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Resilient nations.*

# Multi-Stakeholder Decision-Making

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A Guidebook for Establishing a Multi-Stakeholder Decision-Making Process  
to Support Green, Low-Emission and Climate-Resilient Development Strategies





UNDP partners with people at all levels of society to help build nations that can withstand crisis, and drive and sustain the kind of growth that improves the quality of life for everyone. On the ground in 177 countries and territories, we offer global perspective and local insight to help empower lives and build resilient nations.

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**Authors:** UNDP – Seemin Qayum, Stephen Gold and Yannick Glemarec, with contributions from Yamil Bonduki, Jennifer Colville, Thomas Gueret, Martin Krause, Pradeep Kurukulasuriya, Leslie Ouarzazi, and Virginia Schwartz.

**Editor:** Caitlin Connelly

**Design:** Suazion (NY, [suazion.com](http://suazion.com))

# Foreword

Climate change is a defining challenge of our time, and one of the most pressing threats to development today. Its impacts are affecting all continents and often reversing hard-earned development gains, placing the global community into uncharted territory, where the human and economic stakes are high.

The challenge of addressing climate change cannot be overestimated. It will require a substantial transformation of the present economic development model. Like all transformative processes, this shift may change the comparative advantages of nations, industries and communities.

It is the firm belief of UNDP that a successful response to climate change can and must mean social, economic and environmental improvements—increased social inclusion and poverty reduction, job creation and income generation, and environmental safeguards. As countries make this transition to climate compatible development, they will build the resilience of their societies to a range of shocks—political, economic and environmental—to safeguard their citizens, as well as their physical and economic environment.

However, changes no doubt will generate a political and social debate and increase planning complexity. Even win-win options could face resistance from entrenched interest groups. A successful shift to an inclusive, resilient and low-emission society will require a distinct way of decision-making to negotiate disagreements, build trust among stakeholders and foster a long-term common vision.

The scale and quality of stakeholder involvement in the elaboration of a low-emission climate-resilient development strategy will determine its legitimacy, the feasibility of its financing and the effectiveness of its implementation. This calls for a multi-stakeholder approach that involves public officials, businesses, and individual citizens in the definition of the issues and in the identification of the solutions, and which also empowers them to sustain their own livelihoods and aspirations by acting on it at work and at home.

UNDP is active and on the ground in 177 countries and territories assisting national and subnational governments on the issues that drive this transition: economic growth, poverty and inequality reduction, provision of basic services, employment, food and water security, and a clean and efficient energy supply. Our work has shown that a multi-level, multi-sector, multi-stakeholder approach is imperative in order to effectively align national climate goals and sustainable development objectives.

Consolidating this experience, this guidebook is designed to help construct such an adaptable and flexible multi-dimensional governance framework that will negotiate and drive the critical transition to a green, low-emission and climate-resilient society. It offers methods to identify and map key sectors and stakeholders to participate in the process, and provides detailed guidance on options for developing and operationalizing a green low-emission and climate-resilient planning infrastructure, including through country and regional examples.

This guidebook builds on UNDP's decades of experience in delivering climate change programming and is part of a series of practical guidance documents and toolkits intended to support national and subnational governments in achieving green, low-emission, climate-resilient development. It is my hope that the guidebook will contribute to ongoing country efforts to integrate development and climate change policymaking and planning, and to involve relevant actors and stakeholders throughout the planning and implementation process.



Rebeca Grynspan, Associate Administrator  
United Nations Development Programme

## Acronyms

CAS	Country Assistance Strategy
CPEIR	Climate Public Expenditure and Institutional Review
CBO	community-based organization
DOE	Department of Environment
GHG	greenhouse gas
LCDS	Low-Carbon Development Strategy
LDCs	Least Developed Countries
LECRDS	Low-Emission, Climate-Resilient Development Strategy
NAMA	Nationally Appropriate Mitigation Action
NAP	National Action Plan
NAPA	National Adaptation Programme of Action
NBSAP	National Biodiversity Strategy and Action Plan
NC	National Climate Change Communication
NGO	non-governmental organization
NIP	National Implementation Plan
NSDS	National Sustainable Development Strategy
PECC	Special Program on Climate Change
PNMC	National Plan on Climate Change (Mexico)
PRSP	Poverty Reduction Strategy Paper
REDD	Reducing Emissions from Deforestation and Forest Degradation
RSC	Regional Service Center
RTA	Region-based Technical Advisor
TOR	terms of reference
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNFCCC	United Nations Framework Convention on Climate Change

# UNDP Support for Green, Low-Emission and Climate-Resilient Development

This guidebook is part of a series of manuals, reports and toolkits that draws upon the experience and information generated by the United Nations Development Programme's (UNDP) support for climate change adaptation and mitigation projects in some 140 countries over the past two decades. UNDP is now assisting national and subnational governments to prepare green, low-emission and climate-resilient development strategies (Green LECRDS).

Green LECRDS are long-term, cross-sectoral frameworks for guiding the gradual transformation of the economy and society to reduce emissions and vulnerabilities and increase human and ecological resilience. Green LECRDS are rooted in robust and cross-cutting scientific, institutional, financial, and socio-economic assessments of i) present and future climate change scenarios, ii) current and projected sustainable development objectives, and iii) integrated economy-wide response options. The preparation of a Green LECRDS involves a country-driven, multi-stakeholder and multi-sectoral five-step process that identifies, assesses and prioritizes opportunities and tradeoffs, as well as appropriate public and private financial mechanisms. The process culminates in programmatic road maps for sustainable development trajectories that are climate resilient, low emission, and provide for energy security. Green LECRDS can also serve as the programmatic nexus for attracting, sequencing and combining conventional and innovative sources, both public and private, of sustainable development and climate financing. Such strategies can only be developed and implemented with the resolute participation of high-level public and private decision makers along with relevant stakeholders across multiple sectors, whose mobilization and coordination is the subject of this guidebook.

These UNDP resources are intended to enable project managers, UNDP Country Offices and developing country decision makers to acquaint themselves with a variety of methodologies in the preparation of Green LECRDS. In a flexible and non-prescriptive manner, the publications offer guidance for the identification of key stakeholders and establishment of participatory planning and coordination frameworks; generation of climate change profiles and vulnerability scenarios; identification and prioritization of mitigation and adaptation options; assessments of financing requirements; and development of low-emission climate-resilient road maps for project development, policy instruments and financial flows. They are available on [www.undp.org/energyandenvironment/climatestrategies](http://www.undp.org/energyandenvironment/climatestrategies).

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# Purpose of guidebook

## **Box 1. Mexico's Special Program on Climate Change (PECC) links climate and development**

Mexico's special program on climate change (PECC), mandated by the national government, establishes a national low-carbon development scenario. The scenario identifies priorities and financing sources and is based on 17 sectoral reviews and broad public consultations. The PECC is a multi-stakeholder process, encompassing actors from the private sector and civil society. It seeks to halve Mexico's emissions by 2050 by implementing mitigation, adaptation, and cross-cutting policies across key economic sectors, such as energy generation and use; urban transportation; agriculture, forests, and other land uses; water; and waste.

PECC forms an integral part of the environmental sustainability pillar of Mexico's National Development Plan, joining national climate and development objectives and programming (see Annex 3 for details on other national level processes).

The engagement with green, low-emission and climate-resilient development strategies (Green LECRDS) has emerged since 2008 in connection with United Nations Framework Convention on Climate Change (UNFCCC) negotiations and decisions as the international community and individual nations, regions, and cities ponder the means to a low-emission, climate-resilient future based on sustainable development priorities. Green LECRDS join climate change and development concerns by building on existing strategies and plans, marshalling new information and resources, and fostering responsible and transparent action on the part of governments and citizens. The Green LECRDS preparation process culminates in a long-term road map for addressing climate change mitigation and adaptation and achieving sustainable development objectives. Green LECRDS also provide an integrated funding and technical assistance framework for allocating domestic budgets and resources and attracting new private sector and international financing and support over the short- and medium-term.

The purpose of Green LECRDS is *not* to create rules and constraints to development, but rather to complement existing strategies in promoting the pursuit of social change and economic growth through more sustainable development paths. UNDP experience in assisting national and subnational governments has shown that aligning climate policy with the imperatives of economic growth, poverty and inequality reduction, and other urgent development needs—such as the provision of basic services, employment, food and water security, and a clean and efficient energy supply—is critical.<sup>1</sup> Therefore, a genuinely viable Green LECRDS will demonstrate alignment of national climate goals and sustainable development objectives (see Box 1).

Green LECRDS allow developing countries to respond more effectively to climate change and reach sustainable development objectives by overcoming the sectoral barriers of most national and subnational development plans. Green LECRDS also aim to build on—and go beyond the limitations of—climate models, climate greenhouse gas inventories, climate technology assessments, climate risk assessments, and climate finance plans. UNDP experience shows that while these tools, studies, and plans are necessary, they lack efficacy when applied in isolation. Participatory multi-stakeholder processes are essential to build consensus and ownership while legal ratification and policy approval provide credibility and mandate the realization of Green LECRDS. The purpose of this guidebook is to support the construction of a multi-level, multi-sector, multi-stakeholder governance framework and planning process that will initiate and bring Green LECRDS to fruition.

1 See UNDP, *Charting a New Low-Carbon Route to Development: A Primer on Integrated Climate Change Planning for Regional Governments* (2009).

## Where this guidebook fits

The *Guidebook for Establishing a Multi-Stakeholder Decision-Making Process for Green LECRDS* forms part of a series of linked manuals and guidebooks produced by UNDP (see Annex 2) on each of the five Green LECRDS steps (see Figure 1). These steps are summarized in *Preparing Low-Emission and Climate-Resilient Development Strategies (LECRDS) - Executive Summary*, which provides an overview of the Green LECRDS process. The process encapsulates the efforts required to envision low-emission development trajectories resilient to possible climate outcomes; assess financing requirements to implement change; and develop low-emission and climate-resilient road maps for project development, policy instruments, and financial flows (see Box 2). These efforts can only be shouldered by a spectrum of actors with the authority and expertise to take critical decisions, assess and apply scientific findings, and implement the resulting strategies with the participation of concerned citizens. Some steps will be more relevant to one level of government than to another. Green LECRDS are expected to be undertaken at the national or larger subnational governments where there is sufficient capacity and access to resources. However, Step 1, the subject of this guidebook, will also be of interest to subnational governments and local-level climate and development planning process.

**Figure 1. Green LECRDS 5-step process**



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This guidebook steers readers through Step 1—constructing an adaptable and flexible multi-level, multi-sector, multi-stakeholder governance framework that will support this vital work—and constitutes an essential tool for governments, practitioners, and concerned citizens to successfully develop and negotiate a Green LECRDS.

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### **Box 2. Typical construction of a Green LECRDS road map (Steps 1-5)**

**Step 1: Develop multi-level, multi-sector, multi-stakeholder governance framework and participatory planning process** – statement of Green LECRDS goal, purpose, objectives derived from multi-stakeholder consultations

**Step 2: Prepare climate change profiles and vulnerability scenarios** – based on business-as-usual scenario with existing development trajectory, current and future greenhouse gas emissions and vulnerabilities are identified

#### *For climate profiles*

- Analysis of spatial/geographic context and social, economic, and demographic data; key sustainable development issues and priorities; and past and ongoing climate change actions
- Projection of possible climate scenarios at relevant spatial and temporal scales
- Assessment of existing GHG emissions by sector (e.g. energy, transport, buildings, industry, waste, agriculture and forestry, etc.)
- Assessment of expected GHG emissions by 2020-2050 under a business-as-usual and alternative development scenarios

#### *For vulnerability scenarios*

- Assessment of existing climate and socio-economic vulnerabilities, and related risk management actions
- Simulation of the physical and economic impacts of future climate scenarios (with and without adaptation options) in key vulnerable sectors (e.g. agriculture, water, coastal-zone management, health, tourism, etc.), groups/communities, and regions
- Mapping of present and future vulnerabilities

**Step 3: Identify strategic options leading to low-emission, climate-resilient development trajectories** – addressing both mitigation and adaptation across sustainable development sectors in multi-stakeholder consultations

**Step 4: Prioritize strategic options through technological, social, and financial feasibility and cost-benefit analysis** – through cross-sectoral process, making recommendations for short-, medium-, and long-term scenarios

**Step 5: Finalize low-emission and climate-resilient development road map** – by multi-stakeholder, multi-sectoral drafting team for public review and adoption as national policy or law

This guidebook steers readers through Step 1—constructing an adaptable and flexible multi-level, multi-sector, multi-stakeholder governance framework that will support this vital work—and constitutes an essential tool for governments, practitioners, and concerned citizens to successfully develop and negotiate a Green LECRDS. Step 1 creates a country-driven governance framework that ensures strong coordination and collaboration among multiple decision-making levels, partners, stakeholders, and sectors in a given country or region. Establishing such a governance framework will require the time and effort of leading commissions and task forces, expert working groups, and involved citizens; dedicated capacity development and communications strategies; and political will, resources, and funding to make it possible. Experiences at the city, regional and national level are building a body of practices worldwide that can support developing countries as they engage in this work. Efforts at all of these levels of government contribute toward the design and implementation of a common strategy.

Actions at the subnational level (cities, provinces, departments, states) complement national plans and policies in strategic and innovative ways. In many countries, they are also responsible for addressing a significant portion of the problem. For example, 50 to 80 percent of greenhouse gas emissions reductions are achieved at the subnational level, and most adaptation efforts depend on decisions taken at this level. The subnational level is also where the emissions and energy use are taking place. Cities, in particular, are significant contributors. They are home to half or more of world population, account for two-thirds of world energy use and emit two-thirds of energy-related greenhouse gases. As a result, they are pioneering pathways to reduce their carbon footprint and climate vulnerability. The subnational level, as the closest to the people sustainable development and climate change affects, plays an important role in addressing these issues.

At the national level, governments are driven by national and international sustainable development and climate change commitments. These can serve as a starting point to connect existing actions across levels and initiate collaboration on the creation of a long-term Green LECRDS. Combining efforts has the potential to increase efficiencies of human resources and financial capital and flows (public and private) while promoting greener economic growth.

The guidance contained herein is not intended to be prescriptive. It can be employed in a flexible manner that adjusts to the particular institutional, planning, and decision-making forms in each geographical context, and that builds upon and leverages existing climate and development structures and activities. While this guidance may be most appropriate for the national or larger subnational levels, elements of the Green LECRDS process may be effectively applied by cities and localities that are seeking to pursue a more sustainable and resilient low-emission development path.

## Target audience

The principal audiences for this guidebook are national and subnational governments and climate and development practitioners in developing countries, as well as national and international experts who are assisting governments and their citizens in preparing Green LECRDS.

## Structure of the guidebook

**Part I** presents the multi-stakeholder, multi-level, multi-sectoral nature of the Green LECRDS process, and provides national and subnational examples. **Part II** puts forth a three-phase method to identify key sectors and stakeholders to participate in the Green LECRDS process, with illustrative cases from different countries and regions. **Part III** outlines the Green LECRDS planning infrastructure, specifically the Green LECRDS multi-stakeholder task force, working groups, and coordination team. **Part IV** provides further guidance on operationalizing the Green LECRDS planning process, covering structured dialogues, multi-stakeholder consultations, and communications. **The Annexes** include (1) UNDP technical advisory infrastructure to support LECRDS; (2) LECRDS manuals and guidebooks; (3) formulation process and scope of selected national climate change strategies; (4) Chicago checklist for Climate Action Planning; (5) local government financial scan; (6) terms of reference (TOR) for Green LECRDS multi-stakeholder task force, working groups, and coordination team.

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50 to 80 percent of greenhouse gas emissions reductions are achieved at the subnational level, and most adaptation efforts depend on decisions taken at this level. The subnational level is also where the emissions and energy use are taking place.

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PART

Green  
LECRDS  
governance  
framework

I

Green LECRDS seek to increase the capacity of a given developing country or region to foster sustainable development in a changing climate. This requires the application of an inclusive approach that takes into consideration the transversal nature of climate change risks and impacts—affecting all stakeholders, levels and sectors of society—and identifies the critical links between climate change and present and future development planning horizons and decision-making modalities. The governance framework set up to support the Green LECRDS process should be structured in a way that incorporates the broad range of needs and actors at different levels of government and society and across economic sectors.

There are three main elements that make up a Green LECRDS governance framework: (1) multi-level, (2) multi-sector, and (3) multi-stakeholder. They represent the different facets of government, economy and society that work together during the Green LECRDS process. This kind of engagement allows for communication, collaboration and coherence on development and climate priorities and policies across levels of government (national and subnational) ministries and agencies, as well as among government, civil society, private sector and financial institutions. These interactions are essential during the Green LECRDS process, which seeks to be as comprehensive as possible, looking at planning from a whole economy perspective.

The scale and quality of stakeholder involvement in the elaboration of a Green LECRDS is important and can determine the legitimacy of the resulting strategy, the feasibility of its financing, and the viability of its implementation. This is due to the eminently political nature of the Green LECRDS process, which can bring together competing interests and sectors that require concessions and trade-offs between actors.

### **Box 3. The role of stakeholder participation in legitimizing the Green LECRDS process**

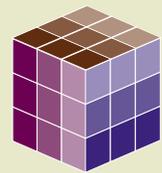
The involvement of multi-stakeholder groups in the development of Green LECRDS can help to legitimize the process and secure political support in order to implement eventual strategy.

Guyana's pioneering Low Carbon Development Strategy (LCDS): Guyana's LCDS process was initially criticized, particularly by indigenous groups, because stakeholders were only consulted after data collection, technical analysis, and publication of draft policy recommendations. The lack of civil society participation early on in the process raised questions on the legitimacy of the strategy. The government addressed this gap by engaging in broad, systematic, multi-stakeholder consultations, held to review the draft strategy over four months, with oversight provided by a Multi-Stakeholder Steering Committee (see Box 16).

