# Supplementary table 4 – Checklist for mainstreaming protocol

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|  | **Element** | | **Sub-elements** | | **Questions** | | **To do** | |
| **Policy formulation** | **Awareness raising** | | Advocacy | | Are potential stakeholders informed about the current state and pending problems? | | * Sensitize stakeholders for the mainstreaming context * Create awareness for the need for change * Build partnerships between stakeholders | |
| Creating awareness | | Are potential stakeholders aware of the pending problems?  Are relevant stakeholders in contact? | |
| **Assessment of context and gaps** | | Assessment of context (political, social, environmental, economic, cultural) | | What are existing formal (institutions, policies, legislation, regulation, financing, etc.) and informal (traditions, norms, practices) settings of the context the mainstreaming should improve?  What are inter-linkages and where are problematic gaps, redundancies, or mismatches? | | * Develop an evidence-based overview of the context   + Environmental, social, economic, cultural   + Institutional, legal, political   + Norms, traditions, practices * Have an overview of existing gaps, redundancies and/or mismatches | |
| Problem identification | | Considering the identified gaps, what is the concrete problem that should be tackled with the mainstreaming process?  WHY is mainstreaming needed? | |
| **Vision and goals** | | Objective | | WHAT are the identified gaps?  WHAT should be mainstreamed to address them? | | * Determine what should be mainstreamed to effectively address the identified gap, redundancies and/or mismatches. | |
| Direction | | HOW should the mainstreaming happen: Which considerations should be mainstreamed into what? | | * Determine the direction of the mainstreaming. | |
| Stakeholders | | WHO will be the core team kick-starting the mainstreaming process?  WHO are the stakeholders that need to be considered in the mainstreaming process? | | * Create a core team. * Map all relevant stakeholders. * Invite all to be part of the process. * Ensure collaboration throughout the process. | |
| Goal(s) | | What is the final goal once the mainstreaming is successfully implemented? | | * Jointly define goal(s)/outcomes the mainstreaming should achieve. | |
| Scale | | At which scale should the mainstreaming happen?  Shall the mainstreaming be within (horizontal) or across (vertical) scales? Or both? | | * Based on the determined goals, identify the scale the mainstreaming should be applied to. * If only horizontal or vertical mainstreaming is envisioned, ensure coherence across scales. | |
| **Planning** | **Prioritization** | | Urgency | | Which of the goals need to be most urgently met? | | * Develop a list of goals sorted by priority that all stakeholders agree to. | |
| Consideration of different stakeholders’ needs | | Who prioritizes which goals?  How can different priorities be aligned? | |
| **Integration** | | Weighing options for integration vs. creating a new/alone-standing policy/ plan…  M&E obligations | | What is the potential for integrating the mainstreaming topic across sectors/organizational structures/scales?  Is there a need for establishing a dedicated plan/ policy/ structure/ institution for the topic?  Can an existing M&E framework be used for M&E or is it necessary to develop a new one? | | * Decide about whether to integrate or develop a new, separate plan/policy/structure. * Identify a suitable M&E structure, including indicators, timeframes, and responsibilities. | |
| **Potential entry points** | | Administrative (national, sub-national or city) | | Are there administrative structures or processes the mainstreaming can be anchored in? | | * Identify one or several entry points. * Make sure the entry points are harmonized with the goals, and scale of the envisioned mainstreaming process. * Validate the selected entry points with all relevant stakeholders. | |
| Sectoral | | Are there sectoral structures, bodies, or institutions the mainstreaming can be linked to? | |
| Institutional | | Are there institutions or institutional structures the mainstreaming process can be embedded in? | |
| Legislative | | Are there rules, regulations, provision, or laws that can be tapped to facilitate the mainstreaming? | |
| **Resource allocation** | **Instruments** | | Legal, policy and regulatory instruments | | Can strategies, policies, or plans be changed or introduced to facilitate the mainstreaming?  Can legislation (laws, legally binding requirements, provisions) be used to enforce mainstreaming? E.g., can climate legislation be used to mandate actors, foster cross-sectoral cooperation, or align current practices with the topic that is mainstreamed?  Can standards or regulations (e.g., building codes) be changed or introduced to enforce the mainstreaming? | | * Identify multiple instruments (if possible) from different categories. * Link them to the entry points. * Develop pilots/experiments to test or simulate their feasibility (implementation, financing, acceptance). * Discuss and adjust the selected instruments with all relevant stakeholders. | |
| Finance | | Can public or private finance be allocated to enforce the mainstreaming?  Can a dedicated fund be developed or tapped to enforce the mainstreaming?  Can existing funding structures be used to finance the mainstreaming?  Can international funding schemes facilitate the mainstreaming? | |
| Knowledge and capacity | | Which knowledge systems exist?  How can the co-production of knowledge be ensured?  How and which type of capacity building is needed for whom to enforce the mainstreaming?  Which information systems are in place to inform stakeholders? | |
| **Actors, institutions, and their roles** | | Enablers, designers, connectors, implementors | | Which roles can be taken up by which actor/stakeholder?  What do the specific roles entail in terms or responsibilities?  Are the determined roles able to fulfil their responsibilities on the long term? | | * Jointly with involved stakeholders, attribute roles. * Identify and determine responsibilities different roles must fulfil. * Ensure long term planning and availability of capacities. | |
| **Implementation** | **Implementation** | | Workplan | | Which tasks need to be fulfilled by whom until when? | | * Prepare a detailed workplan with timelines and responsibilities. * Decide about experimentation and include the pilots in the work plan, incl. timelines and indicators for success. * Identify existing capacities and needs among all involved stakeholders; address the gaps. * Determine an oversight institution and contact points to share them with all involved stakeholders. * Assess and mitigate potential conflicts arising from changes in practices and power relations. * Identify and determine funding sources for the mainstreaming process and long-term changes. * Advance formal adoption of changes. | |
| Implementation of pilots/ experimentation | | Is there a need to test different options for mainstreaming (i.e., different instruments)?  What are indicators for success of the pilot study?  How long should the pilot studies run before the final implementation? | |
| Capacity building among implementers | | Is there sufficient theoretical and operational knowledge among the implementers? | |
| Oversight and contact point for implementers | | Who oversees the implementation?  Does everybody know who can be addressed in case of questions or problems? | |
| Overcoming established practices and norms | | Are existing practices and norms hindering the envisioned mainstreaming process?  How can they be overcome? | |
| Resolving power struggles | | Will power structures change in the course of the mainstreaming process? | |
| Resource mobilization | | How are resources for the implementation and capacity development accessed to facilitate the implementation?  Who is doing it? | |
| Adoption of new/altered policies/plans/ structures | | Are the new/altered plans/policies/structures formally adopted?  Is everybody aware of the changes? | |  | |
| **Evaluation and learning** | | Exchange and learning | | Are there structures that allow for cross-sectoral exchange during the implementation process and beyond? | | * Create formalized and informal opportunities for cross-sectoral exchange. | |
| Coherence | | Are there any redundancies or gaps evolving during the mainstreaming process? | | * Duly assess if redundancies or gaps evolved due to mainstreaming. | |
| Progress | | What are suitable indicators to assess progress and effectiveness?  What are suitable timeframes to take stock? | | * Identify suitable indicators to track progress. * Identify suitable indicators to track the effectiveness of the mainstreaming (milestones as interim goals?). * Have a system in place to track finances. * Dissemination of evaluation reports for learning. | |
| Effectiveness | |
| Finance tracking | |
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