
ADAPTATION:

RAPID INSTITUTIONAL ANALYSIS

Based on the National Adaptive Capacities Framework

Version 2.0

April, 2013

Phase I Workbook

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INTRODUCTION

The “Adaptation: Rapid Institutional Analysis” (ARIA) is an indicator-based toolkit designed to help civil society organizations across the world assess national-level institutional quality and governance in climate change adaptation. The ARIA toolkit is based on the National Adaptive Capacities (NAC) Framework, which was developed in 2009 by WRI in collaboration with its international partners. ARIA has adapted the “functions-based” approach of the NAC, which identifies key functions that national institutions will need to perform to build adaptive capacity to climate change. However, whereas the NAC is designed for governments to use to assess their own institutional capacity, ARIA is specifically designed for civil society groups to develop a credible tool to use to advocate for improved adaptation planning and implementation.

ARIA is broken into two phases. Both phases contain the five functions of analysis: Assessment, Prioritization, Coordination, Information Management, and Mainstreaming. In Phase I, the assessment covers the entire national institutional context and selects three main priority areas on which to focus in Phase II. Phase II, which expands the research group to include a larger set of civil society partners, is a more concise and focused institutional assessment of the priority areas selected in Phase I.

The assessment is structured as follows:

Indicator: The indicator at the top of the page checks the existence of an institution or process. The box below allows for the researcher to briefly describe it, or explain that it does not exist.

Qualities of the indicator: The qualities of the indicator describe key aspects of the institution that are likely to lead to better climate change adaptation governance. They are grouped under the following categories: **capacity, transparency and participation, accountability and enforcement, and comprehensiveness**. The indicator qualities are where most of the research will take place. After conducting some combination of legal research, overview of publications and reports, and interviews, the research team should be able to provide a detailed analysis of each indicator quality. They can then mark in the table whether the quality is fully present (“Yes”), somewhat present (“Limited”), or not at all (“No”). If the indicator does not exist at all—if there is no institution in charge of coordinating adaptation efforts as an example—then the researchers would simply mark “N/A” and move to the next worksheet.

Research Guidelines: This section provides more description and explanation for the indicator.

Recommended Research Methods and Sources: This table provides recommendations for how the research team may find the necessary information. It is divided into 1) legal research, 2) research documents, and 3) interviews. *Note: Interviewees may serve as sources for information across multiple indicators and functions. Researchers can save time by coordinating their interviews and planning questions accordingly.*

Documenting sources/Citation: This section provides guidance on how to document sources and WRI's use of the Chicago manual of style.

Qualities: This section provides a more detailed description and background for each quality. Researchers fill in the results of their research below each quality.

Appendices:

- A. Country Context worksheet:** This worksheet is intended to help ARIA users develop the national political, institutional, policy, and budgetary contexts in which adaptation planning and implementation is occurring. Depending on the researchers' background, these contexts may already be well understood. However, it is important to remember that publications resulting from the assessment will read by an international audience, for whom these contexts are critical to understanding the barriers and opportunities for climate change adaptation in your country.

The timeline for completing the worksheet is at the discretion of the research team. Those who may find it useful to gather a basic understanding prior to undertaking more in depth research may complete it at beginning. Others may find it more helpful to do before commencing the Phase II priority area research.

- B. Interview Organizer:** Interviews with certain officials may be difficult to arrange and be conducted under time constraints. With that in mind, this appendix is designed to be used by the researchers to match the indicator qualities with the interview targets who may best be able to respond to them. Since it is likely that some officials will be able to answer questions related to multiple indicators, planning ahead can save time and maintain good relationships.

1. ASSESSMENT

WORKSHEET 1A: VULNERABILITY AND IMPACTS ASSESSMENT

Indicator	There is a comprehensive assessment of vulnerability and impacts at the national level? If not, and only subnational or sectoral assessments exist, review these using a worksheet for each assessment. Then, evaluate the qualities considering all of these available assessments. For instance, Quality 5 could only be given a “Yes” if the assessment, in aggregate, covered all sectors and regions. (If there are no assessments, explain that there is not, mark “N/A” in the qualities table and move to next worksheet.)
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Brief Summary of past or ongoing assessments

Assessment made by	Government	NGO/ Community	Academic Institution	Industry	Other
Name					

Qualities of the indicator	Yes	Limited	No	n/a
1. Assessment(s) include(s) socioeconomic and political drivers of vulnerability. (Comprehensiveness)				
2. Assessment methodology is made transparent. (Transparency & Participation)				
3. Broad set of stakeholders were engaged in assessment development. (Transparency & Participation)				
4. Assessment (if national) includes review of existing sub-national assessments, including community-based assessments. If reviewing subnational assessments, are assessments coordinated in some way and do they use comparable methodologies? (Comprehensiveness/Capacity)				
5. Assessment(s) covers all sectors and regions. (Comprehensiveness)				
6. Assessment(s) includes exposure to climate				

impacts. (Comprehensiveness)				
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Impacts Assessed (examples)¹:

Biophysical	Economic	Social	Health
Melting Glaciers/earlier snowmelt	Impacts on assets or properties from more intense storms, forest fires, and flooding	Temporary or permanent displacement from extreme weather or permanently altered living conditions (eg. Sea level rise)	Human casualties and injuries from extreme weather, including heat waves
Sea level rise			
Temporal and spatial shifts in terrestrial ecosystems (earlier blooming, northward shift of species)	Agricultural and livestock production losses from heat waves and droughts	Loss of livelihoods, particularly those sensitive to ecosystem impacts such as fisheries and rainfed agriculture	Reduced air quality and increased incidence of cardio-respiratory diseases, especially among vulnerable segments of population
Biophysical alterations in freshwater and marine ecosystems			
			Waterborne diseases from flooding
			Malnutrition/lack of freshwater

Source: IPCC, 2007

Research Guidelines

This refers to an evaluation of climate impacts and vulnerabilities for the country. A vulnerability and impacts assessment is carried out to help decision-makers identify needs, priorities, and options for adaptation. Vulnerability and impacts are likely to vary across sectors, geographies, and populations.

While some countries may have completed national assessments, others may have a patchwork of regional, local or sector-based assessments. They may also be part of a larger report on sustainability/environment, health, economic development, etc. In some cases, it may not be produced by a government authority at all, but by an NGO, academic institution, or even private industry. While these can still be useful (and potentially better), they may or may not carry a mandate to be comprehensive in analyzing climate change impacts across diversity of people, sectors, and areas.

Recommended Research Methods and Sources

Legal Research	Research Documents	Interviews
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¹ M.L. Parry, O.F. Canziani, J.P. Palutikof, P.J. van der Linden and C.E. Hanson (eds), *Contribution of Working Group II to the 4th Assessment Report on the Intergovernmental Panel on Climate Change, 2007*, (Cambridge University Press, 2007).

General: N/A	General: Find the vulnerability and impacts assessment for the country if it exists.	General: Contact relevant agencies to confirm/locate assessments if needed.
Q1: N/A	Q1: Review existing vulnerability and Impacts Assessment(s) and any supporting documents, especially those pertaining to methodology of assessing vulnerability.	Q1: (Optional) Interview at least 1 representative of the responsible government agency, an implementing organization, or an academic with an understanding of your country's vulnerability assessment.
Q2: (Optional) Are there legal requirements, administrative guidelines, or rules that require disclosure of the methods for vulnerability and impacts?	Q2: Websites, method documents, etc. supporting the V&A assessment.	Q2: (Optional) Interview a representative of the civil society or an academic to explain the methodology behind the national vulnerability assessment.
Q3: (Optional) Are there legal requirements, administrative guidelines, or rules that require consultation broadly or with certain groups on developing the methods for vulnerability and impacts assessment?	Q3: Websites or records of broad consultation, such as lists of individuals and organizations consulted with by preparers of V&A assessment, attendees at participatory events, or online participation platforms.	Q3: (Optional) Interview at least 1 representative of the civil society or an academic to explain the opportunities for involvement in the country's vulnerability assessment.
Q4: N/A	Q4: Consult the existing V&I assessment(s) at the national level for citations of ongoing assessments and work on adaptation at the sub-national and local levels.	Q4: N/A
Q5: N/A	Q5: Review assessment with advisory panel and research team to determine if any major sectors or regions were not included.	Q5: Unless there is not expertise on climate change impacts on the research team or advisory panel, an interview is not necessary
Q6: N/A	Q6: Review assessment to determine whether exposure to climate change impacts is comprehensively covered and if research is up to date.	Q6: N/A

Documenting sources/Citation

Be sure to include the **name and organization** of the researcher and the **document title, author(s), chapter, page, publishers and url** for any research document. Interviews should include **name and title** (unless interviewed “not for affiliation), **agency, date, and location of interview**. *WRI uses the Chicago Manual of Style:*

http://www.chicomanualofstyle.org/tools_citationguide.html

Key Terms Defined:

Vulnerability and impact assessment: An integrated and multi-sectoral assessment at the national level that helps decision-makers identify adaptation needs, priorities and options.

Exposure: A 2012 IPCC report defines exposure as “the presence of people; livelihoods; environmental services and resources; infrastructure; economic, social or cultural assets in places that could be adversely affected”.² As the definition indicates, exposure is determined by location. This could be confined to a floodplain or as widespread as a country. It is possible to be exposed to climate impacts, but not be vulnerable to them (if adaptive capacity is sufficient enough to mitigate risks).