South African Low Carbon Development Strategy: The preparation of the South African LCDS involved an extensive range of stakeholders from the beginning, including the private sector, which gave its strategy broad support across government and civil society. As a result, the process generated public awareness and commitment by decision makers, including in the private sector, to alternative climate and development paths.

Sources: Christa Clapp, et al., *Low-Emission Development Strategies (LEDS): Technical, Institutional And Policy Lessons* (OECD / IEA, 2010); and Xander van Tilburg, et al., *Paving the Way for Low-Carbon Development Strategies* (Energy Research Centre of the Netherlands, 2011).

# Green LECRDS governance framework



1

Multi-level approach

2

Multi-sector approach

3

Multi-stakeholder approach

**Figure 2. Depiction of an integrated Green LECRDS governance framework**

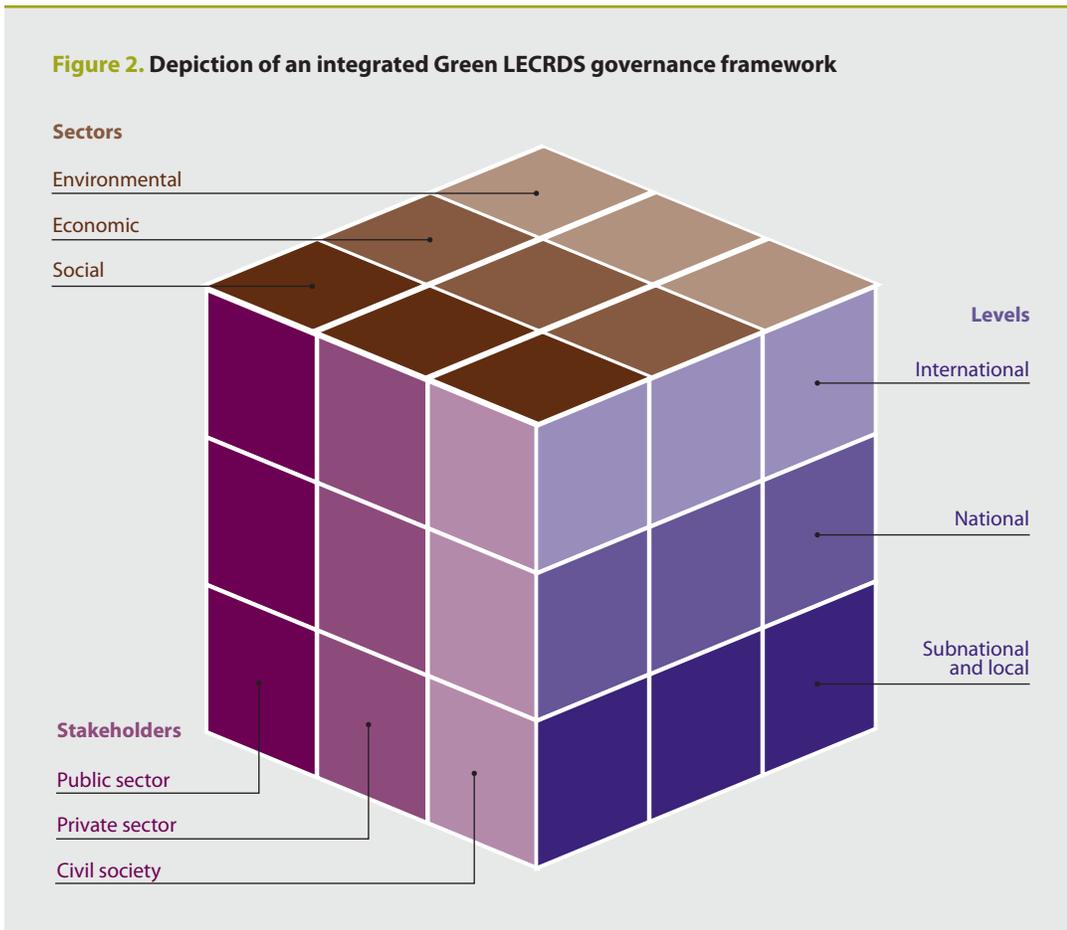


Figure 2 illustrates the interconnectedness among social, economic, and environmental sectors; local, national, and international levels; and public, private, and civil society stakeholders that the Green LECRDS governance framework is intended to capture. The extensive consultation processes involved in the process can lead to increased public awareness of climate change science and policy, sustainable development priorities and planned actions.

The first element of establishing a Green LECRDS governance framework is to identify the different actors across levels of government: international, national and subnational (regional, cities, communities). This multi-level approach helps to define the critical players and to create a skeleton for participation throughout the process. The result is an inclusive process that considers the interrelation and connection between actors. The second element uses a multi-sector approach to assess existing policies, regulations, financial flows, etc. to determine how to best integrate climate change and sustainable development policy and planning. The third element focuses on the identification of multi-stakeholder groups—public sector, private sector and civil society—who should be consulted and actively engaged in the planning process. These three elements establish a framework to help guide the Green LECRDS.

## Multi-level approach

### Box 4. Summary of main multi-level participants in Green LECRDS

- International partners (multilateral and bilateral aid agencies, international NGOs and foundations, etc.)
- National governmental agencies and officials, parliamentary or congressional representatives, foundations, businesses, NGOs, academic and technical experts
- Subnational (regional and municipal) government authorities and legislative assemblies, businesses, NGOs, academic and technical experts
- Community-based organizations (CBOs), community leaders, and concerned citizens

The Green LECRDS process involves coordination and participation at the international, national, and subnational levels to create a holistic strategy that is inclusive and integrates climate change and sustainable development policy and planning. Each level offers insight and drives policy and planning development from a different perspective; therefore, it is essential to consult and engage actors from each of the levels throughout the process.

The issues Green LECRDS seek to address cross levels of government and can entail complex, difficult and lengthy policy debate and conflict resolution that necessitate involvement from all levels. This holds true for both mitigation and adaptation measures: mitigation measures can affect the wealth and power of some stakeholders and the livelihoods of other stakeholders, and adaptation measures run the risk of being ineffective—leading to poor results—if relevant stakeholders, particularly at the subnational level, are not consulted. Adaptation is inherently local and should be tailored to regional contexts and at-risk, vulnerable local sites. Therefore, it is critical that local communities, who are key players in implementing adaptation actions, be involved in the process.

A multi-level approach helps to ensure that the different needs of each level are considered, resulting in a Green LECRDS that makes sense and is successful. The three main levels include international, national and subnational governance bodies.

### International level

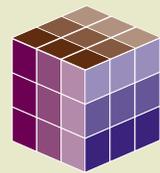
The international community helps shape Green LECRDS due to its role in funding and informing projects. Decisions that come out of international organizations, such as the United Nations Framework Convention on Climate Change (UNFCCC), also drive national-level decision-making related to Green LECRDS.

Partners at the international level will include multilateral and bilateral organizations, international non-governmental organizations (NGOs), and foundations and research institutions.

### National level

National leadership, including high-level elected officials, legislators, and civil servants, is important to the Green LECRDS process; it shows support for the overall effort and opens up communications pathways. It is complemented by broad consultation with stakeholders at all levels, which allows relevant parties to identify priority issues, contribute to research and information gathering, influence policy-making, ratify strategy development, and remain informed and involved over the long term.

National-level partners will include key elected government officials and legislators, especially those who are directly involved in drafting and promulgating national climate and development plans. Private sector groups and civil society organizations are also involved at different times throughout the process, in particular during consultation, research and planning, legal ratification and implementation of the Green LECRD road map.



1

Multi-level approach

2

Multi-sector approach

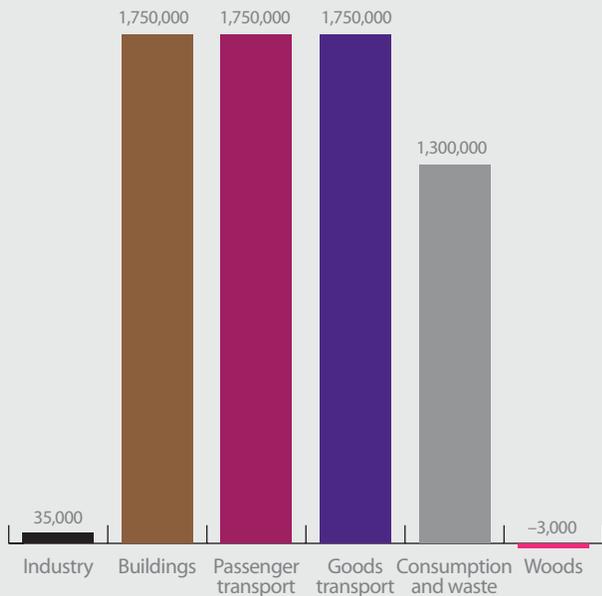
3

Multi-stakeholder approach

**Figure 3. A step towards the sustainable city – assessing carbon footprint across sectors**

**PARIS CARBON AUDIT**

6,550,000 metric tons of carbon equivalent



Source: Paris Climate Protection Plan (2007), 6, [planclimat.paris.fr](http://planclimat.paris.fr).

**Box 5. The importance of the subnational level for Green LECRDS**

The subnational level is particularly important to a Green LECRDS because an estimated 50 to 80 percent of mitigation and adaptation actions arise from decisions taken at the subnational level. In addition, cities are both sources (emitting two-thirds of the world’s energy-related greenhouse gases) and solutions (implementing measures on the ground) to climate change (see Figure 3). Many of the examples and illustrations of green, low-emission, climate-resilient development plans and actions in this guidebook come from urban, metropolitan experiences.

**Subnational level**

The subnational level is where policies are implemented and results are seen. The impacts of climate change and sustainable development are experienced first hand by the people living and working in the cities, towns, and communities that make up this level.

At the subnational level, government authorities in provinces, states, and municipalities are partners because they have substantial responsibility for incorporating climate change considerations into the productive, economic, and social life of regions and cities. Subnational elected officials and legislators also participate through their negotiation of climate and development policies, regulations and investment decisions, and engagement in direct outreach on key climate and sustainable development issues to citizens and communities.

## Multi-sector approach

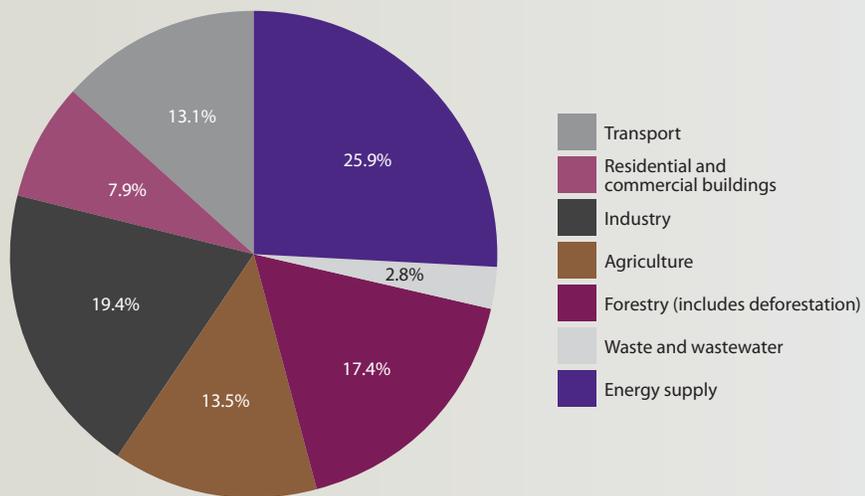
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The approach looks at climate change and sustainable development policy formulation and planning through a sectoral lens, allowing for integration of climate change mitigation and adaptation objectives and actions into long-term sustainable development efforts across sectors.

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The multi-sector approach is the second element in the Green LECRDS governance framework and an important part of the Green LECRDS process. The approach looks at climate change and sustainable development policy formulation and planning through a sectoral lens, allowing for integration of climate change mitigation and adaptation objectives and actions into long-term sustainable development efforts across sectors. It also aligns the discussions and policymaking process with the sectoral approach normally used to articulate national and regional development policies and actions. In addition, it takes into consideration the physically boundary-less nature of climate change impacts, which cut across socio-economic sectors and administrative jurisdictions, and can jeopardize or facilitate development objectives. Furthermore, by grouping the issues together, the multi-sectoral approach can decrease the burden on governmental authorities to continually balance divergent interests and stakeholders—conflicts intensified and complicated by climate change.

**Figure 4. Global greenhouse gas emissions by sector**



Source: IPCC Fourth Assessment Report, *Climate Change 2007 Synthesis Report*, 36, [http://www.ipcc.ch/publications\\_and\\_data/publications\\_and\\_data\\_reports.shtml](http://www.ipcc.ch/publications_and_data/publications_and_data_reports.shtml).

## Green LECRDS governance framework

### Box 6. Water-energy nexus

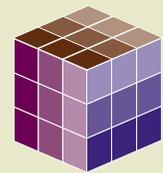
The energy and water sectors illustrate the need for efficient inter-sectoral dialogues that promote synergies and effectively resolve the potential trade-offs inherent in climate policy. Water and energy are inextricably linked in what is often referred to as the “water–energy nexus.” Water is necessary for energy production (cooling, hydroelectric power, some fossil fuel extraction, biofuels) and energy is necessary to supply, treat and use water. On average 50 percent of the costs associated with water supply are related to energy. There is evidence emerging to suggest that energy used in the water sector, principally related to irrigation, is a significant source of the total energy supply emissions.<sup>a</sup>

Water is also the largest renewable source of electricity, with hydropower providing about 15 percent of the world’s electricity and the majority of the electricity in some countries such as Brazil, Norway and Venezuela. This source of renewable energy is at risk with rising temperatures due to global warming that could compromise water supply from major rivers for hydroelectric power, as well as other urban and agricultural uses. Biofuels, another renewable energy source, are on the rise with rapidly increasing demand for water supply to meet biofuel production.<sup>b</sup> Water restrictions caused by climate change could hamper solutions for producing more energy.

Under most current policy frameworks, water and energy issues are addressed by two distinct communities of professionals and agencies, often with limited contact, which can lead to unnecessary competition for funds or result in one resource being artificially boosted at the expense of the other in policy formulation and implementation. This sectoral compartmentalization is compounded because the water-energy nexus is also bound to other sectors and concerns, such as agriculture and food security, with their separate ministries and practitioners. To break such institutional barriers, the Green LECRDS formulation process is designed to cross sectors and result in an integrated and multi-sectoral Green LECRDS road map that covers both adaptation and mitigation activities, and considers both synergies and trade-offs in the search for climate and development solutions.

Sources: a) Sabrina G. S. A. Rothausen and Declan Conway, “Greenhouse-gas Emissions from Energy Use in the Water Sector,” *Nature Climate Change* 1 (2011), doi:10.1038/nclimate1147. b) Agence France-Presse, “Water for Biofuels or Food?,” *Cosmos*, August 17, 2007, <http://www.cosmosmagazine.com/news/1542/water-biofuels-or-food>.

The multi-sector approach integrates climate change into urban, industrial, transportation, and energy planning and development. These sectors significantly affect anthropogenic greenhouse gas emissions that are a source of the climate problem. Figure 4 illustrates the contribution of key economic sectors to total greenhouse gas emissions, with energy supply accounting for over 25 percent. Similarly, rural and agricultural development, water resources management, and biodiversity conservation measures often do not incorporate adaptation concerns but have implications for the climate resilience of societies and ecosystems. Inter-sectoral dialogues that promote synergies and effectively resolve the potential trade-offs inherent in climate and development policy are thus essential to support the Green LECRDS process.



1

Multi-level approach

2

Multi-sector approach

3

Multi-stakeholder approach

## Multi-stakeholder approach

### Box 7. Chicago's Climate Action Plan joins mitigation and adaptation

A key lesson from Chicago's experience with climate planning supports the Green LECRDS approach: "Mitigation and adaptation belong in the same plan. Mitigation (reducing greenhouse gas emissions) and adaptation (preparing for climate changes no longer avoidable) overlap and win-win opportunities surface from developing both plans together. Keeping rainwater on site helps reduce flooding (adaptation) and reduces the need for pumping water, which saves energy (mitigation). Trees can ameliorate the urban heat island effect (adaptation) and provide passive cooling, which saves energy (mitigation). Having both mitigation and adaptation in the same plan also makes it easier to ensure that mitigation actions improve resiliency and adaptation actions are climate neutral or reduce emissions. For example, vastly increasing inefficient air conditioning in heat waves would increase greenhouse gas emissions."

Questions of climate change and sustainable development affect virtually all citizens and groups, but the impacts and involvements are exceedingly diverse across geographies, classes, genders, and any number of other possible classifications. A participatory, multi-stakeholder approach tries to approximate the diversity of interests and positions, not only to further democratic principles but also to increase the practical likelihood that the proposed actions and plans will be accepted, implemented and effective. Thus, the development of a multi-stakeholder governance framework at the national, regional, and/or municipal levels is crucial for creating ownership, capacity, and consensus about long-term sustainable development objectives and results, and is similarly critical for effective action to combat climate change.

Green LECRDS incorporate stakeholder priorities across sectors, including organizations and individuals outside the government. This is made possible by bringing together sectoral interests in structured dialogues and multi-stakeholder consultations, gathering the necessary information and data, and designing a comprehensive, coordinated and integrated strategy that addresses opportunities as well as potential inconsistencies between sustainable development and climate change mitigation and adaptation priorities (see Box 7). For instance, there are policies that promote sustainable land management that both contribute to climate change mitigation and meet development objectives, sequestering soil carbon while strengthening the climate resilience of landscapes and communities by protecting biodiversity, conserving water and increasing agricultural productivity.

The importance of multi-stakeholder involvement in policymaking, planning and implementation is gaining support outside of UNDP. A report from the International Institute for Environment and Development underscores the value of civil society networks in processes like Green LECRDS and provides dozens of case studies from around the world:

Increasingly, non-government organizations (NGOs) and other stakeholders have been coming together to form civil society networks in some of the countries that have been affected most by climate change. These networks have been involved in a wide range of activities to raise awareness about climate change, support climate change adaptation activities that benefit the most vulnerable, develop low-carbon development pathways to help mitigate climate change and improve local livelihoods, conduct research and disseminate results, build capacity on climate change and influence government planning processes at a multitude of levels through a variety of advocacy activities.<sup>2</sup>

Source: Julia Parzen, *Lessons Learned: Creating the Chicago Climate Action Plan* (Chicago Climate Action, July 2009), 6, available at <http://www.chicagoclimateaction.org>.

