South Africa

Integrated research and scenario building for LEDS development

Activity	The LTMS/Mitigation Action Plans and Scenarios (MAPS) approach to collaborative research, modelling and scenario building for informing LEDS development in national processes and through southern collaboration
Country	South Africa
Sector(s) involved	All
Time frame	2006–present

Case summary

The Mitigation Action Plans and Scenarios (MAPS) process grew out of the experience of developing the South African Long Term Mitigation Scenarios (LTMS) during 2006–2008. The approach focuses on understanding how change happens in systems whilst recognizing the soft-science of policy shifts and strategy development. Developing high quality technical analysis with local teams is essential, but building relationships between key stakeholders to ensure the credibility of, and buy-in to such analysis is as important (if not more so) for influencing political and policy-making processes such as LEDS.

Experience from transferring the South African LTMS experience to numerous Latin American countries (including: Brazil, Chile, Colombia, Peru) through the MAPS process highlights the importance of a strong government mandate and emphasises a participative, stakeholder-driven approach focussing on collaborative research, modelling and scenario building.

South African experts from University of Cape Town transfer learning through MAPS coordinated 'EconLab' workshop in Brazil © MAPS

South Africa

Integrated research and scenario building for LEDS development

Background

The South African LTMS was developed through a national research team at the University of Cape Town and an extensive stakeholder consultation process with government agencies, businesses, labour movements and civil society which took place from 2006–2008. The process took a data-based approach to scenario development by drawing on two major components: process and research. It sought to develop ambitious but realistic scenarios, whose stories drew on credibility from the rigor of the underlying technical research. The LTMS consequently informed South Africa's position for the UNFCCC-COP in Copenhagen and provided the basis for much of its subsequent domestic climate change policy.

Based on the achievements of the LTMS scenario building process in South Africa (see figue below) the Mitigation Action Plans and Scenarios (MAPS) programme was developed to facilitate similar processes in a number of Latin American countries (including: Brazil, Chile, Colombia and Peru). As with the LTMS, central to the process is the way it combines research and stakeholder interest with policy and planning. It emphasises participative processes to engage stakeholders from all sectors within participating countries and partners them with the best indigenous and international research.

Activities

- Securing a high level mandate: In South Africa, a high level mandate was provided by the government's Cabinet. In Brazil, Colombia, Chile and Peru, senior political leaders were approached and pledged to support/collaborate in the process. The approach taken was usually via the environment ministries but emphasis was placed on securing at least 3–5 ministers (inc. ministries of finance) and their advisers. It was advantageous for the country's president to at least be aware of the process' efforts.
- Establishing a local project team: Collaborating with local institutions (e.g. universities, NGOs, expert consultancies, etc.) and government ministries, a project management team is put together with the necessary skills to effectively manage and coordinate the research and participative engagement process.
- Establishing a Scenario Building Team (SBT): The project team selected stakeholders from government, business and civil society to form a Scenario Building Team (SBT). The individuals on the SBT participated in their personal capacity and did not formally represent their respective organisations or sectors. They engaged in managed dialogue with research groups, commissioning research and providing inputs and assumptions, evaluating results, developing the Scenario framework and a final report. In South Africa, all stakeholders approved the Scenario Report, and accept the Technical Reports – and similar outcome is expected in the other countries. Significant effort is put into agreeing rules governing the process, defining assumptions and key drivers for the scenarios, and auditing the accuracy of initial results. The outputs of the SBT's work are achieved by consensus.
- Establishing a High Level Group (HLG): A High Level Group was convened to include senior political decision-makers relevant for implementing policy based on the scenarios developed. In South Africa the group consisted of Ministers in the established Inter-Ministerial Committee on Climate Change (IMC) together with national leaders from business/labour/civil society sectors.
- Communicating findings to the HLG: Scenarios were communicated to the HLG in phases to build understanding and "buy-in". In South Africa, this took the form of roundtable discussions with both multi-sectoral and individual sectoral groups. The key to this was to ensure a link between the scenarios and current national policy that could be affected or influenced. Similar processes have regularly taken place in Chile, Peru and Colombia.
- Working with HLG to use findings in national policy: The project team worked with the HLG members to ensure that they champion the work and integrate it into policy-planning.

