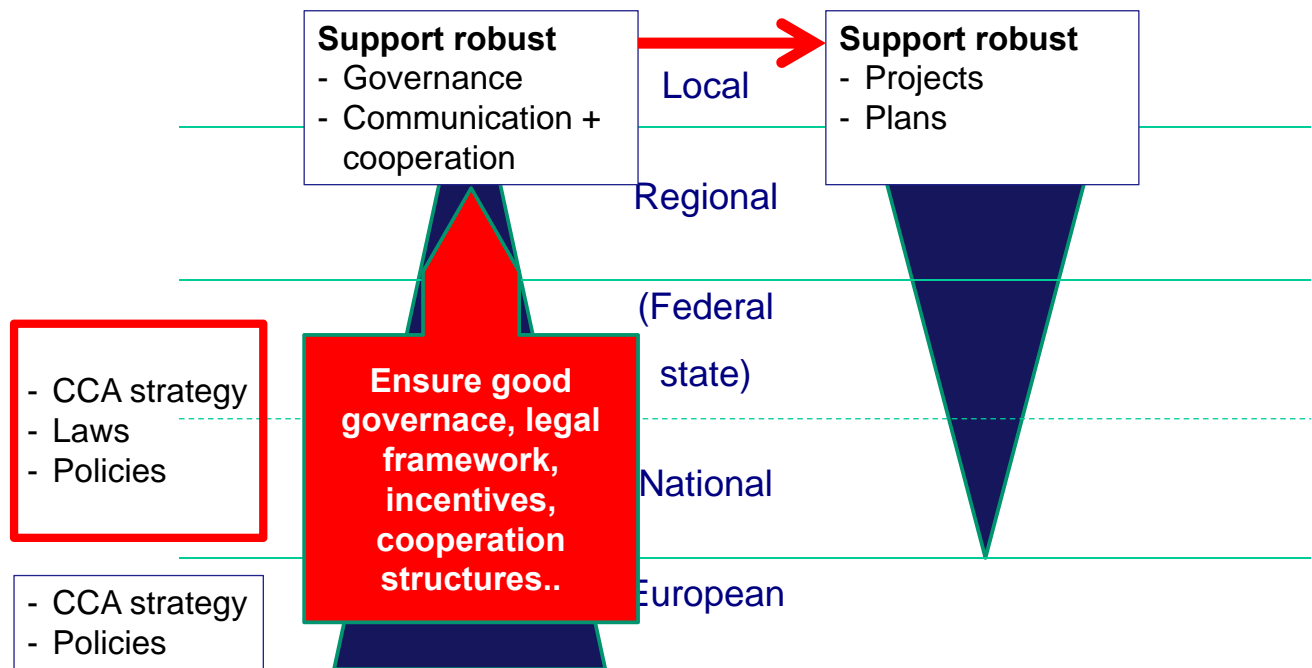
(Instruments of environmental and regional politics)



Governance levels / instrument levels with relevance for adaptation



Implementing CCA strategies on national level means ...



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Overview of possible instruments for adaptation

Categories	Instruments
Legal instruments	laws, regulations, policies, decrees
Economic instruments	taxes, fees, tax incentives, grants, interest-free loans, public procurement
Informational instruments	studies, brochures, websites, campaigns, events, labels, etc.
Partnership instruments	voluntary agreements among companies, partnerships, collaborative projects, etc.
Hybrid planning / strategic instruments	plans, strategies, action plans, programmes, etc.



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1. Implementation instruments
- 2. Review / update of instruments**
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2. Review / update of instruments



Which
instruments
do you have
already, that
might be used /
improved to
implement
CCA?



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Which instruments

do we have already, that might be used / improved to implement CCA?

