
Part C: Reviews of crosscutting issues

Chapter 10: Lessons for policy development

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10.1 Introduction

The Africa Adaptation Gap Technical Report succinctly summarises Africa's climate challenge, noting that, 'Africa is a "vulnerability hot spot" for the impacts of climate change. Its adaptation challenge will grow substantially, even if the 2020 "Emissions Gap" is closed and global-mean warming held below a 2°C increase above pre-industrial temperatures' (UNEP, 2014: vi).

It is now generally accepted that the phenomenon of climate change is irreversible (Pachauri and Meyer, 2014). The impacts of climate change have been well documented and a growing body of knowledge shows African countries will be affected significantly. Africa lacks the institutional, technological and financial capabilities to address the phenomenon. Consequently, its impacts will exert tremendous pressure on economic and social-ecological structures and functions while overstressing the limits of government to respond in a timely manner.

The development and adoption of national policies provides an opportunity for a systematic response to climate change. National policy processes and the resulting policies create opportunities to address weak institutional capacities, confront the absence of effective institutional coordination mechanisms, address the slow pace of development planning and climate resilience interventions and mobilise adequate financial and other resources to support agreed responses and interventions.

This chapter examines the approaches adopted by governments in developing their national climate change policies and the lessons learnt from these processes. From the four country case studies, the

following four common policy approaches and lessons emerge: 1) international and regional policy processes have provided an impetus for national policy-making; 2) deliberate efforts are being made to achieve national policy convergence between economic development and a national response to climate change; and 3) sectoral integration and coordination are being enhanced; however, 4) national climate change policies do not yet provide adequate guidance on issues of climate change finance and its delivery. All of these issues influence public expenditure.

10.2 International and regional policy instruments providing impetus for national policy development

International and regional climate change policy processes and instruments have been instrumental in creating the impetus for national climate change policy development. Evidence from the four country studies shows that most of the early national policy processes were a response to international treaty obligations set by the global climate change policy regime. This policy regime is complemented by regional climate change policy processes pursued under the African Union (AU) and multiple regional economic communities (RECs) on the continent.

10.2.1 The international climate policy regime

Climate change as an international public policy challenge gained prominence during the work of the World Commission on Environment and Development (WCED). Five years after the publication of the WCED report commonly referred to as *Our common future* (UN, 1987), on

9 May 1992, the UNFCCC was adopted in New York. By the time of its entry into force on 21

March 1994, Ethiopia, Ghana, Tanzania and Uganda had all signed it (Table 10.1).

Table 10.1: Dates of treaty compliance with key protocols, Ethiopia, Ghana, Tanzania and Uganda

	UNFCCC			Kyoto Protocol	
	Signature	Ratification	Entry into force	Ratification	Entry into force
Ethiopia	10 June 1992	5 April 1994	4 July 1994	14 April 2005	13 July 2005
Ghana	12 June 1992	6 September 1995	5 December 1995	30 May 2003	16 February 2005
Tanzania	12 June 1992	17 April 1996	16 July 1997	26 August 2002	16 February 2005
Uganda	13 June 1992	8 September 1993	21 March 1994	25 March 2002	16 February 2005

Source: Authors' own compilation.

The UNFCCC is complemented by the Kyoto Protocol, which was adopted in Kyoto, Japan, on 11 December 1997, entering into force on 16 February 2005. The Kyoto Protocol commits the signatory parties by setting internationally binding emission reduction targets. Both the UNFCCC (Article 4) and the Kyoto Protocol (Article 10) are premised on the principle of ‘common but differentiated responsibility’, which places a heavier burden on developed nations in recognition of their significant contribution to GHG emissions.

The UNFCCC and the Kyoto Protocol require signatory parties to integrate climate change considerations into their national social, economic and environmental policies and programmes; keep levels of their emissions under check by providing national inventories of anthropogenic emissions and removal of GHG sinks; and promote the sustainable management of these same sinks (forests and other land cover). These are legally binding commitments that continue to shape the development of national policy on climate change.

10.2.2 Regional and sub-regional policy instruments on climate change

The AU provides the main geopolitical regional framework for policy development on the continent. Through this framework, African countries

coordinate their participation in international policy processes and negotiate continent-wide regional agreements and strategies. The AU has no stand-alone policy on climate change but has a wide range of instruments that articulate such policies.

The most comprehensive of Africa’s instruments on climate change is the AU’s New Partnership for Africa’s Development (NEPAD) Action Plan on the Environment Initiative (AU, 2003). Programme Area 5 of this focuses on ‘combating climate change in Africa’. According to this, Africa’s climate change response builds on vulnerability assessments and the development of adaptation strategies, realised through the identification of ecosystems, regions and people most vulnerable to climate change and the development of adaptation strategies for the identified regions and sectors.

The four countries are also part of RECs. Ghana is a member of the Economic Community for West African States; Ethiopia and Uganda are members of the Common Market for Eastern and Southern Africa; and Tanzania and Uganda are members of the East African Community. These regional processes and instruments have contributed significantly to the development of national climate change policies in two important ways. First, they create a sense of ownership and solidarity with regard to the climate change policy agenda. And

second, they are a basis for the coordination of Africa's negotiating positions in international climate change processes. Ownership and solidarity induce peer pressure that helps trigger implementation of agreed actions.

10.3 National policy response options

The policy response to climate change falls into two broad categories: mitigation and adaptation. Examples of mitigation policy options include greater energy efficiency measures; carbon cap-and-trade systems; carbon taxes; support for afforestation programmes; adoption of new fuel economy standards; and promotion of renewable energy technologies such as solar power, wind and biofuels. Examples of adaptation policy measures include new zoning requirements; appropriate land-use regulations; livelihood diversification; and building the resilience of infrastructure development through regulatory controls and incentives. While the tendency is to adopt a combination of adaptation and mitigation measures, all four countries' national policies put greater emphasis on adaptation. This focus is not surprising given that most of the regional strategy documents emphasise adaptation as the priority for responding to the phenomenon of climate change.

10.3.1 Convergence with development policy objectives

Policies adopted by the four countries to date show clear convergence of strategic-level policy objectives (Table 10.2). Broadly, the overriding development policy objective is a desire to achieve economic growth and economic development simultaneously. Economic growth leads to an increase in the volume of goods and services produced in the country. In this regard, all four countries have set ambitious annual GDP growth targets. Ethiopia has the highest growth target, at 11% (FDRE, 2015), with Ethiopia, Tanzania and Uganda all seeking to join Ghana by attaining middle-income status within less than a decade. Besides ambitious levels of growth, the four countries are also committed to achieving economic development – a qualitative increase in growth focusing more on inclusiveness, driving down poverty levels and

improving the livelihoods of the majority of their citizens. Climate change is seen as a potential obstacle to achieving these development policy objectives, hence the emerging recognition that address climate change is critical to securing economic development.

10.3.2 Climate change as shaping national economic policy

Across the four countries, building economic resilience is seen as a strategic pathway to achieving convergence between economic development and the twin aspects of climate change policy (of adaptation and mitigation). This is implicit in Uganda's National Development Plan (2015–2020), Ghana's Agenda for Transformation (2014–2020), Tanzania's Development Vision 2025 and Ethiopia's GTP II. The focus on economic resilience underscores that sustained rapid economic growth and the structural transformation of national economies go hand in hand. Ethiopia's CRGE Strategy provides a compelling example of how far countries can go in shaping their economic policies towards achieving climate change policy objectives.

10.3.3 Integration versus mainstreaming of climate change policy actions

Government policies on climate change across the four countries show the often-apparent tension between integration and mainstreaming as two divergent approaches to deal with policy problems that cut across sectors. Mainstreaming is an approach whereby measures or interventions are designed elsewhere for all affected sectors to adopt and implement. In the majority of cases, the sponsoring sector or agency has no mandate to oversee the implementation of such measures across the different sectors. Consequently, implementation of and reporting on these measures depends on the goodwill of the sector or agency that is required to mainstream such measures in its activities.

