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**Integration of the Ethiopian Climate Resilient Green Economy (CRGE)
Strategy into the Growth and Transformation Plan (GTP-II) Process:
Implications to the Most Vulnerable Social Groups**

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COLLEGE OF SOCIAL SCIENCE
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**May 2016
Addis Ababa, Ethiopia**

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Strategy into the Growth and Transformation Plan (GTP-II) Process:
Implications to the Most Vulnerable Social Groups**

**By
Adugna Nemera Gedefa**

**A Thesis Submitted to the School of Social Work, in Partial Fulfillment of the
Requirements for the Degree of Master of Arts in Social Work**

**May 2016
Addis Ababa, Ethiopia**

**ADDIS ABABA UNIVERSITY
SCHOOL OF GRADUATE STUDIES
MSW EXAMINING COMMITTEE**

This is to certify that the thesis prepared by Adugna Nemera Gedefa entitled: The Ethiopian Climate Resilient Green Economy (CRGE) Strategy Integration into the Growth and Transformation Plan (GTP-II) Process and Its implications to the Most Venerable Social Groups; submitted in partial fulfillment of the requirements for the Degree of Master of Arts (School of Social Work) complies with regulation of the University and meets the accepted standards with respect to the originality and quality.

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Acknowledgment

My first words of gratitude are addressed to God, who accompanied me through the presence of His Spirit throughout the time of the class courses and this research work, up until its successful completion. Second, I am sincerely grateful to my advisor Dr. Abebe Assefa Abate for his valuable advices and continuous guidance during this research work without which this study has not been completed in its current standard. Thank you for your humble, exemplary and welcoming approaches throughout this research process and the course periods.

There are many persons whom I am indebted to for the completion of this study. First of all, I acknowledge with sincere gratitude Dr. Tadele Ferede, Department of Economics, College of Business and Economics at Addis Ababa University for his valuable comments and advices in the course of this research. I am sincerely grateful for the CRGE Facility team at MOFEC; Mr. Elmi Nure, Mrs. Medhin Fisseha, Mr. Shimelis Fekadu and Dr. David Poter for their valuable comments and inputs on the draft report of this study. I am also grateful to all who involved as FGDs and KII participants from the federal, regional and worded government institutions, Development Partner Organizations, CBOs, and the Academic Institutions or Universities.

Finally, I am gratefully indebted to my wife, Bethel Andargie and all unmentioned friends, other men and women who have accompanied me by their words of encouragements and prayers for the success of this work. Thank you all!

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Acronyms and Abbreviations

| | |
|------------------|--|
| ADLI | Agricultural Development Led Industrialization |
| BAU | Business as usual |
| CO _{2e} | Carbon Dioxide Equivalent |
| CR | Climate Resilient |
| CRGE | Climate Resilient Green Economy |
| CSA | Climate Smart Agriculture |
| CSOs | Civil Society Organizations |
| DPs | Development Partners |
| UNECA | United Nations Economic Commission for Africa |
| EEPA | Ethiopian Environmental Protection Agency |
| EPA | Environmental Protection Authority |
| FDRE | Federal Democratic Republic of Ethiopia |
| GDP | Gross Domestic Product |
| GE | Green Economy |
| GES | Green Economy Strategy |
| FGDs | Focus Group Discussions |
| GGWI | Great Green Wall Initiative |
| GHG | Greenhouse Gas |
| GTP | Growth and Transformation Plan |
| Ha | Hectare |
| IGEIP | Integrated Green Economy Implementation Plan |
| KII | Key Informant Interview |
| LCRD | Low Carbon Climate Resilient Development |
| LDCs: | Less Developed Countries |
| MDG | Millennium Development Goals |
| MEF | Ministry of Environment and Forest |
| MEFCC | Ministry of Environment, Forest and Climate Change |
| MoA | Ministry of Agriculture |
| MoFEC | Ministry of Finance & Economic Cooperation |
| MoFED | Ministry of Finance and Economic Development |

| | |
|--------|---|
| MoLSA | Ministry of Labour and Social Affairs |
| MoWIE | Ministry of Water, Irrigation and Energy |
| NAMAs | Nationally Appropriate Mitigation Actions |
| NAPAs | National Adaptation Plans of Action |
| NPC | National Planning Commission |
| M&E | Monitoring and Evaluation |
| ODA | Official Development Assistance |
| OECD | Organization of Economic Cooperation and Development |
| PASDEP | Plan for Accelerated and Sustained Development to End Poverty |
| PES | Payment for Ecosystems |
| PRSP | Poverty Reduction Strategy Programme |
| SD | Sustainable Development |
| SDGs | Sustainable Development Goals |
| SDPRP | Sustainable Development and Poverty Reduction Programme |
| SNNPR | Southern Nations, Nationalities and Peoples |
| SRMs | Sector Reduction Mechanisms |
| UN | United Nations |
| UNDP | United Nations Development Programme |
| UNEP | United Nation Environmental Programme |

Abstract

Integration of climate agenda into a national development is fast emerging as a major policy agenda. This is expected to provide better alternative visions and processes to achieve social, environmental and economic objectives in a holistic way. This study is a policy research and aims to examine the integration or planning process of the CRGE strategy into -GTP II, describes the implementation arrangements of this plan and draws key implications to the most vulnerable social groups. It further considers its implications to social policy processes, research and/or academic discussions, and better development practices. The study then adopted a qualitative research approach to explore the policy development and planning process in the context of GTP-II, which has attempted to respond to ensure sustainable development in the context of climate change by integrating the CRGE strategy objectives into the national development process.

Despite serious debate around the ways in which equity and justice — can be integrated with economic or environmental priorities, these issues remain on the margins of the mainstream green economy agenda. Also sidelined are questions about how green economy strategies impact different social groups and patterns of inequality; whose values, priorities and interests are shaping the concept and policies of green economy. Then, the question that needs answer is ‘how does the integration of the CRGE strategy into GTP-II add value for the most vulnerable social groups’?

Though GTP-II attempted to integrate the CRGE objectives and relevant institutions are established to coordinate these green economy agenda, which are encouraging there are still remaining tasks for a successful integration particularly in terms of including the most vulnerable social groups. The key factors that need to be addressed include: ensuring participatory policy development and planning, creating institutional arrangements with clear duties and powers in terms of ensuring both vertical consistency and horizontal synergy, focusing on research and knowledge management as well as capacity building both in terms of – institutional and human to conceptualize ‘climate change aware’ development, and developing relevant tools including planning guidelines, conceptual and analytical frameworks, and M&E guidelines to enable successful integration of the climate change agenda into the national development plan .

Key Words: climate change, sustainable development, integration, participatory development, implementation arrangement, vulnerable social groups.

CHAPTER ONE: INTRODUCTION

1.1. Background of the Study

Climate change is a growing threat to development and sustainability. The impacts of climate change and extreme events are already exacerbating food insecurity, slowing down the pace of poverty reduction, influencing human health, and jeopardizing sustainable development (Westley et al., 2011). Therefore, many countries are responding to these challenges through their development policy and planning by integrating climate change objectives into these responses. This is fast emerging as a major policy agenda. These responses to climate change and the planning processes have been also evolving from the early phases over the past decade.

Fisher and Mohun (2015, 9) indicated that:

Early planning on climate change came about as response to international negotiations and potential funding sources. National Adaptation Plans of Action (NAPAs) were developed by all LDCs to provide a strategy for addressing immediate to medium term adaptation needs. Many NAPAs produced a list of projects to be funded. Nationally Appropriate Mitigation Actions (NAMAs) were also developed in some countries as standalone mitigation strategies designed to attract international funding. Since 2009 however, countries starting developing national climate change plans and strategies such as the Bangladesh Climate Change Strategy and Action Plan (BCCSAP) (one of the first LDC plans to be developed) and the Climate Resilient Green Economy Strategy in Ethiopia. These national strategies have sought to address both mitigation and adaptation priorities and looked for co-benefits between the two agendas. Funding mechanisms and institutional mechanisms were also developed to support the implementation of these agendas. However, there has been an increasing shift to mainstreaming climate change into national development plans and strategies rather than developing a separate document or implementing a policy in isolation. The Gambia for example has integrated climate change in the Programme for Accelerated Growth and Employment (PAGE) and Ethiopia and Rwanda are using their standalone policies to mainstream key elements of the agenda into their national planning processes, the Growth and Transformation Plan II and the Economic and Development Poverty Reduction Strategy II (EDPRS II) respectively (P.9).

Fisher and Mohun (2015) further indicate that many countries are now streamlining their responses to climate change with development policy frameworks and are reflecting climate related objectives in their national and sectoral policy documents, strategies and action plans. This is a shift from the ‘business as usual’ (BAU) approach to development to a new development paradigm, which seeks to promote development while keeping Green House Gases (GHG) emissions low.

The Ethiopian CRGE Strategy is a comprehensive public policy response to the ongoing climate change, which has a goal to increase economic growth so as to leap from least-developed to middle-income country status by 2025, whilst at the same time reducing greenhouse gas (GHG) emissions and increasing climate resilience (Fikreyesus, D. et. Al., 2014). The strategy has two major components: a Green Economy Strategy (GES), which mainly addresses mitigation and was launched in 2011; and a Climate Resilience Strategy (CRS), which focuses on adaptation but not yet fully completed except for agriculture, forestry, land use and Water sectors (Fikreyesus, D. et. Al., 2014).

In light of streamlining the national development process, the government of Ethiopia has declared integration of the CRGE strategy in the second generation GTP (2015/16-2019/20) of the country (NPC, 2016). In the GTP-II, the plan has set goals mainly in relation to building climate resilient green economy, environmental protection and forest development with the aim to apply this mainly in same priority sectors identified by the CRGE strategy.

However, the means to achieve this integration differ and are not without controversy. Integration of climate change objectives with development process could have a ‘win-win or ‘triple wins’, ‘co-benefits or ‘trade-offs’ among the climate response or development objectives: adaptation, mitigation and sustainable development. Research findings indicate that even when

relatively successful, triple win interventions may result in unequal distribution of benefits across mitigation, adaptation, and sustainable development (Bryan et al., 2013). Because relationships among the three goals can lead to both positive and negative consequences, it is important to unravel conditions that lead to desirable outcomes (Chhartre & Agrawal, 2009). In this context, if policies to promote environmental sustainability have the effect, for example, of restricting poor people's natural resource access and use, raising prices of essential goods and services, and slowing the rate of GDP growth, they could simultaneously slow down the rate of poverty reduction, or even exacerbate poverty.

The CRGE strategy particularly focuses on the Green Economy component and tries to identify Ethiopia's particular resource endowments, addresses some of the biggest economic risks facing the country, identifies the lowest-cost GHG abatement options, and makes the case to attract international finance. However, the issue of inclusion, non-climate environmental challenges, policy incentives and systematic changes, and institution building are not strongly addressed. The policy also hardly indicates the 'winners' and possible 'losers' from embarking on the green growth pathways.

According to Denton et al. (2014), integration of climate policy objectives with a development process might have mutual benefits, a potential to either significantly reduce poverty and social inequality, or even serve to exacerbate it. In many cases, reducing the risk of climate change can enhance capacities for management of other risks. Opportunities to take advantage of positive synergies may decrease with time, particularly if the limits to climate change adaptation are exceeded (Denton et al., 2014). So, the integration process of the three objectives, that is, mitigation, adaptation and sustainable development, is critical that the policies are developed in a way that is not detrimental to the poorest and most vulnerable. Managing this

process requires awareness of and response to interactions between the three objectives (Eriksen et al., 2011). Further, this requires participatory processes to deal with the concerns, values, and perceptions of a wide range of stakeholders, raising some of the ethical impacts attached to climate-related risks. Such an approach could also have a bearing on the way risks are assessed and addressed at the science-policy interface, with significant implications for sustainable development (UNECA, 2015). Organizational mechanisms are also central to building linkages between local level adaptation actions and national level planning.

As the current level of integration focus on the macro and federal sector ministries, in the case of Ethiopia, this might be addressed subsequently when attempts will be made to harmonize the regional development plans with the national strategies and plans embodied in GTP for the success of inclusive green economy agenda. Involvement of the vulnerable groups including women and youth people, people with disabilities from the onset of planning and implementation could also help in promoting social inclusion, transfer of knowledge and skills development in the process.

This research therefore looks into how the CRGE-GTP-II integration and planning process managed these interactions, and particularly it tries to identify if the most vulnerable social groups had got sufficient attention in this process to make sure that they are benefiting from the potential development outcomes and/or to avoid risks of fueling inequality. In this case it is critical that integration and planning process is based on climate evidence and analysis to understand the negative effect of climate change and climate extremes on this group. These serve informed decision and response, address tradeoffs and manage the potential winners and losers due to this integration and identify and include targeted actions for the most vulnerable together

with the institutional arrangements for monitoring and evaluating the implementation of actions on the ground.

This research work actually began in January 2015. Originally, the focus of the research was to review the social dimension of the Ethiopian climate policy response through its Climate Resilient Green Economy (CRGE) Strategy. On the one hand, this interest was aroused from the researcher's practical and prior engagement as a team member of expert groups who support operationalization of the strategy on the ground. On the other hand the researcher as a Social Work student was struggling to have a balanced view while supporting programme designs and appraisal of proposals which were guided by this strategy. The observation however were high attentions was given to the economic and environmental dimensions of development while less attention was given to the social issues. The interest to undertake my research work was then developed in this context to review and understand as how the social dimension of sustainable development is addressed in this policy document.

While this research work was going on however the government of Ethiopia declared to integrate the CRGE strategy into the second generation Growth and Transformation Plan (GTP-II), developed guiding integration checklists and distributed to the sector ministries. This was in line with the global development direction such as the post 2015 development agenda, where climate change has been considered as an integral part of its responses. Following this, I reported to and discussed with my advisor regarding the adjustments made by the Government of Ethiopia and then adjusted the objective of this research work accordingly in the context. This led to agreement with my advisor to look into the "Integration of the CRGE-GTP II process, the contents analysis and its implications to the most vulnerable social groups to climate change". But, this further entailed to go together with the GTP II planning process to examine the

planning and integration process and requires waiting for the official release of the plan document to undertake the contents analysis.

After the GTP planning began, the researcher had also a chance to be a member of a technical team organized by the Ministry of Finance and Economic Cooperation (MoFEC) and the Ministry of Environment, Forest and Climate Change (MEFCC) to review the sectoral draft GTP-II documents to recommend inputs for the CRGE-GTP integration. This has provided a chance to actively engage in reviewing the documents as well as to observe how planners are behaving in different contexts.

However, by the time this paper was submitted in May 2016, volume II of the GTP, which is the policy matrix, was not completed but only volume I of the GTP-II (main document). This has limited the researcher to focus on the integration and planning process and drop-out the objective of undertaking the content analysis. In this context, the information included are related to the planning and integration processes, implementation arrangements put in place to operationalize this integrated plan and the implications of these to the most vulnerable social groups.

1.2. The Research Problems

Climate change is a growing threat to sustainable development. The impacts of climate change are already exacerbating food insecurity, slowing down the pace of poverty reduction, impacting on human health, and jeopardizing sustainable development. The effects of climate change are expected to be more severe for some segments of society like women, children, persons with disabilities, and the elderly than others, which might have less capacity to respond

to, and recover from climate-related hazards and effects. Climate change disproportionately affects these groups of population (Lynn et al., 2011).

Many countries are responding to these challenges (Fisher and Mohun, 2015) and started by developing standalone policies and projects, and currently have evolved towards integrating climate change policies into national development processes. This is fast emerging as a major policy agenda. The Ethiopia CRGE Strategy is one of these policy responses. Different countries give focus to the different parts of the climate challenges; the CRGE strategy gives emphasis to the environmental and economic dimensions and indicates that resilience strategies will be subsequently developed (CRGE Strategy, 2011). In GTP-II however, attempts are made to integrate the CRGE objectives into the national development process (NPC, 2016). But, there are arguments that social dimensions – the third pillar of sustainable development – are often marginalized in green economy analysis and policy (UNRISD, n.d). Some of these key social issues are related to equity and justice –in poverty reduction, pro-poor growth and environmental sustainability processes. Little attention has been given to identify whose priorities and interests are shaping the concept and policies of green economy; and what alternative visions and processes exist at local and national scales to achieve social, environmental and economic objectives in a holistic way (Adger, 1999).

Many of these issues can be addressed in the planning process. A planning process which is research or evidence based or actively engages vulnerable social groups has high chances to include their voice and priority needs (Campbell & Fainstein, 2003). It also gives them opportunities to influence the proposed green interventions that will affect their destinies. To these end, this research work examines the planning process of the GTP-II in relation to the

integration of the CRGE strategy objectives, existing implementation arrangements of this policy and draws implications of these for the most vulnerable groups.

1.3. Research Objectives

General Objectives: This research examines the planning process of the second generation Ethiopian Growth and Transformation Plan (GTP-II) of Ethiopia that integrated the CRGE objectives and its implications to the most vulnerable social groups to climate change and extremes.

Specific Objectives:

- Describe the planning process of the Growth and Transformation plan (GTP –II) in relation to integration of the CRGE and its implications to the most Vulnerable Social Groups to climate change and extremes;
- Examine participation of the stakeholder groups including the most vulnerable social groups in the GTP-II planning process;
- Examine the existing implementation arrangements of GTP-II (in relation to what?)by focusing on institutional structures, monitoring and evaluation system to track implementation progresses ;
- Draw implication or lessons for social policy, academic discussion or research and better planning practice that would serve effective implementation of a national development agenda.

The key research questions of this study include:

- What was the planning process of the Ethiopian second generation Growth and Transformation Plan (GTP-II) particularly in terms of integrating the CRGE strategy?
- How did the GTP-II engage key stakeholders in the integration and planning process?

- What are the existing institutional mechanisms to ensure effective implementation of this policy and/or plan (GTP-II) to ensure equity and justice for the vulnerable groups?

1.4. Assumptions

In general a meaningful participation of the stakeholder groups in a planning process and integration of climate change into a national development agenda would give a high chance to identify relevant national needs, pool diversified expertise together to develop quality plan and ensure sense of ownership for better sustainability. In particular, meaningful participation of the most vulnerable social groups in this process specifically would give them a chance to voice their priority needs, influence the interventions, and ensure their empowerment for better adaptive capacity to the effect of climate change and extremes.

