

Tool: Mitigation Action coordination and steering structure

Tool Description

A tool for the main stakeholders to set up a steering structure for Mitigation Action development and implementation. It offers an overview of the typical characteristics of a joint working group or a steering committee, which should be defined and agreed upon by the stakeholders when establishing such a structure. The use of the tool can ensure transparency and clarity concerning roles and responsibilities. It helps to develop a tailor-made steering structure adjusted to the conditions and stakeholder needs in the partner country.

General Information of this Tool

Objective/ function:

- Gives guidance on how to design a coordination structure for Mitigation Action development and implementation
- Provides an overview of the typical characteristics of a joint working group or steering committee in order to coordinate and manage a Mitigation Action

Tool developer & weblink:

GIZ: www.transport-namas.org/resources/toolbox

Area of application:

- Designing mitigation measures
- Quantified target
- Strategy or plan
- Policy or program
- Project

Setting: Small group meeting(s), 5-10 participants

Level of complexity: Medium-high

Required data/information: Good knowledge of the potential actors in the steering process required to help ensure that the “right people” are involved.

Usually requires preparatory interventions to help ensure that the cooperating partners are comfortable with their roles, accept them and assume corresponding responsibility.

Cost: free of charge

Time needed: ½ - 2 days, depending on complexity of the Mitigation Action

Equipment needed: pin board and flip chart, workshop materials (markers, cards, etc.)

If available: stakeholder map, pre-prepared chart to visualise the stakeholder analysis, document handouts

Application step-by-step

Step 1: Identify possible participants in steering

The focus is on participants who

- make strategic political decisions regarding the respective transport sector, e.g. institutions like ministry of transport, transport services, ect.
- are responsible for achieving objectives related to transport policies
- are responsible for achieving sub-objectives.

It is thus logical to involve in steering initially the key actors identified in the course of a stakeholder analysis (see [Tool Stakeholder Map](#)). The discussion can be facilitated through visualisation. The size of the circles in the diagramme below can be used to represent the presumed degree of influence on steering decisions. It is useful to distinguish the involved stakeholders according to their background, namely whether they are part of the state, the private sector or the civil society.

Within the steering structure of a Mitigation Action, typically the following different kinds of organisations and institutions are involved:

- national ministries and/or other government agencies at different levels
- experts within government agencies, external technical consultants and/or universities
- designated national authorities

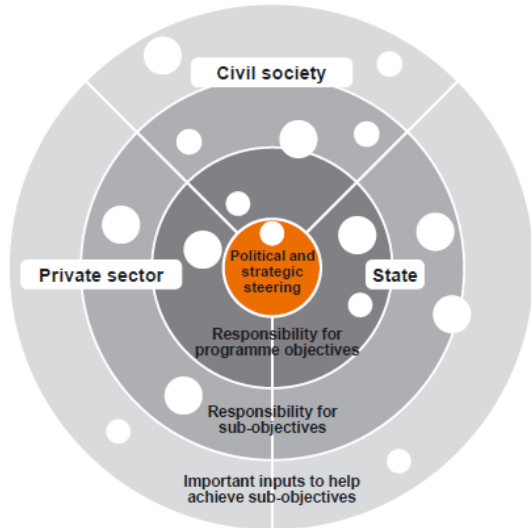


Figure 1: Identifying possible steering participants (stakeholder map)

Task in hand					
Possible steering participants	Forms of participation				
	Information	Information +	Consultation	Participation	Responsibility
Task-1					
Task-2					
Task-3					
...					
Task-n					

Table 1: Forms of participation

In the case of a Mitigation Action, important tasks are:

- to effectively and efficiently develop and implement the Mitigation Action,
- coordination of the activities within the framework of the Mitigation Action is required in order to identify synergies among the partners
- design of an annual joint working plan
- technical assistance, involving preparation, realisation and follow-up to meetings of the respective steering body including continuous update and monitoring of the joint workplan

It is useful to enter in the matrix the intervals at which something is to be performed or the anticipated inputs of time. This will highlight the transaction costs of steering: steering consumes time and energy.