Integration, on the other hand, is a policy and planning model by means of which relevant sectors integrate crosscutting themes in their sectoral processes. This implies that sectors such as health, agriculture and infrastructure must provide for climate change mitigation and adaptation measures in their sectoral policies, programmes and budgets.

Table 10.2: National macro-policy and climate policy instruments, Ethiopia, Ghana, Tanzania and Uganda

Country	Macro-policy instrument	Climate policy instruments
Ghana	Coordinated Programme of Economic and Social Development Policies 2014–2020: An Agenda for Transformation	NCCP 2013
	Medium-Term National Development Policy Framework: Ghana Shared Growth and Development Agenda Two 2014–2017	NCCP Master Plan 2015–2020 Intended Nationally Determined Contribution (INDC) and Accompanying Explanatory Note, September 2015
Tanzania	Tanzania Development Vision 2025 and Long-Term Perspective Plan	NCCS 2013
	Tanzania Five-Year Development Plan	Sector climate change resilience strategies and programmes
	Tanzania Poverty Reduction Strategy	National Adaptation Programme of Action (NAPA), 2007 INDC, September 2015.
Uganda	Vision 2040	NCCP, 2012
	National Development Plan 2015-2020	National Climate Change Action Plan, 2013 NAPA, 2007 INDC, October 2015
Ethiopia	GTP I and II, 2010 and 2015	CRGE Strategy, 2011 Agriculture and Forestry Climate Resilience Strategy, 2015 INDC, 2015

Source: Authors' own compilation.

Integration as an approach to policy and planning makes it mandatory for the identified sectors to adopt specific actions, provide the necessary human and financial resources and report on progress on implementation.

Evidence from the four country studies shows that mainstreaming is the dominant approach. Climate change policy leadership is largely domiciled in designated ministries and agencies that try to coordinate responses across a variety of sectors

without the backup of a strong compliance mechanism. However, variations are beginning to emerge as climate change processes continue to evolve. For example, Uganda's approach is largely built around a mainstreaming strategy, although the National Planning Authority now appears to be pursuing efforts towards integration of climate activities into relevant sector plan and budgets. Ethiopia pursues a more integrationist approach, and its CRGE Strategy is designed around this model.

10.3.4 Climate change policy and climate finance readiness

The enormity of the challenge climate change presents requires countries to mobilise and deploy considerable resources towards confronting the associated impacts. Climate change policy therefore provides an opportunity for countries to address questions of climate finance readiness. It has been suggested that climate finance readiness entails adopting policy and other actions focusing on four components: financial planning, including determining the sources of funding; accessing financing; delivering finance, including capacity to implement activities; and monitoring, reporting and verification (UNDP, 2012).

At the international level, there have been general and specific commitments to providing new and additional funding for climate change activities. The UNFCCC commits developed country parties to support developing country parties in their efforts to implement the Convention. Additionally, the Busan Declaration on Aid Effectiveness provides a clear commitment to promoting coherence, transparency and predictability across aid approaches for effective climate finance and broader development cooperation. However, the scale and timeliness of international climate finance remains unpredictable. A key policy lesson from the four countries is that domestic sources of finance will remain critical for national policy implementation in the face of this uncertainty.

Although many countries have made significant progress with regard to developing national policies and strategies to respond to climate change, evidence from the four country case studies shows that national climate change policies do not yet provide adequate guidance on issues of climate finance and its delivery. Policy statements are couched in general terms and lack specifics on both issues of funding sources and the delivery mechanisms. Uganda's Vision 2040 essentially equates climate finance with international funding, yet the NCCP is generally silent on the mechanisms whereby international resources would be channelled towards climate change activities.

Further elaboration on the sources of funding, the mechanisms of delivery and verification of effective climate change finance delivery will be essential in achieving progress in this area. Emerging policy

narratives on climate change finance provide a basis for improvement and for moving the policy regime to a more desirable level, in order to provide adequate clarity on funding sources, delivery mechanisms and ensuring transparency in both the delivery of funding and the execution of climate change interventions.

10.4 Assessing the effectiveness of climate change policies

Over the past decade, most African countries have invested in developing general and specific policies to address the potential impacts of climate change. However, the effectiveness of these policies needs to be assessed regularly to allow for adjustment and reform. In each of the four country studies, we adopted a common analytical framework (Chapter 3) to assess the national policy setting and policy instruments that would support the effective delivery of climate change finance. This analysis identified four common challenges, as described below.

10.4.1 Climate change policies are becoming evident within national development policies

To secure effective action, it is important to ensure coherence between climate change policies and national development policies. Convergence of development and climate change policies helps deepen policy action while at the same time creating synergy in policy implementation. Evidence from the four country studies shows an increasing trend towards such policy coherence. In particular, all national development policy instruments now contain important narratives regarding the impacts of climate change on national development and the need to take appropriate action. The quality of these policy narratives in development and macro-policy documents has improved tremendously over the years. This is a clear demonstration that African policy-makers are increasingly appreciating climate change as a major development challenge.

10.4.2 Broad stakeholder engagement has strengthened the legitimacy of climate change policies

The case studies show that climate change policy processes across the four countries have entailed the

participation of a broad range of stakeholders. Stakeholder groups from the public and private sectors and civil society, as well as international development partners, have participated in policy processes and made their contributions. Policy processes have also been informed by strong scientific evidence. In each of the countries, processes to develop climate change policies were preceded by systematic diagnostic and analytical studies to generate evidence and propose alternative policy response options.

10.4.3 Climate change policies do not yet specify methods or sources for mobilising the necessary financial resources needed for implementation

The review of the four country case studies shows that, since the initial efforts to develop national adaptation programmes, the scope and content of national climate change policies has improved tremendously. Most of the policies adopted over the past five years contain very specific policy objectives and targets. These are further elaborated through national climate change action plans, which provide greater detail regarding timelines to achieve them. However, it is evident from the case studies that what is missing in these national policies are both detail and specificity on methods and sources with regard to mobilising the necessary financial resources to support climate change policy implementation.

10.4.4 Climate change policies do not yet promote transparency in climate finance delivery

A key measure of the effectiveness of climate change policy relates to considering the extent to which sources of funding for climate change actions are delineated while at the same time providing clear channels of reporting. However, the broad conclusion from the four country case studies is that most national climate change policies do not provide adequate clarity on provisions regarding the sources of climate finance, budget allocation targets and mechanisms for reporting on climate finance delivery. This is a major shortcoming at the present time that will constrain the implementation of these climate change policies and interventions.

10.5 Conclusions

All four countries have made significant progress in developing and adopting policies to guide the national response to the phenomenon of climate change. This chapter has provided a summary analysis of the key lessons drawn from the four case studies. We can draw at least three broad conclusions from this analysis.

First, international climate change policy processes and instruments have dominated the shaping of national climate change policy discourses to date. Some of the initial national actions, such as the development of NAPAs, were undertaken in direct fulfilment of treaty obligations and commitments. The UNFCCC can therefore be considered the main driver of early national policy development in each of the four countries. Under such circumstances, it is not unexpected that the resource question is the least well developed. Questions over resourcing national strategies and plans can be expected to become more prominent in the years ahead as the national policy discourse on climate change in each country matures.

Second, while specific country contexts differ, the policy approaches adopted show great similarity. This is in line with the previous conclusion, that each country's national response has largely been a reaction to the international direction set by the UNFCCC. However, African countries now have considerable opportunity to learn from each other with regard to processes of policy development as well as the policy content and quality of policy narratives. RECs and inter-governmental networks will play an important role in this near-neighbour lesson-learning.