1.5. Justification and Significance of the Study

Policy and planning responses to the impacts of climate change is an emerging policy agenda and relatively a new development model (sources). Ethiopia has recently made an effort to integrate the climate change agenda into a national development planning, which is in the GTP-II (NPC 2016). In this context, this research work would be significant to draw lessons from the planning and integration experiences to serve informed policy decisions subsequently for effective planning and integration processes at different levels. It could also serve for academic discussions and indicates gaps for further research works. Transitioning to a green economy requires a fundamental shift in the way we think and act. To this end, the research contributes to the ongoing understanding or knowledge of the area of climate change nexus sustainable development agenda. Finally, this piece of work will also serve as an input for further research works in the same area.

1.6 Operational Definitions of Terms and Concepts

Public Policy: Public policy is simply a “purposive course of action or inaction undertaken by an actor or set of actors in dealing with a problem or matter of concern” (Anderson, 1994). However, there is no precise and universally agreed definition of public policy. Instead, there is general agreement that public policy includes the process of making choices and the outcomes or actions of particular decisions; that what makes public policy “public” is that these choices or actions are backed by the coercive powers of the state; and that at its core, public policy is a response to a perceived problem (Birkland, 2001).

Social policy: primarily refers to guidelines and interventions for the changing, maintenance or creation of living conditions that are conducive to human welfare.... Social policy is part of public policy but public policy is more than that, it is economic policy, industrial policy, and also social policy, etc (Vargas-Hernander, et al. 2011). Social policy in this context is that part of public policy that has to do with social issues.

Climate Resilience: Climate resilience can be generally defined as the capacity for a socio-ecological system to: (1) absorb stresses and maintain function in the face of external stresses imposed upon it by climate change and (2) adapt, reorganize, and evolve into more desirable configurations that improve the sustainability of the system, leaving it better prepared for future climate change impacts. In the context of Ethiopia, any climate resilience objectives need to address poverty, as poverty is a significant driver of climate vulnerability.

Climate Change Mainstreaming: The integration of climate change response into the development process. Climate considerations become ‘core’ to all activities and are no longer a set of isolated standalone activities.

Climate Change Adaptation: Adjustment in natural or human systems in response to actual or expected climatic stimuli or their effects, which moderates harm or exploits beneficial opportunities (IPCC, 2007).

Climate Change Mitigation: An anthropogenic intervention to reduce the anthropogenic forcing of the climate system; it includes strategies to reduce greenhouse gas sources and emissions and enhancing greenhouse gas sinks.

Social vulnerability to climate change and extremes: refers to the exposure of individuals or collective groups to livelihood stress as a result of the impacts of such environmental changes (Adger, 1999).

CHAPTER TWO: REVIEW OF LITERATURE

This chapter presents review of relevant literature. It begins with presenting overall conceptual approaches to sustainable development and models for conceptualizing planning in this context. It then overviews concepts related to integration of climate change in a national development planning process, and dimensions of integration followed by driving factors for integrating climate policies in national development process in Ethiopia. It further presents specific issues of approaches in climate resilience and green economy mainstreaming, challenges for integrating climate change agenda in a national development, social vulnerability to climate change and extremes, country experiences and practices in climate resilient green economy mainstreaming and finally the implementation arrangements of integrated development plan in the context. The details are discussed as follow.

2.1. Approaches to Sustainable Development

There are many concepts in use to explain approaches to sustainable development. Climate change particularly calls for consideration of new approaches like green economy, green growth, inclusive green growth, climate resilient green economy, climate compatible development, etc. These are newly emerging paradigms to ensure sustainable development. Definition attached to these paradigms place emphasis on a slightly different part of the agenda. However, it does not alter the fundamental objectives of development, though it may affect the way in which the development goals are reached. Development in this context emphasizes low-carbon and resilient development to climate change unlike the classical understanding.

A classical understanding of ‘development’ is that it is a process for increasing per capita income and that aggregate growth in per capita income is a reflection of overall growth (Dipholo, 2002). ‘Sustainable development’ on the other hand is a development “that meets the needs of

the present without compromising the ability of future generations to meet their needs” (WCED, 1987, Reid, 1994) argued that the former concept was seen as a state of national economy rather than a state of human wellbeing and associated with high national income, large, flashy buildings and basic facilities of a substandard quality. The later however deals with a range of issues including global pollution of atmosphere and oceans, factors contributing to climate change and sea level rise, growing inequality between the world’s rich and poor, and the needs to address the poverty and basic needs on a global scale, the need to secure food security in the face of rising population, concern about powerful trends which could contribute to unsustainable development, issues of governance and mediation in development and the need for long term and holistic planning.

Planning can be defined as "a continuous process which involves decisions or choices, about alternative ways of using available resources, with the aim of achieving particular goals at some time in the future" (Conyers & Hills, 1984). Todaro and Smith (2011) defines economic planning as “a deliberate and conscious attempt by the state to formulate decisions on how the factors of production shall be allocated among different uses or industries, thereby determining how much of total goods and services shall be produced in one or more ensuing periods”.

In this context, a planning is an exercise in which a government first chooses social objectives, then sets various targets, and finally organizes a framework for implementing, coordinating, and monitoring a development plan. From these definitions planning can be summarized as a process of setting goals, developing strategies, outlining the implementation arrangements and allocating resources to achieve those goals. It involves decisions or choices about social objectives and alternative ways of using available resources. It also involves setting

targets and organizing a framework for implementing, coordinating and monitoring development plans.

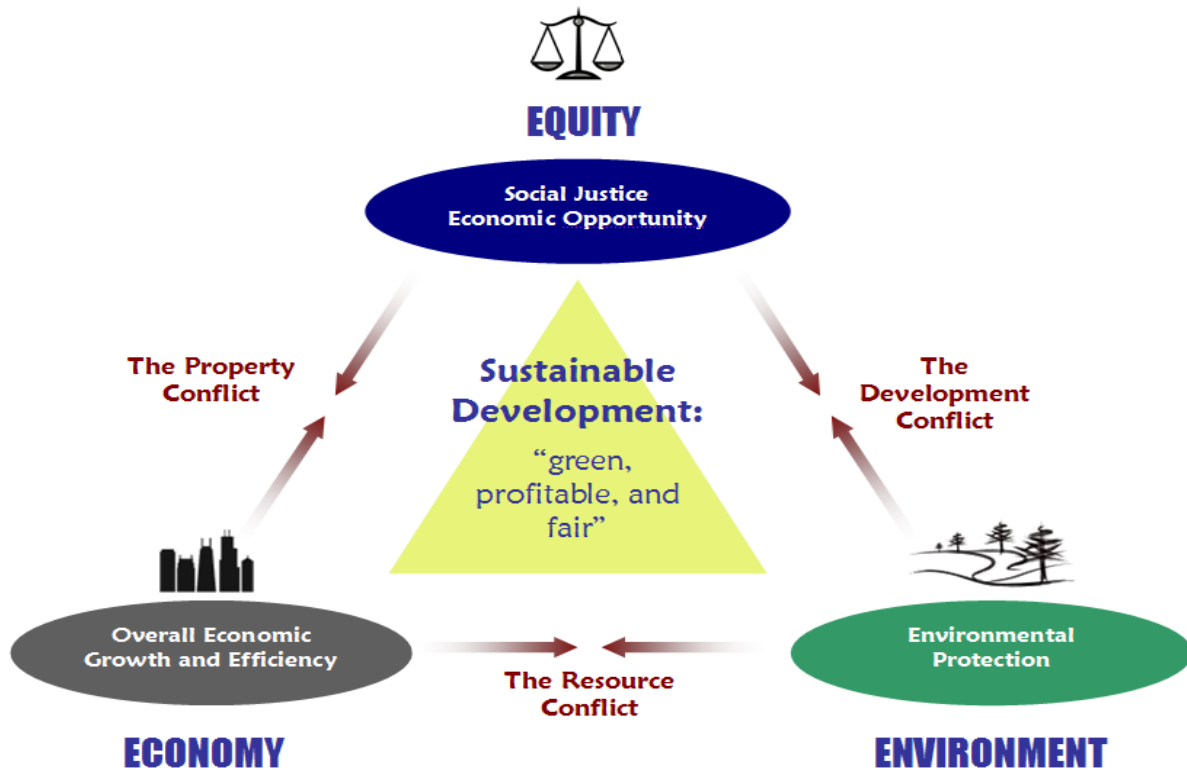
Development planning discourses also depicts that a planning process or approach can be top-down or participatory depending on the development paradigm in a specific context. According to Ondrik R.S. (1996) participatory development is “a process through which stakeholders can influence and share control over development initiatives and over the decisions and resources that affect themselves”. Unlike the conventional understanding of development, which is top-down, this is a new paradigm and seeks to promote indigenous knowledge, embraces community participation, environmental sustainability, domestically-induced growth and good governance. Development in this view is conceived as a process by the people for their own sustained growth not only as a process for the people.

2.2. Sustainability Model for Conceptualizing Planning

According to Campbell and Fainstein (2003), sustainable planning can be attained through the mindful balance of three conflicting planning goals within the society; equity, environment and economy. They argue that although planning is ideally intended to enhance economic growth, preserve the environment, and foster social justice, practically different planners, depending on their background, vision, and value system, act differently, which leads to one of these outcomes or another.

The sustainability model illustrated in figure 1 below helps to conceptualize planning as a triangle that personifies a synergistic integration of the three main competing interests including equity, economy, and the environment, or what they call as the “3 Es”

Figure 1: The Sustainability Triangle of the Three Conflicting Planning Goals



Source: Campbell and Fainstein (2003)

UNRISD (n.d) argues that the social dimensions – the third pillar of sustainable development – are often marginalized in green economy analysis and policy. For example, despite serious debate around the ways in which equity, human rights and justice – critical social factors in poverty reduction, pro-poor growth and environmental sustainability – can be integrated with economic or environmental priorities, these issues remain on the margins of the mainstream green economy agenda. Also sidelined are questions about how green economy strategies impact different social groups and patterns of inequality; whose values, priorities and interests are shaping the concept and policies of green economy; and what alternative visions and processes exist at local, national and global scales to achieve social, environmental and economic objectives in a holistic way.

According to IPCC (2012), the pursuit of climate-resilient pathways involves identifying vulnerabilities to climate change impacts; assessing opportunities for reducing risks; and taking actions that are consistent with the goals of sustainable development. These actions may involve a combination of incremental and transformative responses that take into account (1) current and anticipated changes in both climate averages and extremes; (2) the dynamic development context that influences social vulnerability, risk perception, conflict resolution, and resilience; and (3) recognition of human agency and capacity to influence the future.

2.3. Integration of Climate Change in a National Development Planning Process

In the context of sustainable development, countries first began to respond to climate change by developing stand-alone national climate policies and strategies to ‘green’ their economies (Pervin, M., et al 2013). However, integrating climate objectives in a national development agenda is becoming a new development model and has been seen as a rational policy response.

The same author argues that this particularly become an issue as the impacts of climate change are likely to undermine planned development outcomes in a number of countries, posing significant challenges to the resilience of livelihoods and ecosystems. Mainstreaming climate objectives into these responses is thus fast emerging as a major policy agenda .

Denton (2014), argues that integration processes can be seen as iterative, continually evolving processes for managing change within complex systems such as socio-ecological systems; taking necessary steps to reduce vulnerabilities to climate change impacts in the context of development needs and resources, building capacity to increase the options available for vulnerability reduction and coping with unexpected threats; monitoring the effectiveness of

vulnerability reduction efforts; and revising risk reduction responses on the basis of continuous learning.

The discussion of sustainable development approaches has been further evolving to facilitate better coherence between social, environmental and economic policies and to maximize opportunities and buffer the social cost of the transition. Effective planning according to Kaur and Ayers (2010) helps both to make development resilient to the impacts of climate change and help policymakers identify opportunities to harness development benefits from lowering emissions. Plans however must be evidence based and built on realistic analyses and understanding of the drivers of climate change induced vulnerability. Engaging multiple stakeholders in planning helps achieve local and national ownership of the plans ensures they address domestic needs and helps guarantee integrated solutions to climate change impacts, which often affect multiple sectors. Such analyses also provide a baseline for measuring increases in adaptive capacity or benefits of low emission development investments, identify the winners and losers of a proposed strategy, and inform evidence-based planning.

Specifically, integrating the climate policies in development planning involves the processes of integrating climate change considerations into development planning objectives such as national development plans, annual planning cycles and public finance management systems (Nhamo & Nhamo, 2014). This holistic approach like others need planners understanding of how to enhance positive feedbacks between mitigation, adaptation, and sustainable development, while minimizing potential trade-offs between them is an essential part of planning for and pursuing climate resilient pathways.

2.4. Driving Factors for Integrating Climate policies in National Development

Various reasons are identified to integrate climate change agenda in general and climate policies in a national development plan. Denton (2014) indicates that sustainable development requires managing many threats and risks, including climate change. In this view, climate change is a growing threat to development and sustainability will be more difficult to achieve for many locations, systems, and populations unless development pathways are pursued that are resilient to effects of climate change.

The impacts of climate change and extreme events are already exacerbating food insecurity, slowing down the pace of poverty reduction, influencing human health, and jeopardizing sustainable development (Westley, 2011). Enhancing resilience to respond to effects of this climate change thus includes adopting good development practices that are consonant with building sustainable livelihoods and, in some cases, challenging current models of development (McSweeney & Coomes, 2011).

There are arguments that the integration of climate policies with national development processes would offer range of political opportunities. According to Fisher (2013), it avoids ‘locking-in’ carbon-intensive technologies into future development, helps to ‘tap’ into global climate funds, gives a chance to utilize vast renewable energy potentials to improve energy access through low-cost and low polluting technologies, gives an opportunity to diversify the energy mix and reduce dependence on expensive fossil fuels, opens a room to build own technical capacity and join the ‘new development’ race as a competitive player, and provides benefits that could be derived from low carbon development in meeting its developmental challenges.

Bizikova, L., S. Burch, S. Cohen, and J. Robinson (2010), argues that mainstreaming climate change in development at a country level has various reasons. First, both adaptation and mitigation are parts of climate-resilient pathways, and because each benefits from progress with the other, integrating the two kinds of climate change responses within the broader context of sustainable development. Second, mitigation and adaptation are likely to be more effective when they are designed and implemented in the context of other interventions within the broader context of sustainability and resilience.

Wilson and McDaniels (2007), on the other hand suggest three reasons to integrate adaptation, mitigation, and sustainable development: (1) many dimensions of the values that are important for decision making are common to all three decision contexts; (2) impacts from any one of the three decision contexts may have important consequences for the others; and (3) the choice among alternatives in one context can be a means for achieving the underlying values important in the others.

2.5. Dimensions of Integration

According to Pervin, M., et al., (2013), climate resilience can be integrated into three key dimensions of development planning system: development policy objectives, spatial planning scales and temporal planning scales.

In this context, the integration into development policy objectives is essential because climate change challenges development, and climate resilience must be integrated into development policy objectives. Climate change impacts like– increased temperatures, rising sea levels, unstable and more extreme rainfall patterns – can impede development and threaten the effectiveness and sustainability of development investments. At the same time, people’s capacity to adapt to these impacts depends on their access to economic, ecological and social resources,

and infrastructure and governance. Hence, development planning needs to be climate resilient while also building climate resilience. This process however needs to balance top-down and bottom-up processes; and flexibility and adaptive management are key requirements.

On the other hand, integration also calls for spatial planning scales. The cross-scale impacts of climate change demand better integration of local and national policy responses. The impacts of climate change will be felt first and foremost by local people, groups and enterprises. National adaptation planning must therefore be informed by, and supportive of, local adaptation planning, which focuses on location-specific needs and so better reflects local realities and contexts. Local adaptive planning can be more agile than national planning and can make seasonal adjustments, thus enabling better responses. National planning can enable adaptation by providing the necessary infrastructure, public services and resources.

The other dimension of integration is the temporal planning scale. The changing impacts of climate change over time demand the integration of adaptation into short-, medium- and long-term development planning cycles, such as annual, five- and ten year plans and mid-term expenditure frameworks. Development planners need to take the right decision at the right time. Existing stand-alone, project-based approaches to adaptation planning largely fail to incorporate iterative planning as a means to respond to the different timescales of climate change impacts. Programmatic approaches that are linked to development planning cycles are required.

2.6. Approaches to Climate Resilience Green Economy Mainstreaming

Mainstreaming or integration of climate change in development can follow various approaches and there are a number of entry points for mainstreaming climate resilience into development planning. Based on country experiences, IIED (2013) identified three broad types of policy responses to mainstreaming climate resilience into development planning and their

different entry points. It also suggests a more strategic approach for mainstreaming at a country level. These approaches include: the climate-proofing approach, the climate-first approach, and the development-first approach. The institute also suggests adopting a more strategic approach, which is mainstreaming in action.

The climate-proofing approach: aims to protect development interventions that have been planned in isolation of the climate change context by increasing capacity to cope with – and recover from – the impacts of existing climate variability. Climate resilience is integrated at a later stage of design to minimise the impacts of climate change on the intervention. The entry point for integration under this policy response is often via project-based interventions.

The climate-first approach: largely addresses incremental changes in existing climate-related risks, by increasing a society's capacity to cope with extremes and variability, thus preparing them for, and enabling them to accommodate, increased variability and more frequent and severe extremes. The entry point for integration under this policy response is often stand-alone climate change policies and strategies. The climate-first approach often entails in identifying and implementing pilot climate-resilient strategies or projects, with effective pilots subsequently being scaled up and/or integrated into existing development programmes, sectoral and national plans at a later stage.

The development-first approach: has climate resilience as an integral part of the development planning process from the start. Policymakers focus on making development planning processes resilient to climate change, so they can deliver climate-resilient developmental outcomes. The entry point for integration is often a national, local or sectoral development planning framework. This approach is used in countries that wish to mainstream climate resilience from a development planning systems approach.

Mainstreaming in action: This is a more strategic approach where mainstreaming at a country level means moving towards a strategic integration of climate resilience into development planning. This is a kind of country-wide programmatic approach and necessitates looking at national budgets, development and investment plans as well as institutional arrangements.

2.7. Challenges for Integrating Climate Change Agenda in a National Development

Lack of empirical and theoretical evidence of what this new development paradigm may look like in practice: While the genesis of this concept hinges upon the theoretical synergies between adaptation, mitigation and development, various authors argue that there is a lack of empirical and theoretical evidence of what this new development paradigm may look like in practice, and more importantly, whether the possibility of concurrent, adverse impacts linked to such an approach exists (Blackford, 2011; Tompkins, 2013).