South Africa

Integrated research and scenario building for LEDS development

Institutions involved

The LTMS case provides a good illustrative example of key institutions to be involved: Cabinet of the South African Government; Department of Environmental Affairs & Tourism (DEAT) (now Department of Environmental Affairs); University of Cape Town's Energy Research Centre (ERC); Department of Minerals and Energy; Tokiso (a local mediation company)

Cooperation with

Cooperation varied from country to country. In the case of the LTMS, key organisations involved are listed above. Cooperation is broadly replicated in the cases of Brazil, Colombia, Chile and Peru, where cooperation is largely between government ministries, national universities and a range of process experts (individual consultants or organisations). See the MAPS website for details (www.mapsprogramme.org).

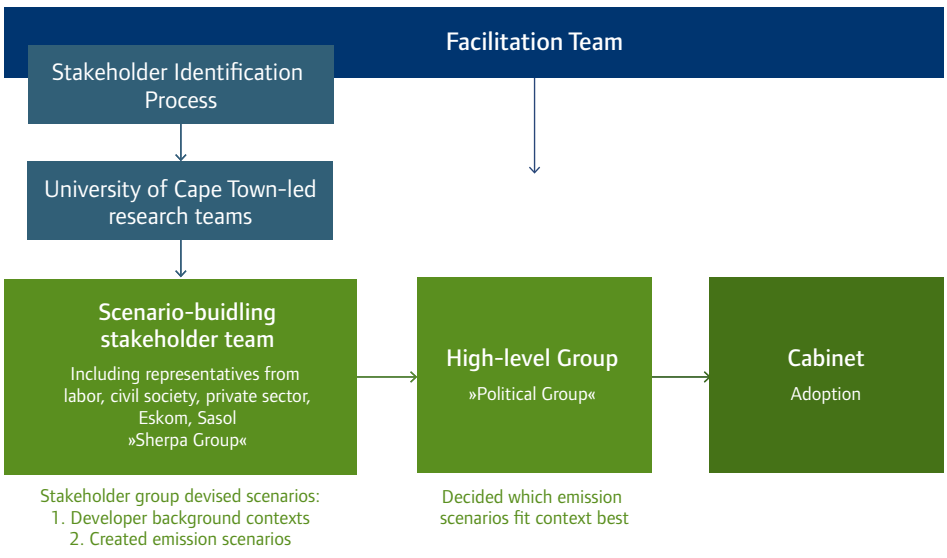
Finance

The LTMS was fully funded by the South African Government. The scaling up of the collaboration into MAPS was made possible by seed funding provided by the Children's Investment Funding Foundation (CIFF). This was followed by further support from the UK/Dutch funded Climate and Development Knowledge Network (CDKN), the Swiss Agency for Development and Cooperation (SDC) and a range of other funders for different country programmes.

Impact of activities

- High-level political support secured: Application of the MAPS approach in Brazil, Chile, Colombia and Peru is at varying stages of implementation but in all countries, high level, inter-ministerial mandates have been secured.
- Awareness raised: In South Africa, the LTMS process was credited with significantly raising levels of awareness on climate change and the high-level process and political work started conversations critical in the policy development process (Winkler, 2007). The processes underway with MAPS support in Chile, Colombia, Peru and Brazil are already showing signs of having a similar impact.

South Africa's LTMS Process



Source: World Bank, »Low Carbon Study: South Africa«, Presentation, April 2009.

South Africa

Integrated research and scenario building for LEDS development

- Key stakeholders engaged and collaborating: Scenario Building Teams and High Level Groups all involve and engage key stakeholders to develop the evidence base and apply it in the development of national LEDS and other relevant strategies.
- Evidence developed and integrated into planning: For example, in Colombia, specific sectoral mitigation actions have been identified and are being integrated in Sectoral Mitigation Action Plans (SMAPs).
- Skills, knowledge and capacity built: Through collaborative workshops and technical training activities relevant skills and knowledge capacity in the participating countries has been built together with trusting, collaborative peer-to-peer learning relationships across the region.

Why is it good practice

- The LTMS and MAPS process is country driven and emphasises co-development and collaboration rather than imposing generic expertise. Commitment and leadership at the highest political level is a prerequisite for the approach to be initiated and coordination across different key ministries and the involvement of stakeholders is central to the research collaborations and how the evidence is then applied.
- Thorough and transparent analysis combined with professional and technical support features strongly in the research activities of the MAPS process. This helps the country to develop a long term vision based on reliable data; and successful application across a range of country contexts demonstrates the transferability of the approach.