Vulnerability: The IPCC defines vulnerability as the “propensity or predisposition to be adversely affected”. Vulnerability depends on social, economic, cultural, demographic, institutional, governance, geographic, and environmental factors. Vulnerability may be hazard-specific—in other words, a population may be more vulnerable to new disease vectors than to hurricanes, but socioeconomic vulnerabilities such as poverty and poor social network support can aggravate vulnerability no matter the hazard. Key to adaptation and development policy, the IPCC also notes that there is *high agreement* and *robust evidence* that high vulnerability and exposure are mainly an outcome of “skewed development processes, including...environmental mismanagement, demographic changes, rapid and unplanned urbanization, failed governance, and scarcity of livelihood options for the poor” (IPCC, 2012). Ecosystem vulnerabilities, such as ocean acidification or new plant disease vectors, may be linked to socio-economic vulnerabilities.

Quality 1 Description

This quality asks whether the existing vulnerability and impacts assessment includes socioeconomic and political drivers of vulnerability – issues of wealth and credit access, governance, social stratification, gender impacts, etc. An interview with an expert could go a long way to helping to critique the degree to which the government has included this in the assessment.

Findings:

Quality 2 Description

² C.B. Field, V. Barros, T.F. Stocker, Q. Dahe, D.J. Dokken, K.L. Ebi, M.D. Mastrandrea, K.J. Mach, G.-K. Plattner, S.K. Allen, M. Tignor, P.M. Midgley, *Managing the risks of extreme events and disasters to advance climate change adaptation: Special Report of the Intergovernmental Panel on Climate Change*, IPCC (Cambridge University Press, 2012) 582 pp.

Assess whether or not the methods for assessing both impacts and vulnerability are made transparent – publicly available, appropriately disseminated, and understandable.
Findings:

Quality 3 Description

<p>A vulnerability assessment that does not involve representatives of different stakeholder groups may overlook key vulnerabilities and impacts or may fail to consider who or what might be impacted. It may also miss opportunities to gather key information or improve implementation.</p> <p>Consider key organizations, individuals, and government offices that should be involved in adaptation decisions for the national level. This will differ from country to country. These may include:</p> <ul style="list-style-type: none"> • Provincial-level governments • Representatives of local governments and tribal governments or indigenous organizations • NGOs • Key industries • Members of the scientific community
Findings:

Quality 4 Description

<p>This indicator assesses whether the existing V&I assessment takes into account local and sub-national assessments that have already been completed or are underway. These assessments and activities could provide a cost-effective means of integrating local and rural voices and may help to correct for a bias towards large infrastructure projects where other types of intervention may be necessary.</p>
Findings:

Quality 5 Description

A national vulnerability and impacts assessment should consult with stakeholder groups,

local governments and experts from different regions and sectors across the country to ensure that the product is thorough, considers how impacts may be interrelated, and lays a path for comprehensive adaptation planning.

Findings:

Quality 6 Description

Evaluate whether the assessment(s) include impacts based on current climate modeling predictions on exposure to climate impacts and whether these are up to date and consistent with widely-used forecasts. In the case of multiple subnational assessments, check for consistency in forecasts used.

Findings:

WORKSHEET 1B: INVENTORY OF ONGOING ADAPTATION EFFORTS

Indicator	Is there an inventory of existing adaptation efforts nationally? If not, and only subnational or sectoral inventories exist, review these using a worksheet for each inventory. (If not, explain that there is not, mark “N/A” in the qualities table and move to next worksheet.)
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Brief Summary of existing inventory(ies)

Inventory created by	Government	NGO/Community	Academic Institution	Industry	Other
Name					

Research Guidelines

This indicator assesses whether there is a national inventory of ongoing efforts at adaptation at any level within the country. Without an institutional history of mistakes, successful projects, and ongoing projects and programs, planning may run the risk neglecting previous lessons learned. For example, many countries will already have programs to extend drought-resistant crops, improve emergency warning systems, and to prevent flooding.

Recommended Research Methods and Sources

Legal Research	Research Documents	Interviews
None	Consult the existing V&I assessment(s) for citations of ongoing assessments and work on adaptation at the sub-national and local levels. Alternately, this may be located elsewhere, in sector level planning or industry-level documents.	Interview an official to find out the extent that ongoing assessments and adaptation efforts are being integrated into national assessments and adaptation plans.

Documenting sources/Citation

Be sure to include the **name and organization** of the researcher and the **document title, author(s), chapter, page, publishers and url** for any research document. Interviews should include **name and title** (unless interviewed “not for affiliation), **agency, date, and location of interview**. *WRI uses Chicago style citation:*

http://www.chicagomanualofstyle.org/tools_citationguide.html

WORKSHEET 1C: ASSESSMENT INSTITUTION

Indicator	An institution (or institutions) has/have a mandate to produce a vulnerability and impacts assessment and/or a national inventory of adaptation efforts iteratively over time. (If not, explain that there is not, mark “N/A” on the qualities table) and move to next worksheet.)
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Brief Summary of existing institution(s)

Qualities of the indicator	Yes	Limited	No	n/a
1. The mandated institution reports to an appropriate authority. (Accountability & Enforcement)				
2. The mandated institution coordinates appropriately with other institutions and stakeholders. (Accountability & Enforcement)				
3. Sufficient budget is provided for ongoing assessments. (Capacity)				
4. Staff carrying out assessment has sufficient skill and knowledge. (Capacity)				

Research Guidelines

This indicator measures whether there is a body or organization tasked with reviewing and revising the assessment over time to incorporate new information and lessons learned.

Recommended Research Methods and Sources

Legal Research	Research Documents	Interviews
General: Are there legal requirements, administrative guidelines, or rules that require an institution to produce a vulnerability and impacts assessment and a national	General: N/A	General: N/A

inventory of adaptation over time?		
Q1. Are there legal requirements, administrative guidelines, or rules that require the presentation of the vulnerability and impacts assessment and the inventory of adaptation efforts to national authorities?	Q1. N/A	Q1. Interview a knowledgeable representative from an agency participating in the assessment to see if there is upward accountability.
Q2. N/A	Q2. N/A	Q2. Interview 2-3 representatives from implementing agencies or ministries to determine whether coordination is occurring in practice (will likely need to not attribute sources for interviews).
Q3. N/A	Q3. Assess whether the documents were produced and where funding came from.	Q3. Interview an official involved in the assessment and/or the inventory in order to assess whether they had a sufficient budget to complete the assessment and inventory.
Q4. N/A	Q4. Briefly review the qualifications of lead staff and supporting staff in the responsible agencies.	Q4. Interview at least 1 independent scientist or an academic who has reviewed the qualifications of members of the national assessment team.

Documenting sources/Citation

Be sure to include the **name and organization** of the researcher and the **document title, author(s), chapter, page, publishers and url** for any research document. Interviews should include **name and title** (unless interviewed “not for affiliation), **agency, date, and location of interview**. *WRI uses Chicago style citation:*

http://www.chicagomanualofstyle.org/tools_citationguide.html

Quality 1 Description

This indicator assesses whether there is a strong line of accountability for producing a report on adaptation in vulnerability. Researchers are encouraged to consider whether a vulnerability and impacts assessment is presented to an authoritative body within the government. In some countries, this would mean a president’s office or an agency head, while in others this would be a sufficiently powerful representative body such as a parliament or congress. Ensuring that the results reach decision-makers has the effect of legitimizing concerns of climate change adaptation and creating political ownership of policies.

Findings:

Quality 2 Description

This indicator assesses whether the institution in charge of preparing the vulnerabilities and impacts assessment has coordinated its efforts with other relevant agencies and institutions. For example, one agency may be expanding solar power to reduce dependence on increasingly unreliable hydropower, but has done so without consulting the ministry responsible for regulating impacts on wildlife. Meanwhile the ministry of wildlife is working to ensure adaptation to protect biodiversity. The two agencies may be working at cross-purposes rather than collaborating to minimize impacts and maximize adaptation.

Findings:

Quality 3 Description

This indicator assesses whether there are sufficient and reliable financial resources to review, revise, and update the national assessment and inventory of adaptation efforts.

Findings:

Quality 4 Description

The process of developing an inventory of existing adaptation efforts requires the involvement of officials, communities and individuals from multiple parts of society. Staff involved with conducting a national vulnerability and impacts assessment must be able to understand the biological, economic and social elements of climate impacts and vulnerability.

Findings:

2. PRIORITIZATION

WORKSHEET 2A: ESTABLISHMENT OF PRIORITIES

Indicator	There is a process for identification of priority populations, geographies, or sectors for adaptation in the country. If multiple processes exist in different institutions, describe the process (or lack of) coordination and integration of priorities. (If none exist, explain that there is not, mark “N/A” on qualities table and move to next worksheet.)
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Brief Summary of Process, if it exists

Prioritization(s) made by	Government	NGO/ Community	Academic Institution	Industry	Other
Name					

Priorities	Geographies	Populations	Sectors	Ecosystems	Infrastructure	Agencies
Specify						

Qualities of the indicator	Yes	Limited	No	n/a
1. Identification of priorities considers critical sectors, geographic regions, vulnerable populations, ecosystems, and infrastructure. (Comprehensiveness)				
2. Process for identification of priorities is transparent and publicly available. (Transparency & Participation)				
3. Broad set of stakeholders were engaged in identification process– including vulnerable and marginalized groups – in order to assure that priorities are informed by a broad range of perspectives. (Transparency & Participation)				
4. Institutional needs are identified in relevant general planning documents, such as sectoral strategies or regional development plans. (Comprehensiveness)				
5. Prioritization uses cost-benefit analysis that is stakeholder-driven. (Capacity/Transparency and				

Participation)				
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Research Guidelines

Policy-makers will identify priority projects or key sectors, regions, or populations vulnerable to climate change. This indicator seeks to identify some documentation of such a decision-making process.