Differences in the timeframe of the agendas and their spatial scale: There are also some theoretical challenges to bringing the policy areas together – such as differences in the timeframe of the agendas and their spatial scale (Wilbanks, et al., 2007). In practice, mitigation and adaptation tend to involve different time frames, communities of interest, and decision making responsibilities.

Complexity: The links between sustainable development and climate adaptation and mitigation are cross-cutting and complex (Wilson & McDaniels, 2007). Further, the impacts of climate change, and ill-designed responses to these impacts may derail current sustainable development policy and potentially offset already achieved gains (Denton, F., T.J., et al, 2014).

According to UNRISD (2012) therefore efforts to restructure an economy that are both green and fair must take the following into account (1) the winners and losers, and the role for

social policy in mitigating the unequal social effects of different green economy approaches, (2) how green economy approaches can transform persistent structural inequalities that underpin poverty and vulnerability, rather than reproducing them, and (3) the strategies of participation that are emerging – or might need to emerge – for diverse social actors to influence green economy agendas.

2.8. Social Vulnerability to Climate Change and Extremes

Social vulnerability is the exposure of groups or individuals to stress as a result of social and environmental change, where stress refers to unexpected changes and disruption to livelihoods (Adger, 1999). This emphasizes the social dimensions of vulnerability following the traditional analysis of vulnerability to hazards, food insecurity and as a dimension of entitlements. This is in contrast to the predominant views on vulnerability to the impacts of climate change which concentrate on the physical dimensions of the issue.

Lynn et al (2011) argued that the effects of climate change are expected to be more severe for some segments of society than others because of geographic location, the degree of association with climate-sensitive environments, and unique cultural, economic, or political characteristics of particular landscapes and human populations. In the context of climate change particularly, social vulnerability and equity are important as some populations may have less capacity to prepare for, respond to, and recover from climate-related hazards and effects. Climate change disproportionately affects these groups of populations than others.

A World Bank (2015) report indicated that much vulnerability is not geographically determined, instead determined by other factors such as individual access to assets, or lifecycle events. It also suggests that even though vulnerability does have a geographical footprint in Ethiopia, it is not fully determined by location of residence.

Some case studies also confirm these arguments. Ethiopian Panel on Climate Change (2015) reported that in North Shewa Zone the youth and women are found to be more vulnerable to climate changes compared to the elderly ones. This was explained by explained by the differences in land holding and unemployment. Although the elderly have inherited land to their offspring, they are generally better off in land holding and have better immunity to cope with the effect of climate shocks whereas the youth are generally poor because of unemployment and landlessness. Moreover, women are highly vulnerable to climate change because of their - low resource endowments, restrictive social institutions, and low access to information and extension services, among others.

Therefore, there are various factors that contribute to better adaptive capacities of households. Other According to (EIAR, 2013, Legesse and Semelese, 2013, Tesso, 2012, Simane, 2014 in Ethiopian Panel on Climate Change 2015) , the level of literacy, crop productivity, farm assets, use of credit and advisory services, etc. have significant contributions to improved household adaptive capacities in rural areas of Ethiopia. These studies added that social institutions play an important role in building the adaptive capacities of the communities. That is, farmers with high institutional participation, many relatives in a community, family size with working potential, and participation in different social meetings usually lead to high social power to withstand adverse effects and result in better adaptive capacity. On the other hand, low literacy rate of communities, high dependency ratio of household members with more than four dependents, low participation in different institutions increased the vulnerability level of community members to the frequently occurring natural shocks in the study areas.

Besides, the Ethiopian Panel on Climate Change, (2015) assessment report indicate that farmers with better investment on natural resource management, access to market, better social

network, access to credit, preparedness, saving liquid assets, access to irrigation and better level of education exhibited greater level of resilience during and after climate change induced shocks. Natural assets such as agro ecological settings, land size, livestock resources and access to irrigation and use of fertilizers and improved seeds are identified to contribute to the adaptive capacity of farmers. Accesses to major indicators of infrastructure (i.e. road, first cycle primary school, veterinary services, market, credit services, electricity, and telephone) also influence the adaptive capacity.

2.9. Country Experiences and Practices in Climate Resilient Green Economy

Mainstreaming

The purpose of this section is to draw lessons from the experience of other countries. These other countries from which lessons are to be extracted are mainly low income or developing countries.

Currently, climate change impacts are undermining the development outcomes in a number of countries and posing significant challenges to the resilience of many livelihoods and ecosystems. As a result, a number of countries responding to overcome these through national and sectoral policies, strategies and action plan. This trend is indicative of how countries are streamlining climate change responses within existing development policy framework. To this end, this section briefly overviews country experiences and practices in mainstreaming the climate change agenda.

Experiences from six developing countries, Bangladesh, Kenya, Rwanda, Cambodia, Mauritius and Ethiopia are included for similarities at least in their response to the climate change issues. Accordingly focus is given to describe their response strategies; integration

approaches in the national plans, the priority sectors for mainstreaming in these countries, and key pillars followed by lessons.

The Government of Bangladesh:

Climate Change Response: In Bangladesh, an explicit ‘green growth’ strategy was prepared; for example the National Sustainable Development Strategy (NSDS) and the Bangladesh Climate Change Strategy and Action Plan (BCCSAP) to serve as a blue print for subsequent integration of climate change issues into the national planning process (Government of Bangladesh, 2009). The BCCSAP has six pillars: (1) Food security, social protection & health security, (2) Comprehensive disaster management, (3) Infrastructure development, (4) Research and knowledge management, (5) Mitigation and low carbon development, and (6) Capacity building – institutional and human. The strategy emphasizes institutional and human capacity development with a focus on awareness raising and disaster preparedness, research and data management. This plan considers the mitigation and low carbon development as one of the key pillars with further ten sub-pillars.

Integration Approaches: In Bangladesh, mainstreaming climate change resilience into development planning follows the climate change action plan of the country leading the policy frameworks to shift away from sets of project-based climate initiatives (NAPA) to a more programmatic planning approach. Climate change as a policy objective was first articulated in the NAPA documents and then developed a national climate change strategy that has subsequently been integrated into national and sectoral development plans either as policy objectives or as investment portfolios (Pervin, 2013). The government has also moved beyond articulating climate-resilient development as a policy objective by developing a strategy and

action plan and adopting legislation for the establishment of the Bangladesh Climate Resilience Trust Fund.

The time dimensions: The National Development Plan (NDP) (2011-2015) tries to mainstream poverty, climate and environment into the development planning processes. The green growth strategy has been also integrated into the Perspective Plan of Bangladesh (2010–2021). Both plans have green growth elements. The National Planning Commission of the country has incorporated climate change issues into its ten-year, five-year and annual development plans and projects (Government of Bangladesh, 2010).

The Royal Government of Cambodia:

Climate Change Response: The primary climate-related policy framework for adaptation is the NAPA (published in October 2006), followed by a Strategic National Action Plan for Disaster Risk Reduction 2008–2013 (SNAP). These were entry points for mainstreaming climate change in Cambodia. Cambodia has also developed a Climate Change Strategic Plan (2014–2023), which has eight key objectives, all of which are developed from the perspective of mainstreaming climate resilience into development planning.

Integration Approach: The Cambodia Climate Change Strategic Plan capitalizes its response on interdisciplinary, multi-sectoral, multi-stakeholder and multi-dimensional approaches in programming response actions. The planning approach requires all concerned ministries and agencies to consider links with other sectors when developing their action plans (Royal Government of Cambodia, 2013). The Cambodian plan gives emphasis to the resilience dimension of climate change and mainstreams the idea of low carbon planning at the pillar or strategic objective levels.

The time dimension and key Pillars: The Cambodia Climate Change Strategic Plan (2014–2023) has eight key objectives. These are: (1) Promote climate resilience through improving food, water and energy security (2) Reduce sectoral, regional, gender vulnerability and health risks to climate change impacts (3) Ensure climate resilience of critical ecosystems, biodiversity, protected areas and cultural heritage sites (4) Promote low-carbon planning and technologies to support sustainable development (5) Improve capacities, knowledge and awareness for climate change responses (6) Promote adaptive social protection and participatory approaches in reducing loss and damage due to climate change (7) Strengthen institutions and coordination frameworks for national climate change responses and (8) Strengthen collaboration and active participation in regional and global climate change processes. The development of the CCCSP is a significant step towards embedding climate change in the NSDP 2014–2018 and in sector development plans of all relevant ministries. The CCCSP also provides guidance to national entities and assist non-governmental organizations and development partners in developing concrete and appropriate measures and actions related to adaptation and GHG mitigation, which are the supportive pillars for the achievement of the Rectangular Strategy and Cambodia Millennium Development Goals.

The Government of Kenya:

Kenya Climate Change Response: The policy documents on climate change in Kenya are mainly the National Climate Change Response Strategy (NCCRS) and its action plans. Kenya takes climate change and its impact on development, considering it as a cross-cutting issue that needs to be mainstreamed into the planning process both at the national and county levels and in all the sectors of the economy.

Integration Approaches: The Kenyan Medium Term Plan (MTP) for the period 2013–2017 incorporates climate change concerns into the national development plans. It sets out the five-year national priorities toward realizing vision 2030 of the country and builds on both the NCCRS and its action plan to incorporate climate change programmes and projects into the planning cycle. Climate change agenda are emphasized in the MTP and climate change adaptation has been mainstreamed into the county’s development plans that were prepared under the leadership of District Development officers, charged with the responsibility of coordinating development activities at the district level (Government of the Republic of Kenya, 2013).

The key sectors and pillars: Kenya attempts to mainstream climate change into all sectors of the economy. To this end, the key pillars identified in the strategy include creating green jobs, enhanced drought resilience and climate change adaptation under the disaster risk reduction and ending drought emergencies, health, education, urbanization and housing sub-sectors. MTP gives attention to the vulnerable groups including women, people with disabilities, HIV and AIDS.

The Government of Rwanda:

Rwanda’s climate change response: The Government of Rwanda developed its first integrated low carbon climate resilient development (LCRD) strategy in 2010/11, highlighting a significant level of political will to mainstream climate change mitigation and adaptation into development planning processes. The country has also developed a National Strategy for Climate Change and Low-Carbon Development (NSCCLCD) with the purpose of guiding the national policy and planning in an integrated way and mainstreaming climate change into all sectors of the economy; and position Rwanda to access international funding to achieve LCRD (Government of Rwanda, 2011). The national strategy provides a framework for a holistic

approach to Rwanda's socio-economic development by integrating the country's development agenda with its climate change adaptation and mitigation needs. The government hopes to leapfrog old technologies and ineffective and inefficient development pathways by taking a low-carbon path to development and building a green economy (Government of Rwanda, 2011).

Priority Sectors and Time dimensions: the country has a vision to have a developed, low-carbon climate resilient economy by 2050. Rwanda attempts to mainstream climate change into all sectors of the economy. From this end, the strategy provides 14 programmes of action and priority sectors including sustainable intensification of small scale farming, agricultural diversity for local and export markets, integrated water resource management and planning, Sustainable Land Use Management and Planning, low carbon mix of power generation for national grid, sustainable small-scale energy installations in rural areas, green industry and private sector investment, climate compatible mining, efficient resilient transport systems, low carbon urban settlements, ecotourism, conservation and payment for ecosystems (PES) promotion, sustainable forestry, agroforestry and biomass energy, disaster management and disease prevention, and climate data and projections. Detailed Programmes of Action have been identified to address the most important and implementable areas of work, each of which has been derived from robust stakeholder engagement and research into best practices.

Key Enabling Pillars and Integration Approach: The plan identifies five key enabling pillars as 1) Institutional Arrangements 2) Finance 3) Capacity Building and Knowledge Management, 4) Integrated Planning and Data Management, and 5) Technology, Innovation and Infrastructure. Rwanda seeks to follow a climate resilient pathway by incorporating adaptation to climate change into policy and planning. The government made the decision to pool domestic and external financial resources into a basket fund known as the Rwanda Environment and

Climate Change Fund (FONERWA), which was designed to achieve the development objectives of environmentally sustainable, climate-resilient, green economic growth (Government of Rwanda, 2014).

The Government of Mauritius:

Mauritius's response to climate change: Mauritius has mainstreamed green economy into its development plan as reflected in the Maurice Ile Durable (MID), which is a programme of action that started in 2008 and commits the country to adopt a sustainable development path (Ministry of Environment and Sustainable Development (MESD), 2011).

In articulating the green economy strategy, the MID stipulates five 'Es' of sustainable development interventions: Environment, Economy, Energy, Education and Equity. Accordingly, two institutional developments followed: creation of the MID Fund and establishment of the Ministry of Environment and Sustainable Development (MESD) (Nhamo & Nhamo, 2014). The MID Fund supports programmes and projects related to sustainable development. In addition, there were other legislative measures put in place to quicken green and blue economy transition like the National Framework for Sustainable Consumption and Production (2008-2013), Energy Efficiency Act of 2011, Building Control Bill of 2012, Long Term Energy Strategy (2009-2025) (Heeramun, 2013).

Government of the Federal Democratic Republic of Ethiopia:

Response to climate change: The Ethiopia Climate-Resilient Green Economy (CRGE) strategy is a public policy response to climate change. It reflects government's commitment to advancing economic transformation in a green development path. It provides a comprehensive

initiative to plan, finance and deliver a low carbon economy that is resilient to current weather patterns and future climate change.

Key pillars of the CRGE Strategy: The CRGE Strategy has four key pillars: Agriculture – improve crop/livestock practices, Forestry – protect and grow forests as carbon stocks, Power – deploy renewable and clean power generation, and Industry, transport and buildings – use of advanced technologies.

There was time gap between the first Ethiopian Growth and Transformation Plan (GTP I), which was launched in 2010 but CRGE launched in Durban 2011. As a result, these two policy documents were not fully aligned. However, attempts were made to integrate the CRGE strategy in the second Growth and Transformation Plan (GTP-II).

Integration Approaches: GTP-II has nine key pillars including building climate resilient green economy. The key pillars are: (1) Sustaining the rapid, broad based and equitable economic growth and development witnessed during the last decade including GTP I; (2) Increase productive capacity and efficiency to reach the economy's productive possibility frontier through rapidly improving quality, productivity and competitiveness of productive sectors (agriculture and manufacturing industries); (3) Enhance the transformation of the domestic private sector to enable them become capable development force; (4) Build the capacity of the domestic construction industry, bridge critical infrastructure gaps with particular focus on ensuring quality provision of infrastructure services; (5) Proactively manage the ongoing rapid urbanization to unlock its potential for sustained rapid growth and structural transformation of the economy; (6) Accelerate human development and technological capacity building and ensure its sustainability; (7) Continue to build democratic and developmental

good governance through enhancing implementation capacity of public institution and actively engaging the citizens; (8) Promote women and youth empowerment, ensure their effective participation in the development and democratization process and enable them equitably benefit from the outcomes of development; and (9) Building climate resilient green economy.

The commitment to build a climate-resilient green economy is included as one of the strategic pillars of the GTP-II. This aims to be based on enhanced interventions in the areas of natural resource development and management, building resilience capacity and adaptation to climate change, and mitigation of GHGs. The GTP II generally outlines the top four pillar initiatives of the green growth strategy that are listed to achieve the aims. Concerning the green growth strategy, the following planned actions are specifically outlined in the draft GTP II: incorporation of the green growth strategy in sectoral, regional and local plans, programmes and projects; provision of close monitoring and evaluation for the implementation of incorporated CRGE initiatives; establishment of strong institutional capacity for planning and implementation; integrated efforts through enhanced collaboration between the government and the private sector, and with external partners; establishment and development of research and technology transfer institutions specifically directed to support the transition to a green economy; giving proper attention to the post-2015 development agenda and other global and regional development goals, and GTP-II broadly integrates economic, social and environmental concerns in all its core contents(The Federal Democratic Republic of Ethiopia, 2015).

Lessons learned:

The countries experiences show that the types of institutional arrangements being used for climate change planning are evolving. Overall, country experiences of green growth mainstreaming indicates that elements of green growth are explicitly addressed in medium- and

long-term economic development frameworks, such as ‘vision’ documents and medium-term plans. In addition, countries have prepared sustainable national development strategies and climate and environment policies which enabled them to mainstream green growth into their key sectors.

Although mainstreaming has been made at national level, there have been variations across the countries in terms of the extent of integration and areas that have got attentions across the different countries.

Box 2.1: Barriers to mainstreaming and delivery of green growth policies, strategies and plans

A review of country experiences reveals several constraints in green growth mainstreaming and execution including the following.

A lack of commitment to green growth: In some countries (e.g. India, Pakistan), there have been lack of willingness and incentives among the executive. For example, in Pakistan the Ministry of Climate Change was downgraded to a department in 2013.

Weak inter-ministerial coordination: A silo-based approach to policy-making and programme development has remained a constraint (particularly around topics with a cross-sectoral overlap such as agriculture, water, energy and forestry). Weak inter-ministerial coordination and cooperation is particularly problematic for the green growth concept, given its interdisciplinary nature (economic growth, social development, environmental sustainability) and need for integrated policy solutions. Responsibilities for implementation of the green growth agenda remain fragmented across line ministries.

Limited implementation capacity: Although green growth policies may be fairly extensive on paper, insufficient institutional capacity as a key barrier to delivery. The issue of capacity is even worse at subnational and sector level. Poor governance and corruption were also identified as issues.

Source: Oxford Policy Management (2014)

2.10. Implementation Arrangement of Integrated Development Plans

A well designed implementation arrangement is crucial to execute a development plan and achieve desired objectives. Implementation arrangements describe how a proposed plan is executed, explains existing structures through which key stakeholder groups interact; intra and inter line ministries as well as with the key external partners. This section presents overview of institutional roles or arrangements that foster innovation, effective planning, monitoring, and

evaluation of strategies. Overview of efforts made in Ethiopia to reform the civil service particularly the institutional aspects are also presented.

Civil Service Reform and Institutional issues in Ethiopia – Post 1991

Fostering climate resilient pathways requires strong institutions that are able to create an enabling environment through which adaptive and mitigative capacities can be built (IPCC, 2007, Gupta et al., 2010). The trajectory to a climate-resilient pathway requires institutional arrangements that foster innovation, monitoring, and evaluation of strategies for managing climate impacts and reducing risks. Implicit in institutional resilience is also the capacity of the exposed unit and the players within an action arena to devise rules that allows them to recover from environmental shocks, and equally ones that provide incentives and benefits that equitably distribute resources across social groups (McSweeny & Coomes, 2011).