Result of country groups discussions on identification of already chosen or possible adaptation options

Sector	Options
Agriculture & environment	<ul style="list-style-type: none"> - Establishing a Subsidized Insurance System in Agriculture (Vineyards protection insurance against hail) - Focus on the improvement and maintenance of the drainage and irrigation systems, in agricultural and urban areas also to prevent flash floods - Moratorium on forest cutting (10-years period) - Finding alternative water resources as a response to salinized and polluted aquifers - Moratorium on inert materials and sediment exploitation in riverbeds
Energy	<ul style="list-style-type: none"> - Establishing the new dam system in the Drin cascade to prevent floods and make room for the river - Achievement of the use of energy efficiency on all sectors especially in transmission and distribution of energy referring to national plans for energy efficiency; targeting also heat islands in highly urbanized areas - Riverbed management and regulation in accordance with neighboring countries, preventing floods from upstream
Territorial planning & urban development	<ul style="list-style-type: none"> - Limiting building and urbanization only within already urbanized areas according to in-process National Territorial Plans and General Local Plans - Chapter for CCA in the document of Integrated Cross-Sectorial Territorial Plan for the Coast, translated into measures in the General Local Plans of Municipalities

Increased public awareness

Existing instruments?

New instruments?

- Legal
- Financial
- Communication (informational, partnership, hybrid)

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The adaptation preparedness scoreboard: examples

The adaptation preparedness scoreboard

Final version

Indicators

Policy framework					
A	Adaptation strategy	A.1	A national adaptation strategy has been adopted and/or		
		A.2	Number and scope (% of population or territory covered) of adaptation strategies adopted at relevant subnational levels, or the role of national, subnational, government arrangements		
B	Adaptation action plans	B.1	A national adaptation action plan has been adopted and/or		
		B.2	Number and scope of adaptation action plans adopted at least at relevant subnational levels, and/or		
C. Adaptation action plans adopted at central level, or subnational or central strategies					
Scoreboard					
Adaptation policy-making process		Main areas of performance		Key domains of relevance	
		21*	Definition	22*	Definition
Step 1: Preparing the ground for adaptation	1		A central administration body is effectively in charge of adaptation policy-making	23*	A central administration body effectively in charge of adaptation policy-making
			Horizontal (in central) coordination mechanisms exist within the government system, with division of responsibilities	23	Horizontal (in central) coordination mechanisms exist within the government system, with division of responsibilities
	2		Vertical (in sector levels of administration) coordination mechanisms exist within the government system	23	Vertical (in sector levels of administration) coordination mechanisms exist within the government system
			A national process is in place to facilitate stakeholders' involvement in the preparation of adaptation policies	23	A national process is in place to facilitate stakeholders' involvement in the preparation of adaptation policies
Step 2: Assessing risks and vulnerability to climate change	3		Transboundary cooperation is planned to address common challenges with relevant countries	23	Transboundary cooperation is planned to address common challenges with relevant countries
			Observation systems exist, plans to monitor climate change impacts, climate-related risks, and adaptation	23	Observation systems exist, plans to monitor climate change impacts, climate-related risks, and adaptation
			Systems and processes are used to assess the economic, social, and environmental impacts of climate change	23	Systems and processes are used to assess the economic, social, and environmental impacts of climate change
			Second climate vulnerability assessments for priority vulnerable sectors are undertaken to support adaptation decision-making. The status of vulnerability assessments may be used as a (self-) assessment of vulnerability assessments	23	Second climate vulnerability assessments for priority vulnerable sectors are undertaken to support adaptation decision-making. The status of vulnerability assessments may be used as a (self-) assessment of vulnerability assessments
	4		Climate vulnerability assessments take transboundary risks into account, when relevant	23	Climate vulnerability assessments take transboundary risks into account, when relevant
			Key stakeholders (e.g. from central administration and the private sector) are involved in defining and working on research priorities	23	Key stakeholders (e.g. from central administration and the private sector) are involved in defining and working on research priorities
			Identified knowledge gaps are used to provide public funding for research on impacts, vulnerability, and adaptation to climate change	23	Identified knowledge gaps are used to provide public funding for research on impacts, vulnerability, and adaptation to climate change
			Adaptation-relevant data and information is available to all stakeholders (e.g. through national website or other accessible means)	23	Adaptation-relevant data and information is available to all stakeholders (e.g. through national website or other accessible means)
Step 3: Implementing adaptation measures	5		Knowledge exchange, such as workshops, are in place to facilitate dialogue between researchers and decision and policy-makers	23	Knowledge exchange, such as workshops, are in place to facilitate dialogue between researchers and decision and policy-makers
			Regularly building within the plan, selection and testing, monitoring, and climate change adaptation research and practice are	23	Regularly building within the plan, selection and testing, monitoring, and climate change adaptation research and practice are