Finally, although there have been some early attempts to provide policy clarity on the sources and scale of climate finance, and the mechanisms to be used for climate finance delivery, this remains a very underdeveloped part of the policy discourse. New and additional international climate finance has not fully materialised as hoped, as evidence from the four countries shows, and the future scale and speed at which international climate funds may become available remains unpredictable. At the national level also, the scale of funding needed for climate change activities is only beginning to emerge. In the

absence of clarity on the scale of international and national resources likely to become available to support climate change policies, little effort has been invested in processes to identify early priority actions and to consider the trade-offs that will be part of the decision-making process.

Chapter 11: Lessons for institutional strengthening

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11.1 Introduction

Sound policies and strategies for actions related to tackling climate change are important, yet without strong national institutions such policies will not materialise. Institutions are the vehicles by means of which countries' climate change policies and programmes are translated into action. Hence, the institutional arrangements of a country's climate change response will determine the extent and quality of the implementation of climate change-related activities.

As described in Chapter 2, the extent to which existing institutions enable or hinder climate finance delivery in any country depends on three key institutional features: 1) the strength of the mechanisms that exist for coordination between the various institutions involved in climate change actions; 2) whether these institutions demonstrate a strong ability to change and innovate; and 3) whether climate change institutions are locally anchored (Bird et al., 2013). The focus of this chapter is on lessons learnt from the four countries that can point the way towards institutional pathways for effective climate change finance delivery in Africa.

Examination of the findings from each of the four country studies reveals that they can be put into two broad categories: crosscutting lessons and country-specific lessons. The framing of these categories is underpinned by the extent to which each lesson was evident in the four countries. Crosscutting lessons were those identified in at least three of the original studies, whereas country-specific lessons were those that featured strongly in only one country but that appear to have relevance more broadly.

11.2 Crosscutting lessons

Six crosscutting lessons can be identified from the institutional analysis made in each of the country studies: 1) reforming the institutional framework in response to climate change; 2) establishing clarity over institutional mandates; 3) strengthening the programming of climate change actions; 4) ensuring adequate allocation of human resources; 5) delineating environmental and climate change programmes; and 6) recognising the central role of finance ministries in climate change finance delivery.

11.2.1 An effective national climate change response requires institutional reform

All four country studies show that developing a new institutional framework or architecture is a *sine qua non* for successful climate finance delivery. Institutional arrangements further explain the need for and relevance of issues such as local-level involvement, innovation, coordination and collaboration between institutions. Adding climate change as a new priority to a country's long-term development plan requires the creation, or reorientation, of the national institutional architecture. All four countries have created new structures where the existing institutional infrastructure was considered inadequate to deliver an effective response to climate change. This has included inter-ministerial committees on climate change; national climate change advisory committees; and, in the case of Ethiopia and Uganda, new climate change departments/ministries. The institutional framework has also expanded the scope of stakeholder collaboration to include additional ministries whose activities support the most vulnerable in society and their

response to climate change (such as ministries of agriculture, water resource management and energy). In Ghana, a blend of expertise from established ministries has been drawn together to provide programme leadership in climate change activities (Asante et al., 2015), and this has been acknowledged as a key requirement for successful implementation of the NCCP Master Plan.

Major institutional reforms to tackle climate change not only will lead to effective climate change action but also can place a country in a better position to access funding for climate change globally. In particular, the establishment of new ministries or government departments focused on climate change, with all the necessary training for personnel and a congenial working environment, can enhance institutional capacities to play leading roles in matters relating to climate change, both nationally and internationally. The redesign of the Ethiopian EPA, first as the Ministry of Environment and Forests, then as the Ministry of Environment, Forests and Climate Change, serves as an example. Having considered climate change as a priority area to realise the country's long-term development ambitions, Ethiopia carried out its redesign in order to create an enabling institutional architecture for climate change activities.

The active involvement of national civil society groups in public climate change-related activities appears to increase the expected impact of such programmes. Taking into account the findings in the four countries, we found that incorporating local-level knowledge and experiences was a key factor in the successful implementation of climate change policies. For example, in Tanzania, the involvement of NGOs in climate change issues in some districts has enhanced the planning and implementation of climate change programmes compared with in those districts where no NGO support has been available. An additional institutional element in all four countries is the need to develop linkages between science, research, innovation and policy formulation on climate change. Such linkages are necessary to improve knowledge transfer on climate change-related issues, at both national and local levels. Innovations at the national level can be communicated through the

institutional framework down to the local government level (and vice versa).

Hence, early actions to establish new institutions and new ways of working across existing institutions, involving a wide range of players, can be seen as an important contributory factor leading to improved delivery of climate change public finance. However, institutional reform takes time and during the transition period may lead to some loss of clarity over institutional mandates.

11.2.2 Clarity over institutional mandates has yet to be established in most countries

Establishing clarity on institutional mandates is an important measure that will help determine how the public finance system allocates funding to climate change initiatives. The national climate change policy document in each country has assigned the finance ministry the mandate to play the leadership role on climate finance. However, the prevailing institutional framework in most of these countries does not show clear lines of responsibility and accountability between the finance ministry and implementing agencies in terms of planning and reporting on the funding of climate change-related actions (Tumushabe et al., 2013). Also, with climate change funding coming from a variety of sources, including the government budget, private sector investments and international finance, there are no integrated approaches to securing a coordinated working system that will ensure funds made available to address climate change issues are used to achieve the objectives identified in the national policy. In other words, there are no well-constructed climate change finance tracking tools coupled with trained personnel to track climate change spending. For example, even though Ghana's MoF created the Natural Resources, Environment and Climate Change Unit in 2010 to oversee, coordinate and manage the financing of natural resources and climate change activities, this leadership role has been undermined as the unit has no mechanism to track resources generated for climate change actions (Asante et al., 2015).

A major lesson on coordination and collaboration within the institutional framework has centred on the need to establish clear leadership, roles and

responsibilities among the relevant ministries (and their component departments and agencies) to oversee the implementation of climate change-related activities. Climate change action requires inter-ministerial collaboration between relevant ministries, with associated sharing of responsibility and accountability.

11.2.3 Programming of institutional action needs to be strengthened as part of broader reform

Another crosscutting lesson from the four country studies relates to how national institutions programme climate change actions. To ensure effective coordination of climate change actions across sectors and between levels of government, each country has adopted integrated programming, budgeting and capacity-building processes under the various climate change plans.

Planning and implementation of climate change-related activities are sector-based and therefore managed by the respective line ministries and their departments and agencies. This practice follows a pattern across all sectors of the economy, based on financial guidelines provided by the finance ministry. For example, in Ethiopia the process is known as the sectoral reduction mechanism, whereas in Ghana it is outlined in each sector's MTEF. Ministries are expected to prepare programmes and cost interventions relevant to their respective sectors based on the strategic interventions identified in national climate change strategies. Ideally, these plans are subsequently integrated into the government annual budget based on the MTEF guidelines for implementation (Yanda et al., 2013). However, there is an almost universal weakness in the institutional programming of priority actions, despite some wider efforts at reform that include programme-based budgeting (as in Ghana). Budget submissions continue to be heavily influenced by incremental year-on-year planning, with few strategic tools available to assist in more effective programming.

Little is known about the capacity of local-level institutions to discharge the national climate change policy or fulfil a climate finance delivery mandate effectively. In all four countries, central government

priorities and frameworks guide planning and budgeting processes, which may not necessarily reflect local climate change realities. This local-level knowledge remains largely undocumented at the national level (Chapter 12).

11.2.4 A lack of trained human resources constrains climate change programme implementation

Although institutional structures are specified in all four countries studied, the process of coordinating climate change actions across sectors and different levels of government remains a challenge on account of the limited human resource capacity within the public service. For example, the various climate change committees in these countries that are tasked with providing technical guidance are often composed of members who do not necessarily have the technical knowledge on climate change, undermining their effectiveness. In other instances, representatives on the technical committees from sector ministries are drawn from only one directorate, which may not be representative of the entire sector, or, in some cases, has little relevance to climate change. In Tanzania, environmental management units in various ministries are responsible for climate change by default even when climate change knowledge is not part of their area of expertise. In Ghana, the National Climate Change Committee, established in 2009, was unable to meet between 2012 and 2015, thus creating a vacuum regarding institutional coordination and the harmonisation of climate change activities (Asante et al., 2015).