2 Hannah Reid, et al., *Southern Voices on Climate Policy Choices: Analysis of and Lessons Learned from Civil Society Advocacy on Climate Change* (London: International Institute for Environment and Development, 2012), 20.

## Box 8. Purpose of Green LECRDS for stakeholders at different levels

### Government

- Provides long-term vision and goals on climate change and development, as well as a strategic development pathway, identifying country-driven priorities for actions in key sectors, costs, benefits, current opportunities and a monitoring framework for progress and impacts
- Serves as a policy framework that aligns and organizes policies and indicates where interventions are warranted
- Enhances coordination across different ministries and communication with other stakeholder groups
- Guides economic diversification, e.g. away from reliance on fossil fuels

### Communities and citizens

- Increases public awareness of climate change science and policy and what low-emission, carbon-resilient development means for daily life and the collective future
- Provides opportunity to become involved in consultations with government and other stakeholders to have a say in current and planned interventions and priorities

### Private sector

- Indicates what is needed to create a favorable investment climate for low-emission, climate-resilient development actions to attract the significant private investments required to implement Green LECRDS
- Signals long-term objectives and priorities to potential investors, and the interventions, such as regulatory frameworks or policies, that the government will undertake to help achieve them

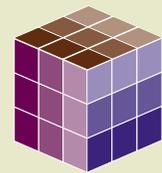
### International community

- Identifies climate and development needs and priorities for international financing, and helps to coordinate donor support
- Functions as a reporting platform to inform analysis of global trends on national emissions, expected climate impacts, and adaptation and mitigation actions and prospective future policies

Sources: Christa Clapp, et al., *Low-Emission Development Strategies (LEDS): Technical, Institutional And Policy Lessons* (OECD / IEA, 2010); and Xander van Tilburg, et al., *Paving the Way for Low-Carbon Development Strategies* (Energy Research Centre of the Netherlands, 2011).

Box 8 details some of the ways that Green LECRDS can be useful for stakeholders based on studies of the experiences and lessons learned in multiple countries.

The Green LECRDS process is iterative and begins with the identification of key stakeholders and public and private partners in different sectors (finance, agriculture, forestry, industry, energy, water, environment, transportation, etc.) and levels (national, regional and/or local). The governance framework, which is built on a multi-level, multi-sector and multi-stakeholder approach, fosters a participatory planning that uses existing committees and initiatives wherever possible to avoid the burdens of duplicating efforts and workloads. A coordinated, inclusive approach will help to ensure coherence and consistency of the policies that underpin the Green LECRDS, and will help to support its eventual ratification and implementation. This process is addressed in greater detail in Part II.



1

Multi-level  
approach

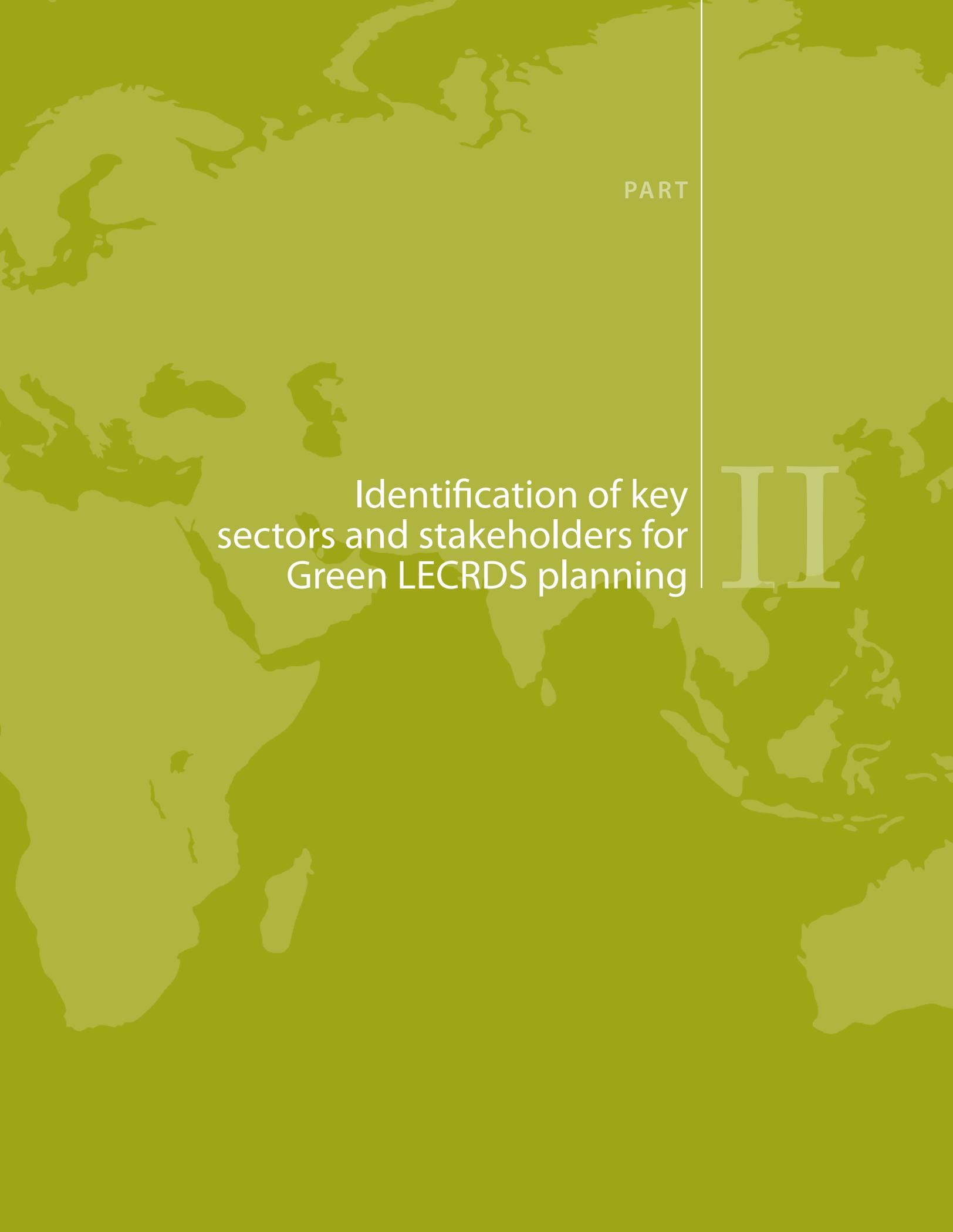
2

Multi-sector  
approach

3

Multi-stakeholder  
approach





PART

Identification of key  
sectors and stakeholders for  
Green LECRDS planning

III

Part I outlines the importance of identifying a broad range of stakeholders and partners across sectors and levels, and sustaining engagement with them throughout the process. It puts forth a governance framework to guide and provide a structure for this work. Part II puts the principles in Part I to work, by providing a process to identify key stakeholders to participate in the Green LECRDS planning process. The identification methodology is comprised of three phases that result in information to identify and prioritize sector and stakeholder participation, which becomes a critical part of Green LECRDS preparation and implementation.

“  
The methodology is comprised of three steps that result in information to identify and prioritize sector and stakeholder participation.  
”



The first phase allows for the identification of key sectors where action could potentially have significant impact (see Table 1) by mapping the climate economy. Phase 2 provides the Green LECRDS process with information on what types of policies, regulations, finance and governance systems are already in place to improve coordination going forward and to increase efficiency of funding and resources. The first two phases inform the development of a Green LECRDS communications strategy to keep stakeholders and partners informed and involved in the process (presented in Part IV). Phase 3 results in an inventory of relevant stakeholders to include in dialogues, taskforces, working groups and consultations that are fundamental to the Green LECRDS (see Parts III and IV).

# Phase 1: Conduct preliminary mapping of climate economy

A climate economy map identifies the direct links between climate policy and sustainable development objectives, and can aid in locating key sectors, which have potential for major emission reductions and/or advances in climate resiliency (e.g. energy, water, agriculture, industry, transport, etc.). It will also help to ensure that initiatives such as green carbon, safe chemical and waste management, or ecosystem-based adaptation are not overlooked in Green LECRDS formulation. Conducting this mapping exercise at the start of the Green LECRDS process can inform and guide policy makers and stakeholders at the national and subnational levels to work in a holistic and integrated manner from the outset.

The initial climate economy mapping results in a preliminary list of key sectors, actions and stakeholders for consideration during the next phase. Table 1 provides an example map that includes areas of intervention to support the building a low-emission and climate-resilient economy. The exercise sought to consider actions in one sector in relation to another—rather than in isolation—and, where possible, to highlight intersecting sectors.

**Table 1. An example of mapping a climate economy for Green LECRDS**

Building a Low-Emission Economy*	Building a Climate-Resilient Economy
<p><b>Low-emission energy system</b> Renewable energy (e.g. wind, solar, biomass, mini-hydro, geothermal, ocean-based energy generation) Energy efficiency and management (e.g. housing and industrial energy efficiency, smart grids)</p>	<p><b>Infrastructure</b> Hazard and climate-proofing construction (e.g. building design, water management, transport, energy, biodiversity corridor, commuting minimization, etc.)</p>
<p><b>Low-emission urban and transport systems</b> Low/zero emission vehicles, multi-modal mass transit, urban planning, 3rd generation bio-fuels, etc.</p>	<p><b>Water</b> Early warning systems for flood and drought management, water storage, supply and sanitation, industrial usage, irrigation efficiency, watershed management, recreation patterns/tourism, etc.</p>
<p><b>Low-emission manufacturing of products and chemicals, and waste management</b> Clean production of domestic, commercial and industrial equipment/appliances and manufactured goods (e.g. refrigeration and AC/appliances), waste avoidance and segregation, 3R, recycling and treatment, clean production, ODS banks collection and disposal, etc.</p>	<p><b>Health</b> Heat waves, new disease vectors, air quality, food security and nutrition, etc.</p>
<p><b>Agriculture, forestry and ecosystems</b> Low-emission agriculture, peatlands restoration, grazing land management, afforestation, forest management, coastal ecosystem management (e.g. 'blue carbon'), etc.</p>	<p><b>Agriculture, natural resource, biodiversity and ecosystems management</b> Landscape planning for climate resilience and maintaining ecosystem production (e.g. diverse matrixed landscapes with protected areas for biodiversity, coastal protection, incentives for on-farm diversity, climate resilient cultivars), risk and hazard insurance, etc.</p>

\*To reduce current and future greenhouse gas emissions against established baseline

PART II

## Identification of key sectors and stakeholders for Green LECRDS planning

PHASE 1

Conduct preliminary mapping of climate economy

PHASE 2

Conduct policy, regulatory, legal, financial, and governance scans across sectors

PHASE 3

Prepare stakeholder analysis matrix

## Phase 2: Conduct policy, regulatory, legal, financial, and governance scans across sectors

Building on the initial climate economy map, more specific policy, regulatory, legal, financial, and governance scans can be conducted. These scans will provide the necessary information about sectors and stakeholders to launch Green LECRDS planning and lay the foundation for the more rigorous and in-depth work to come in Steps 2-5 of the process.

### Policy, regulatory, and legal scans

The purpose of the initial policy, regulatory and legal scans is to provide an analytical synthesis of development policies across sectors (agriculture, industry, mining, forestry, energy, water, urban development, transport and infrastructure, employment, etc.). These scans include relevant public policy tools; pertinent legislative, regulatory, and fiscal instruments; and applicable budgetary and planning cycle constraints. They should also consider economic and demographic cycles. In addition, assessing historical, present and future development and resource use tendencies, in the absence of the Green LECRDS process, will help to inform decision-making on how to construct a low-emission, climate resilient future.

Developing countries have engaged in many pertinent planning and strategy preparation processes over the last two decades that are relevant to the scans and overall Green LECRDS process. The scans and Green LECRDS should make use of existing materials and expertise, as well as build upon the information, tools, and experiences of previous climate, environment, and development plans and initiatives. Box 9 provides an overview (not an exhaustive list) of the range of existing documents and strategies that may be useful to enrich the Green LECRDS process.

“  
The purpose of the initial policy, regulatory and legal scans is to provide an analytical synthesis of development policies across sectors.

The information gathered during the scans will enable Green LECRDS to fold in prior and concurrent planning and strategies to promote synergies and reduce tradeoffs among the array of policy and fiscal options and priorities under consideration. The objective is not to reconcile every possible relevant plan, but to understand and take into account potential conflicts as well as to capitalize on mutual strategic and analytical benefits across sectors.

”

### Box 9. Relevant strategies, plans and data for Green LECRDS process

Key documents to review in the initial preparation for Green LECRDS formulation include, but are not limited to:

- Poverty Reduction Strategy Paper (PRSP)
- National Sustainable Development Strategies (NSDS)
- National Communications (NC) to the United Nations Framework Convention on Climate Change (UNFCCC)
- National Adaptation Programme of Action - UNFCCC (NAPA) (for Least Developed Countries [LDCs])
- Nationally Appropriate Mitigation Actions - UNFCCC (NAMA)
- National Action Plan – United Nations Convention to Combat Desertification (NAP)
- National Implementation Plan - Stockholm Convention on Persistent Organic Pollutants (NIP)
- National Biodiversity Strategy and Action Plan – Convention on Biological Diversity (NBSAP)
- National or subnational budget documents
- National or subnational development planning and policy documents, such as five year plans
- National or subnational sectoral plans and proposals (agriculture, industry, mining, forestry, energy, water, urban development, transport and infrastructure, employment, etc.)
- National or subnational economic analyses
- National or subnational demographic assessments and prognoses
- National or subnational natural resource use assessments and prognoses
- Laws, regulations, and fiscal instruments related to sectors or initiatives with potential for reducing emissions and increasing resiliency
- United Nations Development Assistance Framework (UNDAF)
- World Bank Country Assistance Strategy (CAS)

Two examples illustrate this point:

1. National Communications (NCs) undertaken through the UNFCCC process contain important data on greenhouse gas emissions and inventories that could be useful for Step 2, climate diagnostics and mapping, of the Green LECRDS process.
2. National Sustainable Development Strategies (NSDS) and other national and sectoral development plans elaborate sustainable development visions and objectives while integrating Nationally Appropriate Mitigation Actions (NAMAs) and National Adaptation Programme of Actions (NAPAs). These three documents could help to identify and prioritize Steps 3-5 of the Green LECRDS process.

Existing materials are useful to the coordination team and working groups, and can serve as building blocks for the development of a Green LECRDS road map during Step 5 of the Green LECRDS process.

## PART II

# Identification of key sectors and stakeholders for Green LECRDS planning

### PHASE 1

Conduct preliminary mapping of climate economy

### PHASE 2

Conduct policy, regulatory, legal, financial, and governance scans across sectors

### PHASE 3

Prepare stakeholder analysis matrix

## Financial scan

The financial scan examines, as relevant, the current financial status of the government, its budget, sources of revenues, and spending responsibilities and evaluates their applicability to Green LECRDS preparation. The structure and policies for financing projects and the outlook for accessing and leveraging funds for future investment projects are also assessed. This exercise could serve as a springboard for conducting the more intensive financial analyses that will be undertaken during its formulation. The example of a local government financial scan found in Annex 5 could be readily adapted for the more complex scenario of a regional or national government.

“

The end result of the Green LECRDS planning process is a road map that subnational and national governments can follow in allocating budgets and attracting additional sources of sustainable development and climate financing to implement, monitor, and build upon low-emission and climate-resilient development projects and programmes.

”

Depending on the needs and ambition of the Green LECRDS, a full climate public expenditure and institutional review could be conducted at the onset of the planning process. Box 10 presents an emerging methodology to assist countries to perform climate public expenditure and institutional reviews (CPEIR) at the national and local level, which has been applied in Nepal.

The end result of the Green LECRDS planning process is a road map that subnational and national governments can follow in allocating budgets and attracting additional sources of sustainable development and climate financing to implement, monitor, and build upon low-emission and climate-resilient development projects and programmes. Green LECRDS would ideally establish the direct linkage with domestic budgeting and financial investment mechanisms, such as in Brazil's National Plan on Climate Change (PNMC), China's 12th Five-Year Plan, South Africa's National Climate Change Response Green Paper (see Annex 3), and Mexico City's Climate Action Program, illustrated below.

### Box 10. Nepal's Climate Public Expenditure and Institutional Review (CPEIR)

The CPEIR analyzed how climate change-related expenditure is integrated into the budgetary process in response to Nepal's national policies.

The CPEIR studied the financial management and institutional arrangements for allocating and spending climate-related expenditures. The study covered the following aspects of climate change financing at the national and local levels:

- Assessed current policy priorities and strategies as these relate to climate change
- Reviewed institutional arrangements for promoting an integration of climate change policy priorities into budgeting and expenditure management
- Reviewed the integration of climate change objectives within the budgetary process, including as part of budget planning, implementation, expenditure management and financing

The ultimate objective of the CPEIR is to strengthen the capacity of Nepali national and local level institutions to develop and manage a climate fiscal framework.

For more information, see Neil Bird, et al., "Nepal Climate Public Expenditure and Institutional Review (CPEIR)," *Research Reports and Studies* (ODI, November 2011); and Neil Bird, et al., "Climate Public Expenditure and Institutional Review (CPEIR): A Methodological Note" (ODI Working paper, December 2011), both available at: <http://www.odi.org.uk/resources/details.asp?id=6267&title=nepal-climate-public-expenditure-institutional-review-cpeir>.