Success factors

- Securing a strong mandate: Securing a strong initial mandate supported by multiple ministries and formalised in writing, provided and important foundation for engagement and credibility of the work. This mandate is critical both during the research and dissemination phases.
- Emphasis on a collaborative approach: Rather than prescriptive, top-down, government led activity. This particularly helped secure involvement of some stakeholders and enabled sharing of data both domestically and with regional peers (e.g. across the MAPS countries) which MAPS encouraged and facilitated.
- Building and managing trusting relationships with stakeholders: Teams leveraged existing relationships with government counterparts to build trust in the transparency and objectivity of the scenarios/low carbon growth studies. Key elements of this include:
  - Transparency in approach, modeling, data, and assumptions works.
  - Objectivity and flexibility in approach promotes collaboration and national ownership of results.
  - Active stakeholder participation ensures sustainability.
  - Study teams selected in collaboration with national stakeholders' supports legitimate and credible results.
  - Links among stakeholders, study participants, and government ministries facilitates cross-sector dialogue, a crucial input when developing mitigation strategies and prioritizing interventions.
- South-south collaboration helped build trust: As the MAPS process was advocated by a South African based partnership which had been through a similar process, this was an important factor in ensuring buy-in given the greater level of trust engendered from South-South collaboration and the fact they could draw on real comparable experience.

South Africa

Integrated research and scenario building for LEDS development

Overcoming barriers/ challenges

What were the main barriers/challenges to delivery?
How were these barriers/challenges overcome?

Capacity

To ensure processes build domestic capacity (often a requirement of the government or international funder); with sometimes limited domestic expert capacity available there can be competition for the time/ capacity of a small pool of national experts (e.g. academics). This can be a challenge to engage them and keep them active in the process – particularly if funding or political support is delayed.

Emphasising the benefits of collaboration both domestically, regionally and internationally helped motivate involvement as did emphasising the publication opportunities (i.e. offering joint authorship of planned publications). Working through the (sometimes slow) bureaucratic processes involved in engaging universities did require some patience. And when funding was delayed, this increased the challenge of keeping researchers committed to the work. In the MAPS approach this was achieved by "investing a lot of time keeping them engaged" through regular in person visits.

Finance

Securing sufficient finance at the right time to develop activities is a challenge. The data collection and analysis process is capital intensive.

The MAPS approach began with a small amount of seed funding to establish a coordinating team and engage key stakeholders in government and domestic research institutions. As the approach was new and potentially risky this required a less risk averse funder (in the MAPS case a philanthropic foundation – CIFF – fulfilled this role). Once established the potential for impact was clearer and a less risky prospect for other funders (in the MAPS case the UK/Dutch government funded CDKN programme then provided further finance to develop activities).

Information

Effectively coordinating how much and how widely information is shared can be challenging. On the one hand, communicating the data widely and ensuring it influences the policy process is a key aim. However, sharing too much information too early can risk credibility if data quality is not high enough.

Effectively coordinating how information requests are dealt with from outside is important. Once you create data, there is demand for it (from government, e.g. baseline data for developing NAMAs) or the private sector (assessing threats and opportunities for operations and investments). This is attractive for researchers because if data is used it is legitimised and becomes the "official data" so a balance has to be struck between reassuring researchers that they will be able to publish/share data (important for motivating their engagement with the work) but also controlling the release of information (e.g. through confidentiality agreements written into contracts – which is important to enable this control).

Being alert to sudden changes in the prominence of data and information (e.g. if a politician suddenly announces that the national GHG inventory is prepared when in reality it is still yet to be finalised). When data and information suddenly becomes politicised like this, the response can potentially affect the future mandate, impact, scope or focus of the work.

Close coordinating/communication with government can help ensure a coordinated process (and avoid any surprises with data availability being announced before it is ready for use). However, sometimes political events can accelerate the interest in and demand for the information and in such cases it is important to respond as quickly as possible to take advantage of the opportunity for the data to be used. In the MAPS case this has sometimes demanded research teams working through the night at short notice to resolve technical conflicts and reach consensus ensure information can be released for use earlier than originally planned.

South Africa

Integrated research and scenario building for LEDS development

Effectively communicating the results and outputs to the media can be challenging.

Approach the media directly early on, to brief them on the process. Involving powerful government ministries (e.g. Finance) or politicians (e.g. Ministers) helps draw attention (e.g. in Chile, the MAPS process convened a lunch meeting with 20 journalists and the Ministry of Environment). Building personal relationships with journalists helps reduce the risk of inaccurate or misleading information being published (e.g. journalist can quickly fact-check etc.). This is particularly important in contexts without specialist journalists who understand technical or political background to the work.

Institutional

Participative approaches can seem risky for the government (particularly if they are not commonly used in policy-making) it is effectively a handover of power which can be politically uncomfortable and thus challenging.