11.2.5 Delineation between environmental and climate change programmes remains unclear

Although climate change has emerged as a global challenge, the lack of a clear distinction between this phenomenon and other environmentally related phenomena has created a high level of ambiguity and misunderstanding in national strategy development, and in project funding, implementation and monitoring (Yanda et al., 2013). Programmes and projects being implemented in the four countries that are climate change-related are often regarded as being environmental initiatives. For example, the water supply

programme using Lake Victoria to feed drought-stricken parts of Tanzania is considered an environmental development programme, although it can also be considered a climate change adaptation strategy. Similar misperceptions can be identified elsewhere, emanating from agencies' sectoral thinking and a lack of broader integration of activities across ministries. This lack of identity for climate change programmes has a knock-on effect on their financing.

Critical analysis of the climate change institutional landscape in conjunction with the policy domain of the four countries indicates that the identification of projects and programmes as climate change-relevant or otherwise has not yet been institutionalised, in part because of these definitional ambiguities between environmental and climate change actions.

11.2.6 Finance ministries have yet to play the central role

Effective climate finance delivery requires budgetary allocations, the delivery of funds to implementing agencies and the monitoring and evaluation of funded climate change programmes. Ideally, this process leads to lesson-learning and an improvement in subsequent climate finance programming. To secure effective action, countries have established leadership at the national level for climate change finance; ensured some transparency in the programming process; and established institutional arrangement for coordination and collaboration (Tumushabe et al., 2013).

Across the four countries, it is the finance ministry that has been vested with the leadership responsibility to ensure the effective delivery of climate finance. This ministry requires that other government ministries integrate climate change activities and adequately budget for implementation in their medium-term plans and annual budgets. In addition, each finance ministry is supposed to play a monitoring role by reviewing reports from the implementing ministries to ensure resource use is in line with planned and budgeted activities. This system has yet to mature anywhere, and is likely to take a number of years of sustained effort to build. In the first instance, finance ministries need to

secure information on climate change spending so as to have an overview of the overall financial resources being directed at this policy theme.

11.3 Country-specific lessons

Country-specific institutional lessons can be categorised into three main areas: the advantages of having a specialised national apex institution for climate change programming; the need for effective financial mechanisms and tools; and the implications of programme leadership on associated resource allocation.

11.3.1 National planning agencies are an important component of the institutional architecture

The involvement of a specialised apex institution for national development planning, such as the National Development Planning Commission in Ghana, makes it possible to provide strategic support to the climate change institutional architecture. Such institutions are tasked with the responsibility of preparing medium- to long-term national development frameworks, which now need to take account of climate change. Through collaboration with other government ministries and agencies, these bodies can ensure the medium-term development policy framework incorporates climate change dimensions. In addition, national planning institutions are often involved in the preparation of guidelines used to train subnational governments, including on how to mainstream climate change issues into local development plans.

11.3.2 The design of financial mechanisms matters for effective implementation

Identifying a financial mechanism in the national climate change policy can improve resource mobilisation and add clarity for the mandated institutions. Ethiopia has established an innovative funding mechanism to support implementation of the priorities set out in its national climate change strategy, the CRGE Facility. Designed as a single, national funding mechanism within MoFEC, this is intended to make the administration of funds easier for the government and to manage international

climate funds, donor funds and domestic funds in a coordinated manner. Because climate change is an economy-wide issue, inter-ministerial collaboration between MoFEC and the Ministry of Environment, Forests and Climate Change in managing the CRGE Facility is a key institutional arrangement that will underpin the effective implementation of the programmes set out in the national climate change strategy funded through the Facility.

11.3.3 Programme leadership has important resource allocation implications

Identifying the key ministries required to lead the national climate change response helps in planning for further institutional development. In Ghana, 22 MDAs are expected to provide programme leadership on climate change, as identified in the NCCP Master Plan. For several of the ministries highlighted in this plan, the projected spend would transform the ministry. MLNR projected climate change spending would more than double its 2015 budget allocation. The biggest proposed increase would be for MGCSP, whose annual budget would need to increase almost 10-fold over the present budget allocation. This reflects the level of ambition of national climate change strategy, but it also poses a significant institutional challenge for lead ministries in terms of scaling up to allow for timely implementation.

11.4 Conclusions

The effectiveness of national policies and strategies for climate change actions depends on the appropriateness and functionality of the existing institutional arrangements. Based on the experiences of the four studied countries, this chapter has identified some key lessons concerning the institutional arrangements that could lead to more effective use of climate change finance. We have made the case for strong coordination across a wide range of institutions, with an implicit requirement for additional funding to much of the government administration. Increased levels of funding will vary, however, and some ministries expected to play a leadership role in the national climate change response may require significant budgetary uplifts if they are to be able to respond effectively.

In all the countries studied, the relationship between national and subnational government with regard to climate change is only just developing. Implementation will rely on the capacity of local government, which has often been found to be limited. Further examination of the relationship between different levels of government is necessary – a subject the next chapter takes up. A sole focus on national ministries runs the danger of missing out those agencies most engaged with the delivery of public programmes that address climate change.

Chapter 12: Lessons for the local delivery of climate change finance

Nella Canales Trujillo, Aklilu Amsalu and Cynthia Addoquaye Tagoe

12.1 Introduction

This chapter builds on the subnational level analysis of the four country studies, which undertook reviews of local institutions, their budgets and public expenditures in two subnational administrative units in each country (Table 12.1). Selection of districts was carried out without any expectation of them being representative of the whole country, yet several

common challenges regarding effective climate finance delivery are considered to have broader applicability in the four countries.

The following sections describe the common challenges identified within the eight local governments studied concerning subnational level climate finance delivery. A total of seven challenges were identified, three on policy issues, two on institutions and two on expenditures.

Table 12.1: Description of districts, Ethiopia, Ghana, Tanzania and Uganda

Country	Municipality/ district	Main economic activities	Population (census year)	Year of national climate change policy/year of analysis	Subnational administrative divisions
Ethiopia	Yabelo	Pastoralism	102,385 (2007)	2011 CRGE/2014	Regions Zones Woredas/districts Kebeles
	Mecha	Mixed crop and livestock production	292,250 (2007)		
Ghana	Keta	Agriculture, fishing and livestock production	147,618 (2010)	2013 NCCP/2015	Regions Metropolis Municipalities/ districts
	Atiwa	Agriculture	147,618 (2010)		
Tanzania	Rufiji	Subsistence agriculture	217,000 (2012)	2012 NCCS/2013	Regions Districts Divisions Wards
	Longido	Pastoralism	123,000 (2012)		
Uganda	Tororo	Subsistence agriculture	438,500 (2002)	2012 NCCP/2013	Regions Districts Counties Municipalities
	Ntungamo	Mixed crop and livestock production	386,800 (2002)		

Source: Authors' compilation.

12.2 Policy challenges

12.2.1 National climate change policies are not explicit with regard to the financial mechanisms that can support implementation at the local level

Climate change policies at the national level recognise the need for local-level action and therefore subsidiary instruments include specific actions to be led by local governments. Examples include the 2007 NAPA in Tanzania and the NCCP Master Plan 2015–2020 in Ghana. However, in the eight cases analysed, there was a lack of clarity over how such activities were to be funded.