Note the level of detail and ability of the plan to be implemented. For example, is the prioritization document a list of projects, or a list of key industries or impacts? If it is the latter, does it include an implementation plan with major program and project components included? While the desirability of each format will vary between depending on the particular sector, it is important to note the level of specificity in each. If there are multiple prioritization processes, determine, through interviews, the extent of coordination and integration of the processes. (i.e. are they mutually reinforcing and complementary or redundant and contradictory?)

Recommended Research Methods and Sources

Legal Research	Research Documents	Interviews
General: N/A	General: Identify any record of prioritization. This may include specific plans, laws, or approved budgets.	General: In the absence of clear documentation of consideration of priorities, interview at least 1 individual involved in the decision-making process to identify whether there was a broad consideration of potential priorities before arriving at a final decision.
Q1. (Optional) Some countries have a requirement to consider a minimum set of factors beyond impacts. In such cases, document the legal requirements for consideration of multiple priorities as prescribed by the law. This may be in a national climate change law or it might be in a specific guideline or policy for a particular agency.	Q1. Review documents prepared by the responsible institution(s) to establish priorities in the key area. Assess the extent to which the documents available inform the reader of the priority areas considered before the final decision was made.	Q1. In the absence of clear documentation of consideration of priorities, interview at least 1 individual involved in the decision-making process to identify whether there was a broad consideration of potential priorities before arriving at a final decision.
Q2. N/A	Q2. Find the consultation documents and the final	Q2.N/A

	prioritization. Note whether the document is available on the internet free of charge and is easily found by a non-specialist.	
Q3. Are there legal requirements, administrative guidelines, or rules that require consultation broadly or with certain groups on development of priorities? If there are no such requirements for adaptation specifically, are there such requirements generally? Are they often invoked or carried out by the agency?	Q3. Find the consultation documents and the final prioritization. Note whether the prioritization document identifies the groups consulted in establishment of priorities. If the prioritization is multi-sectoral or multi level, identify whether such documents are available from the various agencies.	Q3. Interview individuals involved in the establishment of priorities for the country to find out how many and what type of consultation took place
Q4. (Optional) Are there legal requirements, administrative guidelines, or rules that require or support identification of institutional needs in the prioritization process. (Ex. Capacity building for sub-national governments or NGOs, etc.)	Q4. Consult the existing prioritization document or supporting action plans for identification of institutional needs.	Q4. (Optional) In the absence of identification of needs, ask an individual involved in the prioritization process for the relevant documents or what the existing process for identification of institutional needs is, if any.
Q5. Review whether stakeholder-driven cost-benefit analyses are required in prioritization processes .	Q5. Review prioritization documents for methods used.	Q5. (Optional) Interview 1 person involved in prioritization process to understand if cost-benefit analysis was employed in prioritization and what stakeholders were involved.

Documenting sources/Citation

Be sure to include the **name and organization** of the researcher and the **document title, author(s), chapter, page, publishers and url** for any research document. Interviews should include **name and title** (unless interviewed “not for affiliation), **agency, date, and location of interview**. *WRI uses Chicago style citation:*

http://www.chicagomanualofstyle.org/tools_citationguide.html

Quality 1 Description

This indicator assesses whether the prioritization process has considered a wide range of areas for assessment, beyond merely prioritizing impacts.

Prioritization may often begin by focusing on direct impacts, but may miss out on key aspects of needs for adaptation in doing so. Consideration of other approaches is critical to

<p>responsive planning. A national process may consider:</p> <ul style="list-style-type: none"> - critical sectors of the economy within the country (for example, a major industry or subsistence farming) - geographical regions (e.g. a highly variable watershed, coral reef areas) - particularly vulnerable populations (for example, indigenous populations, the isolated elderly, etc.) - ecosystems that provide important habitat or environmental services infrastructure (e.g. rural roads or communication infrastructure)
<p>Findings:</p>

Quality 2 Description

<p>This indicator assesses whether there is a transparent and well-publicized process and documentation of the prioritization process.</p> <p>At a minimum the prioritization document and the documents on the process for prioritization should be (1) publicized, (2) available at no cost, and (3) sufficiently understandable by members of the public.</p> <p>Are there legal requirements, administrative guidelines, or rules that require publication and dissemination of:</p> <ol style="list-style-type: none"> 1) proposed priorities? 2) the structure of the decision-making process? 3) opportunities to participate in the decision-making process? 4) the final results of the prioritization process?
<p>Findings:</p>

Quality 3 Description

<p>Members of the public should be involved in the establishment of priority projects and programs. This contributes to the legitimacy, accountability, enforceability, and relevance of the established priorities. Best stakeholder engagement processes will vary based on the location of the prioritization decision-making. In order for meaningful participation to occur, the the public should be informed ahead of time through appropriate channels. Participation should be low-cost, occurring at times in which stakeholders can be reasonably expected to be able to participate.</p>
<p>Findings:</p>

Quality 4 Description

This indicator measures whether adaptation-planning documents describe the specific capacities public and private institutions will need in order to carry out adaptation activities.

In a number of countries, areas have been identified as priorities for adaptation activities, but the specific activities and the responsible institutions have not been spelled out either in the decision documents or in supporting documents (such as action plans, budgets, or appropriations).

Researchers should seek to identify where institutional needs for carrying out adaptation priorities are identified. In cases where such documents are underway, identify the process used for identification of institutional needs and assess whether this process will address the needed mandates, funding, and abilities such institutions will need.

Findings:

Quality 5 Description

Decision-makers need to evaluate the costs and benefits of potential adaptation actions over time. Without understanding what the tradeoffs are between different actions, it is difficult to make good decisions with limited resources. However, valuation that considers ecosystem services, cultural valuations and social impacts is critical. Equity issues may arise if valuation focuses on assets to the detriment of communities and livelihoods.

Findings:

WORKSHEET 2B: BUDGET PROCESSES

Indicator	Budgetary processes exist to channel finance to adaptation institutions. (If not, explain that is the case, indicate “N/A” in the qualities table and move to the next worksheet)
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Brief summary of processes, if they exist

Budget set by	Government	NGO/Community	Academic Institution	Industry	Other
Institution Name					

Priorities in planning documents (list major items)	Reflected in budget? (y/n)
1.	
2.	
3.	
4.	
5.	

Qualities of the indicator	Yes	Limited	No	n/a
1. Alignment: Budgetary priorities reflect priorities for adaptation described in strategic documents. (Comprehensiveness)				
2. Cohesiveness and efficiency: Budgetary institutions effectively appropriate funding from central budgets to priority programs, projects, and sectors. (Comprehensiveness)				
3. Harmonization: Budgetary institutions are able to centralize international finance to promote alignment and harmonization. (Comprehensiveness)				
4. Budgetary processes meet international standards for transparency and participation. (Transparency and				

Participation)				
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Research Guidelines

This indicator assesses whether national budgeting and appropriations sufficiently meet the demands for priority adaptation programs and projects, and whether these processes are harmonized and transparent. Transparency in budgeting process allows members of the public and officials advocating for action on climate change adaptation to push for adequate funding for adaptation activities.

Recommended Research Methods and Sources

Legal Research	Research Documents	Interviews
General: Review official budgets and the process for making budgetary processes transparent in a timely manner.	General: Find the budget and identify whether the projects and programs described in the prioritization are currently be funded	General NA
Q1. NA	Q1. Evaluate the priorities laid out in the relevant adaptation plans and compare these to the approved budget(s) for the most recent fiscal year.	Q1. Interview 1-3 relevant agency personnel anonymously or an independent third-party expert to determine the extent to which priorities are being reflected in budget.
Q2. NA	Q2. See above	Q2. See above
Q3. NA	Q3. Refer to relevant documents on harmonization of finance, including OECD-DAC's website on Paris Principles for Aid Effectiveness, and your own country's budget documents.	Q3. See above, as necessary.
Q4. Review transparency standards for budgeting at major steps in the process. This may include parliamentary rules on appropriations and oversight.	Q4. Identify and review evidence of budgets being released to public.	Q4. (Optional) Interview 1 representative from stakeholder watchdog group and 1 agency personnel to verify transparency and participation

Documenting sources/Citation

Be sure to include the **name and organization** of the researcher and the **document title, author(s), chapter, page, publishers and url** for any research document. Interviews should include **name and title** (unless interviewed "not for affiliation), **agency, date, and location of**

interview. *WRI uses Chicago style citation:*
http://www.chicagomanualofstyle.org/tools_citationguide.html

Quality 1 Description

Budgetary priorities should reflect priorities for adaptation described in strategic documents. It is critical that budgets reflect the adaptation priorities laid out by key institutions in the priority area. Countries often face two challenges: that of donor-driven “drift” and fragmentation or overlapping of priorities. Such issues may result in a lack of country-level ownership and reduce the chance of successful implementation. For that reason, budgets, as much as possible, should reflect sector-wide priorities already established.

Findings:

Quality 2 Description

Budgetary institutions effectively channel finance from central budgets to priority programs, projects, and sectors.

In some countries, there may be perfect alignment between agencies or ministries, but the agency or ministry in charge of disbursement of finance may not disburse funding at the rate that is necessary for effective implementation. Such problems can result in unpredictable finance, wasteful spending due to cramped budget cycles, or rededication of finance to non-priority areas.

Findings:

Quality 3 Description

Budgetary institutions are able to centralize international finance to promote alignment and harmonization.

Findings:

Quality 4 Description

Budgetary processes meet international standards for transparency and participation. In many countries, budgets at the national level do not meet an appropriate degree of transparency, clarity, standardization, or usefulness.