Be open about both the costs and the benefits. The costs include having to deal with and work through conflict (which is inevitable) in order to build consensus and collaboration around the analysis. This requires investment, in terms of time and dedicated skills (mediators/facilitators) which need to be trained up locally or support from outside (MAPS trained 25 such facilitators in 2012 with seven now working across MAPS countries in LAC). The benefits of this effort is that it results in stronger, more robust analysis to base decisions on and stronger consensus around the end results making them less open to contestation at a later stage – and hence more politically robust.

Ensuring access to data and information is crucial to the process, but getting people to share information both domestically (between organisations) and regionally (between countries) is a challenge.

Target and engage the right people through combined efforts of a research lead and process lead (facilitator/mediator). These two key roles work hard to engage people who have knowledge of the sector (e.g. academia, relevant government agencies, private sector) and actively work to build trust and common understanding. This requires activities throughout (e.g. regular visits, face-to-face meetings, workshops and peer review). Personal relationships are important and creating an atmosphere of open-ness and engagement around areas of common interest (e.g. "we are struggling with this issue too" builds feeling of collaboration with strengthens motivation to contribute). The importance of MAPS' status as a southern-based effort is also important – and it is actively presented as an equal, supportive collaboration rather than foreign experts coming to tell the local stakeholders how to do things.

Sociocultural

Ensuring effective on-going participation is challenging. Some are sceptical of collaborative processes, others are resistant to too many being involved. Some do not participate consistently (e.g. due to time/resource constraints of NGO participants) and others do not always recognise the value of investing the efforts (e.g. some private sector actors).

Building trust is a crucially important part of the processes. It's not about becoming friends but building respect and clear relationships. Having a dedicated facilitator to lead and coordinate the on-going engagement process makes a crucial difference. Elaborate and agree rules of engagement early – and together. Group activities can also be useful here (e.g. bringing people together in retreat workshops where you work and play together).

Lessons learned

» Government led processes have both positives and negatives: In relation to stakeholder engagement, on the one hand, stakeholders know the work will be more likely to influence policy-making and this has positive benefit as it attracts key actors (because they think something is being "cooked up" and want to be there. On the other hand it can be negative as other stakeholders will be more conservative (e.g. private sector) because they are aware it could become regulation.

» It may not matter specifically what role the government plays: As long as they are supportive. For example, the MAPS process in Chile involves the government in a technical role. In Peru the role has been more about communications and political support for the process.

South Africa

Integrated research and scenario building for LEDS development

- Economic as well as climate champions are important: The process largely worked through government champions who are "climate change" people (i.e. in the ministries of environment), but just as important (perhaps even more so) are economic champions: people with higher levels of influence in the political economy.
- Recognition that the "climate first" approach won't work anymore: Getting a mandate for an emissions-based study without considering development is unlikely to happen any longer.

How to replicate this practice

- Secure a high-level mandate: Frame actions in relation to key development objectives of interest/relevance to the country or a person able to provide mandate. Emphasise collaborative approach, being humble, but confident in the process/approach (citing previous success, e.g. South Africa); Make the mandate explicit: written and signed by minsters (preferably from most powerful and relevant ministries).
- Convene a professional core team: Draw from local institutions and organisations (e.g. government ministries, universities); Establish a process lead and a research lead. The process lead should be a good communicator/facilitator with the ability to talk in climate and non-climate language, mediate, manage contestation and conflict. The research lead should also be a good communicators and facilitator, with sufficient credibility and skills to convene and manage researchers. They should have technical expertise and the ability to connect with different sectors (e.g. farmers association, labour movements, business, etc.). Effective teamwork is also crucial, particularly to manage and resolve conflicts.
- Invest in stakeholder engagement:
  - Key groups to engage in the process include: Government (feel they are both managing and participating), economic powerhouses (i.e. organisations which generate most of the economic value in the economy, public or private sector) and civil society (e.g. expert views, popular movements); Ensure everyone understands and shares the vision of change and provide them with a high-class research team that enhances credibility, innovation and, overall generates good analysis with the stakeholders input; Work through champions (e.g. people championing climate action in government, business; NGOs; media etc.).
  - Start by getting to know the context: relationships are important from the beginning (before the first meetings); Begin with bi-lateral discussions, admit the human dimensions with honesty and explain learning from problems from past; Participatory processes have to be gradual and emergent: it's not always easy to combine the working cultures of different stakeholders (e.g. hard, fast engineering culture, with methodical bureaucratic government culture). Keep the process transparent and keep everyone in the loop.