Since the current government, Federal Democratic Republic of Ethiopia, has come to power in 1991, various civil service reform measures have been taken in the political, economic and social spheres. The major changes include the move from a centralized unitary state to an ethnic based decentralized state; a shift from a command economy to a market-based economy in the context of a structural adjustment; and the introduction of a multi-party electoral system (Chanie, 2001).

Notable developments since the adoption of the green economy strategy include the upgrading of the Environmental Protection Authority into a Ministry of Environment, Forest and Climate Change (Proclamation No. 803/2013). The Ethiopian Panel on Climate Change (2015a) argues that this reform is significant for a number of reasons.

First, it demonstrates the importance given to the environmental and climate issues. The Ministry of Environment, Forest and Climate Change (MEFCC) is the focal person for climate change matters. Now environmental and climate change issues are represented in the central government decision making, mainly in the Council of Ministers. Second, the Council of Ministers can serve as a platform for inter-ministerial coordination, avoiding inconsistencies, duplications of work maximizing synergies and so on.

In relation to this, another institutional development is the establishment of the CRGE Facility under the Ministry of Finance and Economic Cooperation (MoFEC). The Facility is designed to mobilize financial resources from different sources and channel it to line ministries and regions where much of the implementation of CRGE is carried out.

The other positive institutional development in this period is the establishment of the National Planning Commission (Proclamation No. 281/2013). The National Planning Commission (NPC) established with the objective to prepare five year plans of national development in the framework of country wide balanced growth within the context of a long term perspective plan of fifteen years, and conduct periodic evaluation of the implementation of the plans. The Commission is accountable to the Council and has the power and duties to serve as the Secretariat of the Council and provide support as needed, conducts assessment of growth factors in terms of increase in capital and productivity for the attainment of the annual growth in gross domestic products set in the plan, monitoring and evaluate implementation of national plans.

In the context of integrating the climate agenda in the national development plans, these institutions play coordinating roles and ensure effective planning, implementation and delivery of desired results including ensuring climate resilient and green economy. However, these key

institutions have no clear and strong institutional arrangements yet at regional and Woreda levels to effectively respond to the climate change from the grassroots levels. Besides lack of comprehensive planning as well as M&E guidelines for this integrated national development plan will make the roles that stakeholder groups in general and the local institutions contribute in particular to be unclear.

Transformative action within a framework of climate-resilient pathways is rooted in strong and viable institutions and in an institutional context that adaptively manages the allocation of resources and processes of change. Local institutions are particularly adroit in coping with multiple changes. These changes often force local actors and organizations to rethink their institutional arrangements and make adjustments that will allow them to cope with multiple vulnerabilities (McSweeney & Coomes, 2011), and their bottom-up initiatives are critically important to climate-resilient pathways. Organizational mechanisms are central to building linkages between local level adaptation action and national level planning. In many countries, these connections are missing.

Local institutions crucially influence the ability of communities to adapt and benefit from adaptation and mitigation programs in rural and urban settings (Corbera & Brown, 2008). For instance, institutions tend to play an influential role in shaping farmers' decisions and helping them make strategic choices with several implications for livelihoods and sustainable development (Agrawal, 2010).

Nigussa (2013) also provides a summary of the post 1991 civil service reforms challenges in Ethiopia as follow:

Despite the contribution of the reform efforts in reshaping and restructuring the public sector for the better socio-economic development of post Dergue Ethiopia, there have been a syndrome of on and off to sustain the reform. The massive bodies of literatures indicate that implementation of the civil service reforms in Ethiopia faced lack of properly integrated and sequential approach (Mesfin, 2009), inconsistency in performance evaluation system (Teka, Fiseha and Solomon, 2007), civil servants resistance to change (Eshete, 2007; Tesfaye, 2007; Tilaye, 2007; Emnet and Habtamu, 2011), lack of accountability in performance management system (Solomon, 2007), less communicated, poor sense of ownership, inefficient technological readiness, weak team work culture (Emnet and Habtamu, 2011), absence of well designed and implemented remuneration system (Tilaye, 2007), lack of awareness on service seekers side on their duties and responsibilities (Mesfin & Taye, 2011). A number of experts trained abroad to implement and technically support implementing agencies are becoming private consultant. The same holds true for trained experts at different office level. The government neither facilitates to let them stay nor able to capacitate others to replace. This attributes to the poor human resource management system exist in our civil service.

Nigussa (2013) argues that the civil service reform processes in Ethiopia were ‘pick-drop experience of different reform tools in the civil service sector’. Most of the reform tools implemented so far follows the top down approach; there were no room for a given sector to customize the tools with its own context. This calls for knowledge based, bottom up and integrated reform than embarking on dozen of models and/ or tools. He argues that if the very purpose of civil service reform is to serve the public interest, there must be a room for sectors customize change/reform tools as per their context.

CHAPTER THREE: RESEARCH DESIGN

This section presents the design of the research. It provides overall plans and procedures for the study including the research methods, the arrangement of conditions for collection and analysis of data in a manner that is relevant to the research objectives, and the primary function of the research. Specifically, it covers the structure of the research process such as the research approaches, the types and sources of data, the data collection methods used during this study, mechanism used to deal with human subject protection, the researcher's position and ethical stance in this process, data quality assurance and limitation of the study.

3.1. Research Methods

Qualitative research approach is used in this research process for its appropriateness to the research topic. That is, the information gathered and used for analysis are mainly qualitative data using qualitative data collection methods. According to Creswell (2014), qualitative research is an approach for exploring and understanding the meaning individuals or groups ascribe to a social or human problem. The process of research in this context involves emerging questions and procedures, data typically collected in the participant's setting, data analysis inductively building from particulars to general themes, and the researcher making interpretations of the meaning of the data. In this context, this research used different stakeholder groups as its unit of analysis and tried to understand the integration of climate aspects and its implications in the GTP II process from their perspectives.

In this view, this research has adopted exploratory and descriptive research with a case study of the Ethiopian Growth and Transformation Plan (GTP-II). On the one hand, this research is an exploratory study in a sense the issue of integrating climate change in a national plan as it happened in this GTP II process is a new phenomenon. To this end, the existing understanding

about potential implications of the process to the most vulnerable social groups is very low across the different stakeholders. Thus it is exploratory and characterized by a high degree of flexibility. On the other hand, it is descriptive as development planning process per se is not a new phenomenon for Ethiopia and this study also attempts to understand the process in light of the former medium term planning processes. It thus describes the processes followed during the different planning periods. The study also reviews the existing institutional arrangements briefly for the effective implementation of the integrated national development plan, GTP-II, at different levels and shed light on its implications to the vulnerable groups and accountability mechanisms for results.

As the climate change nexus development agenda in general and the GTP-CRGE integration issue in particular is a new phenomenon, previous research works are not sufficiently available in Ethiopian context. This specifically is vivid when it comes to the discussion of the climate change and most vulnerable social groups. A qualitative research approach is adopted thus to explore lived experiences and perspectives of the key stakeholder groups in the participants setting and conduct analysis inductively building from particulars to general themes. This would serve to explore and examine development planning worldviews of the key stakeholder groups in general. In this context, the key stakeholder groups are those identified in the GTP document namely; the government institutions both at federal and regional levels, development partners, academic institutions and professionals, and civil society organizations. The research approach would also serve to examine the actual GTP formulation process in its integrated form, identify proposed implementation arrangements and then its implications to the vulnerable groups.

In this general context therefore, the units of analysis in this research process are the key stakeholder groups mentioned above and identified in the GTP document. The data collection

process from these stakeholder groups took place over an extended period, such as months and a year. To this end, the process went beyond a single snapshot in time of some phenomena to an ongoing series over time and tends to be a longitudinal research in nature.

3.2. Data Sources

The sources of data for this study include both primary and secondary sources. The primary sources were the key stakeholder groups that the GTP documents identify. Accordingly, about 80 policy/planning and programme experts from the federal, 120 from the regional, and 16 from selected woreda institutions at different level of administrative structures involved in the research process. Besides, data were collected from six higher academic institutions namely; Addis Ababa University, Debu University, Mekele University, Haramaya University, Assosa University and Bahir Dar Universities. To this end, nine professionals participated as key informants. Similarly, over 10 heads of civil society organizations particularly from associations directly working with the most valuable groups were the primary data sources. Finally, development partners particularly the lead and coordinating agency of the ‘Development Assistance Group Ethiopia’ were the key data sources. In this regard, five key people participated in providing the necessary data.

The data collection process from the stakeholders was framed based on the key stakeholder groups identified in GTP-II. These include: government institutions both at federal and regional levels, academic institutions and professionals, development partners, and civil society organizations, which the GTP planning process identifies as its key stakeholders. These stakeholder groups at least in principle have engaged in the planning process and have experiences of the Growth and Transformation Plan (GTP-II) process. Thus, taking into account

their appropriateness for the objectives of this research work, the following key stakeholder groups were purposely identified.

Federal Government Institutions: In this research process, federal and regional government institutions participated in different forms. At federal level, people who involved in the CRGE strategy formulation and/or operationalization processes as well as the GTP-II process were selected. These include federal sector ministries like: Ministry of Agriculture & Natural Resource, Ministry of Education, Ministry of Labor and Social Affairs, Ministry of Water, Irrigation and Electricity, Ministry of Urban Development and Housing, Ministry of Finance and Economic Cooperation, National Planning Commission, Ministry of Environment, Forest and Climate Change, Ministry of Transport, Industry, and Youth & Sports. Generally about 80 people who are responsible to policy, planning or development programming of their line ministries have involved in this research process. Data from these people were collected through interviews, FGDs and questionnaire via e-mails.

Regional Government Institutions: The research process also involved regional government institutions including selected woredas. The key sector bureaus or agencies involved were the regional bureau of Finance & Economic Development/cooperation, Environment and Forest (Land Use), regional Bureaus of Agriculture, Bureau/Agency of Labor & Social Affairs, Women & Children Affairs, Regional Education Bureaus, regional Bureaus of Water, Irrigation & Energy, regional Bureaus of Youth and Sports, and regional Health Bureaus. In this respect, 120 people have involved in the research process either through interviews, FGDs, or e-mail communications to complete set of questionnaires shared with them. The regional people provided information on how their sectoral planning processes were managed, their views on the

degree of stakeholders' participation, the CRGE-GTP integration, implementation arrangements of GTP-II, and its implications to the most vulnerable social groups.

Woreda Government Institutions: During this research process, identification of the key research participants from the sample woredas and higher academic institutions was partly shaped based on a pre-information or knowledge of specific woredas being selected from five Regional States (Amahara, Oromia, SNNPR, Tigray and Beishangul Gumuz) and the higher institutions selected to support these woredas. Five Woredas were already identified by the government as pilot woredas for the UNEP-GIZ joint support in terms of operationalizing the CRGE strategy at grass- roots levels. The supports focus on the development of an Integrated Green Economy Implementation Plan (IGEIP) for the Woredas. This exercise attempts to integrate the CRGE priorities into the development plans in the context of the respective woredas by providing relevant integration tools and technical supports. These Woredas were therefore purposely selected for this study because of their CRGE-GTP integration experiences during GTP planning period and after this support has started in their respective contexts. Accordingly contacts were made with 16 planning heads/experts from these woredas and necessary data were collected to serve the purpose of this research, which has helped to understand how the GTP-CRGE integration process was managed at the Woreda level and the GTP-II process was generally managed in their respective contexts.

Academic Institutions & Professionals: Moreover, data was collected through interview with a total of nine professionals from six higher academic institutions; Addis Ababa University, Haromaya University, Mekele University, Bahir Dar University, Dehub University and Benishangul University during this process. These professionals were also selected based on a pre-knowledge of their practical engagement with the GTP and CRGE planning or

operationalization processes. Particularly, the selection of six of the participants from Haramaya, Mekele, Dehub, Bahir Dar, Addis Ababa and Assosa Universities was linked with the five woredas mentioned above. These professionals were engaged in supporting the operationalization of the Green Economy Strategy at sub-national levels representing the regional/national universities. Relevant data from these professionals were collected in different ways; through interviews, e-mail and telephone communications.

Further, three of the professionals were identified during the research process based on the information from the key institutions. These professionals are from Addis Ababa University. Some of them have practically engaged in providing technical supports on the GTP- CRGE integration process at sectoral and macro level through reviewing the GTP-II document, identifying gaps and providing inputs for the integration of the CRGE indicators in the national medium term development plan. Others are working with development partners to support the government in identifying the scope of the integration of the climate agenda into the national development planning.

These institutions were also selected as members of the key higher academic institutions that had stakes in the GTP-II planning process. They had involvements in the consultation forums organized for higher institutions and professionals on the GTP-II draft document. Therefore data were collected from these professionals through interviews to serve the purpose of this study.

Development Partners: In terms of selecting research participants from the development partners, the lead and coordinating body of the ‘Development Assistance Group Ethiopia’ was purposely selected to get broader and comprehensive views on the GTP-II process and the integration process than approaching individual agencies in the country. In this respect, data

were collected in two ways, through interview as well as FGD. Accordingly, interviews were conducted with two key informants and conducted one FGD, which had a member of three key people.

Civil Society Organizations/Associations: In this research process, more focus was given to organizations or associations related to the most vulnerable social groups particularly associations working with persons with disabilities of different forms, women and elderly. Accordingly, ten associations or organizations working with the most vulnerable social groups were identified at federal level and engaged in the research process. These institutions include: Federation of National Association for Persons with Disabilities, Ethiopian National Association for Elderly & Pensioners Associations , Ethiopian National Association for Women With Disabilities Association, Ethiopian National Association for Physically Handicapped Association, Ethiopian National Association for the Deaf, Ethiopian National Association for the Deaf & Blind, Ethiopian National Association for the Deaf ,Ethiopian National Association for the Blind, Ethiopian National Association for the Leprosy , and Ethiopian National Association for the Intellectually Disabled Association. In this respects, data were collected from ten heads of the associations through interviews. Besides, an interview was conducted with representatives of non-governmental organization, which has actively engaged in supporting the national efforts particularly in developing the adaptive capacity of the community to the effect of climate change as well as in supporting the government institutions on implementation capacity building.

3.3. Data Collection Methods

Observations:

In this study process, observation was used as one of the data collection methods. This was particularly important as the researcher had a chance to participate in the GTP –II planning process as a member of a technical team organized to review the sectoral GTP-II draft documents for the integration of the CRGE priorities as well as a workshop participant. These provided a chance to get access to the views and understandings of the stakeholder groups at different levels. In this process therefore the researcher assumed different roles as complete participant and participant as observer.

As complete participant in this process, the researcher had observed a wide range of stakeholder groups' perspectives. The researcher was a participant on series of consultation workshops organized on GTP-II draft document and other subsequent workshops like 'Operationalizing the Green Economy Strategy of Ethiopia, developing Integrated Green Economy Plans at Woreda level, the SDGs national briefing workshops, Pilot Programme for Climate Resilience, etc was able to observe the views of the different stakeholder groups; the government, academic institutions, the development partners and civil society organizations regarding the GTP formulation process, the key inputs shared for further revision of the plan, major concerns and points recommended for the way forward.

The researcher with the status of participant- as- observer revealed his status after the workshop to the research participants and conducted interviews to get the stakeholders perspectives on the GTP-II process and integration issues as well. This has served to understand

the stakeholders' views on the GTP planning process and their reactions, concerns and recommendations for further improvement of such national development planning processes.

The researcher as a member of a technical team organized by the Ministry of Finance and Economic Cooperation (MoFEC) and the Ministry of Environment, Forest and Climate Change (MEFCC), reviewed the sectoral draft GTP-II documents to recommend inputs for the CRGE-GTP integration. This served to be in the natural context, identify the right research participants and understand the subjective experiences. This served the researcher to deep into the sectoral draft GTP-II documents and understands how the sectors prepared the plans, what these documents contained for the next five years and how the climate change issues were addressed in the sector plans.

The observations as an approach has served to triangulate the data collected on the GTP-II planning process from different sources or key stakeholder groups and to keep balance between the planning principles and the actual practices on the ground.

Interviews:

Informal interviews: As participant in the GTP-II planning process the researcher had a chance to informally interact with the key stakeholder groups during the GTP-II planning process. This served to collect relevant information through informal interviews as well as to develop structured questions for the in-depth interviews and FGDs. This has also served to get the general picture of the GTP planning process, who had involved in this process, and how the planning process was managed across the line ministries as well as at federal and regional levels.

Key informant interview (KII): This refers to an in-depth interview conducted with the key informants to collect data during this study process. The key informants participated in the

research process were drawn from policy makers and/or advisors who involved in the GTP planning process or the CRGE Strategy formulation, development partners, academic institutions and selected civil society organizations (CSOs).

In this process, semi-structured interview guides were mostly used to collect the data. The questionnaires were prepared in advance and mainly were open ended with few close ended questions. During the academicians and practitioners interviews particularly high attention was given to draw on understanding the unique perspectives of the interviewees than asking all the details.

Focus Group discussions (FGDs):

In this research process, focus group discussions or interviews were organized at different levels where about 3 to 10 participants (development practitioners) from federal line ministries, regional bureaus and development partners had involved. The focus groups comprised planning and programming heads/experts from government institutions both at federal and regional levels, and policy advisors and coordinators from the development partners. Unlike research participants from the federal level, in some contexts the FGDs participants from the regional levels were not familiar to each other.

Review of Key Documents:

The researcher also reviewed a variety of relevant documents such as reports, research results, policy and strategy documents such as the medium term development plans, proclamations, CRGE Strategy, operational manuals, monitoring and evaluation systems (policy matrices), etc. These materials served to understand the contexts or wider picture, guiding frameworks, as well as existing practices and experiences in the country. The policy and strategy

documents served the researcher to understand the desired development planning standards or approaches whereas the reports and research materials provided useful insights on the actual experiences and practices.

3.4. Human Subject Protection

In this research process, due attention was given to ethical issues relevant to the research topic. Based on consensus, particularly attentions were given to manage any potential risks to research participants, confidentiality and privacy. In terms of dealing with the confidentiality and privacy, the researcher has made all the efforts to ensure that the identities of research participants will never be revealed or linked to the information they provided without their permission. This was particularly believed to be important as a development planning processes are usually guided by and are reflections of the political ideologies and values as well, which some research participants do not want to be identified by the information they provided.