PART II

Identification of key sectors and stakeholders for Green LECRDS planning

PHASE 1

Conduct preliminary mapping of climate economy

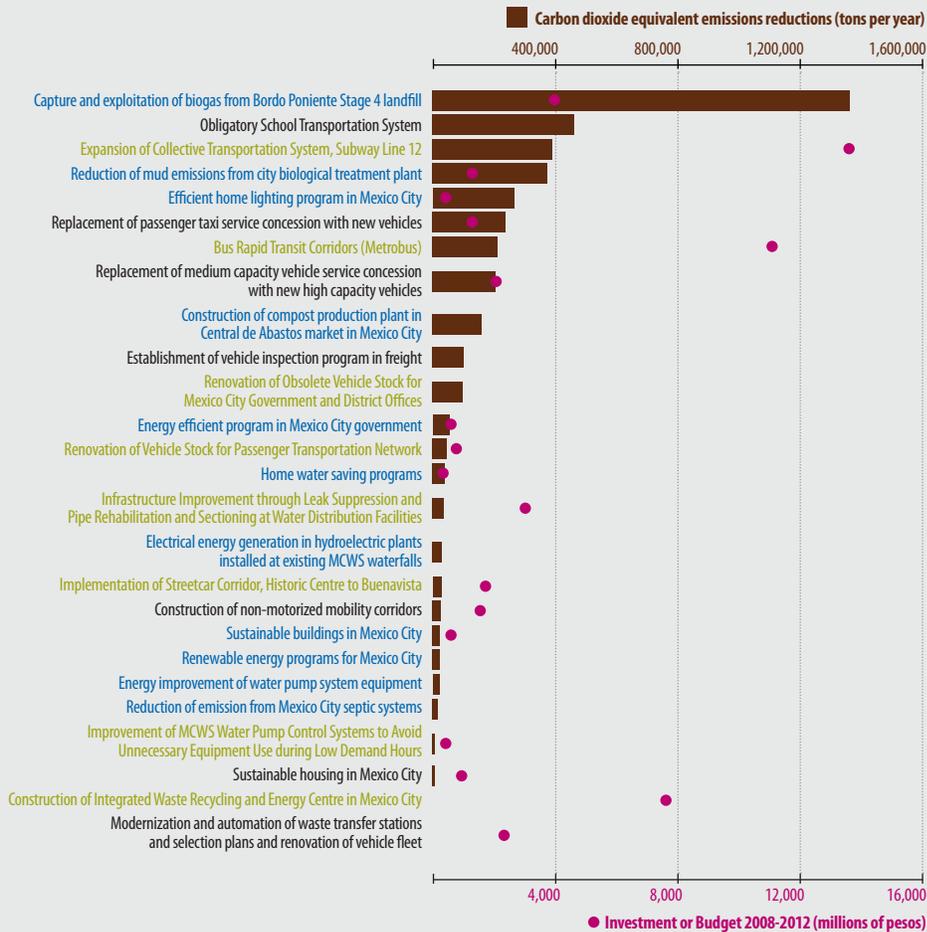
PHASE 2

Conduct policy, regulatory, legal, financial, and governance scans across sectors

PHASE 3

Prepare stakeholder analysis matrix

**Figure 5. Budgeted cross-sectoral actions to reduce greenhouse gas emissions in Mexico City**



Source: Mexico City Climate Action Program 2008-2012/Summary (2009), 17, [http://www.sma.df.gob.mx/sma/links/download/archivos/paccm\\_summary.pdf](http://www.sma.df.gob.mx/sma/links/download/archivos/paccm_summary.pdf).

## Governance scan

A governance scan can be done in tandem with stakeholder mapping and helps to identify the government ministries, departments and agencies at different levels that should be involved with the Green LECRDS process, as well as key stakeholders across government sectors. It can also help to analyze and clarify their roles and mandates for strategic planning purposes.

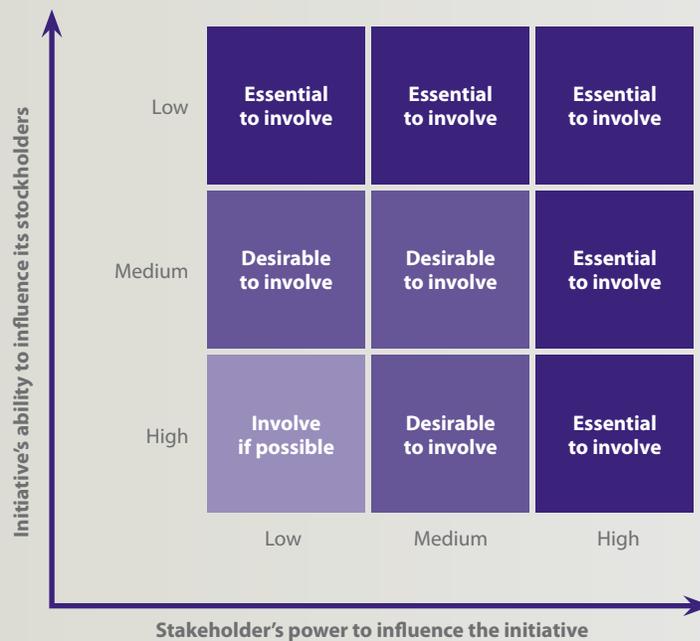
The UNDP Government Assessment Portal (<http://www.gaportal.org/>) provides tools and resources for conducting a governance scan. The governance scan can assist in locating the existing entities that oversee and support broad climate and sustainable development planning processes. These entities could serve as or help constitute a Green LECRDS multi-stakeholder task force (see Part III).

## Phase 3: Prepare stakeholder analysis matrix

The third and last phase of the stakeholder identification exercise consists of identifying the key decision makers and other actors who should be invited to participate in the various activities to be conducted during the Green LECRDS process.

There are a multitude of reference works and methods available to conduct this exercise.<sup>3</sup> Among them, the stakeholder analysis matrix (Figure 6) can be a useful tool to help identify the key decision makers and stakeholders who have the potential to influence or be influenced by the Green LECRDS process.

**Figure 6. Stakeholder analysis matrix**



Source: Nancy Vallejo and Pierre Hauselmann, *Governance and Multi-Stakeholder Processes* (IISD, May 2004), 4, [http://www.orgapet.org/internal/orgapet/references/Vallejo\\_governance.pdf](http://www.orgapet.org/internal/orgapet/references/Vallejo_governance.pdf).

3 The MSP Resource Portal provides tools, methodologies, and resources on multi-stakeholder processes: <http://portals.wi.wur.nl/msp/>. Other references include Minu Hemmati, et al., *Multi-Stakeholder Processes for Governance and Sustainability - Beyond Deadlock and Conflict* (Earthscan / UNED Forum, January 2002) and Nancy Vallejo and Pierre Hauselmann, *Governance and Multi-stakeholder Processes* (IISD, May 2004).

“The stakeholder analysis matrix can be a useful tool to help identify the key decision makers and stakeholders who have the potential to influence or be influenced by the Green LECRDS process.”

The stakeholder analysis assumes that climate change affects virtually all sectors and stakeholders, and that all citizens have some stake in climate and sustainable development planning. It also presumes that the universe of stakeholders who could potentially participate in or contribute to Green LECRDS is vast, but becomes smaller when assessed against the relative influence of each group. It is a useful tool to map the range of possible participants based on relevance. As shown in Figure 7, the range spans from stakeholders that could be involved (generally a larger group) to stakeholder groups with such high influence that they are essential to the Green LECRDS process at different levels and across sectors and therefore must be involved (typically a smaller group).

The effectiveness of the elements of the Green LECRDS will be greatly enhanced if those affected and influential are included from the beginning of the process in assessing options and devising measures as involved stakeholders—as participants in working groups or larger consultations—but leaving the door open to all concerned and active citizens. However, the means of stakeholder engagement will vary from place to place and country to country, depending upon governance modalities, institutional structures, existing capacities and the scope of vulnerability to climate change. Therefore, it is understood that stakeholder analysis and stakeholder incorporation will be conducted according to specific national or regional criteria.

### Suggested procedures for stakeholder analysis

- ▼ List all the key stakeholders across sectors—from high-level government to local, community level—who should be involved in the Green LECRDS process, taking into consideration the initial climate economy mapping and initial scans
- ▼ Prioritize public and private stakeholders who would be the most influential (see Figure 7)
- ▼ Prioritize public and private stakeholders who would be the most affected (see Figure 7)
- ▼ Analyse priority stakeholders in detail, noting overlapping positions and interests and potential conflicts
- ▼ Identify potential inter-sectoral alliances, partnerships and synergies, and how these may be forged to benefit Green LECRDS

Every national and subnational context will be different; for example, Box 11 discusses the involvement of different stakeholders and institutions in the creation of Mexico City's Climate Action Program. Generally speaking, the potential pool of stakeholders should include representatives from:

- ▼ Government (national, regional, and/or local) agencies and authorities
- ▼ Public institutions
- ▼ Private sector
- ▼ Financial sector
- ▼ Civil society organizations
- ▼ Academic and research institutions
- ▼ Concerned citizens

## PART II

# Identification of key sectors and stakeholders for Green LECRDS planning

### PHASE 1

Conduct preliminary mapping of climate economy

### PHASE 2

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### PHASE 3

Prepare stakeholder analysis matrix

### **Box 11. Mexico City's Climate Action Program**

Mexico City's Climate Action Program reflects the political will of the city government to combat global climate change through local actions in a metropolitan area characterized by vast size (both geographic and demographic) and complexity, and one that contributes significantly both to greenhouse gas emissions and, potentially, to globally influential measures to reduce emissions and climate vulnerability. The design of the Program was supported by technical assistance from the World Bank and other international organizations, and was undertaken with the participation of experts (academics, consultants), citizens and civil servants responsible for initiating, implementing and following up on the measures adopted.

The Mexico City Climate Action Program is conceived as one that cuts across and brings together the main components of the city's environmental and development policies, including those related to energy, water, transportation, soil conservation, economic development, waste generation and management, vulnerability, and environmental education.

The program was designed through evaluations of conditions and scenarios and building consensus among the stakeholders involved. In the first three-day planning meeting in September 2007, city government civil servants, civil society associations, academics, businesses and others came together to discuss actions to reduce emissions in the energy, water, transport and waste sectors, as well as adaptation and environmental education and communication that would help the city's residents to understand the nature and risks of climate change and how citizens can contribute to mitigation, adaptation and reduction of vulnerability.

Between September and December 2007, the emissions reduction and adaptation options were analyzed in terms of cost, technical feasibility, environmental benefit, social and economic impact, and barriers to implementation. The subsequent planning meeting, held in December 2007, aimed to present and evaluate the agreed mitigation, adaptation and communication actions. In March of 2008, two parallel consultations were undertaken. The first elicited the opinions of the different city departments and decentralized agencies since the proposed actions were transversal and would involve practically the entire city government structure in their implementation. Simultaneously, the second was an open citizen consultation that sought comments, criticisms, and suggestions from the general public.

For further information, please see <http://www.sma.df.gob.mx/sma/index.php?opcion=26&id=531>.



PART

Green LECRDS  
planning  
infrastructure

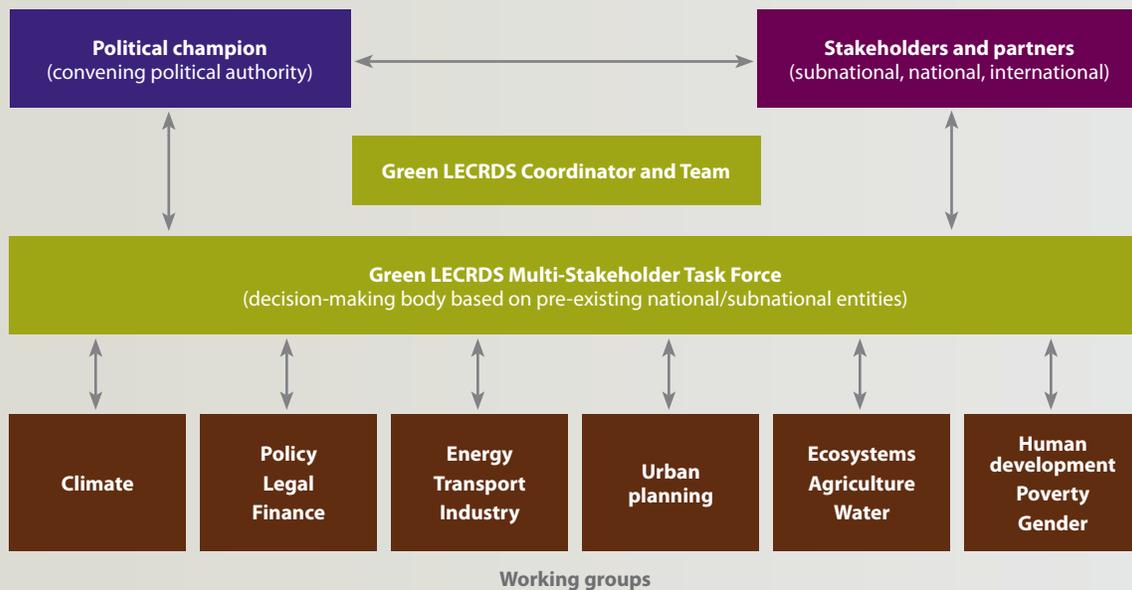
III

Part I highlighted the importance of building a governance framework for the Green LECRDS planning process. Part II provided a three-phase methodology to identify key sectors and stakeholders. This third part recommends an infrastructure to mobilize and organize these key stakeholders, which includes the following activities:

- ▼ Identify and cultivate political champions for Green LECRDS preparation process—high-level elected officials and/or civil servants who could also serve on multi-stakeholder task force
- ▼ Identify and mobilize key stakeholders at different levels, across sectors (addressed in Part II)
- ▼ Establish Green LECRDS multi-stakeholder task force (using existing committees and structures if possible) composed of high-level elected officials and civil servants in sectoral ministries to ensure appropriate level of policy and political involvement
- ▼ Identify and create policy and technical working groups (finance, energy, agriculture, forestry, water, urban development and transport, etc., as appropriate) composed of representatives from national/regional/local authorities, sectoral ministries, private sector, academia, non-governmental and community organizations, and other civil society entities (using existing committees and structures if possible)
- ▼ Recruit Green LECRDS coordinator and team

**Figure 7. Green LECRDS planning process and constitutive elements**

**NATIONAL OR SUBNATIONAL POLITICAL AND LEGISLATIVE PROCESS**



**Box 12. Chicago's Climate Action Plan**

"Every city has a unique set of stakeholders, resources, and processes in place to tackle global climate change. In Chicago, key factors that drove the Chicago Climate Action Planning process were the Mayor's... leadership to make Chicago the greenest city in the nation, the desire of [the Department of Environment (DOE)] to comprehensively address adaptation and mitigation, the expertise of the nonprofit [NGO] community in research and strategy related to climate action, the excellence of local university research centers, the expertise of the Climate Task Force, the support from unions and the business community for action to reduce building and other emissions, and the willingness of local foundations to fund a thoughtful climate planning process. A critical factor was the partnership created between the City of Chicago and the... local nonprofit [NGO] partner." (Source: *Lessons Learned* document cited below)

The following groups and fora were convened to contribute comments on Chicago's climate planning process, identify and prioritize mitigation and adaptation options and actions, and develop implementation plans:

- Multi-stakeholder task force of leaders from the public and private sectors (business, civic, environmental, foundation, non-profit [NGO]) providing expertise, access to resources, and legitimacy (9 to 19 people), co-chaired by Mayor's office and president of non-profit [NGO] partner organization
- Internal city departmental steering committee, ensuring that all instances of city institutional structure are briefed and on board
- Expert working groups for buildings, transportation, energy, waste, green urban design, etc. sectors to access cutting-edge research and to identify priority actions (9 to 25 people)
- Summits for key community, business, labor, and other stakeholders every 4 months to build collaboration, partnership and ownership (70 to 125 people each)
- Strategic non-profit [NGO] partner to keep the process moving in the face of institutional and political change in city government and to facilitate access to key stakeholders and funding opportunities
- Build on existing initiatives and the experience of other cities and localities with climate planning
- Successful climate action depends upon long-term public-private partnerships involving all citizens
- DOE and non-profit [NGO] partner raised more than \$1.5 million in philanthropic support, primarily from local and national foundations
- Chicago Checklist for Climate Action Planning (see Annex 4)

Other key lessons that emerged from the Chicago planning process include the following:

- Dedicated city staff essential (the equivalent of two full-time staff, including high-level project manager)

Chicago's Climate Action Plan was released in September 2008. It encompasses five strategies:

- Energy efficient buildings
- Clean and renewable energy sources
- Improved transportation options
- Reduced waste and industrial pollution
- Adaptation

For further information, see Parzen, *Lessons Learned: Creating the Chicago Climate Action Plan*; and City of Chicago Department of Environment, et al., *Chicago's Guide to Completing an Energy Efficiency & Conservation Strategy* (Climate Action, February 2009), both available at: <http://www.chicagoclimateaction.org>. The first document includes a table with information on each of the multitude of products of Chicago's climate planning process, the cost, the source of funding, and whether the product is available for other cities and regions to use.

Figure 7 depicts the different actors and elements of the Green LECRDS planning infrastructure and the principal connections among them. These actors and elements will be further discussed in the following sections.

These are the overall contours of the coordination, partnership, and consultation elements of the Green LECRDS formulation process. It is understood, however, that each subnational and national context is unique, and therefore these elements will be adjusted and refined according to local and national needs and concerns. Box 12 describes the particular constitutive elements and actors involved in Chicago's Climate Action Plan.

## Political and legal sanction for Green LECRDS

### **Box 13. Political champion is vital for Green LECRDS**

A political champion for Green LECRDS ideally moves fluidly at different levels and across public and private sectors. S/he acts as an interlocutor with the legislative and executive branches of government, with the Green LECRDS multi-stakeholder task force and working groups, and with the public at large and concerned stakeholders. The political champion should be able to maneuver skillfully among competing interests and to engage them in cross-sectoral dialogues, as well as to elicit support from allies in the public, private and financial sectors. A visible and credible political champion can help to ensure that all concerned segments of society are able to contribute to the formulation of the Green LECRDS road map, that stakeholders and partners feel ownership and commitment to the process, while respecting the integrity and mandate of the corresponding legislative body to consider and approve the road map.