Contact for enquiries

- Stefan Raubenheimer, Director (SouthSouthNorth), stef@southsouthnorth.org

Further key resources

- www.mapsprogramme.org/category/publications/
- www.mapsprogramme.org/publications/videos/maps-101-maps-approach/

Website(s)

- www.mapsprogramme.org/

Case study author(s)

Nicholas Harrison (Ecofys) and Kimberley Mees (Ecofys)

Edited by: Nicholas Harrison (Ecofys)

Editorial support: Frauke Röser, Thomas Day, Daniel Lafond, Niklas Höhne and Katja Eisbrenner (Ecofys).

Coordination by: Ecofys www.ecofys.com

South Africa

Integrated research and scenario building for LEDS development

Case study contributor(s)

- Stefan Raubenheimer, MAPS Director, SouthSouthNorth
- Marta Torres, MAPS Director, University of Cape Town
- Hernan Blanco, Process Leader, MAPS Chile
- Blaise Dobson, SouthSouthNorth

References

- ESMAP, 2009. Low Carbon Growth Country Studies—Getting Started. Experience from Six Countries, Washington: The International Bank for Reconstruction and Development/The World Bank Group.
- Hallowes, D., 2008. A critical appraisal of the LTMS, Johannesburg: Sustainable Energy and Climate Change Project (SECCP) of Earthlife Africa.
- Mitigation Action Plans & Scenarios (MAPS), 2011. Projects. [En ligne] Available at: www.mapsprogramme.org/category/projects/ [Accès le 28 January 2014].
- Mitigation Action Plans & Scenarios (MAPS), 2013. MAPS International. [En ligne] Available at: www.mapsprogramme.org/category/projects/south-africa-projects/ [Accès le 28 January 2014].
- Raubenheimer, S., 2007. Long Term Mitigation Scenarios: Process Report, Pretoria: Department of Environment Affairs and Tourism.
- Raubenheimer, S., 2011. South Africa's Long Term Mitigation Scenarios: Background [Interview] (26 November 2011).
- Scenario Building Team, 2007. Long Term Mitigation Scenarios: Scenario Document, Pretoria: Department of Environment Affairs and Tourism.
- Winkler, H., 2007. Long-Term Mitigation Scenarios: Project Report, Cape Town: Energy Research Center – University of Cape Town.
- Winkler, H., 2012a. Sequencing in South Africa's Long Term Mitigation Scenarios [Interview] (20 August 2012a).
- Winkler, H., 2012b. LTMS: Research and Stakeholder Interaction [Interview] (23 October 2012b).
- Energy Sector Management Assistance Program (ESMAP) and Carbon Finance-Assist Program (CF-Assist), 2009. Low Carbon Growth Country Studies—Getting Started. Experience from Six Countries, Washington: The International Bank for Reconstruction and Development/The World Bank Group.
- Hallowes, D., 2008. A critical appraisal of the LTMS, Johannesburg: Sustainable Energy and Climate Change Project (SECCP) of Earthlife Africa.
- Mitigation Action Plans & Scenarios (MAPS), 2011. Projects. [En ligne] Available at: www.mapsprogramme.org/category/projects/ [Accès le 28 January 2014].
- Mitigation Action Plans & Scenarios (MAPS), 2013. MAPS International. [En ligne] Available at: www.mapsprogramme.org/category/projects/south-africa-projects/ [Accès le 28 January 2014].
- Raubenheimer, S., 2007. Long Term Mitigation Scenarios: Process Report, Pretoria: Department of Environment Affairs and Tourism.
- Raubenheimer, S., 2011. South Africa's Long Term Mitigation Scenarios: Background [Interview] (26 November 2011).
- Scenario Building Team, 2007. Long Term Mitigation Scenarios: Scenario Document, Pretoria: Department of Environment Affairs and Tourism.
- Winkler, H., 2007. Long-Term Mitigation Scenarios: Project Report, Cape Town: Energy Research Center – University of Cape Town.
- Winkler, H., 2012a. Sequencing in South Africa's Long Term Mitigation Scenarios [Interview] (20 August 2012a).
- Winkler, H., 2012b. LTMS: Research and Stakeholder Interaction [Interview] (23 October 2012b).

South Africa

Integrated research and scenario building for LEDS development

Empowered lives.
Resilient nations.

Australian Government

On behalf of:

Federal Ministry
for the Environment, Nature Conservation,
Building and Nuclear Safety

of the Federal Republic of Germany