With the exception of the CRGE Strategy in Ethiopia,⁵ national climate change policies and other related instruments (e.g. strategies, action plans) rely on current funding sources and mechanisms to support implementation. These include direct transfers from central governments, local-level revenues and international cooperation funds (including funding from dedicated climate funds). Central government transfers to local governments are generally earmarked for specific development objectives such as education, health and water provision, with little flexibility to include climate change considerations. Although donor funding for climate change has been important for local-level implementation, its allocation has been limited and therefore not all the local governments studied had received such funding. An expectation that climate change action will come exclusively from international funds leaves some local governments without the financial resources for implementation. Without the right financial incentives, it is unlikely that implementation of national policies at the local level will be achieved at the pace required.

12.2.2 There is significant lack of local awareness of climate change responsibilities under national policies

There is a general lack of awareness of local-level responsibilities for national climate change targets. Climate change is a fast-moving policy theme, requiring constant ‘catch-up’ by local governments. The number of national policies and related instruments has increased significantly over the past decade. In 2007, the only climate change-specific policy instrument was the NAPA;⁶ this situation has changed dramatically. Between 2008 and 2014, all four countries finalised their national climate change strategies; began their readiness processes for reducing emissions from forests (REDD+ readiness);⁷ and identified sectors to develop Nationally Appropriate Mitigation Actions. In 2015, they developed their INDCs,⁸ indicating their contributions to the global climate change agenda.

All these policy and planning documents, and their subsidiary instruments, assign responsibilities to local governments in one way or another. Most claim to have been participatory but we identified no specific mechanisms that had raised local governments awareness of their responsibilities. Most of the officials interviewed during the research were not aware of their country’s national climate policies or of the local governments’ responsibilities stated in those documents. This was the case even when local governments had been identified as the main implementing entity of a national policy, as in the case of the Ghanaian National Climate Change Adaptation Strategy.

Evidence shows donor funding (implemented by NGOs or UN agencies) has played a role in capacity-building of local government and thus has helped raise climate change awareness in local planning, but such experience has been limited to those districts where such projects have been active.

5 The CRGE Facility has received \$24 million in funding from international cooperation.

6 The LDC Fund financed NAPAs in LDCs (e.g. Ethiopia, Tanzania and Uganda). Ghana, a middle-income country, did not receive such funding, thus its National Climate Change Adaptation Strategy was developed later on and published in 2012.

7 REDD+ includes activities to reduce emissions from deforestation and forest degradation, in addition to the conservation of forest carbon stocks, the sustainable management of forests and the enhancement of forest carbon stocks.

8 See submitted INDCs at http://unfccc.int/focus/indc_portal/items/8766.php

12.2.3 National development plans are the main policy instrument guiding local-level planning and budgeting, but linkages to climate change action remain weak

The importance of national development plans for establishing targets at the local level is common across the eight district studies. In all cases, these plans were recognised as the most important policy instrument for local-level planning and implementation. In Ethiopia, local governments were focused on complying with GTP I. GTP I identified six sectors – education; health; rural roads; microcredit; pastoral/agricultural development; and water, mines and energy – as pillars for poverty reduction efforts and as priority areas for allocation of the local government budget. None of these sectors has been given a specific mandate to deal with climate change issues at the local level. The national climate change strategy was designed to contribute to the GTP goals, but this complementarity was reflected at the local level through the GTP I targets.⁹

In Ghana, there is an example of good practice in articulating climate change and local development planning through the preparation of a guidebook for mainstreaming climate change and disaster risk reduction into national and development planning (Box 12.1). This guidebook includes a five-step process for district-level planning, making its application mandatory for the approval of medium-term plans, which are the basis for districts' annual composite budgets. As part of the first step, districts have to include comments on how climate change and disaster risk reduction issues have influenced the achievement of planned activities (NADMO et al., 2010). In this way the instrument has had some success in incorporating climate change considerations into local budget planning.

12.3 Institutional challenges

12.3.1 Coordination mechanisms on climate change issues at the local level either do not exist or are not clearly defined

National climate change policy generally designates a central ministry or agency to lead on climate change coordination, but these agencies often do not have representation at the subnational level. For example, in Ghana, the EPA is a national authority without an institutional structure at the local government level. In Ethiopia the situation was similar – the EPA did not have an institutional structure at the *woreda* level – but in 2013 it transitioned into the Ministry of Environment and Forest, and since September 2015 it has been the Ministry of Environment, Forest and Climate Change. It is expected that, as a ministry, it will have subnational representation, but it is likely that this process will take time. In the meantime, the coordination of climate change action at the local level lacks an institutional leader.

In practice, public climate change activities at the district level have been conducted on a project-by-project basis, with the involvement of local government offices. In some cases, this has entailed creating local government climate change committees. However, these are unlikely to remain operational beyond the lifespan of the project concerned. The sector offices regularly involved in climate change projects are those related to activities affected by climate change (e.g. livelihoods, agriculture, water resources, disaster management) or to the environment (e.g. wildlife, forestry). Local government offices found to be implementing climate change projects included pastoral/agricultural development (Ethiopia, Uganda, Tanzania), planning (Ghana, Tanzania), wildlife (Ghana, Tanzania) and health (Ghana). No evidence was found of the inclusion of climate considerations by offices related to infrastructure at the local level (e.g. works, water supply and sanitation, roads).¹⁰ This is of concern as it raises the risk of potentially locking climate change vulnerabilities into durable assets that are the main vehicle for locally provided services, such as local roads or water and sanitation.

⁹ This may change with greater recognition of climate change issues in the new national development plan, GTP II

¹⁰ Including the Works Department in Keta (Ghana), which is responsible for major sea defence works.

Box 12.1: Ghana's guidebook on integrating climate change and disaster risk reduction into national development, policies and planning

Ghana's guidebook was prepared by the EPA, in collaboration with the National Development Planning Commission and the National Disaster Management Organisation, with support from UNDP. It intends to create and deepen awareness about the critical role of climate change and disasters in national development efforts; ensure climate change and disaster issues are fully integrated and sustained in national planning processes; assist pilot districts to integrate climate change and disaster risk in their medium-term development plans; and take up adaptation and mitigation measures.

The steps for the integration of climate change and disaster risk reduction issues into district development planning process are as follows:

1. identify district climate change and disaster risk reduction issues and include remarks in the performance review format
2. incorporate issues in prioritised district development issues
3. develop one goal that incorporates issues in the district
4. develop plans of action and annual action plans, including budgets
5. implementation, monitoring and evaluation

Source: Adapted from NADMO et al. (2010).

There was some recognition in Ghana and Ethiopia of the coordination role that local offices of finance and planning could exercise, given the nature of their mandate to coordinate and monitor all the other sector offices. In Ghana, the guidebook for mainstreaming climate change and disaster risk reduction into national development planning (Box 12.1) suggests the planning officer be the focal point at local level, with support from the district planning coordination unit. This has secured a linkage between development planning and climate change. In Ethiopia, the potential coordination role of the *woreda* finance and budget office is also recognised, as it is the office in charge of monitoring and reporting progress related to national development plan targets.

There is also a potential role to be played by disaster risk reduction committees (where these exist) at the local level, if accompanied by funding. In Atiwa district in Ghana, the local committee has included adaptation to climate change and is in charge of the disaster preparedness plan. As these offices are focused on disaster response at the local level, they represent an institutional space that already coordinates with other units that deal with climate-related risks.

12.3.2 Significant capacity-building is needed to understand climate change at the local level

Levels of understanding of climate change at the local level vary. In some cases, such as in Ntungamo district in Uganda, district officers are capable of identifying adaptation and mitigation actions accurately. In others, there is a tendency to consider climate change and environmental protection activities (e.g. tree planting) as synonymous. Further knowledge on climate change depends on the level of exposure to information. Access to information and expertise generally comes with the implementation of climate change-specific activities but also with the implementation of disaster risk reduction-related activities. So far, there has been limited capacity available to provide guidance to local governments on climate change issues, and most capacity-building activities at this level have been supported by donor funding, through organisations including the Global Environment Facility and international NGOs (e.g. the International Union for Conservation of Nature and Natural Resources and CARE International).