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Peter H. Damski

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The adaptation preparedness scoreboard: examples

Step 4: Implementing adaptation action	8	Climate change adaptation is mainstreamed into priority and key national planning and sectoral policymaking	8a	Consideration of climate change has been included in the national frameworks for environmental impact assessments
			8b	Prevention/ preparedness strategies (e.g. early warning systems) in place under national disaster risk management plans comprehend current and projected climate extremes
			8c	Key land use and resource management planning policies take into account the impacts of climate change
			8d	National policy instruments promote adaptation at sectoral level , in line with national priorities and in areas where adaptation is mainstreamed in EU policies
			8e	Adaptation is mainstreamed in insurance or alternative policy instruments , where relevant, to provide incentives for investments in risk prevention
	9	Climate change adaptation policies and measures are implemented	9a	Adaptation policies and measures are implemented, e.g. as defined in action plans or sectoral policy documents
			9b	Cooperation mechanisms foster and support adaptation at relevant scales (e.g. local, subnational)
			9c	Procedures or guidelines are available to assess the potential impact of climate change on major projects or programmes, and facilitate the choice of alternative options
			9d	There are processes for stakeholders' involvement in the implementation of adaptation policies and measures.



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2. Review / update instruments for adaptation

- **Legal instruments**
(laws, regulations, policies, decrees)

Strong	<ul style="list-style-type: none"> • Strong and rapid controlling effect • Effective achievement of Objectives
Weak	<ul style="list-style-type: none"> • Unpopular/ politically risky • Inflexible in achieving objectives, requires monitoring • Often complicated and expensive to implement (for the regulators and the regulated)
Ideal for	<ul style="list-style-type: none"> • Ensuring a minimum standard • Emergency situations



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2. Review / update instruments for adaptation

• Economic instruments

(taxes, fees, tax incentives, grants, interest-free loans, public procurement)

Strong	<ul style="list-style-type: none">• Behaviour control through economic incentives rather than bans / requirements• Makes use of market mechanisms, flexible in Implementation
Weak	<ul style="list-style-type: none">• Unpopular (taxes) or expensive (grants)• Achievement of objectives is not always ensured because behaviour changes are uncertain
Ideal for	<ul style="list-style-type: none">• Fostering innovation• Creation of niche markets• Alternative to legal instruments



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2. Review / update instruments for adaptation

• Informational instruments

(studies, brochures, websites, campaigns, events, labels, etc.)

Strong	<ul style="list-style-type: none">• Apolitical, unproblematic because of cost-effectiveness and limited interference in personal freedoms• Fosters awareness and individual responsibility
Weak	<ul style="list-style-type: none">• Only indirect and frequently weak or uncertain effects• Effectiveness is difficult to assess
Ideal for	<ul style="list-style-type: none">• New problems whose resolution is in the self-interest of individuals• Promoting awareness



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2. Review / update instruments for adaptation

- **Partnership instruments**

(voluntary agreements among companies, partnerships, collaborative projects, etc.)

Strong	<ul style="list-style-type: none">• Politically unproblematic because not mandatory• Pools resources of several actors• Cost-efficient for the public sector
Weak	<ul style="list-style-type: none">• Complex process (high transaction costs)• Achievement of objectives uncertain• Often ineffective
Ideal for	<ul style="list-style-type: none">• Problems that one actor alone cannot solve because of a lack of resources (e.g. money, knowledge, contacts)



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2. Review / update instruments for adaptation

- **Hybrid planning / strategic instruments**

(plans, strategies, action plans, programmes, etc.)

Strong	<ul style="list-style-type: none">• Facilitates a holistic view• Presents an overview and establishes connections• Combines several instruments, exploiting their strengths and avoiding their weaknesses
Weak	<ul style="list-style-type: none">• Implementation is often difficult (due to low levels of political interest over longer periods)• Requires the cooperation of several actors
Ideal for	<ul style="list-style-type: none">• Systematic approach to the solution of complex problems



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SUMMARY Step 5.a. Mainstreaming / Instruments

➤ Identify key instruments for integrating adaptation

Key instruments to serve as entry points for integrating adaptation include, inter alia:

- Legislation
- Regulations
- existing strategies
- Standards
- planning tools
- assessment frameworks
- research and development programmes
- networks and working groups.