Green LECRDS have the potential to be cutting-edge climate and sustainable development strategies as well as vehicles for catalyzing public and private financing. Yet without high-level public and private support and strong citizen involvement the Green LECRDS process has little likelihood of success. Consequently, the importance of a powerful convening political authority and governance framework described in Part I, bringing together the principal climate stakeholders and decision makers together with allies in finance, industry, and research in a given country or region cannot be overstated. Involving high-level elected officials with the commitment and dynamism to both pursue climate and sustainable development objectives and secure financing for Green LECRDS is essential.

Green LECRDS and other similar initiatives that aim to transform the nature of development require support from the highest-level government political authorities. Without this political backing and resulting convening power, it would be difficult for a country or region to put in place a planning process that will determine development pathways that are simultaneously green, low emission, and climate resilient, and to finance and implement those pathways.

High-level elected officials and high-level civil servants can work together to see the Green LECRDS processes through to completion. High-level elected officials have the public legitimacy and political authority to convoke and lead the Green LECRDS process. For example, the presidents of Brazil and Mexico were at the helm of national climate strategies, and the mayors of Chicago and Montevideo led municipal or metropolitan climate planning. High-level civil servants have the institutional authority and technical expertise to see the process through, especially given the uncertainties of elections. In the case of Chicago's Climate Action Plan, the Commissioner of the city's Department of Environment (DOE) was instrumental in moving the plan forward with the political support of a high-level multi-stakeholder task force and the assistance of dedicated DOE staff involved with climate policy.

In addition to securing support and backing from high-level elected officials and civil servants, legally mandating the Green LECRDS process—requiring formal legislative consideration and approval—would be a critical step forward. The mandate could be in the form of national policy or law, provincial regulation, or municipal decree, depending on the level of the planning process.

**Box 14. Brazil's National Plan on Climate Change (PNMC) mandated by law**

In 2007, the President of Brazil initiated the PNMC and established an Inter-Ministerial Committee on Climate Change to oversee it. The Committee surveyed ministries to identify potential climate actions, conducted stakeholder consultations, and invited public comment. The PNMC provides economy-wide coverage, including adaptation, mitigation, R&D, education and communication actions in the following sectors: energy (renewable/clean energy, biofuels, consumption reduction, oil and gas), forests and agriculture (ecosystem conservation, agriculture and ranching, strengthening sinks), industry, waste, transport and health.

The PNMC became national policy through presidential signature of Brazilian law 12.187 in 2010. This law adopts Brazil's voluntary greenhouse gas reduction target of 36.1%-38.9% of projected emissions by 2020, requires that mitigation actions be quantifiable and verifiable, estimates the necessary emissions reductions by sector, and provides details on how climate policies will be financed (see Annex 3 for details on other national level processes).

Step 5 of the Green LECRDS process was successfully achieved in Brazil, as shown in Box 14, when country's economy-wide climate plan was made a national law. This is the optimal culmination of the Green LECRDS preparation process, which allowed for presentation of the Green LECRDS road map to the appropriate legislative body for review and ratification.

Because of the scope and range of Green LECRDS and the considerable financial resources required for implementation, political support must come from government officials across sectors and, in particular (but not limited to) from the ministries of finance and planning. At the same time, while strong political leadership is essential, the technicalities of the Green LECRDS process call for the guidance, expertise, and participation of experts in ministries, public institutions, industrial and finance sectors, and academia. The political leadership and the technical expertise would be respectively organized in a multi-stakeholder task force at the national or subnational level and in technical and policy working groups.

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In addition to securing support and backing from high-level elected officials and civil servants, legally mandating the Green LECRDS process—requiring formal legislative consideration and approval—would be a critical step forward.

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## Green LECRDS multi-stakeholder task force

### **Box 15. Chicago's multi-stakeholder task force**

A key lesson from Chicago's experience with climate planning highlights the strategic political role of a high-level task force that adds significant value and legitimacy:

"A task force of 19 leaders in the business, civic, environmental, foundation, and other nonprofit communities contributed expertise and demonstrated that climate action requires participation of all parts of a community. The members of the task force, invited by the Mayor, already supported climate action. The City engaged people opposed to climate action individually."

Source: Parzen, *Lessons Learned: Creating the Chicago Climate Action Plan*, 10.

Many countries will have already formed high-level commissions or committees at the national or sub-national levels that have climate and development in their purview and could provide the necessary political support and leadership for Green LECRDS. The Green LECRDS multi-stakeholder task force can build on the experience and expertise of these pre-existing entities.

The multi-stakeholder task force is envisioned as a forum for the political champion or convening political authority responsible for initiating Green LECRDS in a given national or subnational context. Ideally it is composed of leaders from the public and private sectors—key elected officials and high-level civil servants, top representatives of critical sectors as well as of significant civil society organizations. Typically the task force has a broad scope that includes strategic planning processes like Green LECRDS.

The Green LECRDS multi-stakeholder task force has (1) the strategic mandate to define and oversee the Green LECRDS preparation process, and (2) the specific objective of policy creation and approval. Support for the task force would naturally depend on prevailing institutional cultures and decision-making modalities and build on existing committees and structures. However, if at all possible and depending on each national and subnational context, the task force membership would be capable of directing the Green LECRDS formulation process and giving it visibility and credibility. The membership of the task force would ideally draw from representatives of critical sectors such as finance, planning, energy, water, transport, infrastructure, environment and agriculture. Depending on the context, it will be important to incorporate both public and private decision makers as well as NGO representatives.

The multi-stakeholder task force, with the support of the Green LECRDS coordinator and team (see section below), will take the lead in undertaking the following critical tasks for Step 1 of the Green LECRDS process:

- ▼ Establish Green LECRDS multi-stakeholder, multi-sectoral, multi-level preparation process
- ▼ Define objectives and scope
- ▼ Define operational and organizational structure, roles and responsibilities, and budget
- ▼ Define steps, methods, work plan and timetable
- ▼ Present multi-stakeholder process to all stakeholders, partners and actors in region or country

Within this structure, the forms and venues for participation and coordination will be determined. It will also decide how key actors, stakeholders and partners will be consulted; the number and scope of structured dialogues and multi-stakeholder workshops; how the work will be carried out, documented, and presented; the vertical and horizontal decision-making structures; and how decisions will be validated (at different levels and different moments and by participants, stakeholders and legislative bodies). Ideally, the multi-stakeholder task force will design a decision-making process that is credible, transparent, and accountable, and that allows for synergies and decreases the need for trade-offs among sectors and stakeholders. The quality of the resulting Green LECRDS will reflect the quality, transparency, and accountability of the decision-making process.

The multi-stakeholder task force will determine the composition of the Green LECRDS drafting team, facilitated by the coordination team, which will synthesize the contributions of the different actors and elements to elaborate the Green LECRDS road map. Once the road map has been formulated—Step 5 of the Green LECRDS process—the multi-stakeholder task force could support the political leadership in presenting it to the appropriate legislative body for consideration and approval.

*See Annex 6 for operational terms of reference for the Green LECRDS multi-stakeholder task force.*

#### **Box 16. Guyana's multi-stakeholder steering committee**

The main function of Guyana's Low Carbon Development Strategy (LCDS) Multi-Stakeholder Steering Committee is to provide advice and guidance and to have general oversight of the LCDS stakeholder review process. It is composed of members from the following:

- Office of the President
- Ministry of Agriculture
- Ministry of Amerindian Affairs
- Guyana Forestry Commission (GFC)
- Environmental Protection Agency (EPA)
- Forest Producers Association (FPA)
- Guyana Gold and Diamond Miners Association
- Guyana Geology and Mines Commission
- North Rupununi Development Board (NRDDB) - Indigenous Group
- The Amerindian Action Movement of Guyana (TAAMOG) - Indigenous Group
- The National Amerindian Development Foundation (NADF) - Indigenous Group
- Private Sector Commission (PSC) - NGO
- Trade Unions Congress (TUC) - NGO
- Federation of Independent Trade Unions of Guyana (FITUG) - NGO
- Women's Affairs Bureau - Women
- Youth Representative - Youth
- David James - Professional
- Joe Singh - Professional
- International Institute for Environmental and Development (IIED) - Moderator/Facilitator
- Conservation International – Guyana (CI)
- World Wildlife Fund (WWF)

Source: Conceptual Framework on Process for the Multi-Stakeholder Consultations on Guyana's Low Carbon Development Strategy (LCDS) (Government of Guyana and IIED, 2009).

## Green LECRDS technical and policy working groups

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The working groups are responsible for the complex suite of critical diagnostics and studies that will permit the formulation of an evidence-based and relevant Green LECRDS, as well as the selection of the appropriate and rigorous underlying methodologies.

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In contrast to the strategic mandate of the Green LECRDS multi-stakeholder task force, the working groups primarily have a technical role and research and analysis function. They are responsible for the complex suite of critical diagnostics and studies that will permit the formulation of an evidence-based and relevant Green LECRDS, as well as the selection of the appropriate and rigorous underlying methodologies (Step 2 of the five-step LECRDS process). The working groups also play an advisory role in Steps 2-5 by supporting the identification and prioritization of strategic options leading to green, low-emission and climate-resilient development trajectories through technological, social and financial feasibility and cost-benefit analyses, as well as the consolidation of the Green LECRDS road map and the policy preparations for its implementation.

The purpose of the working groups is to review the specific technical and broad policy areas in their purview, analysing and considering the available data and information, but also calling in other national experts and commissioning studies if the need arises.

### Multi-level composition of working groups

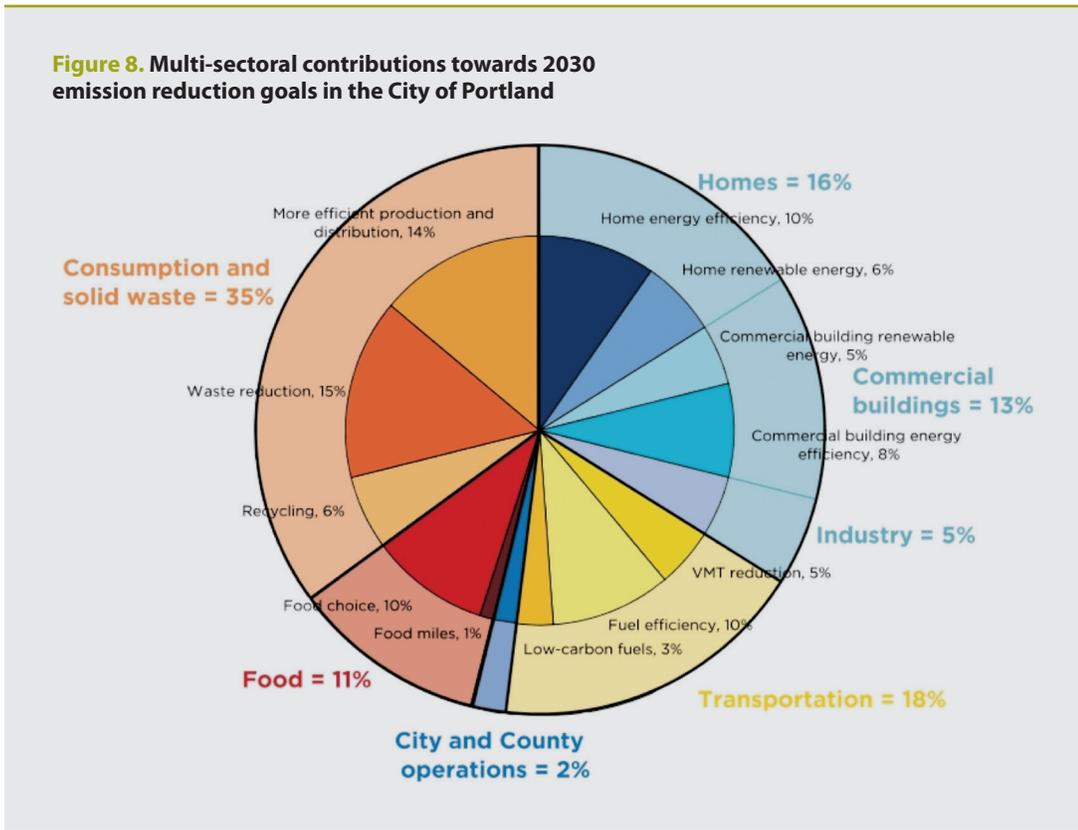
The formation of the working groups is based on an assessment of the expertise required and the capacity that exists in the country or region in question. It is expected that the working group membership will be drawn from experts in sectoral ministries and local/regional/national government agencies, academic and research institutions, NGOs and the private sector (finance, banking, industry), and may draw upon existing technical committees. Ideally, the expert members of the working groups are directly connected to decision-making echelons to facilitate the Green LECRDS preparation process. The inclusion of local and community authorities is also important.

### Multi-sectoral working group themes

The working groups cover climate science, finances and public policy. The specific themes in each sub-national or national context emerge during the process of mapping key climate and sustainable development issues and mobilizing stakeholders (beginning with the initial mapping of the climate economy presented in Part II), and are proposed by the political leadership and multi-stakeholder task force. At a minimum, six working groups will be considered:

- 1) Climate diagnostics and mapping
- 2) Policy, legal and financial
- 3) Energy, transport and industry
- 4) Urban planning, infrastructure and waste management
- 5) Ecosystems and natural resource management, including agriculture, forestry and water
- 6) Sustainable human development, poverty and gender

**Figure 8. Multi-sectoral contributions towards 2030 emission reduction goals in the City of Portland**



Source: City of Portland and Multnomah County, Climate Action Plan 2009, 13 <http://www.portlandonline.com/bps/index.cfm?c=49989&a=268612>.

Brief descriptions of the scope of each of these suggested working groups are provided below.

It is important to note that dividing the working groups thematically enhances (not compromises) the multi-sectoral Green LECRDS approach. The suggested membership of each of six working groups will draw experts and decision makers from a variety of disciplines and sectors, necessitating cross-sectoral dialogues within each of the groups. Moreover, throughout the process the working groups should have opportunities to share and discuss their deliberations and findings. In order to produce informed, integrated multi-sectoral results (see Part IV on multi-stakeholder workshops), the groups should also have similar opportunities to share with the multi-stakeholder task force and other relevant stakeholders.

## Climate diagnostics and mapping working group

This working group will be supported by the coordination team and will participate in and oversee the compilation and dissemination of climate information and maps to facilitate the tasks of the other working groups and the Green LECRDS decision-making in general.

Most of this group's work will take place in Step 2 during the generation of climate profiles and prospective climate scenarios. This involves identification of possible climate conditions in a given geography as a function of different global greenhouse gas emission scenarios, and indicates current climate vulnerabilities and future variability and risks. This is the most technically sophisticated step of the Green LECRDS process, requiring the participation of national climate experts with the support of the coordination team.

Future climate scenarios are critical for the Green LECRDS road map. These scenarios will help countries to map development trajectories resilient to a range of possible climate outcomes and help prepare for the uncertainties inherent in climate change. A prospective range of climate predictions is needed to inform investment strategies that will facilitate the transition to low-emission and climate-resilient development. The LECRDS multi-stakeholder task force and working groups would need to assess the climate profiles and vulnerability scenarios produced in Step 2 in order to move on to Steps 3-5.

For further guidance, see *Mapping Climate Change Vulnerability and Impact Scenarios - A Guidebook for Subnational Planners* and *Formulating Climate Change Scenarios to Inform Climate - Resilient Development Strategies*.

## Policy, legal, and financial working group

Green LECRDS financing, legal and public policy implications should be considered in each working group, but the policy, legal and financial working group will be dedicated to policy, legal, regulatory, governance, and financial matters. This group will focus on the Green LECRDS strategic options to be identified and prioritized in Steps 3-4, and the implementation of the Green LECRDS once the road map is finalized and approved in Step 5. The primary responsibilities of the working group will be to i) conduct and/or oversee the governance, policy, legal, and financial scans; ii) analyse policy, legal, and financial requirements; iii) identify potential financial partners; iv) make policy and legal recommendations; and v) explore innovative financial mechanisms available domestically and internationally to cover the potentially very significant costs of implementation.

This working group will have direct links with ministries of finance and planning and other government legal and financial bodies at different levels in accordance with the scale of the Green LECRDS, ideally through participating members. It will also liaise in a coordinated fashion with the other working groups throughout the process, and be supported by the coordination team and other national experts as needed. This working group may conduct the governance, policy, legal, and financial scans discussed in Part II, in conjunction with the coordination team.

“It is important to note that dividing the working groups thematically enhances (not compromises) the multi-sectoral Green LECRDS approach.”

## Energy, transport, and industry working group

Access to services in the energy, transport and industry sectors—critical sources of greenhouse gas emissions—is a sustainable development issue (see Figure 9). Thus, actions in these sectors could have a great impact on emissions reductions and quality of human life. The energy, transport, and industry working group will address three linked sectors with the objective of shifting the policy and financial focus from fossil fuels to green, low-emission and climate-resilient energy technologies that will support sustainable transportation modalities and reduce industrial pollution. Achieving the sustainable development objective of energy security means decreasing the heavy reliance on fossil fuels that constitutes a major drain on the resources of developing countries. The working group will conduct an assessment of existing energy needs and consider options for increasing energy efficiency and turning to sources of low-emission, climate-resilient renewable energy. Providing sustainable green transport and reducing industrial greenhouse gas emissions through improved energy efficiency and renewable energy can be profitable, provide employment, and otherwise further economic development.<sup>4</sup> Similarly, improving clean energy access for all, especially the poor, has many sustainable development benefits. Because of the central focus on energy and emissions, the deliberations of this working group will be relevant for all other groups.

