



# The cascade of mainstreaming

How to ensure coherence across governance levels?

# The concept of mainstreaming



- ❖ 'Mainstreaming', 'climate proofing' and 'integration' are of particular importance for adaptation to climate change representing an issue that **cuts across various policy areas/sectors** being affected by climate change
- ❖ The **objective** of mainstreaming adaptation is to ensure that relevant decision-making and planning processes take due account of climate risks and adaptation considerations (instead of implementing 'stand-alone' adaptation measures only)
- ❖ Mainstreaming efforts need to be **coherent across various levels** (international, national, sub-national; sectoral and project) and **in different areas of decision-making** (policy-making, planning, budgeting, implementation and monitoring)
- ❖ Policy mainstreaming also has the potential to **tackle specific bottlenecks** like inconsistencies in policy and market beyond introducing adaptation considerations -> **cross-sectoral policy integration**

# Cornerstones for mainstreaming efforts (EU)



- ❖ **EU Strategy on adaptation to climate change** (COM(2013) 216 final) encourages mainstreaming for several levels:
  - **Promoting action by Member States:**  
The adaptation preparedness scoreboard – developed for assessing Member States' level of readiness – identifies *mainstreaming of climate change adaptation into key national planning and sectoral policymaking* as one main area of performance (with several key domains of relevance)
  - **Climate-proofing EU action: promoting adaptation in key vulnerable sectors:**  
Mainstream adaptation measures into EU policies and programmes, as the way to 'climate-proof' EU action
- ❖ **National adaptation strategies (NAS)** and action plans:
  - Developed with **a sectoral focus** where **integration and mainstreaming** adaptation with existing national programmes and policies is **central to all NAS**

## Where do we stand?



- ❖ A critical part of mainstreaming is **evidence-based decision-making**, i.e. decision makers should have the best available information in order to make knowledgeable decisions
  - A **vast wealth of knowledge** has been produced, including studies/assessments on vulnerability and risk, adaptation options, M&E, guidances and tools as well as strategies/action plans, initiated both by governments and from the scientific community -> **But has this sufficiently helped for mainstreaming and if not, why?**
- ❖ Majority of **time and financial resources** have been and are still **spent on the first stages** of the adaptation process (i.e. assessing risks/vulnerabilities; identifying options and developing strategies)
- ❖ However, overall little has been achieved in
  - implementing **actions** (through mainstreaming adaptation in relevant policy areas)
  - monitoring **outcomes** (not processes!)
  - **reevaluating** strategies
  - establishing a functioning **governance system** for adaptation

# The hierarchie of mainstreaming across governance levels (1/2)



Adaptation mainstreaming cuts across different jurisdictional levels, from the EU via the national to the sub-national and local levels of policy making

## ❖ **EU:**

Climate-proofing EU action under the frame of the EU Adaptation Strategy – systematic policy integration is needed, e.g. through institutionalising mainstreaming for amendments/new EU policies by **introducing more explicit CC-proofing requirements in the IA guidelines** for the EU Impact Assessment (IA) procedure

## ❖ **National level:**

- Implementation of EU policies under further refinement in various affected sectors
- No legal requirement to develop national adaptation strategies (NAS), but requests from UNFCCC and the EU Adaptation Strategy
- **NAS** should provide **framework for mainstreaming**, following a systematic approach of coordinating adaptation needs horizontally across sectors



# The hierarchie of mainstreaming across governance levels (2/2)

## ❖ Sub-national/regional/local level:

- Sub-sequent activities and concrete adaptation measures following national requirements

## **BUT: No linear policy and decision making in practice due to:**

- Differing timeframes (e.g. set policy revision cycles)
- Governance and institutional structures:
  - Bureaucracies implying sectoral specialisation rather than policy integration
  - Lack of inter-organisational collaboration across sectors
- Lack of political will
- Level of understanding and acceptance for the need to take action (if legal requirements are missing) – need to improve policy capacity
- Degree of being directly concerned with climate change impacts triggering action
- Lack of sufficient data and information in some sectors for evidence based decision making