Step 2: Determine forms of participation in steering

In order to build acceptance and confidence in the steering process it is helpful to distinguish between five degrees of participation:

1. Information on steering decisions provided through the normal channels of information
2. Detailed information on and explanation of the steering decision provided
3. Consultation prior to decision-making or participation in preparatory work for decision-making
4. Direct involvement in steering decisions
5. Formal direct responsibility for the steering decision.

Naturally, the intensity of participation can only be determined with reference to any one concrete task, such as annual planning, profiling or the selection and hiring of a new staff member. In practice it is quite sufficient to decide on the form of participation once a task is selected. The following matrix can be used.

Step 3: Design a steering model

When designing steering models, limits are set, particularly regarding the legally specified organisational forms of the partner organisations: public-sector bodies, organisations representing members, NGOs, foundations, etc. The steering model must fit into this organisational landscape while at the same time attempting to lend new impetus and encourage innovation. In this, development interventions should be guided by the requirements made of steering models outlined at the start of this tool. Since steering forms the inner core of the cooperation system, the model selected has enormous ramifications.

The model sets the scene for what can be learned within the development intervention and how: communications patterns, interaction schemes, participatory processes, consultation and decision-making processes, knowledge management, work process design for learning. The model outlined below describes a functional, more static steering model which is geared more to projects and programmes that work with public administrations.

It encompasses the establishment of a Steering Committee which obtains the responsibility for the project/ programme objectives. Moreover, it involves setting up a supervisory board which politically and strategically operates the steering process. A scientific council is put in place also embracing an advisory role. Besides, a coordination unit and secretariat is established which administers the planning, monitoring and communication processes.

For the preparation and implementation of Mitigation Actions it is strongly recommendable to establish a joint working group or a steering committee. When establishing same, it is important to consider existent mechanisms and structures in order to avoid overlapping or multiple efforts. It turned out to be useful to establish a joint working group at an early stage of the development process for a Mitigation Action proposal in order for the responsibilities to be properly assigned.

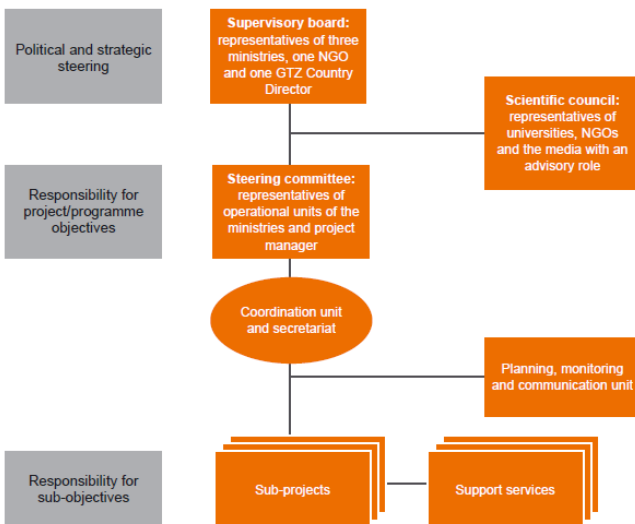


Figure 2: Functional steering model with clear definition of distinct steering levels

Structure of a steering committee:

The Steering Committee usually consists of the most crucial national and sub- national public entities institutions, international partners and partners of the private sector.

Ministries of Transport are generally best placed to develop and implement a transport Mitigation Action. However, other ministries could be in charge of the overall Mitigation Action development as well (i.e. the Ministry of Environment). Additionally, in many cases other ministries like ministries of finance and national planning authorities have expertise which is essential for a successful Mitigation Action proposal.

Therefore, it useful to establish an inter-ministerial coordination process through setting up an inter-ministerial working group.

Moreover, international supporting organisations complete the picture. Those typically include development organisations, like the GIZ, or development banks.

Depending on the Mitigation Action, the premier’s office or other ministers can be involved on demand as well as NGOs or local and regional government.

In order to gain an overview of the different members of the Steering Committee, it can be useful to design an organisational chart of its structure like the following designed in context of the Peruvian Mitigation Action.