## Urban planning, infrastructure, and waste management working group

This urban planning, infrastructure and waste management working group will also consider greenhouse gas emissions, energy efficiency, renewable energy, and green technologies, but primarily as relevant to the built environment, infrastructure networks, and waste management in the urban landscape. The key question for this group to discuss is how to foster the sustainable development of cities by reducing their sizeable contribution to greenhouse gas emissions and making them less vulnerable to climate change. Issues to address include i) reviewing and setting new climate standards for urban planning, green spaces, energy consumption and distribution, water use, waste treatment and disposal, municipal transport, etc.; ii) assessing and improving the energy efficiency of buildings in the residential and commercial sectors; iii) retrofitting existing buildings and infrastructure to reduce emissions and increase climate resiliency; and iv) applying green technologies for waste management.

## Ecosystems and natural resource management (including agriculture, forestry, and water) working group

The ecosystems and natural resource management working group will survey the intrinsic links between climate change and management of ecosystems and natural resources. It is now well known that ecosystem degradation and biodiversity loss (e.g. forests, peatlands, endemic species) increase greenhouse gas emissions and intensify climate change impacts. Functioning natural ecosystems and well-maintained productive landscapes—sustainable agriculture and forestry, managed coastal zones—are critical for carbon storage, regulating global climate, providing a buffer from extreme climate events, and supplying ecological services such as a secure water supply. The working group may focus on maintaining

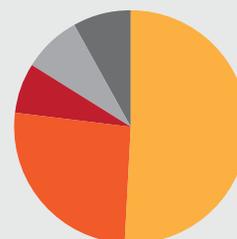
4 For further information on green economy measures see, for example: UNEP, *Towards a Green Economy: Pathways to Sustainable Development and Poverty Eradication - A Synthesis for Policy Makers* (2011); OECD, *Interim Report of the Green Growth Strategy: Implementing our Commitment for a Sustainable Future* (2010); and OECD, *Towards Green Growth* (2011).

**Figure 9. Energy consumption and emissions in Paris**

### Energy consumption

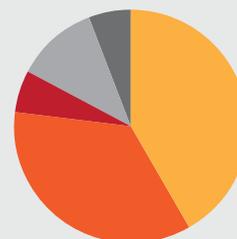
#### RESIDENTIAL SECTOR

900,000 metric tons of carbon equivalent over 70 million sq. m.



#### TERTIARY SECTOR

850,000 metric tons of carbon equivalent appx. 50 million sq. m.



Gas  
Electricity  
Steam  
Domestic fuel oil  
Other (coal, wood, heavy fuel oil, etc.)

#### Vehicle emissions

12,500 metric tons of carbon equivalent



Service-related journeys  
Freight  
Home-work commutes

Source: Paris Climate Protection Plan, 2007, [planclimat.paris.fr](http://planclimat.paris.fr).

and enhancing the viability of natural ecosystems and sustainable productive landscapes in order to secure livelihoods, food, water, and health; reduce vulnerability to climate change; and to avoid greenhouse gas emissions by sequestering carbon. Such efforts could include sustainable land management practices to help cope with climate risk (e.g. droughts, flooding), adoption of alternative fuel sources, conservation of native crop genotypes, extension of protected areas to include particularly vulnerable species and ecosystems, and participation in REDD (Reducing Emissions from Deforestation and Forest Degradation) initiatives.<sup>5</sup>

### Sustainable human development, poverty, and gender working group

The sustainable human development, poverty, and gender working group will address broad concerns of sustainable human development, particularly social welfare, poverty and gender equity. As mentioned previously, it is crucial to align climate policy with development objectives, such as the provision of basic services, employment, food security, and a clean and efficient energy supply. Climate change has a disproportionate impact on the poorest and most vulnerable in developing countries, and is exacerbated by the unrelenting degradation of ecosystems and natural resources upon which the poor rely. As such, conserving biodiversity and maintaining ecosystem integrity are central to improving the ability of the poor to cope with climate change.<sup>6</sup> Thus, Green LECRDS should ideally respond to the imperatives of inclusive, equitable, and sustainable growth and development that improve conditions for both people and the environment.

The integrated Green LECRDS approach also enables countries to employ diverse policy options required for low-emission and climate-resilient development, including those related to gender. Poor women live on the frontlines of climate change where persistent gender inequalities limit their participation in decision-making, restrict their access to resources, and make them more vulnerable. At the same time, women are active agents with different capacities to respond to climate and development challenges and to contribute to solutions.<sup>7</sup>

The far-reaching mandate of this working group means that it would have to be in continuous dialogue with the other groups to ensure that its transversal scope is realized.

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5 DD provides incentives for developing countries to combat climate change by protecting and sustainably managing forests and forest resources. The objective is to make standing forests more valuable than cut timber by assessing the financial value of the carbon stored in forests. UN-REDD Programme, <http://www.un-redd.org>.

6 Hannah Reid and Krystyna Swiderska, "Biodiversity, Climate Change and Poverty: Exploring the Links" (IIED Briefing, IIED, February 2008).

7 For further reading and resources, see the website of the Global Gender and Climate Alliance: <http://www.gender-climate.org>. The Alliance was formed in 2007 to ensure that climate change policies, decision-making, and initiatives at the global, regional and national levels are responsive to gender concerns.

## Long-term planning horizons and methodologies

The working groups will need to elaborate and build upon long-term planning horizons and methodologies that allow decision makers, policymakers and stakeholders to respond to and anticipate the risks and uncertainties of actual and future climate change over the next decades. Short- or even medium-term reactions to climate change without taking into consideration long-term climate fluctuations can lead to unsustainable development planning and costly investment decisions. These are considerations that will come to the fore in subsequent steps of the Green LECRDS process, but are important to keep in mind as the working groups are formed and begin to plan their work. The process should be somewhat flexible to take advantage of short-term opportunities as they emerge in the planning stage. Box 17 notes the short-term energy and climate targets in China's 12<sup>th</sup> Five-Year Plan that contribute to the long-term vision of a new climate economy.

See Annex 6 for operational terms of reference for the Green LECRDS working groups.

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Short- or even medium-term reactions to climate change without taking into consideration long-term climate fluctuations can lead to unsustainable development planning and costly investment decisions.

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### Box 17. China's 12th Five-Year Plan proposes new climate economy

China's economic planning document, the 12th Five-Year Plan endorsed by the National People's Congress in March 2011, seeks to establish a "green, low-carbon development concept."

Key energy and climate targets include:

- Increase proportion of non-fossil fuels in energy consumption to 11.4% by 2015
- Reduce energy consumption per unit of Gross Domestic Product (GDP) by 16% from 2010 levels by 2015
- Reduce carbon dioxide emissions per unit of GDP by 17% from 2010 levels by 2015

Priority clean technology "strategic emerging industries" for industrial innovation and development include:

- Energy efficiency technologies, recycling, and waste management
- Advanced nuclear energy, wind, solar, smart grids and biomass
- Hybrid and pure electric vehicles

The Plan refers to the "step-by-step establishment of carbon emission trading markets" and the use of market mechanisms to promote energy savings.

China has the world's largest installed renewable energy electricity generation capacity:

- In the five years to 2010, energy consumption per unit of GDP fell by 19.06% (11th Five-Year Plan set 20% target)
- China is currently closing one inefficient high polluting power plant every one to two weeks. In the five years to 2010, China decommissioned over 70 gigawatts of smaller, inefficient power plants.

Source: <http://www.climatechange.gov.au/government/international/global-action-facts-and-fiction/climate-change-china.aspx>. See Annex 3 for details on other national level processes.

## Green LECRDS coordinator and team

### **Box 18. Location of the Green LECRDS coordinator and team**

In Uruguay, the Green LECRDS process has a regional dimension, which encompasses the Metropolitan Region of Montevideo. While the Green LECRDS coordinator and climate change specialists are based in the capital city of Montevideo, three regional coordinators, who make up the rest of the team, are located in each of the three regional districts that form the Metropolitan Region of Montevideo. This sort of decentralization has both advantages and drawbacks. While having the coordination team all in one place may facilitate communication and smooth functioning of the team, decentralization allows for direct consultation and dialogue with local and regional stakeholders and authorities.

Once a national or subnational government decides to pursue a Green LECRDS, a coordinator is recruited and a small coordination team established. The recruitment process is undertaken by the key agency or agencies supporting the Green LECRDS process. *See Annex 6 for terms of reference for the coordinator and team member positions.*

Once selected, the coordinator and team may be located in a government ministry (e.g. planning or finance), at the subnational level or both. In Uruguay, the coordinator and team are located in a decentralized manner (see Box 18), with the main coordinator in the capital and three other coordinators located in the three regional districts. Because of the multi-sectoral, multi-level nature of LECRDS, it is recommended that if the coordination team is housed in a government ministry, that the ministry be one with broad, transversal powers and authority, such as planning and finance, rather than an environmental ministry or climate change entity which might lead to the sort of thematic and strategic compartmentalization that Green LECRDS is aiming to overcome.

The principal responsibilities of the coordinator and his/her team are to program, coordinate, supervise and monitor each step of the Green LECRDS process, always in a supporting and collaborative role to the multi-stakeholder task force and working groups (see Table 2 on Green LECRDS roles and responsibilities). The coordinator has an overall supervisory and programming mandate, and works closely with the multi-stakeholder task force leading the Green LECRDS process, as well as with the technical and thematic experts in the working groups. In some cases, the coordinator cultivates and sustains the necessary high-level political support. The coordinator also plays a central role in mobilizing stakeholders and supporting the governance framework, in short, in pursuing the multi-stakeholder, multi-sector, multi-level promise of Green LECRDS.

The size of the coordination team naturally depends on budgetary and other institutional constraints. In Chicago (see Box 8), where an active mayor, NGO partner, internal city steering committee, and multi-stakeholder task force were all committed and involved, the equivalent of two full-time staff was deemed necessary for the coordination team. In a given municipal, regional, or national government setting, several staff may contribute part of their time to Green LECRDS, according to need and competency. The members of the coordination team should demonstrate familiarity with as many as possible of the following areas of expertise: governance and partnership building, public policy, finance, climate science, sustainable development, and communications. The team supports the organization of a multi-stakeholder, multi-sector, multi-level governance framework as well as the organization and tasks of the multi-stakeholder task force and working groups. The coordination team undertakes the following activities during Step 1 of the Green LECRDS process, in conjunction with the other actors and stakeholders mentioned:

- ▼ Ensure high-level political and policy support
- ▼ Identify and mobilize key actors across sectors and decision-making levels, including private sector, civil society, community organizations, and technical experts
- ▼ Establish dialogue and cooperation arrangements as appropriate to the context, especially public-private and cross-sectoral partnerships, following multi-stakeholder task force guidance
- ▼ Identify tools and criteria for decision-making that are in line with multi-stakeholder task force indications
- ▼ Clarify the distinct and accountable roles of all partners and stakeholders, also in line with multi-stakeholder task force indications
- ▼ Support the multi-stakeholder task force in achieving balance among the objectives and priorities of different levels and sectors
- ▼ Map key climate issues, opportunities and stakeholders
- ▼ Conduct governance, financial, legal and policy scans, and identify opportunities and barriers
- ▼ Identify and build upon existing capacities for integrating climate into cross-sectoral sustainable development planning
- ▼ Facilitate capacity development of elected officials, civil servants and key actors as necessary
- ▼ Prepare communications and awareness-raising strategy
- ▼ Establish active communication channels between partners to share information and adjust policies and measures as required
- ▼ Take central role in facilitating Green LECRDS drafting team

These recommended activities are intended to be carried out in a flexible manner that is congruent with the particular institutional, planning and coordination cultures in a given country or region.

Subsequently, the coordinator and team support the multi-stakeholder task force, technical and policy working groups, and other participating actors and stakeholders through the next steps of the Green LECRDS preparation process, culminating in the low-emission and climate-resilient development road map. Throughout this process, it will be important to keep the following in mind:

- ▼ Build in measures from the outset to avoid dispersal, fragmentation, or duplication of efforts
- ▼ Keep the focus on long-term climate and sustainable development trajectories while taking advantage of short-term opportunities as they emerge in the planning process

Table 2 outlines the roles and responsibilities of the Green LECRDS multi-stakeholder task force, thematic working groups, coordinator and team in this first step of the Green LECRDS process.

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The principal responsibilities of the coordinator and his/her team are to program, coordinate, supervise and monitor each step of the Green LECRDS process, always in a supporting and collaborative role to the multi-stakeholder task force and working groups.

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**Table 2. Green LECRDS Step 1 roles and responsibilities**

Responsible Party	Responsibilities and Activities	Results
<p><b>Convening political leadership</b></p> <p><b>Agency supporting Green LECRDS</b></p>	<ol style="list-style-type: none"> <li><b>1. Initiate multi-stakeholder participatory process at national/regional/municipal level</b></li> <li><b>2. Organize Green LECRDS coordination</b> <ul style="list-style-type: none"> <li>Green LECRDS Coordinator</li> <li>Green LECRDS Team with sectoral and thematic expertise</li> </ul> </li> <li><b>3. Identify/establish Green LECRDS multi-stakeholder task force</b></li> </ol>	<p>Green LECRDS planning process launched</p>
<p><b>Green LECRDS multi-stakeholder task force</b></p> <p><b>Green LECRDS coordination team</b></p>	<ol style="list-style-type: none"> <li><b>4. Establish Green LECRDS multi-stakeholder, multi-sectoral, multi-level preparation process</b> <ul style="list-style-type: none"> <li>Define objectives and scope</li> <li>Define operational and organizational structure, roles and responsibilities, and budget</li> <li>Determine vertical and horizontal decision-making structures and how decisions will be validated</li> <li>Define steps, methods, work plan and timetable (how key stakeholders and partners will be consulted, number and scope of structured dialogues and multi-stakeholder workshops, how work will be undertaken, documented, and presented, composition of Drafting team)</li> </ul> </li> <li><b>5. Mobilize key actors and stakeholders</b> <ul style="list-style-type: none"> <li>Map key climate and sustainable development issues, opportunities and stakeholders</li> <li>Ensure high-level policy and political involvement</li> <li>Involve different decision-making levels</li> <li>Identify and mobilize key actors in each sector</li> <li>Identify capacity development needs for key stakeholders including elected officials, government agencies and civil society organizations</li> <li>Prepare communications and awareness raising strategy</li> </ul> </li> <li><b>6. Organize technical and policy working groups</b> <ul style="list-style-type: none"> <li>Assess required and existing expertise</li> <li>Determine prospective composition of thematic working groups: finance, energy, agriculture, forest and natural resources, water, urban infrastructure, transport, etc.</li> <li>Include local/regional/national authorities, sectoral agencies/ministries, private sector, academia, research institutes, NGOs, community organizations, etc.</li> </ul> </li> </ol>	<p>Multi-stakeholder participation process defined for decision makers, actors, stakeholders in city/region/country</p> <p>Communication campaign launched</p>
<p><b>Green LECRDS coordination team and working groups</b></p>	<ol style="list-style-type: none"> <li><b>7. Gather and analyze information and potential for Green LECRDS</b> <ul style="list-style-type: none"> <li>Conduct scans (governance, policy, legal, financial)</li> <li>Organize and undertake multi-stakeholder consultations and workshops, structured dialogues with partners, and capacity development seminars</li> </ul> </li> </ol>	<p>Research and information compiled and results shared</p>
<p><b>Green LECRDS multi-stakeholder task force/team</b></p>	<ol style="list-style-type: none"> <li><b>8. Presentation of Green LECRDS preparation process to all stakeholders, partners, actors in region or country</b></li> </ol>	<p>Step One finalized</p>



PART

Operationalizing  
the Green LECRDS  
planning framework

IV

The elements and actors of the Green LECRDS framework are brought together in multi-stakeholder consultations and workshops, structured dialogues among partners, and capacity development seminars. This section covers these modalities as well as the internal and external communications required to mobilize and sustain the Green LECRDS framework and to engage the general public.

## Structured dialogues, consultations, and multi-stakeholder workshops

As the various tasks and activities contemplated in Step 1 gather momentum, the convening political authority/champion and multi-stakeholder task force, in conjunction with the coordination team, should plan a series of events to involve stakeholders, partners, and concerned citizens. These consultations, workshops, and seminars would serve multiple purposes at different moments, principally to:

- ▼ Inform and empower stakeholders with updates and brainstorming of ideas and aspirations on the Green LECRDS planning process
- ▼ Ensure that the working groups are sharing and discussing their findings and recommendations to obtain cross-sectoral results
- ▼ Provide capacity development as needed for key public and private authorities, relevant government and NGO personnel, and other stakeholders
- ▼ Present Green LECRDS preparation process and multi-level, multi-sector, multi-stakeholder governance framework to stakeholders and partners to finalize Step 1

The timing, scope, and size of the workshops and seminars will be determined by the exigencies of the work plan developed by the multi-stakeholder task force as well as by the capacity needs that emerge from the process of conducting the reviews and scans (Part II). A series of workshops and seminars may be developed on particular capacity development themes.

Moreover, at different moments in the process, seminars should be organized for the working groups to share and discuss their deliberations and findings with one another as well as with the multi-stakeholder task force and other relevant stakeholders, and to thereby support the cross-sectoral purpose of Green LECRDS.

Additionally, as the working groups get underway and the multi-stakeholder task force begins its substantive work, it will be important to introduce flexible and low-cost consultation mechanisms that will allow the greatest number of concerned stakeholders to respond to working group findings and task force recommendations. As such, both actual (in different localities) and virtual (online) consultations may be considered. The importance of public consultations held in different places in a given country or region cannot be overstated, as evidenced by nearly all the literature reviewed in the preparation of this guidebook.