# How to ensure coherence of mainstreaming efforts | Governance 1/2



**For improved policy integration, the **network mode of governance** is often assumed to deal effectively with complex and cross-sectoral issues:**

- ❖ **Collaboration** with a broad variety of relevant actors does not only help to **identify widely accepted solutions** but also to **share information** and **better understanding complex problems**
- ❖ Networks provide strong **inter-organisational capacities** to tackle cross-sectoral issues
- ❖ Collaboration facilitate effectiveness as **networks provide or generate valuable resources** such as local knowledge and experience, ownership and commitment

# How to ensure coherence of mainstreaming efforts | Governance 2/2



- ❖ **Establish a well defined mechanism for coordination, provide necessary guidance, capacity building and resources (new governance)**
  - EU can take a lead role in **ensuring a coherent framework** and coordinating with Member States and other relevant stakeholders
  - Vertical integration requires not only hierarchical mainstreaming, but also **engagement with the private sector** and **making use of existing networks**
  - **Active information sharing and guidance** will enhance integration adaptation across all levels of decision making
  - Invest in **capacity building** to increase awareness at the highest decision-making level possible and thus ensure that climate change adaptation does not end with the development of a strategy
  - Secure **sufficient budget allocation**



# How to ensure coherence of mainstreaming efforts | Entry points



## ❖ **Identify the right entry point and make use of existing instruments and processes**

- Mapping of all policies potentially providing entry points for mainstreaming is needed, including links to other sectoral policies that might be affected
- Priorisation of sector policies for adaptive intervention might be necessary along certain criteria (with a view to available resources)
- Analyse existing instruments and processes that can be utilized to integrate climate change considerations

# How to ensure coherence of mainstreaming efforts | Science and policy

## ❖ Foster Science – Policy interfaces (SPIs)

- Establish or make use of existing processes allowing for an **active exchange of the science and policy communities**
- Influence the **set-up of research funding** introducing requirements for policy-relevant outcomes and “end-user” involvement
- Identify existing expert groups/networks/business clusters that offer **permanent structures where adaptation could be incorporated** in the agenda

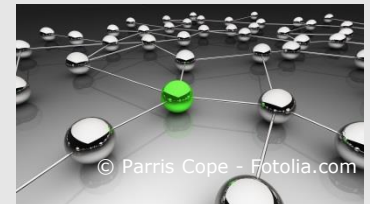
Information sharing platforms such as Climate-ADAPT at EU level and national platforms can further help in “translating” scientific knowledge for various target groups for better-informed decision making.

# How does this help for evaluation? 1/2

## ❖ Governance:

A clear and structured set-up for implementing adaptation action will ease evaluation, both for the process but more importantly for assessing desired outcomes:

- Monitoring and evaluating adaptation progress can become an **ongoing process accompanying implementation** (vs. setting time frames where useful information maybe not sufficiently available and gathering is more resource-intense)
- Maintaining a **broad governance system** (even if only with informal coordination) **throughout all stages of the policy cycle** improves the likelihood for actual implementation and secures responsibilities and commitment and contact persons for evaluation
- **Feasibility** of evaluating adaptation progress can be **fostered through making explicit use of the network mode of governance** providing necessary resources (personal, time, budget)



## How does this help for evaluation? 2/2



- Putting the **focus on coherence of adaptation interventions** (i.e. interrelations among single measures as well as various policies and other processes relevant to adaptation) will overall enhance climate resilience
- **Mapping relevant policies, their review cycles and identifying suitable entry points** is a prerequisite in the first step of planning for horizontal policy integration.

Evaluation can be based on this plan for progresses in mainstreaming:

- Potential inconsistencies can be identified, highlighted and removed
- Adaptation gaps and further adaptation needs will become apparent, providing useful information for adaptation strategy elaboration and revision
- Vertical integration must be considered across all governance levels where well structured coordination and exchange supports improving overall policy capacity and adds value for all stakeholders involved



**THANK YOU!**

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