The International Budget Project (IBP) has set forward guidance on best practices for integrating transparency and participation throughout the budget cycle including:

- **Formulation**—when the executive branch puts together the budget plan
- **Approval**—when the legislature debates, alters (if it has the power to do so), and

approves the budget plan

- **Execution (implementation, monitoring, and control)**—when the government implements the policies in the budget
- **Oversight (auditing and legislative assessment)**—when the national audit institution and the legislature account for and assess the expenditures made under the budget

More details can be found here: <http://internationalbudget.org/>

It is possible that an IBP assessment already exists for your country which can shed some light on central, national level processes. Within a given sector, however, researchers should find budget proposals, *with justifications* for major items which are submitted by individual ministries to the central budget proposal made by the executive. Additionally, members of the public should have access to the final budget approved by the parliament or an equivalent budgeting body.

Findings:

WORKSHEET 2C: PRIORITIZATION INSTITUTIONS

Indicator	A time period and process have been set for revisiting priorities set forth in official prioritization decisions. (If not, mark “N/A” in qualities table, explain that there is not and then skip to next worksheet.)
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Brief summary of process, if it exists

Qualities of the indicator	Yes	Limited	No	n/a
1. The mandated institution reports to an appropriate authority. (Accountability & Enforcement)				
2. The mandated institution coordinates appropriately with other institutions. (Accountability & Enforcement)				
3. Decisions made in prioritization documents can be enforced by officials and members of the public. (Accountability & Enforcement)				
4. Resources have been allocated to support needed changes. (Capacity)				

Research Guidelines

This indicator measures whether there is a body or organization tasked with reviewing and updating the adaptation priorities with an established process for reviewing priorities. Because of heightened variability and uncertainty, decision-making for climate change adaptation should be responsive, proactive, flexible, durable and robust (WRI 2011). To cope with uncertainty and build flexibility, adaptation priorities should be revisited by integrating new information and making adjustments to priorities through a stakeholder-driven process.

There should be a body responsible for establishing adaptation priorities in the country, or at least in relevant policy areas. Such a body may be governmental, non-governmental, or a hybrid (ex. quasi-governmental think tank). In the strongest situations, such an organization will have a legal mandate to establish priorities. In cases where the assessment is non-governmental, the mandate might be to ensure that advisory documents are regularly prepared and submitted to the appropriate institutions.

Ideally, such an institution would revisit priorities on a periodic basis. In some cases, there might be an ongoing process, whereas in others, it would be annual, perhaps in conjunction with budget processes. In many, it will be over a regular period, such as every five years, or

annually. Partners should use judgment in deciding whether the frequency of assessments is sufficient.

Recommended Research Methods and Sources

Legal Research	Research Documents	Interviews
General: Review existing laws, administrative guidelines, or rules that require the integration an institution to review and revise priorities in your chosen policy area. Identify timelines for this process in the law.	N/A	N/A
Q1. Are there legal requirements, administrative guidelines, or rules that require the presentation of the national prioritization documents to sufficiently responsible and democratic authorities?	N/A	N/A
Q2. Review laws, regulations, and guidelines for approval of documents with coordinating agencies and other levels of government.	Q2. Review existing prioritization documents for coordination with other agencies. This may include co-authorship by major agencies or may include official endorsements or letters of approval attached to official decisions.	(Optional) Interview at least one relevant agency representative to assess level of coordination.
Q3. Review relevant laws (climate change law, administrative procedures act, etc.) and precedents authorizing administrative review procedures, judicial review, and citizen suit. Identify any restriction to standing in relevant laws (climate change law, legal precedent, or judicial organic acts) and identify disincentives to participate	N/A	N/A

in the same laws.		
N/A	Q4. Review the national budget or appropriations. If the budget is primarily at the sub-national level, identify where this might be. Alternatively, review budget for 3 priority areas.	Q4. (Optional) Interview officials from agencies responsible for implementation of agency plans

Documenting sources/Citation

Be sure to include the **name and organization** of the researcher and the **document title, author(s), chapter, page, publishers and url** for any research document. Interviews should include **name and title** (unless interviewed “not for affiliation), **agency, date, and location of interview**. *WRI uses Chicago style citation:*
http://www.chicagomanualofstyle.org/tools_citationguide.html

Quality 1 Description

<p>This indicator assesses whether the institution responsible is accountable to an authority (such as a parliament or executive office).</p> <p>Lines of “upward” accountability ensure that established adaptation priorities have sufficient political clout and democratic legitimacy to be implemented. Examples of such accountability include submission by the prioritizing body of priorities to the parliament or the president’s office for approval.</p> <p>In assessing the degree to which an institution should be upwardly accountable, researchers will need to decide whether an appropriate balance has been struck between the need for accountability and the need for autonomy.</p>
<p>Findings:</p>

Quality 2 Description

<p>Institution or institutions responsible for prioritization will need to ensure that there is ownership and input from other institutions that will be responsible for adaptation planning and implementation.</p> <p>Examine the priorities established in adaptation prioritization documents for the country (if these exist). Identify whether the agencies relevant to major priorities have been identified, consulted, and agreed to coordination or shared priorities.</p> <p>In some countries, this will mean that such agencies have been explicitly delegated particular responsibilities (ex. Forest adaptation may go to a minister of forests) and in others, this means that such agencies have approved sectoral adaptation plans.</p>

Findings:

Quality 3 Description

This indicator assesses whether officials and members of the public can review decisions for priorities.

First, they may challenge procedural elements of prioritization. For example, if a climate change law requires a minimum of transparency or participation (or a broader law requiring adaptation such as an notice and comment rule) and this has not been met, members of the public or interested agencies should be able enforce such rules through legal means. In other cases, there may be an obligation for certain entities (such as a local government) to make a water conservation plan.

Second, they may call for review of decisions, actions, and failure to act. If an institution prioritizes an action for climate change adaptation, but fails to implement it, or carries out maladaptive actions contrary to law and established priorities, then interested parties may be able to bring suit to courts or tribunals to enforce such priorities.

Standing to challenge and review enforcement of such priorities should be broad, with a minimum of obstacles of cost and risk for affected communities.

Findings:

Quality 4 Description

This indicator assesses whether sufficient resources have been allocated to the various institutions responsible for instituting policies for adaptation.

For purposes of rapid analysis, researchers can review the national budget, a ministerial budget, or appropriations for activities identified in the prioritization documents. In cases where such analysis might be cumbersome, researchers can interview members of select agencies tasked with implementation whether sufficient funding has been allotted to the agency to implement priorities. However, if at all possible, this should be balanced against the perspective of an independent expert outside the government.

Findings:

3. COORDINATION

WORKSHEET 3A: COORDINATION NEEDS IDENTIFICATION

Indicator	Coordination needs for effective adaptation have been identified for key sectors, services and activities and have been made publicly available. (If not, Indicate “N/A” in the table below and move on to the next worksheet.)
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Brief summary of document, if it exists

Coordination needs identified by	Government	NGO/Community	Academic Institution	Industry	Other
Institution Name					

Main coordination needs (list)

Qualities of the indicator	Yes	Limited	No	n/a
1. Vertical coordination needs have been considered and are described in a publicly available document. (Comprehensiveness and transparency and participation)				
2. Coordination needs across sectors and ministries have been considered and are described in a publicly available document. (Comprehensiveness and transparency and participation)				

Research Guidelines

This indicator assesses whether planning documents identify the areas where multiple agencies/organizations) need to coordinate and the types of coordination needed (information sharing, shared funding, program cooperation).

Many, if not most, adaptation actions will require coordination across agencies, sectors (civil society, government, and the private sector), and and/or levels of government. In some cases, adaptation activities will cross jurisdictions, as is often the case with watershed

management, for example.

Coordination needs may vary. Some systems will only need to carry out information sharing, while others will find it necessary to share resources or carry out joint programs and projects.

Coordination may also require “sign off” of one agency plans and programs by another. This may occur at the project or program level. For example, the geologic service may need to review the plans of the agency responsible for permitting dams and levies to ensure that, given greater water flow variability, seismic considerations in construction are still sufficient.

Recommended Research Methods and Sources

Legal Research	Research Documents	Interviews
General: (Optional) If coordination documents for adaptation planning are legal in nature, review requirements of law(s), guidelines, or rules on adaptation for requirements on development of interagency, intersectoral, and multilevel planning within or affecting the country.	General: Review recommendations for interagency, intersectoral, and multilevel planning in documents relevant to coordination mechanism, if they have been written.	N/A
Q1. Determine whether there are legal requirements, administrative guidelines, or protocols that require a process to determine coordination needs at different levels of government.	Q1. Review publicly available documentation of vertical coordination needs.	(Optional) Interview relevant agency representative to determine whether coordination decisions have been made, but not made publicly available
Q2. Determine whether there are legal requirements, administrative guidelines, or protocols that require a process to determine coordination needs across sectors or ministries.	Q2. Review publicly available documentation of coordination needs across sectors or ministries.	N/A

Documenting sources/Citation

Be sure to include the **name and organization** of the researcher and the **document title, author(s), chapter, page, publishers and url** for any research document. Interviews should include **name and title** (unless interviewed “not for affiliation), **agency, date, and location of interview**. *WRI uses Chicago style citation:*

http://www.chicagomanualofstyle.org/tools_citationguide.html

Quality 1 Description

There is publicly available documentation describing the vertical coordination needs to effectively implement adaptation options. Vertical coordination refers to coordination mechanisms between national and subnational governmental agencies. It can include interagency or intraagency coordination.

Coordination documentation should be (1) publicized, (2) available at no cost, and (3) sufficiently understandable by affected members of the public.