**Box 19. Progress on Green LECRDS in Uruguay**

**Purpose:** To strengthen capacities of subnational governments and relevant stakeholders to integrate climate change in territorial planning and policy design

**Funding:** Basque government, ART-GOLD Trust Fund, Province of Québec

**Implementing Agency:** UNDP

**Partners:** Canelones, Montevideo, and San José governments, National Climate Change Response System

**High-level political support:** Agreement signed by three regional governments, four national ministers, and UNDP

**Coordination structure:** In place, including local, regional, and national levels

**Participatory planning:** Thirty workshops held for collective analysis, capacity development, identification and prioritization of mitigation and adaptation options

- 700 technical experts from national, regional and local government; academia; NGOs and private sector
- Greenhouse gas emissions inventory and scenarios, impact maps for agriculture and coastal areas, pre-feasibility studies developed

**Working group themes:** Energy, transport, waste, agriculture, biodiversity, coastal management, extreme events

- 500 potential options and measures were identified, classified, and systematized as long- and short-term actions; subsequently prioritized according to nine criteria

**Intermediate results:** Sustainable irrigation technologies for milk production – €330,000; vulnerable basin flooding risk assessment – IDB US\$120,000

- Energy production from agricultural waste – Eletrobras/Duke Energy US\$3 million
- Rural women and youth climate-related employment - €275,000
- Increased investments in surface water storage and underground water perforationsLocal emergency response committees created

**Status:** Project under implementation (September 2009 – December 2012)  
Green LECRDS road map preparation underway

“

The importance of public consultations held in different places in a given country or region cannot be overstated, as evidenced by nearly all the literature reviewed in the preparation of this guidebook.

”

In the case of the smaller and more limited structured dialogues, these could be very useful to bring together public and private sectoral interests, for example, to negotiate their participation in the Green LECRDS process, or to elicit the support of potential partners and funders. In contrast to the broader and more open workshops and public consultations, the structured dialogues are intended for a limited number of participants to discuss a specific agenda, often with the assistance of a skilled facilitator or moderator. These structured dialogues may take place in the context of multi-stakeholder task force or working group meetings or be convened separately as appropriate.

## Green LECRDS communications strategy

**Figure 10. Mexico City web portal,**  
<http://www.sma.df.gob.mx/sma/index.php?opcion=26&id=531>



Constant communications, both internal and external, are the key to keeping the Green LECRDS framework mobilized. A communications strategy helps maintain stakeholders and partners as well as the wider public informed and involved as decisions are taken and the Green LECRDS formulation process moves forward over the short to medium term.

Based partly on the results of the scans and mapping in Part II, the Green LECRDS coordinator and team should prepare a communications strategy that targets different audiences with different information, data, and knowledge needs: concerned citizens, partners, scientists/experts, and authorities. The strategy should address the strengths and weaknesses in stakeholder appreciation of climate and sustainable development issues, and thereby promote their informed participation in the Green LECRDS preparation process. The strategy will also help to reach potential stakeholders and attract new partners.

**Figure 11. Chicago web portal,**  
<http://www.chicagoclimateaction.org>



At the core of the strategy will be a climate and sustainable development information system generating rigorous and updated information for internal use by the multi-stakeholder taskforce, working groups, and coordination team, but that could be shared externally with all stakeholders. In many cases this communications and information system could build on existing climate and development databases and archives.

Another critical function for the communications strategy will be to support the above-mentioned actual and virtual public consultations on priority themes emerging from the Green LECRDS process. This includes providing outreach and publicizing the consultations through different media, as well as producing and disseminating relevant information and knowledge in accessible forms.

A dedicated web portal can channel and showcase findings and progress reports from the coordination team, working groups, multi-stakeholder task force and partners. The online features will be complemented by printed and audio/visual materials that would be widely distributed as a means of engaging all concerned citizens. See Figures 10-12 for a few examples of web portals selected from those consulted in the preparation of this guidebook.

An effective communications strategy thus contributes to ensuring that Green LECRDS stakeholders, multi-stakeholder task force, and working groups have the information and knowledge to be able to diagnose and articulate climate and sustainable development problems and potential solutions. At the same time, the communications strategy complements existing awareness-raising efforts about climate change and sustainable development while highlighting the distinctiveness of Green LECRDS.

**Figure 12. Paris web portal,**  
<http://www.paris.fr/pratique/environnement/energie-plan-climat/p8411>









# Critical elements of an effective multi-stakeholder decision-making process for Green LECRDS

The following summarizes the crucial, inter-linked elements that are essential components of Step 1 of the Green LECRDS preparation process:

- ▼ **Mobilization, coordination, and sustained engagement of wide range of stakeholders** across sectors in Green LECRDS preparation and implementation with specified roles and institutional responsibilities, contributing to legitimacy and public support for process.
- ▼ **Political support and commitment of high-level public officials, civil servants and private sector** actors to not only initiate and lead the planning process, but remain vitally engaged and proactive during the financing, implementation and assessment of the Green LECRDS. A strong political champion and influential multi-stakeholder task force can help lay the groundwork for the Green LECRDS preparation process, create the necessary enabling conditions, spearhead changing laws, policies, and regulations as required, and, finally, shepherd the Green LECRDS through the national or regional parliament/legislative body for approval and enforcement.
- ▼ **Credible, transparent and accountable decision-making process** which maximizes synergies, minimizes trade-offs and enhances policy coherence among sectors
- ▼ **Building on existing financial resources, climate information, and relevant institutions**, regulations, and policies at national or subnational levels, and leveraging existing climate and development initiatives and plans, as well as experiences of other countries, cities, and localities
- ▼ **Information and communications network** that keeps stakeholders and partners as well as the wider public informed and involved as decisions are taken and the Green LECRDS process moves forward over the short, medium and long term

At the culmination of Step 1, the multi-stakeholder task force, working groups, and coordination team are in place; partners and stakeholders are mobilized and coordinated; initial mapping and scanning completed; and the Green LECRDS multi-level, multi-sector, multi-stakeholder governance framework presented to stakeholders and partners.

The process of preparing a Green LECRDS (Steps 1-5) could take up to two years given the scope and complexity of the exercise, and the need to involve multiple sectors, multiple stakeholders, and multiple levels, while ensuring that planning activities and scientific assessments are coordinated and systematic. At the same time, it is expected that one or more demonstration projects would be launched in parallel to the development of the strategy. The participation of high-level public and private authorities with the capacity to take decisive policy and legislative action—as well as empowered stakeholders at different levels across sectors—are crucial elements in the process for Green LECRDS to be effective.





# Annex 1. UNDP technical advisory infrastructure to support Green LECRDS

UNDP, as a leading implementing agency for Green LECRDS, and its global Technical Facility can assist countries in marshalling the people and resources, and accessing or developing the methodologies and tools to put these elements into practice. UNDP and the Technical Facility are ready to provide the technical assistance and capacity development that might be deemed necessary as working groups are formed and research and planning get underway.

Individual country projects for Green LECRDS preparation are managed by national project teams with quality assurance and oversight provided by UNDP Country Offices, UNDP Environment and Energy Technical Advisors based in Regional Service Centers (RSCs) in Bangkok, Bratislava, Dakar, Pretoria, and Panama, and the global Green LECRDS Technical Facility.

UNDP's Green LECRDS Technical Facility is comprised of a global support team of technical advisors specializing in climate modeling, greenhouse gas inventories, mitigation analysis, vulnerability assessments, climate economics and finance. They can advise on conducting financial, scientific, governance, legal, and policy scans to determine available resources and capacities, as well as on identifying key stakeholders, barriers to be surmounted, and potential financial flows and policy/regulatory innovations for Green LECRDS implementation.

The Technical Facility operates with an international network of global and regional centers of excellence for climate/biophysical modeling and carbon accounting, including the University of Cape Town, Columbia University and NASA/Goddard, Yale University, among others. For socio-economic modeling, partnerships are being negotiated with, among others, centers of excellence at the University of Pretoria, Economy and Environment Program for Southeast Asia (EEPSEA), and Fondazione Eni Enrico Mattei.

# Annex 2. LECRDS manuals and guidebooks

## LECRDS Approach

[Preparing Low-emission and Climate-Resilient Development Strategies \(LECRDS\) - Executive Summary](#)

This report serves as the Executive Summary to a series of manuals and guidebooks that UNDP is offering in support of LECRDS. It provides a brief outline of the approach and methodologies that these materials treat in detail. Click here to view in: [English](#), [French](#), [Spanish](#).

## Step 1: Develop a Multi-Stakeholder Climate Planning Process

[Charting a New Low-Carbon Route to Development](#)

Integrated climate change planning - a how-to guide for local and regional policymakers on planning a low-carbon future. This document focuses on the importance of full engagement of subnational authorities to comprehensively address climate change and suggests that taking the necessary action to tackle climate change will be more effective if it helps address local development issues. Click here to view in: [English](#), [Spanish](#), [Russian](#).

## Step 2: Prepare Climate Change Profiles and Vulnerability Scenarios

[Formulating Climate Change Scenarios to Inform Climate-Resilient Development Strategies](#)

This guidebook builds on a large range of UNDP's ongoing initiatives to support adaptation to climate change. This series is intended to empower decision makers to take action, and to prepare their territories to adapt, and hopefully thrive, under changing climatic conditions.

[Managing the National Greenhouse Gas Inventory Process](#)

The handbook was developed by UNDP with input from a wide range of institutions and national experts from Annex I and non-Annex I Parties. The objective of the handbook is to provide non-Annex I Parties with a strategic and logical approach to a sustainable inventory process.

[Mapping Climate Change Vulnerability and Impact Scenarios - A Guidebook for Subnational Planners](#)

This guidebook assists planners working at the subnational levels to identify and map the nature of current and future vulnerability to long-term climate change so that appropriate policies and intervention can be designed and implemented.

[Applying Climate Information for Adaptation Decision-Making: A Guidance and Resource Document](#)

This guidance document intends to provide countries with a practical tool on using climate information in their decision-making processes. This guide addresses these issues of adaptation planning under uncertainty of observed and projected climate change.

Guidebook on Preparing a GHG Emissions Inventory at the Subnational Level (forthcoming)

## Step 3: Identify Strategic Options Leading to Low-Emission Climate-Resilient Development

### Technology Needs Assessment Handbook

Building on lessons from earlier TNA efforts, the updated TNA Handbook offers a systematic approach for conducting TNA in order to identify, evaluate and prioritize mitigation and adaptation technologies.

### Toolkit for Designing Climate Change Adaptation Initiatives

This Toolkit helps practitioners understand how to differentiate between a climate change adaptation and a traditional development initiative. It sets out the fundamental components of the design process, the approach to building stakeholder consensus, and key tools and methodologies.

### Paving the Way for Climate-Resilient Infrastructure

This report summarizes the proceedings of the El Salvador conference (June 2010) “Strategies for Adapting Public and Private Infrastructure to Climate Change.” It outlines the multiple development benefits of climate-proofing infrastructure. While these proceedings address the specific context of El Salvador, the methodologies outlined can be applied to a wide range of situations.

LECRDS and Green Employment (forthcoming)

## Step 4: Identify Policies and Financing Options to Implement Priority Climate Change Actions

### Catalysing Climate Finance – A Guidebook on Policy and Financing Options to Support Green, Low-Emission and Climate-Resilient Development

This guidebook is offered as a primer to countries to enable them to better assess the level and nature of assistance they will require to catalyze climate capital based on their unique set of national, regional and local circumstances.

Policy and Financial Instruments Toolkit for Low-Emission Climate-Resilient Development (forthcoming)

### Climate Finance Options (jointly with World Bank)

This Platform aims at providing comprehensive guidance on financial options available for climate action in developing countries. Information is provided on where to access the wide range of funds available from multilateral and bilateral institutions, as well as public and private sources.

International Guidebook for Environmental Finance Tools (forthcoming)

## Step 5: Prepare Low-Emission Climate-Resilient Development Road map

### Blending Climate Finance through National Climate Funds

This guidebook focuses on the design and establishment of National Climate Funds to support countries to collect, blend, coordinate, and account for climate finance. It outlines six key components that provide a structure to help countries drive resources toward a country’s climate and development priorities. In this way, NCFs support countries to manage climate finance catalytically and build a system that promotes country-driven sustainable development now and in the future.

Guidebook on Project Management for National and Subnational Institutions (forthcoming)

A Guidebook on Climate Change Measurement, Reporting and Verification (forthcoming)

A Guidebook on Legal Climate Instruments (forthcoming)

# Annex 3. Formulation process and scope of selected national climate change strategies

**Table 3. Formulation process and scope of selected national climate change strategies**

India - National Action Plan on Climate Change (NAPCC)	Brazil - National Plan on Climate Change (PNMC)	China - National Climate Change Program	Mexico - Special Program on Climate Change (PECC)	South Africa - National Climate Change Response Green Paper
Prime Minister appointed Council to develop NAPCC in 2007. Members of Council include ministers, government officials, scientists, civil society, and private sector. Further stakeholder consultations are indicated.	President initiated PNMC in 2007 and established Inter-Ministerial Committee on Climate Change to oversee it. Committee surveyed ministries to identify potential climate actions and conducted stakeholder consultations. After public comment on initial version, revised version released in December 2008. PNMC became national policy through presidential signature of Brazilian law 12.187 in 2010.	China first major developing country government to issue National Action Plan on Climate Change in 2007. Chinese Vice Premier heads National Coordination Committee on Climate Change, composed of 17 ministries and agencies, which is in charge of climate policy.	Inter-Secretarial Commission on Climate Change formed in 2005 and prepared National Climate Change Strategy (ENACC), presented by President in 2007. PECC emerged from ENACC and 17 sectoral reviews, and forms integral part of environmental sustainability pillar of National Development Plan. President launched PECC in 2009 after initial draft revised in line with new GHG mitigation scenarios and public consultations.	In 2006 Cabinet directed Department of Environment Affairs to develop plan in conjunction with research institutes, business, and civil society. Draft National Climate Change Response Green Paper was released in 2010 for public comment in early 2011 along with a series of provincial public consultations across the country.
NAPCC enhances ecological sustainability of India's development path, maintaining high growth rate for increasing living standards for vast majority of population while reducing vulnerability to climate change. NAPCC identifies eight multi-pronged, long-term, integrated national missions and inter-sectoral institutional arrangements to achieve them: solar, energy efficiency, sustainable habitat, water, Himalayan ecosystem, green India, sustainable agriculture, and strategic knowledge for climate change.	PNMC provides economy-wide coverage, including adaptation, mitigation, R&D, education, and communication actions in following sectors: energy (renewable / clean energy, biofuels, consumption reduction, oil and gas), forests and agriculture (ecosystem conservation, agriculture and ranching, strengthening sinks), industry, waste, transport, and health. Brazilian law 12.187 adopts Brazil's voluntary greenhouse gas reduction target of 36.1% - 38.9% of projected emissions by 2020, requires quantifiable and verifiable mitigation actions, and provides climate policy financing details.	National Climate Change Program covers energy production, and transformation, energy efficiency, industrial processes, agriculture, forestry, and waste. It addresses mitigation, adaptation, science and technology, public awareness, institutions and mechanisms, and international cooperation. 12th Five-Year Plan (endorsed by National People's Congress in March 2011) includes green, low-carbon development concept. Plan calls for new reduction targets for energy consumption, fossil fuel use, and carbon dioxide emissions. Plan highlights emerging strategic industries for energy efficiency, recycling, and waste management; advanced nuclear energy, wind, solar, smart grids and biomass; and hybrid/pure electric vehicles. Refers to step-by-step establishment of carbon emission trading markets.	PECC establishes a low-carbon development scenario for Mexico, identifying priorities and financing sources, both domestic and international. PECC seeks to engage private sector and civil society to halve Mexico's emissions by 2050, and covers mitigation, adaptation, and cross-cutting policies in every sector of the economy, including energy generation and energy use; urban transportation; agriculture, forests, and other land uses; water; and waste.	National Climate Change Response Green Paper draft contemplates adaptation and mitigation across sectors: water, agriculture, human health, energy, industry and mining, transport, disaster management, natural resources, and human settlements, infrastructure, buildings, and waste in urban, rural, and coastal areas. Green Paper identifies institutional cooperation framework, specifically Inter-Ministerial Committee on Climate Change, indicates stakeholder consultations through National Committee on Climate Change and partnerships with business, labor, and community groups, and proposes financing mechanisms.

Source: Updated adaptation of World Resources Institute, *National Climate Change Strategies: Comparative Analysis of Developing Country Plans* (December 2009), [http://pdf.wri.org/working\\_papers/developing\\_country\\_actions\\_table.pdf](http://pdf.wri.org/working_papers/developing_country_actions_table.pdf).

## Annex 4. Chicago checklist for Climate Action Planning

- Create a staff and organizational structure to carry out work and manage funds
- Find a non-profit [NGO] partner
- Engage a group of funding partners
- Create a climate planning task force
- Create a research advisory committee and research plan
- Perform or gather research on climate change impacts on the region and priorities for adaptation
- Analyze baseline greenhouse gas emissions
- Create a process for engaging municipal departments and sister agencies
- Create a process for engaging local civic and non-profit [NGO] leaders
- Assess and summarize existing City initiatives, resources and capacities
- Inventory best practices from other cities
- Collect ideas for emissions reductions and adaptation from the task force, departments, and civic and non-profit [NGO] leaders
- Analyze emissions reductions options, including size of potential reductions, cost-effectiveness, feasibility and other benefits
- Vet and prioritize climate mitigation and adaptation options with all stakeholders
- Choose overall goals for emissions reductions and actions to achieve them
- Develop implementation plans, structures, and partnerships for the highest priority actions (and a timeline for the rest)
- Establish performance monitoring tools
- Develop and implement an on-going communications strategy
- Launch climate action plan
- Continue on-going planning, monitoring and reassessment

See <http://www.chicagoclimateaction.org> for further resources and tools from the Chicago experience.

# Annex 5. Local government financial scan

The **Local Government Finance Questionnaire** tool helps identify the options available to the local government for future climate and development projects. It is also a starting point towards formulating the optimal financing mix tailored to the local government's unique climate change profile and policy framework as well as potential sources of funding, including public and private sources, market-based mechanisms (e.g. carbon finance), and innovative financing instruments.

The questionnaire aims to develop a preliminary understanding of the current financial status of the local government as well as the structure and policies for financing infrastructure projects. The extent to which the information can be provided would be helpful in facilitating the discussion for options available to local government financing.