3.5. Data Quality Assurance

In this process, efforts were made to assure quality of the data and guard against the researcher's bias through different techniques. These included members checking, triangulation (both source and method triangulation), prolonged engagement, and peer debriefings.

Member checking was employed by going back to some of the research participants and verifying the preliminary findings of the study. Besides, attempts were made to triangulate the sources, organizing the field notes regularly and through incorporating any accounts that were unnoticed in the field as needed in the subsequent episodes. The researcher were also recording any methodological difficulty he had in collecting data including the possibility of biases that

might be introduced by the data collection techniques for further discussion with his advisor and correction.

This research was conducted through a prolonged engagement of the researcher in the field with the key stakeholders that would also ensure the quality of the data. To this end, this research took a prolonged period, which is over a year. In this process, peer debriefings were another technique employed to generate high quality data for this research work. The researcher had frequent peer debriefings on the data collected through different methods; observations, interviews or FGDs. These served to create proper understanding of views and to revise some of the data collected at different time. These were employed to serve the data quality assurance in this research work.

3.6. Researcher's Position and Ethical Stance

Social responsibility and ethical stance: In this dimension, the researcher followed an approach of promoting social justice in the development planning process for the most vulnerable social groups. As a social work researcher and development practitioner, influencing the decision makers and planning experts at different levels to promote social justice for the poor were one of the approaches in this research process.

In the GTP-II planning process and the integration of the CRGE priorities in the development agenda, there were contexts where the research had a role of complete participant. To this end, the researcher had a chance to facilitate capacity building trainings for planning/programme experts drawn from federal and regional government institutions. Moreover, the researcher was one of a technical team member organized to review the draft sectoral GTP-II documents and improve integration of the CRGE priorities and indicators in the national development agenda.

The researcher had also participated in the series of workshops organized at different levels particularly to support the ongoing integration efforts.

3.7. Data Analysis

The data gathered in this process are mainly qualitative data that are expressed in terms of verbal description. Findings were organized based on the major research questions. Therefore information generated from the research participants were analyzed starting from the first day of data collection until this document was finalized.

Based on this analysis, key lessons were identified both for the social work profession and the practitioners for the better implementation of the plan subsequently. In this view, the research findings and recommendations would serve both the academic discussions or debates and the practitioners in providing pragmatic recommendations.

3.8. Scope and Limitation of the Study

When this research process began, this piece of work had three broad objectives. One is to examine the policy planning and integration process of the CRGE-GTP II. The other is analyzing the contents of this integrated document and reviewing if special provisions are included with measurable indicators for the most vulnerable social groups due to integration of the climate issues. The third was to look into implementation arrangements in place for the integrated policy and/or plan to understand if existing institutional arrangements (both vertical and horizontal coordination), monitoring and evaluation systems and guidelines are clear to facilitate effective operationalization of the plan on the ground and address priority needs of the most vulnerable social groups.

However, by the time this paper was submitted, only volume I of the GTP-II document was finalized and officially released for public use. The government officially released the first volume of the GTP-II on 26 April 2016, which is the Amharic version of the plan. The English version of the same volume as well as the second volume of the plan, which is the policy matrix, has not yet been finalized and officially released for public use. This has hindered to deal with the content analysis of the integrated policy, GTP-II and this study lacks the content analysis of the GTP. The report is now limited to focus on two of the remaining objectives; that is, the policy and planning process, and discussion of the implementation arrangement.

As a qualitative research, generalizability is obviously one of the limitations of this research work. Particularly, planning and the issue of climate adaptation strategy in particular can be different in different country contexts to generalize the conclusion.

The other limitation might be the difficulty to provide adequate empirical evidences in the Ethiopian context for the discussion of climate change in general and the issue of green economy integration in particular. This is still an emerging phenomenon. Particularly, there are very few works that identifies social dimension of climate change and the most vulnerable social groups to climate change and extremes in Ethiopia to satisfy the expected information need.

CHAPTER FOUR: FINDINGS AND DISCUSSIONS

This chapter presents the major findings and discussions of the study. The findings are broadly categorized into two thematic areas: the national development policy and planning process and its implementation arrangements. For each of the findings further discussions in relation to an earlier literature was made. The discussion section mainly focuses on the alignment of the findings and/or the major departures from what was expected.

4.1. Development Policy or Planning Process

4.1.1. CRGE Strategy Preparation Process

According to data from key informant interviews (KII) the CRGE strategy process was managed from the initial point of agenda setting to formulation of the policy document under the leadership of three key government institutions; the Prime Minister's Office, the Environmental Protection Authority, and the Ethiopian Development Research Institute. The process involved technocrats and decision makers from government institutions with technical and financial supports from a group of key development partners from DFID, Denmark, UNDP, Norway, etc. The preparation was completed by incorporating inputs collected from consultation workshops organized at regional level for decision makers and experts drawn from the CRGE sector bureaus. However, information presented in the policy document mentions the active participation of the stakeholder groups in the CRGE development process.

From these findings we can draw some relevant points. First, Ethiopia's public policy responses to the impacts of climate change through the CRGE strategy. This was part of the evolution of the policy responses to climate change at a global level. Particularly, it has a link with the UNFCCC guidance on climate mainstreaming from a position of responding to the impact of climate change as a standalone and technical issues towards integrating climate

change agenda into relevant social, economic, and environmental policies. This has various implications including political, social, economical and environmental.

The other key point is whether this process was democratic or dominated by elites and technocrats. The pluralist theoretical tradition in political science suggests that the policy process is mainly a competition among organized groups that account for all interests, each vying to get the government to pay attention to its problems or concerns and to do so by taking particular actions.

However, the CRGE formulation process followed a top- down approach and participation of the wider stakeholder groups was minimal. In this process, the actors who had a true political power to influence or control the problems and policy alternatives were the government institutions; decision makers and experts. The role of the private organizations, including think tanks, research institutes, interest groups, and ordinary citizens were very minimal. The consultation forums organized involved not the wider stakeholder groups to influence the policy alternatives but only decision makers and experts drawn from the CRGE Sectors at regional level. As a result, it would be difficult to ensure shared understanding on the policy at all levels among the key stakeholder groups.

4.1.2. The Growth and Transformation Plan (GTP-II) Process

4.2.1.1. Foundation of GTP-II

FGDs and KII participants indicated that the GTP II is designed to realize Ethiopia's vision of becoming a lower middle income country by 2025. To this end, the planning process was built on global, regional and national policies and development agendas. At national level, Sectoral Policies, Strategies and programs, as well as lessons drawn from the implementation of

the first GTP were used. The CRGE strategy is a national strategy that aims to mainstream the climate agenda into the national development plan. The global development agenda, including the Sustainable Development Goals (SDGs) and other regional agreements including agenda 2063 of the African Union were also considered.

From the findings, we understand that the Government of Ethiopia has made efforts to align the national development with the global and regional development agendas as well as the national climate policy objectives (CRGE priorities). These help policymakers to identify opportunities to harness development benefits from lowering emissions as well as attract supports of international finance, technology transfer and capacity buildings. However, it also requires proper technical and scientific analysis to maximize the benefits and minimize potential risks attached to integrating a national economy in the broader regional and international contexts.

4.1.2.2. GTP II – CRGE Integration

The first generation of the Growth and Transformation Plan (GTP-I), which is the country's medium-term development plan, and the CRGE strategy were developed one after the other: GTP-I in 2010 and the CRGE Strategy in 2011. There was disconnect between the two policy documents in terms of targets and indicators of climate change dimensions to be monitored. Therefore, this demanded for alignment of the Climate Resilient Green Economy (CRGE) strategy with the subsequent national medium-term development plans such as the second generation GTP (GTP-II).

FGDs and KII participants clearly indicated that the government has made substantive efforts particularly in institutionalizing the CRGE strategy by integrating into the GTP-II at macro and sectoral levels. In GTP-II, for the first time, the Climate Resilient Green Economy

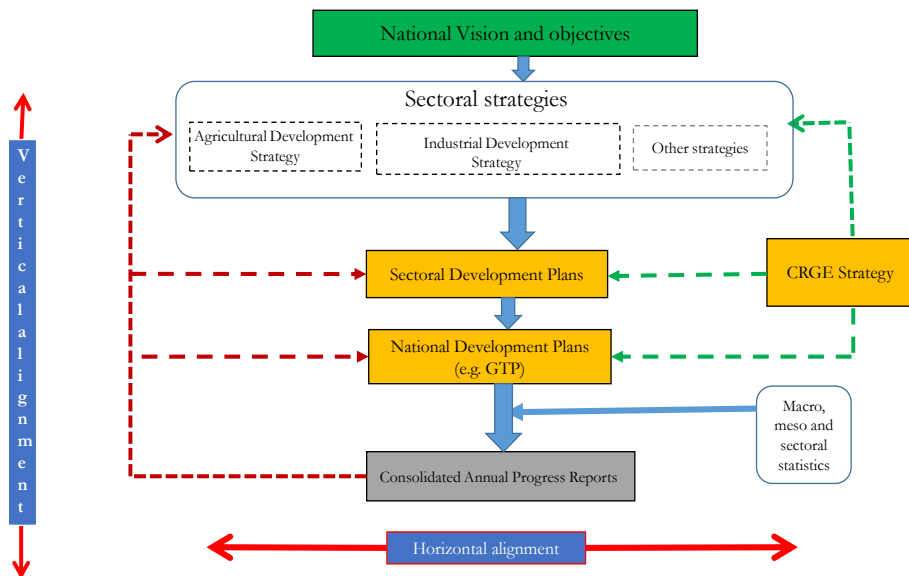
(CRGE) agenda appeared as one of the key pillars. In this process, the Ministry of Environment, Forest and Climate Change (MFECC) developed a checklist and issued this through the National Planning Commission (NPC) to sector ministries (including the non-CRGE sectors) to facilitate the integration. A series of awareness creation trainings on this checklist and how to use it was also organized for sector ministries and regions. Further, a team of experts from the CRGE Facility Secretariat and the NPC evaluated the draft sectoral GTP plans and provided inputs to improve their CRGE content. FGDs participants from the regional level indicated that information on the issue of CRGE integration into regional development plans was not consistent across regions.

The key messages from the findings indicate that the second generation medium term national development plan (GTP-II) has attempted to integrate the CRGE objectives, particularly at macro and sectoral levels. This is currently becoming an emerging policy agenda at global level and makes the GTP II different from its predecessors in terms of giving high attention to climate agenda. In this process, supports were provided to sector ministries by issuing a checklist and reviewing the sectoral plans to improve their CRGE contents. However, the same level of effort was not made to integrate the CRGE into regional plans.

In light of the literature and other country experiences, effective planning in the context of climate change has various benefits. On the one hand, it helps to make development resilient to the impacts of climate change, facilitates better coherence between social, environmental and economic policies. On the other hand, it helps policymakers to identify opportunities to harness development benefits from lowering emissions. However, this would be true if the policy matrix of the GTP-II really integrates specific policy instruments, implementable projects and programmes beyond the general policy objectives and strategic pillars.

In principle, planning exercise in climate context needs to be evidence based, built on realistic analyses and understanding of the drivers of climate change induced vulnerability. However, the key gaps in the GTP-CRGE integration process include lack of adequate understanding, climate data and scientific analysis to inform the planning choices, methodological tools and conceptual frameworks to understand the interactions between climate change and development beyond the checklists shared through the MEFCC to the sector ministries are some to mention. Figure 4.1 shows a type of proposed frameworks to guide the flow of integration processes into a national development process.

Figure 4.1: Schematic flow for integrating climate agenda into GTP-II



Source: Own Construction

Integration of the climate change agenda into the national development process can be seen as iterative, continually evolving processes for managing change within a complex system. In this perspective, the GTP II planning and implementation processes provide opportunities for learning from experiences and paying particular attention to distributional concerns and trade-

offs, refining approaches and building capacities as well. Particularly, practical experiences, often based on the trial and error approach, are a necessary exercise for capacity development and for improving implementation of the integration tools. This in turn entails readiness in terms of developing learning and knowledge platforms and management mechanisms in the GTP period to generate relevant lessons, record practical experiences and incorporation of emerging tools in the implementation process.

4.1.3. Stakeholder Participation in GTP-II planning

The following findings are drawn from data collected from the FGD and KII participants both at the federal and regional government institutions as well as other key stakeholders. The federal and regional participants included the NPC and other key line ministries and bureaus/offices. Views from the development partners, academic and research institutions, and civil society organizations are also discussed.

KII participants showed that the national development planning process is internally driven by the Government. The GTP II was developed by four work clusters (macro economy, finance and economy, good governance and civil service reform, and the social clusters) in the Prime Minister's Office. The macro economy cluster developed the macroeconomic framework taking into account the government priorities, vision and policies as well as global and regional agreements. Each cluster also coordinated the planning of the line ministries GTP, under its mandate based on the framework, priorities, and targets set at national levels.

Further the line ministries jointly with their regional constituencies developed their sectoral plans based on the circular calling for the GTP preparation and submitted to the National Planning Commission (NPC). Based on these sector plans, the NPC prepared the first draft GTP–

II document and a background document on the major achievements of the GTP-I, and objectives, strategic pillars and main targets of the GTP-II for a series of consultation forums.

Some KII participants from the federal government institutions mentioned that the GTP-II had been prepared through active participation of the public and all key stakeholders both at the federal and regional levels. During the GTP-II planning process, key stakeholders drawn from private sector, development partners, academic and professional institutions, civil society organizations, and the public at large actively participated in the consultation forums organized to discuss the draft GTP-II document. Finally, the GTP was approved as a binding legal National Plan Document of the country for the period 2015/16-2019/20.

Box 4.2: GTP-II vs SDPRP Planning Process

KII participants compared the GTP-II planning with the SDPRP process. During the SDPRP period, key stakeholders including development partners (DPs), CSOs, academia, think-tanks and community members at grass roots levels were invited officially to engage in the process from the early phase of planning to the end. In this regard, the SDPRP process was quite a unique experience in the Ethiopian development planning history. It provided opportunities for meaningful participation of the stakeholders from the very early stage. This planning experience however did not continue even during the PASDEP and GTP I periods. The GTP- II process is the worst of its predecessors in terms of stakeholders' participation. In this phase, the government prepared the plan and stakeholder groups were invited to attend consultation workshops on the draft GTP plan

FGDs and KII participants from development partners, civil society organizations and academic institutions had differing views regarding stakeholder participation. These groups identified some key gaps that hindered meaningful participation of the key stakeholder groups in the GTP-II process.

These factors relate to:

1. *A time challenge.* Key stakeholder groups did not participate from the early phase in the planning process but instead were invited to a series of public consultation workshops after a draft plan of the GTP had already been prepared. Some of these workshops were organized after over a quarter period of the implementation phase of the GTP had been completed. The amount of time allocated for the consultation workshops was not sufficient to understand a five-year national plan, review it, and provide relevant inputs.
2. *Difficulty to access the draft document before the consultation workshops:* The key stakeholder groups had no access to the draft document before these workshops in order to make comments. Even the draft document shared during the workshop was just a summary document with broad thematic areas, priorities and targets, and not the full plan document including detailed information, thus limiting meaningful engagement. Some KII participants argued that the series of discussion forums were more of ‘a popularization of a final product by informing the stakeholders to get a buy- in for implementation’ than for consultations to collect genuine inputs to revise the draft plan.
3. *There was no mechanism to follow up and ensure incorporation of the feedback from the series of consultations into a revised GTP.* FGD and KII participants reflected a view that there was no mechanism in place to follow up inclusion of the inputs collected from the stakeholders in the ‘revised version of the GTP, if it was revised’. It seems that the planning process was a closed case when the consultation was organized’.
4. *Questions of whether or not the workshop participants could really represent the stakeholder groups or public at large:* many of the FGD and KII participants reflected a view that the workshop participants in many of the contexts were party supporters: from

the government offices, the youth and women associations who were identified as civil society representatives, and even those from the academic institutions, etc were hand picked and it is therefore potentially challenging to argue that the views of these groups did genuinely reflect the real interest of the public or the community. The participants from these institutions were often for example decision makers and not subject specialists or experts.

The lesson from the findings include: similar to the CRGE strategy formulation, the GTP-II process also followed a top-down planning approach. The degree of stakeholders' participation seems weak. Key stakeholder groups were invited to engage after the draft plan document was completed and they had no influence from the early phases of the planning process. This timing challenge combined with the inaccessibility of the full plan document constrained the review process. There were no follow-up mechanisms in place to ensure incorporation of feedback collected from workshop participants. The workshop participants were the decision makers as opposed to technical experts, which made it difficult to generate meaningful inputs from the stakeholder groups. It could be argued that the consultation workshops were for 'popularization of a completed plan' and informing the stakeholders rather than to collect genuine inputs to revise the draft plan.

The GTP planning process in these views were highly dominated by the government under the umbrella 'for the benefit of the people' than by the people for their own sustained growth. This highly makes the process similar with the conventional understanding of development process, which is top-down, than participatory approach. In the absence of meaningful participation, it could be argued that it is difficult to expect development plans like

the GTP-II to properly identify and include the real priority needs of the most vulnerable social groups.

Participatory development engages key stakeholders opportunities for the meaningful participation to influence the initiatives which can shape the desired results. Participatory development planning also aims to empower people , particularly the most vulnerable groups in the process by providing opportunities to be able to participate in, contribute to and enjoy development. Development in this view is conceived as a process by the people for their own sustained growth not only as a process for the people.

Box: 4.3. Policy Making, Clarity, Communication & Consultations

Lessons to Take-Home from Recent Events in Ethiopia

The need to formulate good policies- and a proper articulation of the government's policy goals are very critical. These are particularly evident in recent months in the Ethiopia. To mention a few:

- 1. The Addis Ababa and Oromia Special zone integrated master plan, which was developed by the government in a top-down approach without involving the community and the key stakeholders. The result was very obvious; ended by deadly protests, and finally implementation of the policy was canceled or postponed. This was not the intended impact of the policy.*
- 2. A policy initiated by the Federal Transport Authority and formulated and announced by the government, regarding the new traffic directive-known as the Progressive Traffic Penalty Proclamation. This was also postponed because taxi drivers held a strike for two days in Addis Ababa against its implementation.*
- 3. The social health insurance scheme, which was supposed to start early 2016 but has been postponed indefinitely because hospitals were not ready to implement the scheme. The private companies involved in the implementation process were not adequately informed about its details in advance, which contributed to this outcome.*

These examples suggest that a policy formulation approach needs to engage key stakeholders and/ or constituents to ensure empowerment, ownership and for smooth implemmentation at all levels.