While in all cases there is existing awareness of the current impacts of weather-related phenomena

at the local level (mainly as a result of traditional knowledge or local perceptions), local government officers were not sure what measures were needed to increase resilience or reduce vulnerability, and awaited national-level guidance on what to do. In Uganda, for example, local administrators were awaiting the NCCP to identify climate change projects.

12.4 Public expenditure challenges

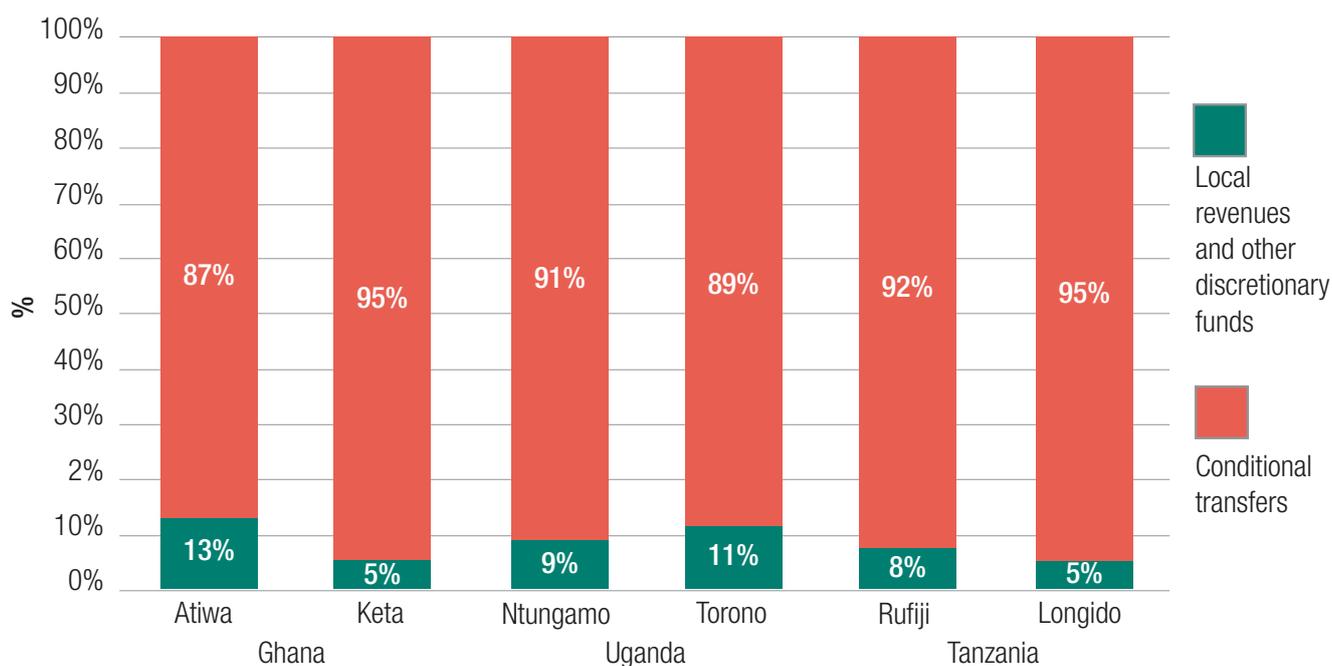
12.4.1 Small rural municipalities rely almost exclusively on central government transfers for implementation of public services, and this limits their degree of freedom to innovate or modify business-as-usual practices and incorporate climate change measures

The main source of funding for the local governments reviewed are transfers from central government (Figure 12.1), with local revenues or discretionary transfers at on average only 9% of total income. This gives local government very little flexibility to implement actions beyond the conditionalities of the funds transferred. As mainstreaming of climate change considerations has

yet to be developed, business-as-usual development activities do not guarantee local government action on climate change, even when they are mentioned as contributing to efforts to adapt or mitigate climate change within national climate change policies.

In addition, challenges arise as a result of lack of stability and predictability of central government transfers. For example, in Ghana most climate-related activities planned by Keta's local government were to be funded nationally through the District Assemblies Common Fund. However, the funds transferred came to only 37% and 40% of the budgeted amounts for 2012 and 2013, respectively. As a consequence, the Keta Municipal Assembly decided to use some its locally generated revenue to conduct capacity-building activities on climate change. However, smaller and rural local governments have very few resources to rely on in complying with their central government climate change requirements or in addressing locally demanded climate change-related actions. This situation raises the significance of external donor funding, yet this has attendant risks of being project-based, time-bound and conditional on the funder's interests.

Figure 12.1 Local government income, Ghana, Tanzania and Uganda (%)



Source: Authors' calculations.

Box 12.2: Conditional funds for climate change action at the local government level?

In Keta, Ghana, municipal officers suggested local governments needed specific financial incentives to undertake climate change activities, and actions might be funded in the same way as those for people with disabilities, whose national scheme includes a mandate for allocating 2% of resources from the Common Fund to related actions.

However, and in spite of existing clear guidelines, serious problems in the management, disbursement, utilisation and accountability of such funds has been identified in almost all local governments. This highlights how conditional funds for climate change action in themselves may not necessarily be the solution, but that it may be necessary to have systems in place to ensure intended spending by local governments.

Source: Asante et al. (2015); Tuggun (2014).

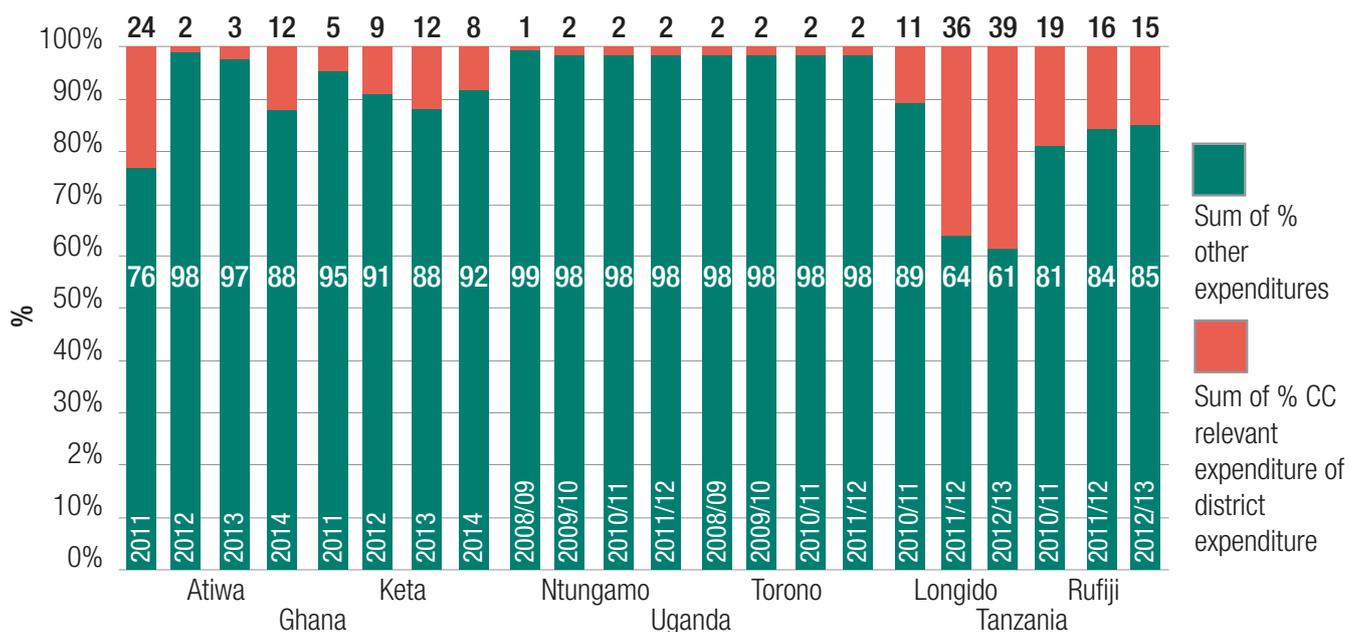
12.4.2 Expenditure reporting of public finance is poor in local governments

Local government expenditure monitoring is generally carried out at an aggregate level. The identification of climate-relevant activities supported by public funding conducted at the local level is therefore limited by data availability. Access to reporting is also incomplete in most of the cases analysed (Table 12.2). For example, In Keta (Ghana), data on expenditures were incomplete,

with information available only for 20%, 40% and 48% of total local government expenditures for 2012, 2013 and 2014, respectively.