The starting basis for the identification of possible entry points are the **characteristics of each adaptation option**.

As part of this screening, departments and experts with jurisdiction over each of the instruments should be consulted.



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SUMMARY Step 5.a. Mainstreaming / Instruments

➤ Determine the need for action with respect to modifying existing instruments

All instruments shall be assessed in terms of their suitability to integrate adaptation by checking the instruments against preferred adaptation options and answering the following questions:

- Which adaptation options are already covered by existing instruments and how? If covered, is the instrument sufficiently addressing the option's objective? Are any modifications necessary?
- Which adaptation options could be covered by existing instruments if the aspect of adaptation was added? Who needs to be consulted for the modification and what efforts are needed?
- What prevents / impedes the integration of adaptation into existing instruments? How can these conflicts be resolved?
- Which adaptation options cannot be implemented through existing instruments and must be facilitated by establishing new instruments?



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Which instruments do we have already, that might be used / improved to implement CCA?

Result of country groups discussions on identification of already chosen or possible adaptation options

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Existing instruments?

New instruments?

- Legal
- Financial
- Communication (informational, partnership, hybrid)

Increased public awareness

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SUMMARY Step 5.a. Mainstreaming

➤ Establish new instruments

- There may be cases where the modification of existing instruments alone is insufficient and new instruments for implementing adaptation must be developed.
- These might be of legislative, economic, informal or cooperative nature.
- Opportunities will emerge under the next Multi-annual Financial Framework (2014-2020), which includes a proposal for increasing the share of climate-related expenditure (i.e. for climate change mitigation and adaptation as a whole) to at least 20% of the EU budget.



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Content

1. Implementation instruments
2. Review / update of instruments
- 3. Seeking stakeholder agreement**
 - ➔ Stakeholders and mainstreaming
 - ➔ Entry points
 - ➔ Consultation and participation
4. Implementation roadmap / plan
5. Questions and answers



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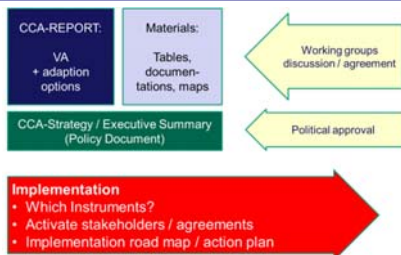


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Step 5: Implementation / Stakeholder agreements

Adaptation options



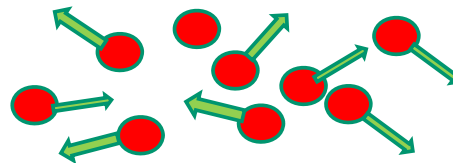
Instruments

Stakeholders

Action plan

Actions

Adaptation measures realised



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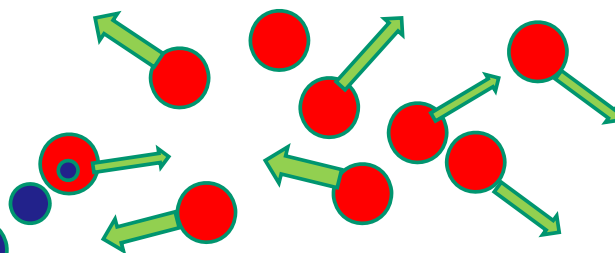
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Is Adaptation attractive ... (!?)



What are the
most difficult
contras of
stakeholders?



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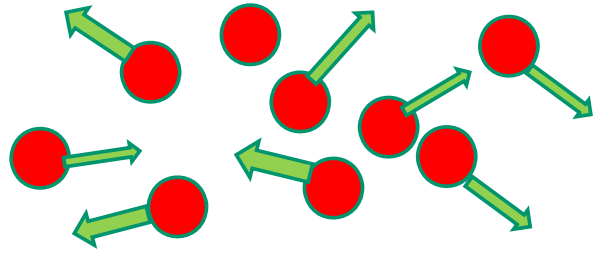


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Is Adaptation attractive ... (!?)

- Freedom to develop
- Growth
- Extension / Increase
- Individual ideas ...