The questionnaire is broken into two main sections:

- ▼ Section 1 broadly reviews the key elements of the local government's budget, including sources of revenues and the local government's spending responsibilities.
- ▼ Section 2 analyses the local government's current policy towards financing infrastructure projects and its outlook for borrowing for future investment projects.

## Local Government Finance Questionnaire

<b>1.0 Local Government Fiscal Analysis, Revenue Raising Capabilities, and Spending Responsibilities</b>		
<b>1.1 Revenue Raising Capabilities</b>		
1.1.1	What is the breakdown of the local government's revenues?	
	Own-Source Revenues (revenues collected by the local government):	% of total revenues
	Transfers and/or Grants from the Central Government:	% of total revenues
1.1.2	What is the breakdown of the local government's own-source revenues (i.e. revenues collected by the local government)?	Please check all that apply
	Income Taxes:	
	Property Taxes:	
	Sales & Use Tax:	
	Excise Taxes:	
	Service Charges, User Fees:	
	Fines and Penalties:	
	Other - Please specify:	
1.1.3	Are central government transfers/grants consistent, predictable, and/or formula-based?	Yes / No
1.1.4	Does the local government have the power to increase taxes?	Yes / No
1.1.5	Does the local government have the power to increase user/service fees at its own discretion?	Yes / No
<b>1.2 Spending Responsibilities</b>		
1.2.1	What is the breakdown of the local government's expenses?	
	Recurring expenses (e.g. personnel salaries, operating and maintenance expenses)	% of total expenses
	Non-recurring expenses (e.g. spending for infrastructure projects)	% of total expenses
1.2.2	Does the local government have high pension liabilities?	Yes / No
<b>1.3 Fiscal Reporting &amp; Overall Financial Condition:</b>		
1.3.1	Are local government fiscal records transparent and readily accessible?	Yes / No
1.3.2	Are there reliable financial data and indicators available at the local government level?	Yes / No
1.3.3	What has been the operating surplus <sup>1</sup> trend for the last 3 years? If available, please provide actual figures below:	Positive / Mixed / Negative
		2009
		2008
		2007
1.3.4	What has been the total surplus <sup>2</sup> trend for the last 3 years? If available, please provide actual figures below:	Positive / Mixed / Negative
		2009
		2008
		2007

1	Operating Surplus can be calculated as recurring revenues less operating expenses (excluding debt service)	
2	Total Surplus can be calculated as Operating Surplus less debt service and capital spending/investments, plus additional funds raised from asset sales or capital grants	
<b>2.0 Local Government Financing Structure &amp; Policy Analysis:</b>		
<b>2.1 Current Financing Structure &amp; Policies</b>		
2.1.1	What are the current sources of local government financing needs?	Please check all that apply
	<b>1) Grant-based financing:</b>	Yes / No
	Central Government Agencies	
	Bilateral Donors	
	Multilateral Funds	
	<b>2) Loans</b>	Yes / No
	Government/State-Owned Banks	
	Domestic Development Funds (includes donor-assisted loan funds, e.g. municipal development funds)	
	Commercial Banks	
	<b>3) Capital Markets</b>	Yes / No
	Domestic Capital Markets	
	International Capital Markets	
<b>If the local government has no prior experience in bank debt or bond financing for infrastructure projects, please go to section 2.4.</b>		
2.1.2	What type/(s) of debt structure does the local government have experience with?	Please check all that apply
	General Obligation Bonds:	
	Limited Obligation (Revenue) Bonds:	
	Project Finance/Public-Private Partnerships:	
2.1.3	Does the local government have an established debt policy or a rule-based framework on borrowing (e.g. debt limits, restrictions on borrowing)	Yes / No
2.1.4	Does the local government have an established track record of debt servicing?	Yes / No
2.1.5	Does the local government have the ability to borrow commercially in the absence of central government guarantees?	Yes / No
2.1.6	Does the local government have the ability to access non-government domestic sources of funding?	Yes / No
2.1.7	Does the local government have the ability to access international sources of funding?	Yes / No
2.1.8	Does the local government have access to long-term debt financing for infrastructure projects?	Yes / No
2.1.9	Does the local government have significant refinancing needs?	Yes / No
2.1.10	Does the local government have access to fixed-rate financing for infrastructure projects?	Yes / No
2.1.11	Does the local government have significant refinancing needs?	Yes / No
2.1.12	Are there clearly defined legal procedures in case of local government loan defaults?	Yes / No
2.1.13	Is there a history of local government fiscal bailouts by the central government?	Yes / No

<b>2.2 Infrastructure Project Portfolio</b>	
2.2.1 What types of infrastructure projects has the local government financed in the past?	Please check all that apply
Transportation	
Water	
Waste Management	
Energy Production and/or Distribution	
Other - Please specify	
2.2.2 What is the largest infrastructure project that the local government has financed?	
Project sector:	
Size of project (in local currency):	
Type of financing:	
<b>2.3 Credit Enhancing Mechanisms</b>	
2.3.1 Does the local government have the ability/option to pledge physical assets as collateral?	Yes / No
2.3.2 Does the local government have experience with credit enhancing mechanisms in its financing activities? If so, please check all that apply below.	Yes / No
Government guarantees:	
Government subsidies:	
Revenue intercepts:	
Donor-based loan guarantees:	
Pooling of projects & securitization:	
<b>2.4 Local Government Financing Policy Outlook</b>	
2.4.1 What is the level of local government's willingness to tap non-grant based sources of financing?	Low / Medium / High
2.4.2 What is the level of central government's willingness for local government to finance projects using non-government sources of financing?	Low / Medium / High
2.4.3 What is the level of central government's willingness for local government to access international capital markets for financing?	Low / Medium / High
2.4.4 What is the central government's willingness to guarantee local government loans and/or support other credit enhancing mechanisms?	Low / Medium / High
2.4.5 What are the types of projects the local government would like to seek financing for in the future?	Please check all that apply
Transportation	
Water	
Waste Management	
Energy Production and/or Distribution	
Other - Please specify	

References: International Monetary Fund (IMF). *Macro Policy Lessons for a Sound Design of Fiscal Decentralization - Background Studies*. Prepared by IMF's Fiscal Affairs Department, approved by Carlo Cottarelli, July, 2009. El Daher, Samir, *Sub-sovereign Credit Markets: Framework for Enhancing Local Government Financial Management, Creditworthiness and Access to Capital Markets, Presentation*. World Bank, May, 1999. Cochran, Thomas H. et al. *Financing Local Infrastructure: Part One Report - Tanzania Environmental Scan*. Internal report for UNCDF, INFRADEV, November 10, 2009. Freire, Mile and John Peterson, eds. *Subnational Capital Markets in Developing Countries: From Theory to Practice*. World Bank and Oxford University Press, 2004. Peterson, George E. *Measuring Local Government Credit Risk and Improving Credit Worthiness*. Prepared for the World Bank, March, 1998. World Bank. *Local Financing for Sub-Sovereign Infrastructure in Developing Countries: Case Studies of Innovative Domestic Credit Enhancement Entities and Techniques*. Bank Discussion paper No. 1, World Bank, Infrastructure, Economics and Finance Department, February, 2005.

# Annex 6. Terms of reference

## Green LECRDS multi-stakeholder task force

### Purpose

The Green LECRDS multi-stakeholder task force has the strategic mandate to oversee the process, guide policy creation and approval, and spearhead multi-stakeholder decision-making. The multi-stakeholder task force may build upon existing committees and structures when possible while aiming for a multi-stakeholder and multi-sectoral scope.

### Membership

The membership of the multi-stakeholder task force shall draw from representatives of critical sectors such as finance, planning, energy, water, transport, industry, environment, and agriculture. The task force shall include both public and private decision makers as well as representatives of significant civil society organizations. A manageable task force size would range between 10 and 20 members. The members serve *ad honorem*.

### Tasks

The multi-stakeholder task force will provide strategic leadership and guidance for the Green LECRDS process from Steps 1-5.

In **Step 1**, the multi-stakeholder task force shall:

- ▼ Establish Green LECRDS multi-stakeholder, multi-sectoral, multi-level preparation process
  - Define objectives and scope; operational and organizational structure with assigned roles and responsibilities; steps, methods, budget, and timetable (including for multi-stakeholder task force meetings)
  - Decide how the work in the five steps will be carried out, documented, and presented
  - Identify key climate issues, opportunities, and stakeholders
  - Determine prospective composition of thematic working groups
  - Design transparent and accountable decision-making process that clarifies how decisions will be made and validated at different levels and moments by participants and stakeholders
  - Determine forms and venues for participation and coordination and how key stakeholders and partners will be consulted
  - Agree on number and scope of structured dialogues and multi-stakeholder workshops
- ▼ Present multi-stakeholder process to all stakeholders, partners, actors in region or country for information, validation, and to mobilize support, in conjunction with coordination team as appropriate

In **Step 2**, the multi-stakeholder task force shall:

- Oversee preparation of climate change profiles and vulnerability scenarios by national experts in conjunction with climate working group

In **Step 3**, the multi-stakeholder task force shall:

- Present climate scenarios and vulnerability maps in national, regional, or municipal stakeholder consultations, supported by coordination team
- Oversee identification of strategic options leading to low-carbon, climate-resilient development trajectories by thematic working groups
- Determine common strategy for low-emission development that is more climate change resilient in conjunction with working groups and coordination team

In **Step 4**, the multi-stakeholder task force shall:

- Oversee identification of priority climate options (mitigation and adaptation) through technological, social, and financial feasibility and cost-benefit analysis undertaken by working groups
- Conduct sectoral assessments of public policies and investments required for implementing options and make recommendations

In **Step 5**, the multi-stakeholder task force shall:

- Oversee preparation of low-emission and climate-resilient development road map
  - Determine composition of Green LECRDS drafting team
  - Review and consolidate contributions of all sectors in conjunction with working groups and coordination team
  - Define different components of road map (short-/medium-/and long-term priorities and associated public policies, financing plan, institutional and operational implementation frameworks, monitoring and evaluation mechanisms) in conjunction with working groups and coordination team
- Submit Green LECRDS road map to relevant legislative body for consideration and approval, with support of coordination team and working groups as appropriate
- Present road map to stakeholders in conjunction with coordination team and working groups as appropriate
- Seek support of key public and private financial actors for road map implementation with support of coordination team and working groups as appropriate
- Oversee preparation of first generation policy and investment projects

## Meetings

The multi-stakeholder task force shall meet on a bi-monthly basis and more frequently as the need arises.

## Secretariat

The Green LECRDS coordinator shall serve as the secretary *ex-officio* for the multi-stakeholder task force and will prepare and distribute meeting minutes, document decisions, and manage the archive of multi-stakeholder task force proceedings. The coordinator and team, once they are in place, will provide support for multi-stakeholder task force tasks and activities.

## Green LECRDS technical and policy working groups

### Purpose

The working groups have primarily a technical role and research and analysis function. They are responsible for the complex suite of critical diagnostics and studies necessary for the formulation of an evidence-based Green LECRDS, as well as the selection of the appropriate and rigorous underlying methodologies (Step 2 of the process). The working groups also play a key advisory role in Steps 3-5 by supporting the identification and prioritization of strategic options leading to green, low-emission and climate-resilient development trajectories through technological, social, and financial feasibility and cost-benefit analyses, as well as the consolidation of the Green LECRDS road map and the policy preparations for its implementation. Working groups should liaise directly with the multi-stakeholder task force to facilitate decision-making and contributions to Green LECRDS drafting team.

### Membership

The Green LECRDS multi-stakeholder task force together with the coordination team will convene the working groups based on an assessment of the expertise required and the capacity that exists in the country or region, and drawing from sectoral ministries, local/regional/national government agencies, academic and research institutions, NGOs, the private sector, and local and community authorities. The members serve *ad honorem*.

### Working group themes

The working groups will cover climate science, finances, and public policy, broadly speaking. The specific themes in each subnational or national context will be based on the multi-stakeholder task force's assessment of the results of the initial mapping of the climate economy that locates key sectors and stakeholders. A minimum of six thematic working groups may be considered: 1) climate diagnostics and mapping; 2) policy, legal, and financial; 3) energy, transport, and industry; 4) urban planning, infrastructure, and waste; 5) ecosystems and natural resources, including agriculture, forestry, and water; and 6) sustainable human development, poverty, and gender.

### Tasks

In **Step 1**, the working groups shall:

- ▼ Participate in initial mapping of key climate issues, opportunities, and stakeholders
- ▼ Determine capacity needs and seek out additional expertise as indicated
- ▼ Agree on methodologies and timetable to organize work, in consultation with multi-stakeholder task force and coordination team

In **Step 2**, the climate working group shall:

- ▼ Participate in preparation of climate change profiles and vulnerability scenarios in conjunction with national experts

All working groups shall:

- ▼ Assess current and future climate vulnerabilities

In **Step 3**, the working groups shall:

- ▼ Develop sectoral scenarios for low-emission development that are more climate change resilient
  - Identify strategic options leading to low-carbon, climate-resilient development trajectories
- ▼ Finance working group will conduct financial scans and analyze financial requirements for strategic options identified
- ▼ Participate in determining common strategy for low-emission development that is more climate change resilient in conjunction with multi-stakeholder task force and coordination team

In **Step 4**, the working groups shall:

- ▼ Identify priority climate options (mitigation and adaptation) through technological and social analyses
- ▼ Participate in sectoral assessments of public policies and investments required for implementing options (particularly Policy, Legal, and Financial working group)
- ▼ Policy, Legal, and Financial working group will conduct financial feasibility and cost-benefit analyses for priority options

In **Step 5**, the working groups shall:

- ▼ Participate in preparation of low-emission and climate-resilient development road map
- ▼ Policy, Legal, and Financial working group will identify potential financial partners and explore innovative policy and financial mechanisms for implementation
- ▼ Support multi-stakeholder task force in presenting Green LECRDS road map to appropriate legislative body for consideration and approval
- ▼ Support multi-stakeholder task force in presenting road map to stakeholders
- ▼ Participate in preparation of first generation policy and investment projects

## Meetings, Chairs, and Rapporteurs

Each working group should agree on the frequency of meetings, select a chair responsible for convening and following up on meetings, and select one or more rapporteurs who will record, present, and share the deliberations and findings of the working group as indicated in each of the five steps of the Green LECRDS process.

The Green LECRDS coordinator and team, once they are in place, should provide support for working group tasks.

## Green LECRDS coordinator and team

### Purpose

The principal responsibilities of the Green LECRDS coordinator and his/her team are to program, coordinate, and monitor each step of the Green LECRDS process, always in a supporting and collaborative role to the multi-stakeholder task force and working groups.

The coordinator would have an overall organizational and programming mandate, and would work closely with the multi-stakeholder task force. Under the guidance of the multi-stakeholder task force, the coordinator would play a central role in mobilizing stakeholders, building the governance framework, and organizing the working groups.

A small team would support the coordinator and the organization and tasks of the multi-stakeholder task force and working groups.

### Selection

The coordinator should be recruited and the team established as soon as a national or subnational government decides to undertake a Green LECRDS. Recruitment should be undertaken by the key partner agencies or funders of the Green LECRDS process.

A minimum of the equivalent of two full-time staff should be sought. Depending on funding, the coordinator and team may be hired as new staff or drawn from existing government ministry or agency staff – or that of public and private partners – who will contribute part of their time to Green LECRDS.

### Competencies

The coordinator should have 1) thematic expertise in climate, sustainable development, finance, and/or planning, 2) significant experience in managing multi-stakeholder processes, 3) proven ability to engage with high-level public and private authorities and decision makers, and 4) track record in managing teams and collaborating with diverse groups of experts.

The coordination team should among them demonstrate familiarity with the following areas of expertise: governance and partnership building, public policy, finance, climate science, sustainable development, and communications. The team members should have the background and ability to 1) respond to the coordinator, 2) work effectively in support of the multi-stakeholder task force and working groups, and 3) reach out to stakeholders and actors at different levels across sectors.

### Location

The coordinator and team may be located in a government ministry, preferably one with transversal purview such as planning or finance to avoid sectoral compartmentalization, or in a partner agency.

## Tasks

The coordinator and team shall:

- ▼ Ensure continued high-level political and policy support
- ▼ In line with multi-stakeholder task force guidance, identify and mobilize key actors across sectors and decision-making levels, including private sector, civil society, community organizations, and technical experts
- ▼ Support multi-stakeholder task force in establishing dialogue and cooperation arrangements as appropriate to the context, especially public-private and cross-sectoral partnerships,
- ▼ Support multi-stakeholder task force to identify tools and criteria for multi-stakeholder decision-making
- ▼ Clarify the distinct and accountable roles of all partners and stakeholders, also in line with multi-stakeholder task force indications
- ▼ Support the multi-stakeholder task force in achieving balance among the objectives and priorities of different levels and sectors
- ▼ Map key climate issues, opportunities and stakeholders in conjunction with multi-stakeholder task force and working groups
- ▼ Conduct governance, financial, legal, and policy scans and identify opportunities and barriers in conjunction with working groups
- ▼ Identify and build upon existing capacities for integrating climate into cross-sectoral sustainable development planning
- ▼ Facilitate capacity development of elected officials, civil servants, and key actors as necessary
- ▼ Prepare communications and awareness-raising strategy
- ▼ Establish active communication channels between partners to share information and adjust policies and measures as required
- ▼ Facilitate Green LECRDS drafting team

The coordinator and team will help organize and support the multi-stakeholder task force, technical and policy working groups, and other participating actors and stakeholders through the five steps of the Green LECRDS process.

The coordinator shall serve as secretary *ex-officio* for the multi-stakeholder task force and will prepare and distribute meeting minutes, document decisions, and manage archive of multi-stakeholder task force proceedings.





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United Nations Development Programme  
Bureau for Development Policy  
Environment and Energy Group  
304 East 45th Street, 9th Floor  
New York, NY 10017 USA  
[www.undp.org](http://www.undp.org)