For example, if a coordinated plan has been set out by the government for adaptation to climate change in the coffee export sector, small-scale and large-scale farmers, transport owners, and export owners should have access to any major planning documents.

Findings:

Quality 2 Description

There is publicly available documentation describing the horizontal coordination needs (across sectors, regions or ministries) needed for successful adaptation planning and implementation. Adaptation planning for water conservation, vulnerable community disaster planning and climate proofing infrastructure is likely to require coordination across agencies, regions and sectors. Horizontal can decrease the likelihood of overlooked actions, increase efficiency and leverage knowledge and financing towards integrated adaptation problem solving

Findings:

WORKSHEET 3B: COORDINATION INSTITUTION

Indicator	There is an established, authoritative, coordinating body or council tasked with adaptation coordination. (If not, explain that there is not, mark “N/A” on the qualities table below and move to the next worksheet.)
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Brief summary of body, if it exists

Coordination organized by:	Government	NGO/Community	Academic Institution	Industry	Other
Institution Name					

Qualities of the indicator	Yes	Limited	No	n/a
1. The coordination body has a clear mandate and reports to an appropriate authority. (Accountability and Enforcement)				
2. Sufficient resources have been appropriated for coordination activities. (Capacity)				
3. Coordination body has appropriate membership and skill sets. (Capacity)				
4. There is a system for monitoring and review of the coordination process. (Accountability and Enforcement)				
5. Officials and members of the public have mechanisms to ensure that actions for coordination have been undertaken. (Accountability & Enforcement)				

Research Guidelines

Description	<p>This indicator reviews the institutional design of the coordinating body to assess its capacity to carry out its functions effectively.</p> <p>Within each country, many different agencies, private sector actors, and levels of government may be engaged in coordination. For example, the agency responsible for human health may be in charge of directing other agencies, whereas the agency in charge of human settlements may be able to exercise a veto on building plans that sit in a 100-year flood plain. On the other hand, a multi-stakeholder process with government and members of a sensitive industry may direct multi-sector approaches to adaptation.</p> <p>Different political systems will require different models of coordination. For this reason, deciding how “authoritative” an authoritative body must be will be the responsibility of researchers. Some systems have a great deal of autonomy in many institutions and a history of collaboration and coordination. In others, there will need to be more explicit about aligning goals and directing shared resources.</p> <p>The stronger a legal mandate an organization has, the better a chance it has of being able to implement its decisions and being held accountable.</p>
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Recommended Research Methods and Sources

Legal Research	Research Documents	Interviews
Review existing laws, administrative guidelines, or rules that require the integration an institution to review, revise, and implement country adaptation coordination strategies.	N/A	N/A
Q1. Consult laws, guidelines, and rules for the body to identify what powers it has to incentivize coordination between agencies, sectors, and levels of government.	Q1. Find any documentation (online or otherwise) that clearly defines the coordinating body’s mandate, how it was created, and to whom it reports.	Q1. N/A
Q2. N/A	Q2. Identify the budget for the coordination body.	Q2. (Optional) Interview officials from agencies responsible for implementation of coordination to gain perspective on funding levels.

Q3. Review laws, guidelines, and rules as to the quorum and make-up of the prioritization body.	Q3. Review documentation of prioritization institution’s membership rules and member qualifications (e.g., CVs or appointment proceedings)	Q3. N/A
Q4. Review administrative rules, guidelines and procedures requiring the periodic monitoring and review of the coordination mechanism	Q4. Determine whether there are publicly available reports on the results of monitoring and review—either from internal sources or external groups.	Q4. N/A
Q5. Review relevant laws (climate change law, administrative procedures act, etc.) and precedents authorizing administrative review procedures, judicial review, and citizen suit. Identify any restriction to standing in relevant laws (climate change law, legal precedent, or judicial organic acts) and analyze the same laws to identify disincentives to participate.	N/A	N/A

Documenting sources/Citation

Be sure to include the **name and organization** of the researcher and the **document title, author(s), chapter, page, publishers and url** for any research document. Interviews should include **name and title** (unless interviewed “not for affiliation), **agency, date, and location of interview**. *WRI uses Chicago style citation:*

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Quality 1 Description

The starting point for a either a new body or an existing body with an amended mission is a clear mandate with an accountability mechanism. If the coordinating body is an existing agency with other responsibilities, coordination may be deprioritized without a clear line of accountability. A new body will likely lose momentum without a mandate or accountability.

Findings:

Quality 2 Description

A coordination body with no budget would not be likely to survive or be able to provide incentives for cooperation. At a minimum, the coordination body needs money to hold meetings. Ideally, it would be able to pay the salaries of full-time members and to have a budget dedicated to creating incentives for interagency cooperation.

Findings:

Quality 3 Description

Who sits on a coordination body will determine its success. A coordination body will need to have an appropriate composition, which may include high level officials, members of civil society, representatives from various sectors, and representatives from subnational governments. These individuals should be competent in identifying needs and prioritizing among those needs. Ideally, members' qualifications and backgrounds should be made public.

Researchers can use their judgment as to whether such qualifications are adequate, as the level of expertise available in each country may vary. Alternately, expertise may not be the primary qualification for a coordinating institution. Other values such as political clout, public legitimacy, or representativeness may also be important.

Findings:

Quality 4 Description

Periodic monitoring and review ensures that initiatives are performing as expected, that there are no unintended consequences, and that funding, staffing and accountability is sufficient. It is not a failure if adjustments have to be made, but without a system of monitoring and review, there is no way to account for performance and effectiveness.

Findings:

Quality 5 Description

"Downward accountability", or the accountability of an institution to the people it serves, starts with providing access to information on the coordination mechanism, membership and activities. If the coordinating body is not fulfilling its mandate, civil society members should be able to petition or participate meaningfully to advocate for change.

Failure to respond in situations of climate change adaptation can result in loss of life or livelihood. In such cases, it is essential that liability for negligence in decision-making can be

established. Cases of weak “answerability” of officials are, to a certain degree inevitable, but clear coordination and delegation of responsibilities at the highest levels can serve to minimize finger pointing and evasion of blame.

Standing to challenge and review enforcement of sector level priorities should be broad, with a minimum of obstacles of cost and risk for affected communities.

Findings:

WORKSHEET 3C: COORDINATION OVERSIGHT INSTITUTION

Indicator	To what extent is the coordinating body functioning effectively? (If there is no coordinating body, mark "N/A" in qualities table and move to next worksheet)
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Brief summary of process, if it exists

Coordination organized by:	Government	NGO/Community	Academic Institution	Industry	Other
Institution Name					

Qualities of the indicator	Yes	Limited	No	n/a
1. The coordinating body meets with enough regularity to effectively maintain coordination. (Capacity)				
2. Findings from coordination reviews are adopted by relevant agencies. (Capacity)				
3. Coordinating body participants indicate that coordination has and continues to improve. (Capacity)				

Research Guidelines

This indicator measures the effectiveness of the coordinating body. Measuring the qualities of this indicator will very likely require interviewing members of the coordinating body or those closely involved, if at all possible.

Recommended Research Methods and Sources

Legal Research	Research Documents	Interviews
N/A	N/A	N/A

Q1. N/A	Q1. Review any available reports or minutes of coordination meetings.	Q1. Interview 2-3 representatives of coordinating body members to see if the coordination processes if meetings are scheduled.
Q2. N/A	Q2. N/A	Q2. Interview 2-3 members of the coordinating committee to gather examples of decisions that were adopted by participating organizations
Q3. N/A.	Q3. N/A	Q3. Interview 2-3 coordination body members “not for affiliation” to attempt to gain candid insight into success of coordination efforts.

Documenting sources/Citation

Be sure to include the **name and organization** of the researcher and the **document title, author(s), chapter, page, publishers and url** for any research document. Interviews should include **name and title** (unless interviewed “not for affiliation), **agency, date, and location of interview**. *WRI uses Chicago style citation:*

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Quality 1 Description

Is the coordinating body active? Is there an incentive and/or accountability system to ensure that meetings (at reasonable intervals) continue?

Findings:

Quality 2 Description

Has the coordinating body made recommendations to agencies to improve coordination and if so, is there proof that they were adopted?

Findings:

Quality 3 Description

In an interview where the source will be referred to anonymously, what is the overall perception of participating members on the effectiveness of the coordination body?

Findings:

4. INFORMATION MANAGEMENT

WORKSHEET 4A: DATA GATHERING

Indicator	There are systems for collecting and maintaining climate change adaptation-relevant data for the country. (If not, mark “N/A” in the qualities table and move to next worksheet.)
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Brief summary of systems, if they exist

Information Category	Major types of data needed	Has it been gathered	Who gathers? (Institution)	Link
Climate observation				
Demographic information				
Environmental information				
Local/indigenous knowledge				
Other				

Qualities of the indicator	Yes	Limited	No	n/a
1. Climate observation/monitoring systems are regularly maintained and updated with relevant data. (Comprehensiveness)				
2. Demographic information systems relevant to climate change are regularly maintained and updated as needed, including forecasts where possible. (Comprehensiveness)				
3. Environmental monitoring/observation systems are regularly maintained and updated as is relevant, including forecasts where possible. (Comprehensiveness)				

4. Methods for data gathering are made transparent and publicly available. (Transparency & Participation)				
5. Data is publicly available in raw form. (Transparency and Participation)				
6. Traditional and/or local climate knowledge and observations are gathered. (Transparency and Participation)				

Research Guidelines

In order to carry out basic planning for adaptation, it will be necessary to maintain key data sets. For this indicator, it is critical to analyze each individual component in the “Qualities” section as it is relevant to this sector. For the “Findings” section, enter a summary text about the general quality of data gathering for adaptation. You will need to identify which systems (water, weather, crop yields, etc.) need to be monitored most closely.