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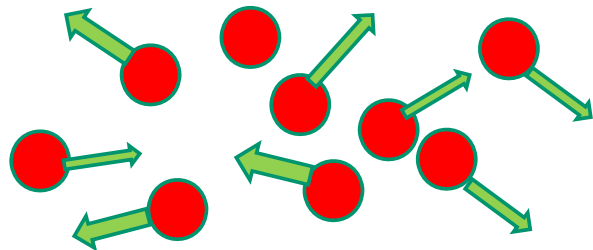


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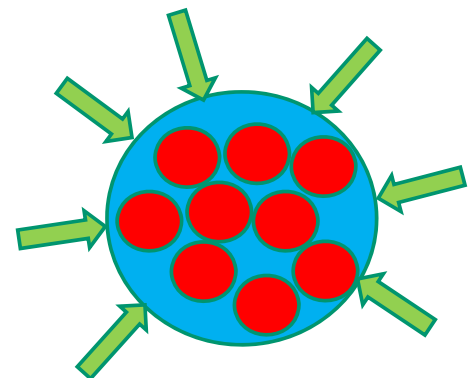
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Adaptation **IS NOT** attractive ... (?)

- Freedom to develop
- Growth
- Extension / Increase
- Individual ideas ...



- Restrictions
- Recommendations
- Changes
- Uncertainty
- Additional costs



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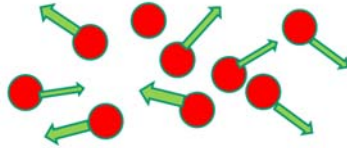


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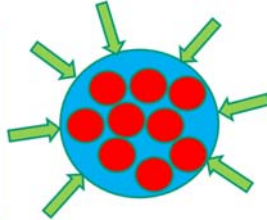
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Opportunities – chances!!

- Freedom to develop
- Growth
- Extension / Increase
- Individual ideas ...



- Restrictions
- Recommendations
- Changes
- Uncertainty
- Additional costs



Entry points, like:

- **Combination with MITIGATION (in public debate!)**
- **Low (No)-Regret measures**
- **Funds for combined measures**
- **Use windows of opportunity**



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Windows of opportunity - examples

1. National planning, and regulation, zoning ...
 2. Public-private partnerships
 3. Fiscal revenues
 4. Enabling and mobilization
 5. Low-cost / no-cost actions
 6. Extreme events ...
 7. Integrating climate change adaptation with disaster risk reduction
 8. Scoping an assessment exercise
- ...



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Darmstadt, Germany (09-06-2016)



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Stakeholder involvement: WHO?

Ask the question:

What will

**YOU CONTRIBUTE
TO THE ADAPTATION
ACTION PLAN & to
implementation?**

Never ask:

... what do need ...



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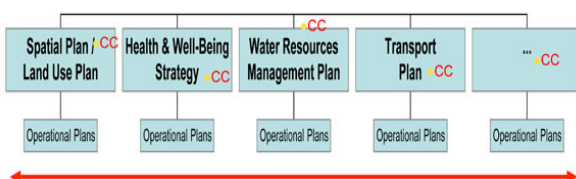
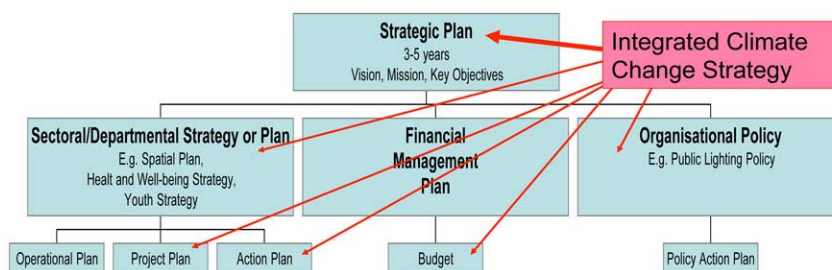
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Stakeholder involvement: WHO?

All relevant stakeholders for integrating / Mainstreaming Climate Change



→ All relevant sectors
→ Policy makers / budget / ...