Source: Adopted from Ethiopian Business Review, March-April 15 2016, No. 37

4.1.4. Driving Factors for Integration

FGDs and KII participants mentioned a number of reasons in Ethiopia for adopting a climate resilient green economy pathway.

Primarily, many of the FGDs and KII participants at different levels mentioned that the integration helps to keep national development objectives on track in the context of a changing climate. Climate change is a growing threat to development and sustainability. The impacts of climate change and extreme events are already exacerbating food insecurity and slowing down the pace of poverty reduction, influencing human health, and jeopardizing sustainable development. Over 10.2 million people in Ethiopia are already affected by drought due the climate variability. The economy and society are already affected by climate variability. Therefore, enhancing resilience to respond to effects of this climate change and adopting good development practices are becoming rational policy responses.

Second, KII participants at federal level identified political and economic reasons for integrating the climate policies with national development processes. These include the opportunities provided by climate change policies, like access to climate finance, capacity development and technology. The integration provides opportunities of tapping into global climate funds, utilizing vast renewable energy potentials to improve energy access through low-cost and low polluting technologies, and the opportunity to diversify the energy mix and reduce dependence on expensive fossil fuels, technical capacity and joining the ‘new development’ race as a competitive player, and provides benefits that could be derived from low carbon development in meeting its developmental challenges (e.g energy independence, balance of payments).

Besides, taking on a ‘leadership’ role at the global and regional level in climate negotiations is also cited as another reason to adopt a CRGE pathway.

From the point of literature, Governments adopt climate policies in recognition both of the challenges that climate change is posing and the opportunities it provides as well. This confirms the ideas that public policies can emerge for various reasons such as in response to existing challenges or to seize potential opportunities. The first key driving factor for adopting climate change policy and integrating it into a national development plan in particular is to ensure sustainable development. Integration helps to enhance the resilience and/or adaptive capacity to the impacts of climate change through adopting good development practices. The second broad reason is economical and political. Adoption of the climate change policies in a national development plan provides access to climate finance, capacity development schemes and technology.

Motivations relate to climate finance, development and ensuring the continuity of development gains and the need to be seen as a leader and/or contributing to global public goods are more of political. Ethiopia particularly has been taking on a ‘leadership’ role at the global and regional level in climate negotiations, which is another reason to adopt a CRGE pathway. However, unlike the high level political will and motivations, it can be argued that there is no shared understanding across the government institutions from federal to regional and woreda levels. Particularly, the existing understanding at regional and woreda levels is inadequate, resulting in weak adoption of climate change concepts, as well as sub-optimal integration of the CRGE priorities into the regional and woreda development plans.

4.1.5. Dimensions of Integration

FGDs and KII indicated that there are three dimensions of integration of the climate agenda in Ethiopian context. These are integration of: development policy objectives, spatial dimensions and time scale dimensions. The Government has made efforts to respond to the effect of climate change at different levels by integrating adaptation and mitigation objectives under these dimensions into development policy objectives and the CRGE strategy. This strategy has a long term vision. Ethiopia has also attempted to integrate the climate change into the second generation medium term national development planning system, GTP-II. This has cross-sectoral dimensions; it aims to bring the national and regional responses together.

The FGDs and KII participants also indicated that there are gaps in terms of conceptualizing this integration process from these dimensions at all levels. The Ministry of Environment, Forest and Climate Change prepared and shared an integration checklist. There have been no conceptual and analytical frameworks in place, nor methodological tools, to support the integration processes.

In Ethiopian context, efforts have been made to integrate the climate change agenda into development policy objectives, into short and long term development policy, as well as into strategies from the federal to the regional and woreda levels. The efforts made to integrate the climate change agenda has neither been supported with clear conceptual or analytical frameworks, nor with the necessary methodological tools. Figure 4.1 provides different dimensions of conceptualize integrations of climate into a national development. It also brings into discussions the issue of horizontal synergies and vertical consistencies of the sector ministries in the process.

4.1.6. Challenges of Integrating the Climate Change Agenda into a National Development Plan

FGDs and KII participants indicated that the climate change agenda in general and the integration issue in particular constitute an emerging development model, and success in this area is challenging to achieve. The research participants identified some critical challenges that still need to be addressed. These included inadequate human and institutional capacity.

Currently, there are critical capacity gaps across all government institutions in this area.

Responses to climate change and its integration into the national development agenda require a different mind-set and skills to those commonly held by government employees. To this end, much work remains to ensure the necessary understanding and skill is put in place at all levels.

The existing government institutions are also not fully equipped with the tools and systems required to coordinate the integration process. Particularly, in the context of the GTP-CRGE integrated plan, there are gaps in institutional arrangements. The checklist provided through MEFCC to facilitate the integration is not adequate to properly manage this process. Particularly, calculating and minimizing the tradeoffs between the different dimensions of an integrated development plan, including adaptation, mitigation and sustainable development is challenging. This is a notable problem due to the absence of adequate climate data and analysis to inform the GTP planning process. Lack of a comprehensive planning guideline for proper integration of the green economy principles into a national development agenda is also identified as a critical gap.

The key findings are in alignments with the literature. There is lack of empirical and theoretical evidence of what this new development paradigm may look like in practice, and more importantly, whether the possibility of concurrent, adverse impacts are linked to such an

approach. Human resource capacity to conceptualize ‘climate change aware’ development and institutional systems at the national level to coordinate integration processes smoothly is inadequate. It has been not easy to deal with minimizing the potential tradeoffs among the different dimensions of integrated development planning, including relating to adaptation, mitigation and sustainable development.

In GTP-II context, there has been no baseline data or analysis on climate change to inform the planning process. There is a critical lack of comprehensive planning guidelines, as well as of conceptual and analytical frameworks for proper integration of the green economy principles into a national development agenda. For developing countries in general, there might be a potential risk of considering regular development assistance as constituting a new and additional national climate change response from development partners, when in fact climate is already mainstreamed into a national development process. Funds could therefore be taken from existing development activities to pay for climate activities elsewhere. There is no financial mechanism for tracking current climate change assistance to ensure that extra funding can be proven to be new and additional.

4.2. Implementation Arrangements of the GTP-II

This section discusses data collected through FGDs and KII and identifies findings on enabling implementation arrangements that would facilitate better planning, implementation and coordination of the GTP –II as well as key gaps that could hinder smooth implementation and delivery of desired results.

In the scope of the research, the discussions and findings are focusing on examining existing institutional set-ups to serve implementation of the GTP II, M&E system, and reporting on development results.

4.2.1. Institutional set-up

FGDs and KII participants indicated that there are enabling arrangements as well as gaps in the currently existing institutional set-ups put in place in Ethiopia to facilitate the GTP-II implementation as well as overall management and coordination. In the discussion, it was pointed out that the current government has been undertaking various reform programmes over the last twenty years. This includes institutional reforms in the form of establishing new or restructuring existing institutions for better service delivery. The major enabling environments and gaps identified are presented as follow.

Enabling environment for planning, monitoring and evaluation:

a. Establishment of Key Institutions

In the context of GTP-II period, the Government has established a National Planning Commission (NPC) to serve for improved national development planning, coordination, monitoring and evaluation. The Commission is a technical wing of the National Planning Council, which is responsible for providing guidance to sector ministries in the national planning process. In the NPC structure, Monitoring and Evaluation bureau is one of the key wings. Currently, the Central Statistical Agency (CSA) and Mapping Agency are accountable to the NPC.

Moreover, the Government has established the Ministry of Environment, Forest and Climate Change (MEFCC) to enhance a coordinated effort of the national response to climate change and institutionalizing the green economy agenda through integration in the national

development planning processes. To this end, the government also established the Climate Resilient Green Economy (CRGE) Facility, which is Ethiopia's innovative funding mechanism to support the implementation of the priorities set out in the CRGE strategy. Efforts were also made to establish CRGE Units under the structure of the CRGE sector ministries at different levels to ensure institutionalization of the climate response, effective coordination, planning and monitoring of the climate related interventions.

In light of literature and other country experiences, the establishment of these institutions demonstrates the political will and attention that the Ethiopian Government is putting on national development planning and the climate change agenda. A well designed implementation arrangement is crucial to execute a development plan and achieve desired objectives. Implementation arrangements describe how a proposed plan is executed, explains existing structures through which key stakeholder groups interact; intra and inter line ministries as well as with the key external partners. These institutions are responsible for coordinating and ensuring the CRGE-GTP II integration at national level.

The establishment of the Ministry of Environment, Forest and Climate Change demonstrates the importance given to the environmental and climate issues. The Ministry is the coordinating body for climate change matters. Now environmental and climate change issues are represented in the central government decision making, mainly in the Council of Ministers. Second, the Council of Ministers can serve as a platform for inter-ministerial coordination, avoiding inconsistencies, duplications of work maximizing synergies and so on. The establishment of the CRGE Facility under the Ministry of Finance and Economic Cooperation (MoFEC) could also serve the ongoing financial mobilization and management efforts of the

Government and enhance funding relevant to climate initiatives in the country, which is also an enabling institutional arrangement.

The NPC is established with the objective to prepare five year plans of national development in the framework of country wide balanced growth, conducting assessment of growth factors for the attainment of the annual growth in gross domestic products set in the plan, and conduct periodic monitoring and evaluation of implementation of national plans. The presence of such semi-autonomous institutional arrangements would facilitate effective development planning and implementations. The establishment of the Monitoring and Evaluation Bureau under the NPC particularly creates an excellent opportunity to closely follow up the implementation of GTP-II and the better delivery of results.

Institutional System building

The FGDs and KII participants also mentioned the efforts made by the Government to build the institutional systems. Currently, the Government has been trying to put the necessary institutional capacities in terms of system building. For example, the necessary guidelines such as Operational Manual, Monitoring and Evaluation Manual, Environmental and Social Safeguards Framework, and the Private Sector Engagement Strategy, etc has been prepared for the CRGE Facility Secretariat. All these are commendable for effective institutional service and operationalizing the CRGE Strategy in a better way. However, it could be argued that currently the level of awareness on these documents is very low at all levels from federal to regional states. The documents are not well communicated with the concerned executive organs and stakeholder groups to create shared understanding as well as minimize duplication of efforts.

The key points here is that institutional system building efforts are ongoing across these institutions. The Facility Secretariat has already developed important elements of a system that can serve to facilitate operationalization of the CRGE Strategy. This however is not sufficient for effective operationalization of the CRGE strategy or the integrated national plan. First, awareness needs to be created on these tools from federal to Woreda levels for shared understanding and its proper use. Second, the key documents need to be communicated or shared with the executive organs at different levels and other key stakeholders to avoid duplication of efforts and resources. Third, these key systems need to be comprehensive to include other non-CRGE sector ministries and should serve for all executive organs as well as stakeholder groups in the context of the climate – development agenda.

During this research process, it was also mentioned that the NPC is undertaking institutional diagnostic assessments to build its required capacities. But this has not been completed. Essential institutional capacities like national M&E and planning guides are currently not in place to serve as a comprehensive national planning or evaluation of desired results. Existing human resource capacity of the institution is also critically inadequate against its institutional requirements and roles it is expected to fulfill. The Commission has also no structure at regional level except in Amhara region.

Besides, there is no clear communication mechanism between the CRGE Facility Secretariat and the NPC to coordinate the integrated national development plan on a clear basis. The CRGE Facility Secretariat coordinates Implementing Entities (IEs) comprising the Ministry of Agriculture, Ministry of Water, Irrigation and Energy, Ministry of Transport, Ministry of Industry, Ministry of Urban Development and Housing, Ministry of Environment, Forest and Climate Change, and well as the nine Regional States and the two City Administrations. This

governance arrangement does include neither the Commission, which is mandated to coordinate the integrated national development plan (GTP-II), nor other non- CRGE sector ministries which are expected to integrate and implement the climate objectives in this GTP II period.

Institutions, organizations and processes by which policies and plans are formulated and implemented are crucial. These policies and plans are as strong as the institutions and processes by which they are formulated, implemented, evaluated and reviewed. Currently, lack of comprehensive guidelines and weak institutional link between the Facility Secretariat and the NPC to coordinate the green economy agenda at national level in the context of the GTP-II needs to be revisited. The Facility institutional arrangement covers selected sector ministries where the Ministry of Finance and Economic Cooperation jointly with the Ministry of Environment, Forest and Climate Change coordinate, while the GTP-II is expecting all Federal Ministries to integrate and implement the CRGE objectives. Therefore, institutional arrangement between the CRGE Facility secretariat, the NPC and the non-CRGE Sector ministries need revisiting if effective integration, implementation and follow up of progresses are required.

Frequent re-structuring causing institutional instability:

According to Proclamation No. 691/2010, one of the key duties of Sector Ministries upon establishment includes directing and coordinating performance of the executive organs made accountable to them under the law. It also includes review of organizational structures as well as the work programs and budgets following the re-structuring. When institutional structures, their powers and duties are revised, the number of executive organs made accountable to them will be revised and will be made accountable to other sector ministries, which would take significant time, skilled manpower other financial and material resources to re-organize themselves under the new structures and institutions.

The FGDs and KII participants indicated that the government has been undertaking a series of reform programs since 1991. These were followed by frequent institutional restructuring, with the first phase of the reform focusing on restructuring of government institutions. Institutional restructuring has been taking place every two - five years. Most of the reform tools implemented so far follow a top down approach and there has been no room for a given sector to customize the tools to its own context.

It was also pointed out that the frequent re-structuring has caused institutional instabilities and has been making it difficult to maintain institutional memories and skilled staff manpower within a given institution over the long term. The frequent re-structuring also requires for an adjustment of institutional structures, re-defining roles and responsibilities, creating shared understanding at all levels on the revised institutional mandates, which require significant time, financial resource and technical capacity parallel to the actual implementation of the sectoral activities for which the institutions are responsible for in the GTP. These have created difficulty in terms of effectively implementing the national or sectoral development plans, timely completion of activities and delivery of quality results.

The ongoing and frequent institutional re-structuring has been identified as one of the key challenges for effective implementation of national and sectoral development plans. It has been making it hard to maintain institutional memories and skilled staff. It gives the sector ministries an additional burden to re-organize institutional set-ups and operating procedures; creating shared understanding on the revised arrangements at all levels, etc. All these in turn are leading to delays in the implementation of planned activities and poor quality results. From the experience in other processes like the development policy and planning processes, the reform processes have been following a top-down approach leaving no room for participatory processes.

This leads to low ownership of the implementing institutions as well as long time to create awareness among these institutions, convince and get into actual implementations of the reform elements. In many cases, proposed reforms are also not based on research and evidences to propose fairly long lasting institutional arrangements. Since institutional mechanisms are very critical to develop sound policies and plans as well as for their effective implementations. In these contexts, institutional re-structuring processes in the public sector needs to be research and evidences based, actively engage the implementing institutions for its ownerships, effectiveness and faire sustainability. The political will and commitments need to be technically supported and informed by research evidences to propose effective tools and options than being driven by external supports or individuals will. Otherwise, the costs of frequent institutional re-structuring will be much higher than its economic, social and political benefits, which is not the objective of the government. Table 4.1 shows few examples on the frequency of institutional re-structuring in some sectors during the period 2002-2015.

Table 4.1. Indicative summary of frequent institutional re-structuring in Ethiopia from 2002-2015.

| SDPRP (2002/03- 04/05) | PASDEP (2005/06-2009/10) | GTP-I (2010/11-2014/15) | GTP-II (2015/16-2019/20) |
|---|--|--|--|
| Ministry of Water Resources (MoWR) | Ministry of Water and Energy (MoWR) | Ministry of Water, Irrigation and Energy (MoWIE) | Ministry of Water, Irrigation and Electricity (MoWIE) |
| Ministry of Agriculture and Rural Development (MoARD) | Ministry of Agriculture (MoA) | Ministry of Agriculture (MoA) | Ministry of Agriculture and Natural Resources (MoANR) |
| | | | Ministry of Livestock and Fisheries (MoLF) |
| Environmental Protection Authority (EPA) | Environmental Protection Authority (EPA) | Environmental Protection Authority (EPA) until 2013 | Ministry Of Environment, Forest & Climate Change (MEFCC) |
| | | Ministry of Environment and Forest (MEF) – since 2013 | |
| Ministry of Finance and Economic Development (MoFED) | Ministry of Finance and Economic Development (MoFED) | Ministry of Finance and Economic Development (MoFED) – | Ministry of Finance and Economic Cooperation (MoFEC)- since Sept. 2015 |
| | | National Planning Commission (NPC) – established in 2013 | National Planning Commission |
| Ministry of Work & Urban | Ministry of Development and Construction (MoUDC) | Ministry of Urban Development, Housing & Construction (MoUDHC) | Ministry of Urban Development & Housing (MoUDH) |
| Ministry of Capacity Building | Ministry of Capacity Building | Ministry of Civil Service | Ministry of Public Service and Human Resource Development |
| Ministry of Women Affairs | Ministry of Women Affairs | Ministry of Women, Youth & Children Affairs | Ministry of Women & Children Affairs |
| Ministry of Labor & Social Affairs | Ministry of Labor & Social Affairs | Ministry of Labor & Social Affairs | Ministry of Labor & Social Affairs |

Source: own construction from different Government Documents

This table shows, the sectors under Agriculture, Environment, Civil Service, and Women Affairs were re-structured at least three times during this period, while the Water and Urban sectors have been re-structured four times during the same period. The economic and finance sector were relatively stable during this period. The Ministry of Labor and Social Affairs seems also stable in these years, however, FGDs and KII participants indicated that the powers and duties of this ministry have been frequently changing. The numbers of sub-sectors reporting to the ministry have been also transferred to be under different institutions.

The other challenge with the frequent re-structuring is the numbers of executive organs made accountable to these ministries have been also changing accordingly. KII participants

indicated that for example during the SDPRP and PASDEP periods, there were about nine key institutions, which were reporting to the Ministry of Water Resources such as (1) the Water Works Design and Regulatory Enterprise, Ethiopian Energy Agency, the National Metrology Agency, the National Petroleum Deposit Administration, Water works Construction Enterprise, Water Fund Office, Ethiopian Electric Power Corporation, Awash Basin Authority and the Abay Basin Authority. During GTP-I period, the issue of irrigation was included. In GTP-II period, three of the institutions accountable to the ministry including the Water Works Design and Regulatory Enterprise, and Water Works Construction Enterprise have been transferred to be accountable to different ministries.