Recommended Research Methods and Sources

Legal Research	Research Documents	Interviews
N/A	N/A	N/A
N/A	Q1. Review documents prepared by the responsible organization. Examine regular reports on climatic and weather conditions issued to identify whether information relevant to the priority sector has been collected.	Q1. Interview one key official from a relevant agency, civil society organization, or private sector actor and inquire about: the type of information collected, the regularity of the collection, the accuracy of the information, for how long the information has been collected and available, and the specificity of the data. (Optional) Corroborate with an interview from a non-governmental scientist.
Q2. (Optional) Consult laws that are relevant for climate change adaptation or for the ministries of health, human settlements or the census.	Q2. Examine regularly published statistics of relevance to adaptation. Some of these may be published by NGOs, while others may be official or released by private sector organizations.	Q2. (Optional) Interview one key official from relevant agencies, NGOs, or industry groups and inquire about the mandate, the type of information collected, the regularity of the collection, the accuracy of the information, for how long the information has been collected and available, and the specificity of the data. (Optional) Corroborate with an interview from a non-

		governmental scientist.
Q3. (Optional) Examine laws relating to the environment and natural resources such as rivers, lakes and protection of species and forest laws. Examine the mandate and identify institutions that are required to collect key environmental information relating to forests, wildlife, water resources, air and land. Examine if the mandate requires the agency to collect and disseminate that data.	Q3. Review annual reports and other reports published by the identified agencies, organizations, industries, or sectors. Check if the needed data is being collected and reported.	Q3. (Optional) If you are unable to locate reports, interview one key official from each identified agency or organization to inquire about the mandate, the type of information collected, the regularity of the collection, the accuracy of the information, for how long the information has been collected and available, and the specificity of the data.
Q4. NA	Q4. Check the website of the relevant agencies or organization. Review documents prepared by the responsible agency to see if the collection methods are revealed. Assess the extent to which the documents available inform the public of the various methods used for data collection.	Q4. (Optional) Interview at least 1 representative of the responsible government agency or organization and verify if the methods for data collection are made available to the public and other scientists and peers.
Q5. (Optional) Consult Freedom of Information Acts (FOIAs) or equivalent laws including the laws establishing the related agency or mandating the collection of the data and whether such data must be proactively made available to members of the public.	Q5. Check the website of the agency. Review documents prepared by the responsible agency to see if the raw data is revealed. Assess the extent to which the documents available inform the public of the raw data.	Q5. (Optional) Interview at least 1 representative of the responsible government agency and verify if the raw data is available to the public and other scientists and peers.
Q6. Are there rules or guidelines requiring the integration of local knowledge in climate system monitoring?	Q6. Do reports from relevant agencies indicate an collection of local/indigenous knowledge in regards to	Q6. Interview key agency personnel who may have been involved with coordinating data collection and maintenance.

	climate impacts?	
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Documenting sources/Citation

Be sure to include the **name and organization** of the researcher and the **document title, author(s), chapter, page, publishers and url** for any research document. Interviews should include **name and title** (unless interviewed “not for affiliation), **agency, date, and location of interview**. *WRI uses Chicago style citation:*
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Quality 1 Description

Climatic and weather related information within the country and in the region are generally collected by a meteorological agency. . The Central agency will then collate this information and analyze it to develop annual climate data for the country and its internal regions. It would also probably use satellite and other internally available information to verify and supplement local data.
Findings:

Quality 2 Description

Each country will need relatively accurate population, health, and other demographic statistics in order to prioritize responses and set out key objectives. For example, future population growth patterns, current patterns of migration, employment, young and elderly, number of disabled persons, and the differential impacts among different groups. Population-centered policies will need to assess the scale of the risks, “hot spots” with concentrated populations, and complementary economic and health data.
Findings:

Quality 3 Description

Regular environmental quality data is essential. This should include major sets of indicators such as: water flow and quality data, forest area, greenhouse gas emissions projected crop yields, species and vector migration, and other relevant biophysical, economic, or hydrological indicators.
Findings:

Quality 4 Description

Scientists, individuals, and organizations concerned with a developing and implementing adaptation policy will need to understand and critique the methods for data collection and analysis. Basic explanations of methodologies should be available to the public on the internet.

A transparent data collection method would be publicly available to whoever wished to see it free of cost. Additionally, officials would have the responsibility to present the method to bodies capable of peer review (universities, science academies, or independent think tanks). Finally, the data collection methods would, to the greatest extent possible be made understandable to members of the concerned public.

Findings:

Quality 5 Description

Some data will be controversial. In order to ensure transparency and openness, raw data should be freely accessible to any organization or individual that wishes to analyze climate impacts and demographic patterns independently. This allows for free scientific exchange and review of data. Additionally, public availability of data allows the government to shift some of the burdens of analysis onto other institutions and individuals.

As you complete this indicator, look to see that the raw data on climate, demographics and ecosystems are publicly available and free of charge either on the website of the responsible organizations or at an accessible place. One way to check if the information is available is to make a formal request or to make a request using the freedom of information law (if there is one).

Findings:

Quality 6 Description

Natural resource-dependent communities that have long traditions in a location often have built up extensive local knowledge of climate variability and change. Farmers, in particular, are familiar with risk management and often have developed adaptation and mitigation strategies. In addition, these communities may have traditional monitoring systems that could help corroborate scientific models or be referenced to help communicate climate risks. While climate change will likely introduce new extremes and increased variability to what has been historically experienced, these local knowledge systems have been recognized as important contributors to adaptation strategies.³

Findings:

³ A. Nyong, F. Adesina, B. Osman Elasha, "The value of indigenous knowledge in climate change mitigation and adaptation strategies in the African Sahel," *Mitigation and Adaptation Strategies for Global Change* (2007) 12:787-797. <http://ies.lbl.gov/iespubs/8nyong.pdf>

WORKSHEET 4B: INFORMATION ANALYSIS INSTITUTIONS

Indicator	An institution (or institutions) has a mandate to analyze climate-adaptation-relevant information for the country in a way that is useful for key stakeholder groups. (If not, explain that there is not, mark "N/A" and move to the next worksheet.)
------------------	---

Brief summary of institution, if it exists

Major Data set	Information gathered by:	Government, NGO, Academic, private sector, Community
1.		
2.		
3.		
4.		
5.		

Qualities of the indicator	Yes	Limited	No	n/a
1. The institution(s) undergoes a regular, public process of review and revision of its approach to data analysis. (Accountability & Enforcement)				
2. Sufficient budget is provided for ongoing information analysis. (Capacity)				
3. The status of vulnerable ecosystems and populations/communities is periodically analyzed. (Capacity)				
4. Climate scenarios are developed using all available projections and their uncertainty estimates. (Capacity)				

Research Guidelines

An organization needs a clear mandate to develop climate-adaptation relevant analysis and to disseminate it to key stakeholder groups. This is important both for reasons of capacity

building but also ensuring accountability for information. Key stakeholders in the country such as industry or farming communities will need climate-adaptation information in a timely manner. Is there an organization with a clear mandate to provide these stakeholders with this information? An agency or quasi-governmental office may have this mandate, but non-governmental actors, such as private contractors, a university, or several NGOs, may carry out the actual analysis.

Recommended Research Methods and Sources

Legal Research	Research Documents	Interviews
General: Consult laws establishing or regulating the organization identified.	General: A mandate might exist in practice though not in the law. An organization might have created an internal mandate to serve stakeholders and provide them with this information. The organization could be a Government agency or university or private think tank.	General: (Optional) Interviewing a key official will be necessary if the mandate and organization are not identifiable in the law.
Q1. (Optional) Examine the law relating to the identified institution. See if there is a mandated peer review process and whether the professionals who are selected to do the reviews are chosen in a fair and open manner based on qualifications and skills. The law may not contain this detail and it may become necessary to examine regulations, rules, guidelines or administrative decisions made under the law to obtain this detail.	Q1. Documents published by or available at the institution may contain clues as to whether there is such a peer review process.	Q1. (Optional) Interviewing at least one key official of the agency should throw light on this indicator. The official should be able to say if such a review happens. Who does the review? How are they selected? What measures are in place to guarantee their independence? Does the institution revise the analysis following review? Are there examples of such revisions?
Q2. (Optional) Examine the laws creating the service or institution. The law may contain budgetary provisions indicating the provision of funds or assurances thereof from the	Q2. (Optional) Often, the adequacy of budgets and funds will be found in internal agency documents or in annual reports or reports to the legislature made by the agency.	Q2. Often the best way to find out information to respond to this indicator will be an interview with a key agency/service/institution official that will have knowledge about institutional funding, their sources and adequacy.

government. Examine also the relevant budget and the appropriate laws through which funds are allocated to institutions.		
Q3. Does the institution have a legal mandate or administrative rule requiring periodic review of the vulnerability status of ecosystems and communities?	Q3. Determine through reports or publications whether these analyses are conducted at certain time intervals.	Q3. (Optional) If information is not available publicly, ask a representative of the rules are for reviewing and updating vulnerability information.
Q4. N/A	Q4. Review reports and publications and compare against recent climate change science literature.	Q4. (Optional) This should not be needed unless it's not clear which projections are being considered.

Documenting sources/Citation

Be sure to include the **name and organization** of the researcher and the **document title, author(s), chapter, page, publishers and url** for any research document. Interviews should include **name and title** (unless interviewed “not for affiliation), **agency, date, and location of interview**. *WRI uses Chicago style citation:*
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Quality 1 Description

If there is an organization charged with the task of analyzing climate change relevant data (most likely in concert with other data) for the country, do its methods undergo a process of review by independent and qualified peers?