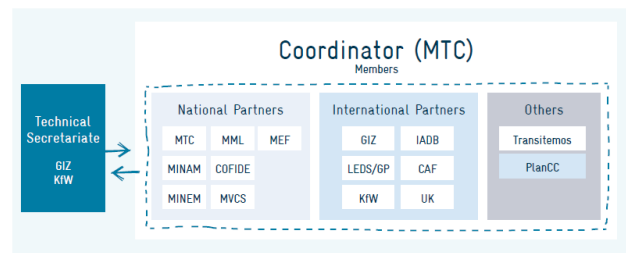


Figure 3: Steering Committee of Peruvian Sustainable Urban Transport NAMA (Source: GIZ TRANSfer Project)

Objectives and functions of a Steering Committee:

The Steering Committee is assigned to effectively and efficiently develop and implement the Mitigation Action. Moreover, it serves as a common discussion and decision-making platform, reports to the vice- ministers and coordinates the activities within the framework of the Mitigation Action. In addition, the Committee develops an annual joint working plan in accordance with the five elements constituting the main building blocks (Management & coordination, Core documents, Mitigation measures, Finance, MRV) of any Mitigation Action in the transport sector.

Description of specific functions of the Coordinator, the Technical Secretariat and the Members of the committee:

A Coordinator of the working group is determined in the beginning. The respective entity arranges/convenes the meetings and guides through them.

Furthermore, the Committee should be assisted by a Technical Secretariat supporting preparation, realisation and follow-up of all members as well as the monitoring of the joint work plan.

Describe Thailand example: MoT committee high-level, and technical sub-committee. Perhaps Vietnam: core steering group (MoT, MOnre, GIZ) and extended steering group (provincial DoTs, city gov)

A general note:

Irrespective of which steering model is selected, it makes good sense for the key actors involved to agree on a few key steering principles, such as:

- consultation with key stakeholders before political, strategic and human resources related decisions are made
- clear definition of distinct steering levels and a clear understanding of roles and responsibilities
- delegation of responsibility to the lowest possible level
- transparency thanks to two-way information on planning, results and impacts
- steering through annual or project-related agreements on objectives.

The steering structure of NAMA SUTRI consists of:

- A National Steering Committee comprising representatives from the MoT (high level decision makers, Senior Advisor to the Minister), Bappenas (Deputy for Environment, Deputy of Transportation). The Steering Committee will give guidance to the project at political and strategic level.

- A Technical Steering Committee which comprises representatives of local governments, development partners, the Ministry of Finance and the Ministry of Environment in order to coordinate project implementation and give technical guidance.
- A Technical Support Unit (TSU) which functions as the project management unit of the Mitigation Action Support Project led by the Vice Minister of Transportation comprising staff from MoT and GIZ. The TSU will develop technical documents and policy drafts on urban transport and prepare guidance documents for the co-funding of mitigation actions under NAMA SUTRI in close cooperation with the Technical Steering Committee.

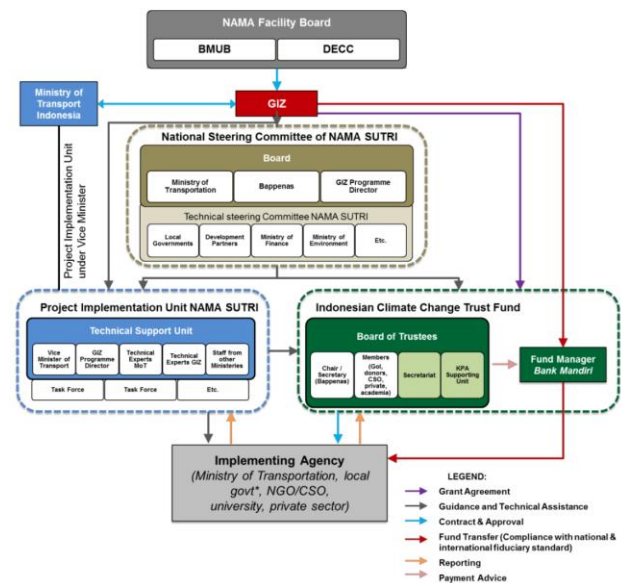


Figure 4: Steering structure of NAMA SUTRI in Indonesia (GIZ, 2015)

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