- Top & medium level management
- Multipliers / Champions
- Networkers



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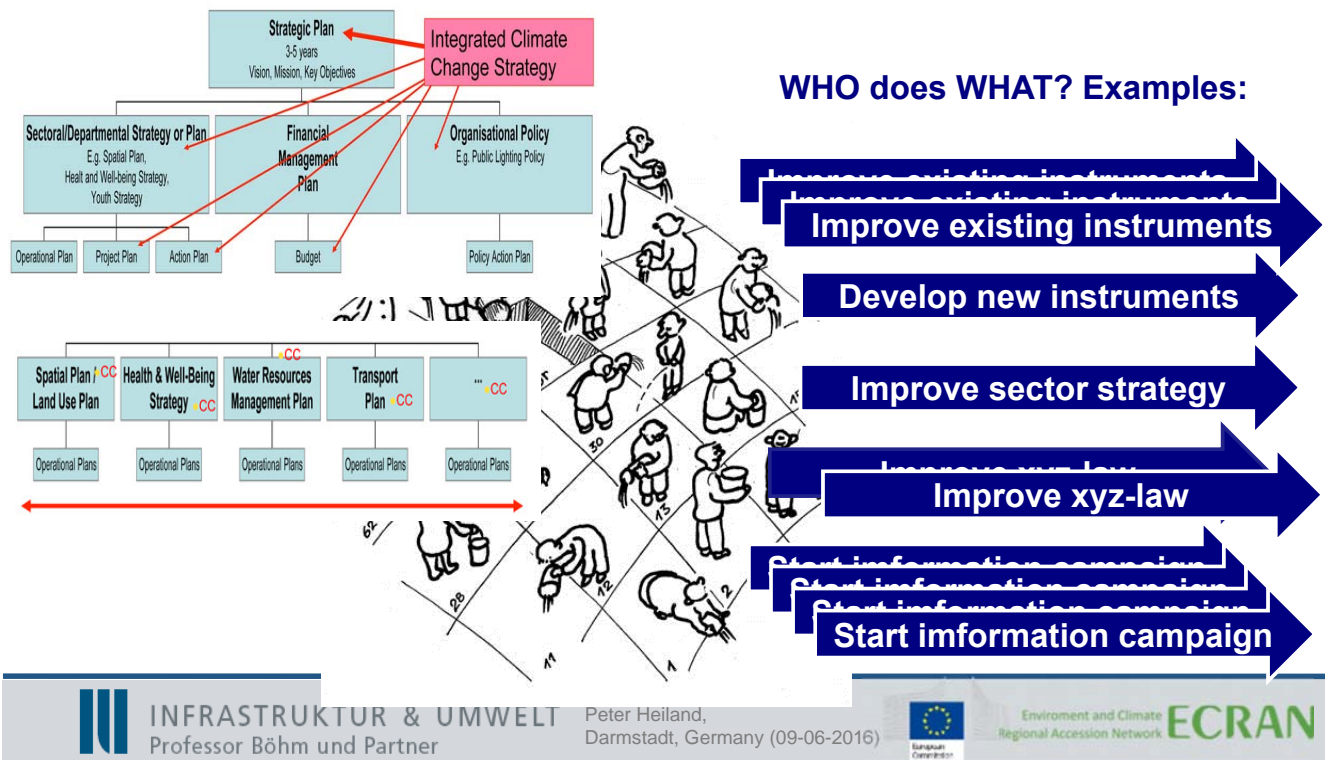
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Development & Agreement on actions of each stakeholder

All relevant stakeholders for integrating / Mainstreaming Climate Change



SUMMARY Step 5.b. Seek agreements with stakeholders responsible for implementation

To secure implementation of your strategic framework on adaptation, close collaboration and agreements will be needed with all affected stakeholders.

This shall include:

- **Identifying and appointing roles and responsibilities** for implementing selected adaptation options (including the private sector);
- **Developing and agreeing upon a detailed timetable** for action including a timeframe for revision;
- **Estimating resources** needed for implementation and seeking to allocate sufficient budget (if possible) within the chosen timeframe of the strategy.

Concluding step: Develop an action plan

It should summarise the selected adaptation options and instruments and provide a roadmap for implementation. The following issues should be addressed:

1. Preferred adaptation options and ways for implementation including opportunities and synergies;
2. Roles and responsibilities, explicitly considering the need for coordination between authorities at all levels;
3. Detailed timetable for implementation and provisions for revision;
4. Estimation of human and financial resources needed;
5. Funding possibilities;
6. Open research questions and ways to close knowledge gaps;
7. Potential barriers to action and mechanisms to overcome these;
8. Mechanisms to monitor and evaluate the implementation success.



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