When it comes to the Ministry of Labor and Social Affairs (MoLSA), during these periods the institutional powers and duties given to the ministry have been shrinking. In SDRPR period, the issues of children, youth, family, elderly, and persons with disabilities, labor (employers and employees affairs) were under the power of the ministry. In the PASDEP and GTP I periods, the issue of children, youth and family affairs were taken away. The family issue has been almost dissolved and the duties related to children and youth were transferred to another ministry; Ministry of Women In GTP-I and GTP-II periods, the ministry coordinates mainly the issue of labor, and in collaboration with concerned stakeholders, undertake and facilitate the implementation of studies on ensuring and improving the social well-being of citizens, in particular on persons with disabilities, elderly, and the prevention of social problems and provision of rehabilitation services to the affected members of the society. Currently, two executive organs are made accountable to the ministry, the government employees' security agency and the Private Sector organization Employees Security Agency.

During the same period, the issue of climate change has been getting global and national attention. One of the key indicators is during the SDPRD and PASDEP periods; there was no institution that deals with the issue of climate change except the Environmental Protection Authority (EPA), which was basically responsible for the issue of environment. Following the formulation of the CRGE Strategy however, EPA has been upgraded to a ministerial level, which was the Ministry of Environment and Forest (MEF) and now the Ministry of Environment, Forest and Climate Change (MEFCC). Currently, the Environment and Forest Research and the Biodiversity Institutes are reporting to MEFCC, which used to be reporting to other institutions before. The ministry is responsible to coordinate actions on soliciting resources required for building a climate resilient and green economy nationwide. This indicates, the powers and duties given to the ministry are expanding from time to time.

The Ministry of Finance and Economic Development stayed stable from SDPRP through GTP I periods and now revised to be called the Ministry of Finance and Economic Cooperation. During the first three medium term development period, the ministry used to initiate policies that ensure sustainable and equitable economic development as well as macro-economic stability in the country. It was also managing the economy by monitoring the implementation of such policy and submits the reports on the performance of the economy. The power and duties of the ministry also included, establishing a system of national development plan, and in cooperation with the concerned organs prepare the country's economic and social development plan and follow-up the implementation of the same upon approval. However, since 2013, the Government has established the National Planning Commission with the objectives to prepare five year-year plans of national development in the framework of country wide balanced growth and conduct periodic evaluation of the implementation of the plans. To this end, key executive organs like

CSA and Mapping Agency have now made accountable to the NPC by laws. The NPC is currently making efforts to build its system and capacities to fulfill the duties given to it by laws.

All these and the summary table indicate that frequent institutional re-structuring is followed by the adjustment of accountable executive organs in a given sector ministry. In some contexts, accountability of executive organs is transferred from one sector ministry to another by increasing or reducing their numbers. This re-shuffling contributes to the instability of the institutions, institutional memories, high staff turnover and additional burdens to the institutions parallel to the actual implementation of the medium term plans. These are also causes role confusions at least for a short period of time, which contributes to the delays in the implementation of planned activities and institutional effectiveness. Although the topic on institutional arrangements requires a separate and detailed study by its own, at this level, it is possible to argue that the role of research, engaging the implementing institutions from the very initiation of reform ideas throughout the process to ensure empowerment, ownership and sustainability of reform outcomes are partly contributes to address such critical challenges.

Clarity of Institutional Arrangements at different Levels:

Clear institutional arrangement for smooth planning, implementation, monitoring and reporting from federal to woreda levels have significant roles for the effectiveness of a national development process. It minimizes confusions of powers and duties at all levels and facilitates effective communication and information exchange. FGDs and KII participants emphasized that under the current federal arrangement however, there are inconsistencies in terms of institutional or implementation arrangements from federal to regional/woreda levels. The same is true for the horizontal or cross sectoral and regional arrangements. In some contexts, the institutional powers

and duties given to one sector ministry at a federal level might be submerged under the structure of other institutions at regional and woreda levels. This creates difficulty in terms of communication and accountability arrangements at different levels.

Implementing institutions (executive organs) at different levels have responsibility not only to their government constituent or structures but also to the citizen especially the most vulnerable and, in particular, the children of the world, to whom the future belongs. This requires, working towards strengthening the capacities of the responsible institutions in general and government institutions in particular to meet their obligations. In this context, it also requires working towards strengthening capacities of the citizen or public to make their claims. However, in the absence of clear institutional arrangements from federal to regional and woreda levels, it would be difficult to ensure accountability for desired results in the national medium term plan. Lack of clear institutional arrangements both vertical and horizontal means that there would no effective communication and coordination mechanism to facilitate planning, implementation or evaluation at different levels. This complicates the issue of particularly ensuring the involvement of the most vulnerable social groups in the development planning process and accessing the development outcomes to this particular group of people as well as ensuring equity. Few examples are provided under for selected sector ministries to strengthen this argument.

Evidences show that some key sector ministries like the Ministry of Labor and Social Affairs (MoLSA) does not have complete structures in most regions except in Oromia, Afar and Tigray regional states and Addis Ababa City Administration. According to FGDs and KII participants in Amhara Regional State, MoLSA has a structure only in 38 districts of 167 districts in the region. In other regions like Gambella, SNNPR, Somali, and Benishangul Gumuz the ministry has no structure at district levels. In Harari regional state and Dire Dawa City

Administration, the structure of the sector has been submerged under other institutions like Cooperative Office and Bureau of Women and Children respectively. Further, in SNNPR and Gambella regions, the structure of the ministry at regional level is even an agency and not with powers and duties of a Bureau. In this context, the question is therefore, how can this ministry make sure that the targets it sets at the macro and sectoral level will be implemented in the regions and Woredas where it has no structure? What about the inconsistencies of its institutional structures across regional states, where some are established at bureau level and other are just agencies which are not a member of the regional councils? Therefore, it could be argued that even though the Ministry has set strategic targets and objectives towards addressing the issue of the most vulnerable social groups at different levels, the sector is under difficult condition change these objectives and targets into action because it has no mechanism to reach the grassroots level in most regions and woredas.

The second example is the Ministry of Agriculture and Natural Resources. The ministry has relatively a better institutional structure across all regions and woredas. According to KII and FGDs participants however, there are some indicators for role confusions due to lack of adequate institutional arrangements across the different regions and woredas. For example, the Ministry is mandated to coordinate interventions related to the Natural Resources like land use at federal level. However, this responsibility in some regions like Oromia falls under the Bureau of Land Use and Environmental Protection, a structure which is under MEFCC at Federal level. In this region, the Land Use and Environmental Protection bureau reports activities and progresses related to natural resources to MOANR and the Forest and environment related actions to the MEFCC. In the same region, Forest related mandates are handled by two institutions; the Oromia Wildlife and Forest Enterprises as well as the Bureau of Agriculture and Natural Resources.

The Federal ministry of Environment, Forest and Climate Change then collects implementation reports related to Forest from two different regional institutions. Other Federal Ministries are also facing similar challenges in many cases. The argument is then if the Ministry of Agriculture and Natural Resources, which is the primary focus of the government and believed to have strong institutional system as well as other capacities are facing such inadequate clarity in terms of institutional arrangements, then how this would be severe in other sector ministries? This hinders smooth communication in planning, causing duplication of efforts and resources, and will create difficulty to ensure successful implementation and monitoring of the plan. Therefore, setting clear institutional arrangements of the executive organs from federal to regional and woreda levels need serious attentions.

The FGDs and KII participants also indicated that climate response in general and the GTP-CRGE integration context in particular requires horizontal synergies of the sector ministries. Currently however, the horizontal institutional coordination of the sector ministries is very weak to align sectoral interventions. There has been no clear system at all levels to ensure the horizontal synergies of proposed interventions by sector ministries.

In summary, there are problems both of a lack of vertical and horizontal consistency of institutional arrangements from federal to regional and woreda levels to facilitate smooth planning, M&E and communication across the sector ministries. Currently some sector ministries do not have a consistent structure across all Woreda levels, as well as at higher levels of government. The institutional structures of other sector ministries are submerged sometimes under competing institutions at lower levels of the administration structures. The structural arrangements of the sector under ministries are not consistently arranged across the regional

states either. These structural issues hinder smooth communications, effective implementation of sectoral plans and M&E processes to ensure accountability for results.

Absence of institutional structure for some sector at regional level:

FGDs and KII participants particularly emphasized that some sectors key coordinating institutions like the National Planning Commission (NPC) and the Ministry of Environment, Forest and Climate Change (MEFCC) do not have clear structures in most regions. The NPC has yet no structure except in Amhara regional state. The MEFCC has no clear structure including in the big regions like Oromia, Amahara and Tigray regional States. As a result, lack of structures at regional level for these key institutions combined with lack of vertical and horizontal synergies for other sector ministries between the federal and regional arrangements have been identified as another challenge for smooth communication and coordination of the national, sectoral and regional development plans. This is partly attributed to the federal political arrangements and regional decentralization of authorities to the Regions and Woredas authorities. In this context the federal sector ministries have no authority over the regional bureaus to align their institutional arrangements. They have only functional and not administrative relations in the planning and implementation processes of the national development plans. Therefore, coordinating institutions like the NPC and MEFCC are expected to do a lot to set their structures at regional and woreda levels to ensure effective development planning, communication, monitoring and evaluation of the processes as well as results.

4.2.2. Inadequate Planning and M&E Guidelines

a. Lack of Comprehensive Planning Guideline

FGDs and KII participants indicated that GTP-II process was guided by an ad-hoc planning guide provided by the NPC for this period of planning. The integration process was also supported by checklists that were prepared by the MEFCC for the integration purpose. Both the guideline and/or checklists were not comprehensive planning or integration documents. These guideline and checklist were developed by the two institutions in different time interval for the planning process and shared with the sector ministries at different times. These documents were developed on ad-hoc basis just for a one time planning process.

In this respect, comprehensive planning guide are needed for the development planning in the context of climate change. This would serve in setting expected standards of the plan, roles of key stakeholder groups in the process and how the whole planning process would be managed including the final consultation forums is identified as a gap. Planning and budget allocation experience to-date is restricted largely on assessing past (bi-annual and annual) sectoral performances and available resources instead of strictly looking into the effect of the allocated budget on anticipated development results as stipulated in the country-wide development plans. Practices also vary across sector ministries and regional states. Therefore, clear and comprehensive planning guideline is needed to ensure the GTP-CRGE integration and institutionalize the climate agenda in the development context as well as set a broader standard, processes, engagement of stakeholders, and approval of the final plan.

b. Inadequate M&E System and National M&E Guideline at Federal Level

FGDs and KII participants indicated that comprehensive national M&E guideline and system including standardized reporting are inadequate. Formats for monitoring with particular focus on inputs, activities and outputs are mostly available in government offices. However, it is difficult to find a comprehensive national M&E manual that guides the whole M&E process of the GTP, defines the roles and mechanisms to involve the key stakeholder groups in this process, the standards of the M&E, reporting, dissemination of findings to the partners at all levels, etc and serve effective implementation and management of the GTP progress and results.

Though the M&E issue is established at a bureau level under the NPC, the Commission has not yet prepared a comprehensive national M&E manual to guide the whole M&E process of the GTP-II, including the standards, reporting, and dissemination of findings to partners, or the roles and mechanisms to involve key stakeholder groups. Instead, the GTP-II document included a one pager M&E section, which is currently considered as the GTP 'M&E System. Further the policy matrix, which is a subset of the main document of the GTP-II, has not been finalized during this research process.

Moreover, FGDs participants indicated that in all regions, quarterly, bi-annual and annual review meetings have been carried out as a norm. The existing practice, including in federal government is focusing on tracking progresses of physical activities using various instruments such as field visits, bi-annual and annual review meetings. This is due to the fact that budget is monitored as an input and there is no comprehensive result monitoring practice that includes outcome and impact. In most of the regions, system and working procedures to ensure result monitoring has not been properly designed based on the principles of results based management (RBM). Neither are the necessary capacities (skills and staff) available. Inadequate database

management system for result monitoring is also mentioned as major bottlenecks to move forward in result based monitoring in regional bureaus and federal sector offices.

These findings clearly indicate where the Government needs sufficient attention in the GTP –II period. There is high need for a comprehensive M&E guideline at national level, where regions as well as key stakeholder groups can adopt and align their processes towards ensuring effective monitoring of results. Besides, there is high capacity needs in terms of staff and required skills for monitoring and evaluation of results both at regional and federal level. The issue of data management system is also critical to shift from process to tracking results.

c. Data collection, analysis and dissemination of statistics with the Central Statistical Agency (CSA)

FGDs and KII participants showed that the CSA has relevant tools for national surveys and census studies including agricultural, natural resources and environmental statistics; business statistics such as manufacturing industries; periodic household surveys such as household income and consumption expenditure, welfare monitoring survey, demographic and health survey; price statistics and population statistics. However in the context of GTP II, the CSA survey instruments do not address the climate dimension indicators to serve collection of data in this regard to serve decision making and improve the integration process in subsequent years. CSA has also established 25 branch offices in different regions. However, the institutional structures of CSA at regional level communicates data collected from the regions directly to the head office and there is no mechanism to share and support the regional implementing institutions for improved planning, M&E and decision making. Besides, the climate issue also

requires additional skills and understanding to design the necessary tools, collect data on climate indicators and do analysis of the same.

The current CSA survey tools are inadequate for reporting on climate-related indicators in the GTP-II period and require further revision. Effort is needed to create the necessary skills and awareness on climate change areas in the institution. It is also difficult for lower administrative echelons to use the outputs of the CSA for planning, budgeting and M&E. This needs revisiting the current structure of CSA and/or setting a mechanism to access relevant outputs to the regions and Woredas.

d. Inadequate M&E Capacities of the Sector Ministries

FGDs and KII participants indicated that M&E unit exists as part of the government structure as an independent line department, core process or case team in some ministries and regional bureaus. In some contexts, M&E exists subsumed within the planning and budgeting processes. At the federal level, it is reported that there is adequate capacity for undertaking monitoring functions but it is widely acknowledged that the existence of inadequate capacity for conducting evaluation. The reasons include human resource for M&E is inadequate in terms of number, skill and professional compositions in a number of offices particularly at lower administrative echelons. Lack of motivation and commitment among experts, high turnover of staff, inadequate logistics, and inadequate access to IT infrastructures (computers and internet for data storage and processing and also, networking) undermined efforts to make effective M&E.

KII and FGDs participants also emphasized that in most sector ministries and regions, system and working procedures to ensure result monitoring has not been properly designed based on the principles of results based management (RBM). Neither are the necessary capacities

(skills and staff) available. Moreover, adequate resources are not usually allocated for M&E (financial and logistics).

Although there are M&E units with sector ministries at different administration levels, existing capacity is inadequate to undertake the effective monitoring of progress and the evaluation of results. The major reasons are inadequate human resource for M&E in terms of number of staff, skill level and professional qualifications, particularly at lower administrative levels. A lack of motivation and commitment among experts, high turnover of staff, inadequate logistics, and inadequate access to IT infrastructures are also identified as key challenges.

Therefore, enhancing institutional capacities in terms of human, financial and material resources is highly required across the line ministries and regions/woredas for effective M&E of results. This in turn needs the attention of the decision making body and further works at all levels to have changes in perspectives in terms of shifting focuses from process to monitoring and evaluating desired results at different levels.

CHAPTER FIVE: CONCLUSION AND IMPLICATIONS TO SOCIAL POLICY, RESEARCH AND PRACTICES

This chapter concludes the research work. It also presents key implications of the discussions to the social policy process, research or academic discussions and development practices. To this end, the discussions are presented broadly in two sub-sections; conclusion and implications.

This research broadly aims to examine the planning process of the second phase of Ethiopian Growth and Transformation Plan (GTP-II) that has attempted to integrate the Climate Resilient Green Economy (CRGE) Strategy objectives of the country. It also describes the implementation arrangements of this plan with focus on institutional structures, and monitoring and evaluation system to track the implementation progresses. Based on these, it draws some key implications to the most vulnerable social groups to climate change and extremes. Finally, it identifies important implications of the research results and discussions for, social policy process, research and academic discussions, and better development practices.

To achieve these objectives, the research process adopted a qualitative research approach, which helps exploring and understanding the meaning individuals or groups ascribe to a development policy or planning process, integration of climate agenda into a development plan, stakeholders' participation and the required implementation arrangements in Ethiopian context. This helps data collection in the participants' setting and builds inductively data analysis from particulars to general themes, in the complex social, economic and environmental situations. Accordingly, the following are the major concluding remarks.

5.1. Conclusion

Ethiopia has adopted an integrated planning approach in response to the national development needs and the international climate requirements. Adoption of the climate policy was in recognition both of the challenges that climate change is posing and the opportunities it provides. The first key driving factor for adopting climate change policy and integrating it into the national development plan in particular is to ensure sustainable development. The second broad reason is economical and political. Adoption of the climate change policies in a national development plan provides access to climate finance, capacity development schemes and technology transfer. Ethiopia particularly has been also taking on a 'leadership' role at the global and regional level in climate negotiations, which is another reason to adopt a CRGE pathway.

In the context of all these factors, Ethiopia had developed the CRGE strategy as a policy response to climate change and extremes, which was a standalone policy. In this generation of GTP however, efforts are made to integrate the CRGE objectives into the national development plan.

In terms of planning approach, both the CRGE strategy and GTP-II formulation process followed a top-down planning approach. The degree of stakeholders' participation seems weak as key stakeholders were invited to engage after the draft plan documents were completed including the most vulnerable social groups. The chance to influence the policy and plan from the early phases of the process was very minimal. As a result it could be argued that these policy and planning documents hardly included the priority needs of the most vulnerable social groups and therefore their likelihood of reaching and transforming these groups is very low.

Moreover, The Government has established the National Planning Commission (NPC) and the Ministry of Environment, Forest, and Climate Change (MEFCC), which demonstrates the political attention that the Ethiopian Government is putting on national development planning and the climate change agenda. These two institutions are responsible for coordinating the CRGE-GTP II integration process at national level. The establishment of the Monitoring and Evaluation Bureau under the NPC particularly creates an excellent opportunity to closely follow up the implementation of GTP-II and for better delivery of results. The establishment of the CRGE Facility could serve the ongoing financial mobilization and management efforts of the Government and enhance funding relevant climate initiatives in the country.