Peer review of data analysis activities by independent and qualified and skilled professionals ensures that the institution is accountable for the analysis it performs. It also ensures that critical evaluations of the analysis are being done to ensure the rigor and integrity of data analysis.

Findings:

Quality 2 Description

If there is an organization charged with the task of analyzing climate change relevant data for the country, does it have a sufficient budget?

Findings:

Quality 3 Description

Is there a formal process for iterative assessments of potentially vulnerable groups or ecosystems? In order to be adaptive in policy and management, and responsive to new environmental or socioeconomic information, vulnerability assessments should be reviewed and revised periodically. This may occur when new data become available, or at a reasonable interval of time. This helps provides flexible adaptation planning.

Findings:

Quality 4 Description

Is the institution responsible for data analysis and climate change adaptation information management comprehensive in its assessment of climate change predictions and scenarios? Uncertainty is inherent in all climate models and robust and flexible adaptation options should account for a wide variety of potential warming and impact scenarios.

Findings:

WORKSHEET 4C: INFORMATION ACCESS AND TRANSPARENCY

Indicator	There is an institution(s) in charge of centralizing climate change information and analysis that is stakeholder-driven and transparent (If not, explain that there is not, mark “N/A” on the qualities table and move to the next worksheet.)
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Brief summary of platform, if it exists

Information Category	Major information needs	Has relevant analysis been disseminated	Who disseminates? (Institution)	Link
Climate Scenario Information				
Potential Impacts				
Other (economic, etc.)				

Qualities of the indicator	Yes	Limited	No	n/a
1. Priorities for analysis are set through a process of broad stakeholder consultation. (Transparency & Participation)				
2. Analysis is comprehensible to the public. (Transparency and Participation)				
3. There is consolidation and analysis of relevant climate information in the form of publicly available reports or online sources. (Transparency and Participation)				

Research Guidelines

This indicator evaluates whether this institution in charge of collecting and analyzing climate change adaptation-relevant data makes decisions that engage stakeholders, sets priorities based on vulnerabilities that are, at least in part, identified by stakeholders, and produces information that is available and usable for the public.

Information and data and analysis should be publicly available and free of charge on the website of the responsible organizations. Citizens should have the opportunity to publish and read opinions from participating organizations, agencies, and individuals.

Recommended Research Methods and Sources

Legal Research	Research Documents	Interviews
General: (Optional) Consult agency mandates, executive orders, laws or policies, that require the publication of climate change information and analysis and provide stakeholders with opportunities to participate in prioritization.	General: Review agency websites for publications, assess the accessibility of the information and evaluate to see if any stakeholder processes were used.	General: Interview 1 person from the institution in charge of analysis and 1 person from a non-governmental organization who could speak to the level of stakeholder engagement.
Q1. (Optional) Is there a legal mandate obligating the institution to involve stakeholders.	Q1. Identify any document, likely internal to the relevant agency or organization, which identifies those groups that helped inform any adaptation strategy relevant to the national circumstances.	Q1. An interview at least 1 representative of the responsible government agency or organization who may help inform who was consulted during the process of identifying key adaptation information. (Optional) Identify a representative of a key stakeholder group and identify whether they have been contacted for opportunities for consultation.
Q2. N/A	Q2. Review documents presenting analysis of climate change adaptation-relevant data.	Q2. N/A
N/A	Determine if publicly available reports exist.	

Documenting sources/Citation

Be sure to include the **name and organization** of the researcher and the **document title, author(s), chapter, page, publishers and url** for any research document. Interviews should include **name and title** (unless interviewed “not for affiliation), **agency, date, and location of interview**. *WRI uses Chicago style citation:*

http://www.chicagomanualofstyle.org/tools_citationguide.html

Quality 1 Description

<p>A consultation process that does not involve representatives and individuals from different segments of society and levels of government may overlook key impacts or considerations. Broad stakeholder consultations also serve to increase the legitimacy of the prioritization.</p> <p>Consider key organizations and individuals who should be involved in prioritizing adaptation related issues for analysis. This will differ from country to country. At a minimum, a good vulnerability and impacts assessment will include consultation with:</p> <ul style="list-style-type: none"> • Relevant provincial-level governments • Representatives of local governments and tribal governments or indigenous organizations • NGOs • Key industries • Members of the scientific community
<p>Findings:</p>

Quality 2 Description

<p>Stakeholders involved in planning and service delivery for adaptation need to have climate analysis in terms that they can understand so that they may make appropriate adjustments to ongoing activities. This includes other relevant government organizations, other levels of government, and locally implementing NGOs.</p>
<p>Findings:</p>

Quality 3 Description

<p>In order to develop, implement, and monitor climate relevant data, there needs to be consolidated, decision-relevant analysis. Ideally, such data would be analyzed and consolidated in a fashion that would make it relevant to the key stakeholder groups. Key data on fisheries, for example should be understandable to subnational governments with a mandate for fisheries mandates, traditional fishing organizations, and relevant unions or similar organizations.</p>
<p>Findings:</p>

WORKSHEET 4D: INFORMATION DISSEMINATION INSTITUTIONS

Indicator	There is a platform or network for sharing information on adaptation to diverse information users. (If not, explain that there is not, mark “N/A” in the qualities table and move to next worksheet.)
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Brief summary of institution, if it exists

Qualities of the indicator	Yes	Limited	No	n/a
1. There is a system for monitoring and evaluation of information dissemination, as well as revision of dissemination strategies. (Accountability & Enforcement)				
2. Sufficient budget is provided for ongoing information dissemination. (Capacity)				
3. The mandated institution coordinates appropriately with other institutions. (Capacity)				
4. There is an efficient and fair means for individuals and organizations to demand climate-relevant information. (Accountability & Enforcement)				

Research Guidelines

Is there an organization with a clear responsibility to make sure that citizens are receiving information about ongoing climate impacts, plans, and projects?

For some countries, information-sharing platforms have been established, often by NGOs, business associations, or international organizations. However, these platforms have not necessarily become “institutionalized;” country ownership may be low, or officials might not use online platforms in their regular decision-making.

The mandate of such a platform for participation can better contribute to decision-making if it has the force of law and if planning efforts must be tied to such a platform.

Recommended Research Methods and Sources

Legal Research	Research Documents	Interviews
General: Examine laws,	General: N/A	General: N/A

rules, and administrative guidelines for establishment of an agency or institution responsible for information dissemination of climate change adaptation broadly.		
Q1. N/A	Q1. Identify any record of consultation for an access to information plan. This may include “a method” section or records of consultation.	Q1. An official involved in development of an access to information plan or its equivalent should be able to identify where there has been public consultation in development and review of an information dissemination platform.
Q2. (Optional) Examine the laws creating the service or institution (if they exist).	Q2. (Optional) Often, the adequacy of budgets and funds will be found in internal agency documents or in annual reports or reports to the legislature made by the agency or organization.	Q2. Often the best way to find out information to respond to this indicator will be an interview with a key agency/service/institution official that will have knowledge about institutional funding, their sources and adequacy.
Q3. N/A	Q3. N/A	Q3. Interview a member of sub-national government <i>or</i> of another agency who is supposed to or ought to receive information and analysis from a lead agency or office. (Optional) Interview a member of the lead agency to understand plans and means of communicating to other agencies and governments with a stake in such plans.
Q4. Identify whether climate adaptation relevant data is subject to freedom of information laws or equivalent rules and guidelines (possibly at the agency level).	Q4. NA	Q4. Interview a member of the public, an NGO, or an official who has made a request for information. Find out if this has been successful.

Documenting sources/Citation

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interview. *WRI uses Chicago style citation:*

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Quality 1 Description

If there is a platform tasked with disseminating information for adaptation or its equivalent charged with the task of analyzing climate change relevant data, does it undergo a process of review by members of the public and interested parties?

Findings:

Quality 2 Description

Does the institution responsible for climate change information dissemination have sufficient funds to maintain staff, infrastructure and capacity and to do outreach?

Findings:

Quality 3 Description

This indicator assesses whether information is shared among the various agencies, levels of government, and organizations tasked with carrying out adaptation activities and policy.

Most adaptation interventions will fall outside of the jurisdiction of a single agency or level of government. As a result, they will need to share information among one another. While platforms for public participation are important, members of government must also share such information. Assess whether members of local or other subnational governments and agencies with overlapping jurisdictions are receiving relevant information about expected climate impacts as well as plans for policies, projects, and programs to address vulnerability to these impacts.

Findings:

Quality 4 Description

If there is an organization responsible for dissemination of information, does it respond well to requests for information? Are such requests subject to a reasonable review? Do key stakeholder groups have access to the information that they need? This may be governed by an internal system, established by administrative guidelines or by a national freedom of information act.

Findings:

5. MAINSTREAMING

WORKSHEET 5A: MAINSTREAMING IN PROJECTS

Indicator	Are there systems for integrating climate change risk and adaptation into project development? (If not, explain that there is not, mark “N/A” in the qualities table and move to the next worksheet)
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Brief summary of standards, if they exist

Qualities of the indicator	Yes	Limited	No	N/A
1. There are standards and procedures for integrating climate risk management comprehensively, not just a few sectors. (Comprehensiveness)				

Research Guidelines

This indicator assesses whether basic procedures are in place to take climate change impacts into account in the development and implementation of projects. Consider permitting processes, Environmental Impact Assessments, etc. In a country with requirements for regulatory impacts analysis, such analysis would include a “no action” alternative which takes into account the impacts of climate change.