The expenditure analysis was conducted differently in each country study, reflecting these data constraints, and thus made any detailed comparison of climate change-relevant expenditures across countries difficult. A comparison of the results in all countries was conducted (Figure 12.2), but it is important to bear in mind the differences between

Figure 12.2 Local government climate-relevant expenditure, Ethiopia, Ghana, Tanzania and Uganda



Source: Authors' calculations; Asante et al., (2015); Eshetu et al. (2014); Tumushabe et al. (2013); Yanda et al. (2013).

Table 12.2: Limitations in public expenditure analysis, Ethiopia, Ghana, Tanzania and Uganda

Country/ timeframe	Municipality/ district	Extent of the expenditure analysis	Year of national climate change policy/year of analysis
Ethiopia 2010/11– 2012/13	Yabelo and Mecha	<ul style="list-style-type: none"> Information by activity not available. Sector unit's budget and expenditures considered. 	<ul style="list-style-type: none"> Budget and expenditure information not publicly available. Information collected on site for each district at an aggregate level.
Ghana 2011– 2014	Keta and Atiwa	<ul style="list-style-type: none"> Data on expenditures incomplete. 	<ul style="list-style-type: none"> Composite budgets for all metropolitan, municipal and district assemblies publicly available for 2012 fiscal year on.* Documents contain information by activity. Expenditure information not publicly available. Information collected on site for each district.
Tanzania 2009/10– 2011/12	Rufiji and Longido	<ul style="list-style-type: none"> Climate-relevant programmes considered as a whole. Some programmes supported by donor funding and did not receive financial support from central government budget. 	<ul style="list-style-type: none"> Budget and expenditure information for local governments publicly available, but only at aggregate level (e.g. by sector).**
Uganda 2008/09– 2011/12	Tororo and Ntungamo	<ul style="list-style-type: none"> Climate-relevant programmes identified within agriculture, water and natural resources sectors. 	<ul style="list-style-type: none"> Budget and expenditure information publicly available by activity.***

Note: * Composite budgets available through Fiscal Decentralisation Unit in MoF (www.mofep.gov.gh/?q=divisions/fdu/composite-budget-of-MDAs-2012). ** PMO-RALG provides financial reports for all local governments (<http://lginf.pmoralg.go.tz/lginformation/monitor.php>). *** MoFPED, through the Uganda Budget Information website, provides all budget information, including local government budgets and performance reports (www.budget.go.ug/budget/individual-ig-budgets-and-performance-reports).

Source: Authors' compilation.

the studies (see examples of activities in Table 12.3). In Ethiopia, it was possible only to access expenditures at an aggregate level (sector office expenses), and total expenditures for those offices considered climate change-relevant were included in the analysis. This means the total of the sector budget at local level was considered climate-relevant.

The analysis in Tanzania was the only one that included national programme expenditures, which included both domestic and donor funding. This could explain why the shares of climate change expenditure are larger in Tanzania than they are for the other countries.

In Uganda, the team accessed budget and expenditure data by activity and was able to classify a number of activities as climate-relevant and assign

three levels of relevance (high, medium and low). The assessment of climate relevance for each activity ruled out all those activities that did not contribute to climate change responses at local level, and therefore the share in Uganda is relatively low compared with other countries.

And in Ghana, whereas budget information was publicly available, there were severe restrictions on the availability of expenditure information at the local level. Activities were selected based on what the NCCP Master Plan had determined to be climate change actions under the responsibility of local governments. The research in Ghana found no evidence at local level that these activities were being conducted under climate change considerations; rather, they were taking place under a business-as-usual scenario.

In spite of the challenges in identifying climate change-related expenditures by subnational governments, the local-level assessments provided lists of activities that support the climate change response (see Table 12.3). These include activities that have been designed as climate change response measures (e.g. research activities into new crop varieties adapted to changing agro-ecological conditions; early warning systems), activities that could contribute to the local level response if they integrate climate change considerations (e.g. water supply, community-led sanitation, transport

services activities) and sector offices within which activities may be relevant to climate change (e.g. pastoral and agricultural development offices, works offices).

The best way of understanding how much local governments are funding and executing climate change actions in their jurisdictions is at the activity level, where climate change considerations have been taken into account. However, this assessment is only possible when financial reporting mechanisms are in place and allows activity-by-activity assessment, as in Uganda.

Table 12.3: Expenditure lines included in the expenditure analysis, Ethiopia, Ghana, Tanzania and Uganda

Municipality/district	Expenditure lines considered in the analysis
Yabelo	Sector offices: Pastoral Development; Water, Mines and Energy; Land Use and Environmental Protection; Disaster Prevention and Preparedness; Irrigation Activities identified: Agro-pastoralism activities using productivity-enhancing technologies (e.g. fertiliser and seeds); provision of reliable and timely early warning drought information; helping pastoralists restock drought-depleted herds through government and NGO support; building community infrastructure (e.g. flood diversion channels) for communities affected by floods
Mecha	Sector offices: Agricultural Development; Water, Mines and Energy; and Land Use and Environmental Protection
Keta and Atiwa	Improve transport services to rural areas; plan for investments in minor repairs as well as major renewal, replacement and expansions of water supply service to peri-urban settlements and small towns; promote/scale up community-led sanitation services
Rufiji	National water supply and sanitation programme; agriculture sector development programme; Road Fund; District Irrigation Fund; Participatory Forest Management Project
Longido	Participatory forest management project and forest conservation programme; agriculture sector development programme; national water supply and sanitation programme; feasibility study by government on permanent sources of water; Road Fund
Tororo and Ntungamo	Extension and advisory services on adaptation strategies; research activities into new crop varieties adapted to changing agro-ecological conditions; tree planting along hills and roadsides to protect from soil runoff during heavy rains; wetland management planning, with benefits related to flood control and groundwater replenishment; training farmers in methods of retaining soil moisture during times of water stress; provision of more drought-/flood-tolerant crop seedlings; control of bush burning; improved energy access and conservation; protecting watersheds; sensitisation of district officials and communities about climate change; knowledge exchange between local communities in coping with and adapting to climate change

Source: *Asante et al., (2015); Eshetu et al. (2014); Tumushabe et al. (2013); Yanda et al. (2013).*

12.5 Conclusions

In the four countries studied, national climate change policies and their instruments lack the mechanisms to support multi-scale implementation of climate change actions. So far, non-governmental institutions and funding have supported most climate change actions at the local level, mainly through time-bound projects. Central government funding available at the local level is conditional on delivery against business-as-usual development targets, without climate change considerations. In the short term, changes in the current structure of this funding is unlikely, given current levels of fiscal decentralisation. Therefore, the key to unlocking climate change action at the local level lies in current development targets taking into account climate change considerations.

One strategy would be to link climate change considerations within existing local government budget allocation performance systems. Ghana's guidebook for mainstreaming climate change has been able to introduce some change with regard to mainstreaming climate change into local level planning. Linkages with performance assessments

could facilitate the involvement not only of planning offices but also of other climate-relevant offices within local municipalities, and could constitute a financial or regulatory incentive to local governments to implement climate change actions.