Given the political will and all efforts made to integrate the CRGE objectives into the national development plan (GTP-II), there are also some critical gaps that need to be addressed subsequently during the implementation period of the plan. These include: the human resource capacity to conceptualize ‘climate change aware’ development and institutional systems at the national level to coordinate the integration process smoothly is inadequate. It has been not easy technically to deal with minimizing the potential tradeoffs among the different dimensions of integrated development planning, including relating to adaptation, mitigation and sustainable development. Other factors like absence of baseline data on climate change, lack of comprehensive planning guideline, conceptual and analytical frameworks were some of the key gaps that need to be addressed for effective integration of the green economy principles into a national development agenda at all levels.

Moreover, institutional factors such as absence of clear institutional arrangement or system, absence of comprehensive national M&E guideline, absence of adequate survey tools

that has been prepared in light of the climate agenda, etc are critical issues that need attention of the Government and its partners. Even though the CRGE Facility Secretariat has a well developed operation manual, M&E system manual, the social and environmental safeguards manual, etc, these were not developed in the context of the broader GTP-II.

Existing vertical institutional arrangement of sector ministries and horizontal synergies need to be revisited for effective development policy and planning. The inconsistencies of vertical integration of sector ministries from federal to regional levels are gaps as the horizontal coordination are some of the key issues that need attention for effective integration of the development plan and its effective implementations. The current CRGE Facility institutional arrangement covers selected sector ministries while GTP-II is expecting all Federal Ministries to integrate and implement the CRGE objectives, which need to be reconsidered. There is a need to align the institutional arrangements and/or links between the CRGE Facility Secretariat and the NPC as well as the non-CRGE sector ministries need to be revisited.

One of the critical factors that have contributed to the inconsistency of institutional arrangements particularly the vertical inconsistency, lack of clarity of institutional duties and powers, etc, is the frequent institutional re-structuring in the country. This also contributes to the difficulty of maintaining institutional memories, high staff turnover and leaving the sector ministries with additional burden to re-organize them; create shared understanding on the revised arrangements and simultaneously implement their sector plans. All these in turn lead to delays in the implementation of planned activities and poor quality results.

In this context, a comprehensive M&E guideline, survey instruments which are responsive to climate indicators, and data management systems to record results are inadequate

at all levels. The GTP-II document included a one pager M&E section, which is the GTP ‘M&E System’. There are inadequate capacities in the CSA in terms of appropriate survey tools and skilled manpower to collect climate related indicators in the GTP-II period. Existing capacities in sector ministries are also inadequate to undertake effective monitoring of progresses and evaluation of results due to inadequate human resource in terms of number, skill and professional compositions, inadequate logistics, and inadequate access to IT infrastructures at all levels. All these are critical enabling factors for the success of a national development and therefore worth attention.

5.2. Implications to Social Policy, Research and Practices

a. Social Policy

The processes through which development policies and plans are designed and implemented are as equally important as its outcomes. Planning processes can ensure that relevant stakeholders are empowered to shape decisions and that the rights and entitlements of the vulnerable are protected or can leave them as passive subjects in the planning process by expecting them to involve in the implementation process.

Inclusive and participatory development policy and planning processes gives high chances for identifying priority needs of the vulnerable groups and ensures that they get their rights to development. To this end, the 1995 Federal constitution of Ethiopia, article 43 details the rights to development. The economic, social and environmental objectives are provided in articles 89, 90 and 92, respectively (FDRE, 1995). Some of the key provisions in the articles include: the Government has the duty to formulate policies which ensure that all Ethiopians shall benefit from the country’s resources; the Government shall promote, at all levels, the

participation of peoples in the formulation of national development policies and programmes; the Government shall ensure the participation of women on an equal basis with men in all programs and projects of social and economic development; and people are entitled to full consultation in planning and implementation of environmental policies and projects that directly affect them.

In light of the constitutional rights, development policy and planning should promote at all levels the participation of peoples in the formulation of national development policies and programmes. The process is emphasized here. Participation in the policy and planning process, gives a chance to consider which interests are driving changes, the extent to which the most vulnerable groups can participate effectively in decision making processes that affect them, and the potential for individuals, groups, or communities to organize and mobilize collectively. But this has been not practically exercised in the context of the Ethiopian integrated policy and planning process, which is GTP-II.

The recent experience of policy implementation challenges in Ethiopia indicates that greater attention should be given to the process through which policies are designed and implemented. It showed the policy processes are as equally important as the outcomes. Policy formulation process must ensure that relevant stakeholders have participated and empowered to ensure its effective implementation, achieve desired objectives and sustain it over a longer period.

A failure to participate relevant stakeholder groups and the citizen at large in the policy and planning process has various drawbacks. These include: failure to incorporate the priority needs of the community; failure to empower people in the process, difficulty to ensure sense of ownership among the majority, ineffective implementation of the policy or plan, conflict and unwanted deadly ends, finally unsustainable outcomes even if forcefully implemented.

The key message is then, the process of a development policy and planning is as equally important as its outcomes.

b. Research and academic discussion

Research is a key tool to generate evidences to inform development policy and planning decisions. Planning exercise needs to be evidence based and built on realistic analyses and understanding if transformative development is expected. It is a crucial tool to generate baseline data, propose locally or contextually relevant planning tools, and identify endogenous knowledge and best practices, and evidences for a development policy and planning process. In the context of the current CRGE-GTP II integration process, the key gaps that research can bridge include lack of climate evidences and analysis, relevant planning tools, and conceptual and analytical frameworks. These indicate that the role of academic institutions and research are crucial in terms of providing these important tools in the short term.

Moreover, research and academic institutions are also needed to be part of the integration process for various reasons. Moderating the impacts of climate change requires a strong foundation in science and technology. But the deployment of science and relevant technologies cannot take place in a vacuum. It needs effective institutional arrangements to bolster both adaptation and mitigation demands and to combine technology options with local knowledge (Denton et al, 2014). Therefore, integrating a climate change agenda into a development process needs to give focus to institutionalizing climate issues in a national education system, which is a long lasting solution for the issues identified earlier. This helps to prepare the coming generations with proper knowledge and skills in this area and maintain the necessary capacities as well as draw lessons from on-going implementation experiences or emerging practices and scale up the good practices at large scale.

All these indicate that high level political will alone is not enough to integrated national development and enhancing the processes. Research based evidences are required. Technical capacities and planning tools are required to undertake the necessary analysis; support informed planning decisions as well as implementations. Particularly, technical capacities are required to conduct the causality analysis and find out the roots and underlying causes – in terms of the social impact analysis to identify the winners and losers of the proposed green economy initiatives and to inform evidence-based planning to minimize the tradeoffs. Such analyses also provide a baseline for measuring increases in adaptive capacity or benefits of low emission development investments.

A national response to climate change and integration into the development policy and planning processes require research and science for evidence based decisions, to generate locally relevant planning tools and experiences, enhance technical capacities, and maintain knowledge and lessons on sustainable basis. Therefore, the emerging or evolving integration and implementation process need to give attention to ensure institutionalization of the climate agenda in the local research and academic institutions.

c. Practices

The current integrated approach to the development needs and climate change are part of the evolving global development practices or models. This evolving practice is expected to facilitate better coherence between social, environmental and economic policies and to maximize opportunities and buffer the social cost of the transition. The Ethiopian responses to climate change evolved from a standalone policy and project based approach to an integrated national development plan (GTP II). This is commendable and needs to be further strengthened.

In light of countries experiences and practices, the Ethiopian climate response emphasizes the economic and environmental dimension with less attention to the social

dimension. It is owned at high political level than at lower grassroots levels. The planning approach is more of top-down than bottom up or participatory. The integration is given high attention at macro and sectoral levels than at regional and woreda levels. This implies, the government is still expected to do a lot in terms of analyzing the social dimension of the climate agenda and look for effective mechanisms to involve the grassroots communities' and address their real need and enhance their adaptive capacities. Second, though the political will and ownership is very important, it is not sufficient to implement the policy on the ground and ensure local ownership. Therefore, a lot has to be done to ensure shared understanding and ownership among the ordinary citizen as well as the stakeholder groups.

Particularly, this research has identified some critical gaps that have serious implications to the effective implementation of the GTP-II, which needs attention of the Government and stakeholder groups. These include: (1) the issue of human capacity to conceptualize the 'climate aware' development and effectively manage the integration process, implementation and management of the results. Thus, research and knowledge management, as well as capacity building – institutional and human need to be key focus areas in the coming periods, which otherwise will lead to the unsuccessful implementation of the GTP-II and achievement of desired results. For the sustainability of human capacity building, it is also important to consider the long term solution, which is institutionalization of the climate agenda in the national education system. This further requires revisiting the current education curriculum. (2) The need to develop important tools like: comprehensive planning tools, conceptual & analytical frameworks, M&E guidelines, system, data management system, survey tools in light of the green economy, etc. The implementation process of the GTP-II needs to give focus to putting in place these enabling factors for the effective management of this national plan and beyond. (3) Institutional factors

like frequent institutional re-structuring, lack of clear institutional arrangements, etc all requires to be fixed based on concrete research and analysis, which helps to design/propose long lasting arrangements. Besides, this requires engaging the sector ministries and ensuring ownership as well as enhanced capacity in the reform process than adopting a top-down supply driven approach.

Further, integration of a climate change agenda in a national development can be seen as iterative, continually evolving processes for managing change within complex systems. This indicates that in the next GTP-II period and beyond there are opportunities to learn and improve relevant tools, refine existing approaches and build the required capacities as we learn from experiences. Practical experiences, often based on the trial and error approach, are a necessary exercise for capacity development and for improving the implementation of the integration tools. This further indicates the importance of developing learning and knowledge management mechanisms through recording practical experiences for learning, capacity development and improving quality of integration and implementation of emerging tools.

This process further gives the country an opportunity to learn and manage a potential risk that regular development assistances from developed countries might be counted as a commitment met to the national climate change responses when climate is integrated into a national development process. In this context, the commitments will not be new and additional support for climate change as it is stated in the global agreement for the climate change response. Therefore, the coming implementation periods should take into account developing a climate finance tracking mechanism to avoid or at least minimize the risks and position the country for better negotiations. This also helps to promote improved partnership with the key actors on clear grounds.

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Appendices

Appendix A: Consent Form

I am Adugna Nemera, a master degree student in Social Work at Addis Ababa University. Currently, I am working my research thesis on the Ethiopian second generation Growth and Transformation (GTP-II) that attempted to integrate the Climate Resilient Green Economy (CRGE) strategy objectives. The Government of Ethiopia has now prepared the second generation GTP (2015/16-2019/20).

As part of this research process, I am seeking your views about the planning process (including the integration of CRGE into GTP-II), and its implementation arrangements from Federal to districts levels in participating as FGDs and/or KII participant. Your participation in the discussion or interview is very useful to understand the insiders view in the context about the planning process, existing implementation arrangements and its implications to the most vulnerable social groups.

This study is ethically examined and cleared by the professor advising the research and the ethical committee at Addis Ababa University, School of Social Work. There is also no question that would identify you as an individual from the rest of the participants. Your answers will remain strictly confidential, used for academic purpose and not shared with any outside source. The discussion would take no more than 30-40 minutes.

If you fully understand the above information about the study and if you are willing to participate in the study, please put your signature on the space provided below. You have all right to take a copy of this agreement paper as well.

Participant's signature _____

Researcher's signature _____

Thank you in advance for your cooperation and giving me your time to be part of this reseraxh participant.

Appendix B: Guiding Questions

I. Respondent Background Information

1. Sex: male female
2. Federal/Region:
 other City Administration
 Woreda
3. Level of education (highest level attained)
 primary
 secondary
 vocational/technical
 university or polytechnic
 post-graduate (Masters/Ph.D.)
4. Occupation national government
 regional or zonal government
 private business
 state-owned enterprise
 university or research organization
 Non-governmental organization
 Civil society organization
 Development partners (DPS)
 other (please specify)

II. Guiding questions for Sector Ministries at federal and regional Bureaus

1. Can you explain to me the major steps and process of the GTP-II planning and implementation arrangements?
2. Is vulnerability to climate change impact taken into account in GTP-II planning?
3. What types of tools has been applied to determine vulnerability scenario?
4. How much do diverse social actors (including the most vulnerable social groups to climate variability) actively engaged in the GTP-II planning process to influence the green economy agendas?
5. Have you identified the most vulnerable social groups during the GTP-II planning? How?

6. In your perspective, what was the stakeholders' degree of participation in GTP -2 planning process particularly in the identification and planning phase? Please use the following participation matrix to select the degree participation.

A) Participation Matrix for the Stakeholders in the GTP-2 planning process (look at definition of the key words under the table for common understanding)

| Key stakeholders | Planning process | Inform | Consult | Partnership | Delegate | Control |
|---|------------------|--------|---------|-------------|----------|---------|
| Government structures (at federal, regional, woreda levels) | Identification | | | | | |
| | Planning | | | | | |
| International Development Partners (donor partners & INGOs) | Identification | | | | | |
| | Planning | | | | | |
| Local NGOs | Identification | | | | | |
| | Planning | | | | | |
| Major Groups /stakeholders | | | | | | |
| Women | Identification | | | | | |
| | Planning | | | | | |
| Children & youth | Identification | | | | | |
| | Planning | | | | | |
| Persons with disabilities | Identification | | | | | |
| | Planning | | | | | |
| Elderly | Identification | | | | | |
| | Planning | | | | | |

Key words:

- **Inform:** to be informed as a project development (provided with information but having no degree of influence over proceedings)
- **Consult :** to be consulted (by providing information or opinions which may or may not be acted upon)
- **Partnership:** to participate actively in partnership, that is, high degree of (active) participation of actors: from communities, CSOs, minorities, women, & others in the development process. This includes defining and agreeing upon expected results mutually by all major stakeholders through a consensus building process.
- **Delegate :** to be delegated a subsidiary role
- **Control:** to be controlled (involved in the implementation process but not planning)

7. What were the analyses conducted by your sector during the GTP-II planning process to:
- Understand the drivers of both poverty and climate change induced vulnerability in Ethiopian context?
 - Provide baseline for measuring increase in adaptive capacity?
 - Identify benefits of low emission development investments,
 - Identify the winners and losers of a proposed strategy, and inform evidence-based planning?

8. What were the approaches or model used during the GTP-II planning process to:
 - enhance positive feedbacks between mitigation, adaptation, and sustainable development on the one hand minimizing potential trade-offs between them
 - ensure integrated planning and policy making across government ministries/institutions and with diverse national stakeholders?
9. What do you think are the key challenges and opportunities of integrating CRGE in GTP-2?

III. Guiding questions for discussions with NPC key informants

1. Planning process & roles and responsibilities of institutions and key stakeholders:
 - a. What was the overall planning process of GTP-II from federal to grassroots levels?
 - b. Who are the key stakeholder groups and what were their roles and responsibilities?
 - c. What was the mechanism to engage various social groups e.g the poor (community)?
 - d. What specific agenda was introduced as a result of engagement with the poor community
 - e. How was the planning agenda of GTP-II set at macro level?
2. Mainstreaming CRGE & SDGs:
 - a. What were the mainstreaming process and majors steps?
 - b. Who are key actors in the mainstreaming process?
 - c. How effective was the mainstreaming of CRGE initiatives & SDGs happened in GTP-2 planning process?
 - d. Will CRGE-GTP II integration address the issues of vulnerable group? How?
3. Challenges and Opportunities of integrating CRGE/SDGs in GTP-II:
 - a. What are the challenges and opportunities of integrating CRGE/SDGs in GTP-II?
4. Stakeholders' participation (particularly the most vulnerable groups):
 - a. What was the primary mechanism of participation of stakeholder in the planning and agenda setting
 - b. How NPC did ensure that the key stakeholders particularly beneficiaries participated in the planning process to voice their needs and influence the GTP initiatives and goals?
5. Targeted actions (special provisions) for the most vulnerable groups:
 - a. A targeted response requires identifying the most vulnerable social groups to climate change. Do you agree?
 - b. What are the special provisions included in GTP-2 to address the situation of these groups?
6. Consultation meetings and public opinions or feedback:
 - a. Do you think that the public opinions collected during the consultation workshops influenced the final version of GTP-II? If yes, what are some of the examples?

7. Implementation arrangements of GTP-II:
 - a. What are the anticipated implementations challenges for the GTP-II at grassroots levels?
 - b. What are the Institutional structures?
 - c. How do you ensure cross sectoral coordination (synergies)
8. What is the envisaged M&E system and the required resources (human, financial and logistics)

IV. GUIDING QUESTIONS TO DISCUSS WITH THE DEVELOPMENT PARTNERS (DPS) including CSOs or (NGOs)

1. What is your understanding or perspective on the overall planning process of GTP-2?
 - Your perceptions before and after consultations on GTP 2 process and its contents?
 - The series of consultation workshops and influence on the contents of the final version?
2. What were your major recommendations or concerns during the consultation period on the Draft GTP-II to be addressed?
3. How do you explain the planning process of the GTP-II in terms of degree of stakeholders' participation? Meaningful participation or tokenism? Why?
4. What are the key opportunities of integrating the CRGE into GTP 2 for Ethiopia (Select no more than three)?
 - ___ growing on clean development pathways,
 - ___ access to climate finance and technological transfers,
 - ___ Provides equal opportunities for all citizens
 - ___ benefit the poorest communities in a sustainable way,
5. What are the strengths and gaps of GTP-II planning process, thematic areas included M&E system, implementation arrangements, etc in your view?

Appendix C: Observation Checklists

1. What does the GTP-II overall planning process look during the various consultation and earlier processes?
2. What were people's responses and opinions at different stages of the GTP process (initial phase, while planning was going on at different levels through government institutions, during consultation, forums, after consultation was over, etc)?
3. What was the understanding about the stakeholder groups and their roles in the GTP-II process?
4. How and at what level of planning phase did the stakeholders participate in the GTP-II formulation?
5. When did the stakeholders get the GTP draft document for review and to provide required inputs for revision?
6. What are the perspectives of the stakeholders on the integration of GTP-CRGE integration process?
7. What were the perceptions about integration of climate change into GTP-II?
8. What was the planning and implementation arrangement for GTP-II among the stakeholders including the government and others?
9. Is there any special room for the consideration of the most vulnerable social groups in the planning process?