At the local level, there is an opportunity to support climate change compatibility through local infrastructure, but so far there is little experience on how to mainstream climate change in the design of local works. As part of the decentralisation process, local governments are in charge of the development of local infrastructure, including the construction of water and sanitation facilities and networks, roads and disaster risk reduction infrastructure (e.g. sea defences). However, there is limited expertise at the local government level on how to include such considerations, and this may require technical support, including from central government.

Better expenditure reporting is needed to quantify how much funding for climate change is executed at the subnational level. Expenditure reporting is of course not to be done only for climate change monitoring purposes; it is necessary for improving overall public finance transparency.

Chapter 13: Lessons for climate change finance monitoring

Neil Bird and Simon Bawakyillenuo

13.1 Introduction

Budget monitoring should be designed so as to improve understanding of the budget's effectiveness. Budget effectiveness for a particular policy outcome, in this case the public response to climate change, requires both an evaluation of the expenditure relevant to the outcome and the measurement of outcomes. Climate change finance monitoring addresses only the first of these concerns. This chapter¹¹ unpacks the rationale for investing in the measurement of public climate change finance and the lessons that emerge from the four national studies as far as the monitoring of climate change finance is concerned.

13.2 Why invest in the measurement of public climate change finance

Two broad benefits from investing in the measurement of public climate change finance can be identified. First, identifying relevant expenditures is important for climate change policy formulation and development, and the associated resource allocation across sectors. This is particularly needed at the present time in all four countries studied, as the implementation challenges associated with their national climate change policies begin to be recognised. With initial policy goals identified, it is necessary to understand the resource requirements of the public programmes that will help in meeting these policy goals. Second, accountability of public spending will be strengthened, as having financial information on relevant actions offers scope for improved oversight of public programmes.

In addition to domestic considerations, all countries are subject to international reporting obligations under the UNFCCC. However, reporting on climate finance flows remains at the earliest of stages, with the development of international guidelines yet to be compiled for developing countries. It is also worth emphasising that the objective of international reporting is to demonstrate compliance with the financing commitments of all parties under the UNFCCC. This represents a different objective compared with where monitoring efforts aim to improve the effectiveness of public spending.

13.3 Lessons for monitoring of climate change finance

Three broad lessons can be learnt from the experience gained during the course of the four country studies.

13.3.1 Outcome and impact monitoring needs to be considered together with expenditure analysis; this is not yet apparent in any of the countries

A first lesson from the experience of the country case studies is the need to understand how this type of budget analysis fits into broader public sector reform efforts. Climate change public expenditure analysis focuses on budgetary allocations and expenditures. The outputs and outcomes of funded programmes, which may lead to an impact on the policy goal, are not assessed. Other types of analysis that can complement budget tracking to form a view on the

¹¹ This chapter draws heavily on Bird and Granoff (2016).

overall effectiveness of public programmes therefore need to be considered. Budget tracking should be viewed as a first step in a performance management system, the ultimate effectiveness of which relies on an accompanying assessment of the outcomes and impacts of relevant public programmes. Budget tracking addresses the financial inputs of climate change-relevant actions. Other types of economic and climate analysis are therefore needed to complement budget tracking tools to evaluate climate finance effectiveness.

There is also the need to situate this type of analysis within the broader context of budget management reform, recognising the finance ministry as the lead government institution. This particularly applies to how any climate finance monitoring and tracking system is developed and integrated into existing budget reporting systems. Of the four countries studied, MoF in Ghana and MoFEC Ethiopia demonstrate a leadership role in this regard.

13.3.2 Nationally appropriate classifications of climate change finance are being determined through comprehensive national planning efforts that identify climate change actions

A second lesson concerns the need for both clarity and consensus over the classification of relevant expenditures, where the boundaries of such spending are inevitably diffuse, requiring a broad consensus over what to include as relevant spending. Expenditures relate to activities and hence classifying climate change-relevant actions is a key foundation for this type of public expenditure analysis. Reaching a broad, evidence-based consensus across relevant ministries, the national legislature and civil society on such actions and then developing a protocol whereby it is possible to estimate the degree of relevancy for each programme are among the most important early actions to consider. In each of the four countries studied, the comprehensive national policy processes have led to a good understanding of the actions required in response to climate change, providing an activity-based definition of climate change finance that covers both mitigation and adaptation actions.

An important consideration for climate change spending relates to differentiating between the

various sources of funding, particularly between domestic and international funds and between loans and grant finance. The amount of effort invested in distinguishing between these will be determined by the objectives set for the monitoring system.

13.3.3 Climate finance monitoring can be achieved in a number of ways

National studies on climate change-relevant public expenditure, such as the four country studies reported on in this publication, represent a newly emerging tool to quantify such finance. The focus of these studies was on all-government spending recorded in the national budget documentation over four-year periods, identifying expenditures that are explicitly, or implicitly, relevant to the policy goal of climate change. This in-depth research and analysis can provide a strong foundation for future climate finance monitoring efforts by raising awareness of such spending and by identifying which government agencies are committing part of their annual budget allocation to climate change-related actions.

A logical extension of these country studies is to institutionalise the identification of relevant expenditures in the national budget system. Rather than the completion of a one-off study carried out by research groups, national budget tracking implies uptake by the government administration of climate change tracking as part of the regular budget monitoring system. While this provides a comprehensive approach to monitoring and reporting (at least for 'on-budget' public expenditure), it is also resource-intensive, requiring significant commitments in terms of systems development and implementation.

The way the national budget is classified will have a bearing on the ease with which climate change-relevant spending can be identified. In many countries, the budget is made up of line items under administrative spending units. This means careful scrutiny is necessary of all intended actions to identify those that are climate change-relevant. Where national budget reform efforts are leading to programme-based budgeting approaches (as in Ethiopia and Ghana), identification of relevant activities will be eased considerably.

13.4 Conclusions

As described in previous chapters for Ethiopia, Ghana, Tanzania and Uganda, public funding is being committed as national climate change policies, strategies and plans are put into effect. There is a wealth of activity taking place and hence a strategic concern is to identify and secure early priority actions. In terms of financial monitoring systems, these remain at the earliest stage of development. Under such circumstances, some prioritisation should be considered, driven by the needs of national policy-makers.

The challenge is that data on climate change finance from all sources of funding are generally lacking. However, there is a difference between internationally and nationally sourced public finance. The former lies outside of the control of national policy-makers, making its monitoring a major challenge in all four countries studied. An early strategic concern should therefore be to collate the data on donor financial support and to integrate this information with the government monitoring system, thus increasing the coherence of public finance information systems. This is best achieved by ensuring all donor funding is recorded within the national budget.

The sequencing of monitoring efforts also requires consideration, and should be guided by what any national monitoring system is aiming to achieve and how the results of such monitoring will be used. In this context, the analysis within this

publication (and in the individual country studies) can provide guidance. Effectiveness can be optimised where financial monitoring is focused first on those sectors where the emissions reduction potential is highest or where adaptation efforts will support the greatest number of the most vulnerable. In both cases, the quantum of finance may be less important than what it is used for.

There is also the question of frequency of monitoring to consider. Financial monitoring often follows the annual budget cycle, being part of the yearly reporting system. However, this frequency may not be necessary to inform climate change policy development. Adopting a longer monitoring cycle, perhaps linked to the national multi-year planning system, often reported within the framework of an MTEF, may provide a more strategic view, especially of multi-year public investment programmes. This emphasises the need to embed such monitoring within existing national systems and to identify the potential for its uptake within broader PFM reform programmes.

These considerations all have a bearing on the costs of financial monitoring and the resource implications of ensuring that financial information is available to guide strategic decision-making for climate change action. The country studies reported on in this publication all provide a strong foundation for the development of national monitoring of public climate change actions.

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