Recommended Research Methods and Sources

Legal Research	Research Documents	Interviews
General: Check legal requirements (law, rules, and administrative guidelines) of regulatory analysis for policy making. These may be specifically mandated in disaster legislation or environmental legislation.	General: None.	General: Interview at least 1 representative of the institution responsible for developing such procedures. Identify the approach to integrate climate change adaptation into all areas of public policy making, if any?

<p>Q1. Assess whether there are laws, policies, or rules requiring consideration of climate change impacts in project development and implementation.</p>	<p>Q1. Check to see if there are mandates or reports from agencies or executive offices requiring adaptation consideration project development.</p>	<p>Q1. Ask a representative from an environmental ministry if these considerations are being used.</p>
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Documenting sources/Citation

Be sure to include the **name and organization** of the researcher and the **document title, author(s), chapter, page, publishers and url** for any research document. Interviews should include **name and title** (unless interviewed “not for affiliation), **agency, date, and location of interview**. *WRI uses Chicago style citation:*

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Quality 1 Description

Are considerations of climate change impacts integrated into project development and planning? For instance, are there regulations requiring adaptation measures in project development? If so are these piecemeal, or is there a comprehensive mainstreaming of climate change adaptation into government projects?

Findings:

WORKSHEET 5B: MAINSTREAMING ADAPTATION IN PLANNING

Indicator	Are there systems for integrating climate change risk and adaptation into planning of critical sectors? (If not, explain so below, mark “N/A” in the qualities table and move to the next worksheet)
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Brief summary of standards, if they exist

Qualities of the indicator	Yes	Limited	No	N/A
1. There are standards and procedures for integrating climate risk management comprehensively, not just a few sectors. (Comprehensiveness)				

Research Guidelines

This indicator assesses whether basic procedures are in place to take climate change impacts into account during sectoral or ministerial planning. Best practice would be that guidelines for major plans take into account climate impacts. Some countries may have administrative guidelines or laws which require integration of impacts of climate into major planning documents or require submissions of such plans in certain key ministries or agencies.

Recommended Research Methods and Sources

Legal Research	Research Documents	Interviews
General: Check legal requirements (law, rules, and administrative guidelines) of regulatory analysis for policy making,. These may be specifically mandated in disaster legislation or environmental legislation.	General: None.	General: Interview at least 1 representative of the institution responsible for developing such procedures. Identify the approach to integrate climate change adaptation into all areas of strategic planning, if any?

Q1. Assess whether there are laws, policies, or rules requiring consideration of climate change impacts in planning.	Q1. Check to see if there are mandates or reports from agencies or executive offices requiring adaptation consideration in planning.	Q1. Ask a representative from an environmental ministry if these considerations are being used.
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Documenting sources/Citation

Be sure to include the **name and organization** of the researcher and the **document title, author(s), chapter, page, publishers and url** for any research document. Interviews should include **name and title** (unless interviewed “not for affiliation), **agency, date, and location of interview**. *WRI uses Chicago style citation:*

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Quality 1

Are climate change risks and future impact scenarios required to be integrated into sectoral, land-use, urban, or other planning scenarios? If not, are there sectors who are proactive? If so, what are these sectors and what are examples?
Findings:

WORKSHEET 5C: ADAPTATION MAINSTREAMING AT THE POLICY LEVEL

Indicator	Are there systems for integrating climate change risk and adaptation into policies and programs?
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Brief summary of standards, if they exist

Qualities of the indicator	Yes	Limited	No	N/A
There are standards and procedures for integrating climate risk management comprehensively, not just a few sectors. (Comprehensiveness)				

Research Guidelines

This indicator assesses the extent to which there are guidelines to consider climate change impacts in socio-economic policies and programs.

Recommended Research Methods and Sources

Legal Research	Research Documents	Interviews
General: Check legal requirements (law, rules, and administrative guidelines) of regulatory analysis for policy making. These may be specifically mandated in disaster legislation or environmental legislation.	General: None.	General: Interview at least 1 representative of the institution responsible for developing such procedures. Identify the approach to integrate climate change adaptation into all areas of public policy making, if any.
Q1. Assess whether there are laws, policies, or rules requiring consideration of climate change impacts into socioeconomic development or other social programs.	Q1. Check to see if there are mandates or reports from agencies or executive offices requiring adaptation consideration in policies or programs.	Q1. Ask a representative from a relevant agency to see if these considerations are being used.

Documenting sources/Citation

Be sure to include the **name and organization** of the researcher and the **document title, author(s), chapter, page, publishers and url** for any research document. Interviews should include **name and title** (unless interviewed “not for affiliation), **agency, date, and location of interview**. *WRI uses Chicago style citation:*

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Definitions and explanations:

Environmental impacts assessment – any process for evaluating the human, economic, or environmental impacts of a proposed action and its alternatives. Such an analysis should include the effects of mitigation measures within the analysis.

No-action alternative – During an impacts analysis, most systems require, the effects of not acting. This is critical for adaptation, as some processes may increase resilience, while others may make communities more vulnerable.

Cumulative impacts scenarios – For purposes of this assessment, cumulative impacts scenarios are a section of impact assessments which outline potential impacts of planned, ongoing, or reasonably foreseeable projects, decisions, and events in the affected area.

Quality 1 Description

If the approach is comprehensive, explain what it requires and how it is applied. If it is not comprehensive, explain how different approaches have come about, what policies or programs they are part of, and any impacts they have had thus far.

Findings:

APPENDIX A: COUNTRY CONTEXT WORKSHEET

This worksheet is intended to help ARIA users develop the national political, institutional, policy, and budgetary contexts in which adaptation planning and implementation is occurring. Depending on the researchers' background, these contexts may already be well understood. However, it is important to remember that publications resulting from the assessment will read by an international audience, for whom these contexts are critical to understanding the barriers and opportunities for climate change adaptation in your country.

The timeline for completing the worksheet is at the discretion of the research team. Those who may find it useful to gather a basic understanding prior to undertaking more in depth research may complete it at beginning. Others may find it more helpful to do before commencing the Phase II priority area research.

Political Landscape

What is the relevant national political context in which adaptation decisions may be taking place? This could include an upcoming election, a new five-year plan, a reorganization of government agencies, or major upcoming legislation. This can be brief, but consider barriers and opportunities for adaptation policy.

What are the major processes, either already in place or ongoing/upcoming, relating to sectoral planning? Examples could include an agricultural or rural development plan, national energy policy, or coastal resources plan. Again, these can be briefly outlined.

What major policies, plans, or programs, either established or upcoming, relate to poverty reduction or community resilience-building? What institutions are responsible for funding and implementing them?

What major policies, plans, or programs, either established or upcoming, relate to disaster risk reduction? This could be wide-ranging and include infrastructural improvements, programs to ensure resilience of ecosystem services or better coordination between agencies. What institutions are responsible for funding and implementing them?

List any important environmental planning tools or processes (e.g. sustainable development plan, EIA procedures, SEA, etc.) Can they be considered influential or impactful?

What are the major existing policies and laws relating to freedom of information?

What mechanisms are in place to ensure stakeholder involvement and engagement in national planning and policy-making processes?

Briefly describe the country's budgeting process. When and how does national budgeting occur? What institutions are involved in allocating and distributing funds to ministries and sub-national governments?

APPENDIX B: INTERVIEW ORGANIZER

Interviewee name	Affiliation	Title	Sector	Indicator	Quality(ies)
				Example: "2b"	Example: "Q1, Q2"

GLOSSARY

Vulnerability and impact assessment: An integrated and multi-sectoral assessment at the national level that helps decision-makers identify adaptation needs, priorities and options.

Exposure: A 2012 IPCC report defines exposure as “the presence of people; livelihoods; environmental services and resources; infrastructure; economic, social or cultural assets in places that could be adversely affected” (IPCC, 2012). As the definition indicates, exposure is determined by location. This could be confined to a floodplain or as widespread as a country. It is possible to be exposed to climate impacts, but not be vulnerable to them (if adaptive capacity is sufficient enough to mitigate risks).

Vulnerability: The IPCC defines vulnerability as the “propensity or predisposition to be adversely affected”. Vulnerability depends on social, economic, cultural, demographic, institutional, governance, geographic, and environmental factors. Vulnerability may be hazard-specific—in other words, a population may be more vulnerable to new disease vectors than to hurricanes, but socioeconomic vulnerabilities such as poverty and poor social network support can aggravate vulnerability no matter the hazard. Key to adaptation and development policy, the IPCC also notes that there is *high agreement* and *robust evidence* that high vulnerability and exposure are mainly an outcome of “skewed development processes, including...environmental mismanagement, demographic changes, rapid and unplanned urbanization, failed governance, and scarcity of livelihood options for the poor” (IPCC, 2012). Ecosystem vulnerabilities, such as ocean acidification or new plant disease vectors, may be linked to socio-economic vulnerabilities.

Prioritization – the process of developing a list of high-priority areas for action on climate change adaptation; some lists may include specific projects while others identify priority sectors or demographics.

Institutional needs – Institutions (in this case, governmental, non-governmental, and private organizations) will need to enhance their ability to address the challenges of adaptation. This includes having a clear (or expanded) mandate and sufficient budgetary and human resources.

Upward accountability – transparency, answerability, and removability of members of an institution to a higher, democratically elected institution.

Downward Accountability – Accountability of institutions to the people that they serve through mechanisms of feedback, complaints, and grievances.

Regulatory impacts analysis – any process for evaluating the human, economic, or environmental impacts of a proposed action and its alternatives. Such an analysis should include the effects of mitigation measures within the analysis.

Rule-making – a process for executive branch interpretation of the law. In many countries, rule-making has procedures for public notice and comment, justification of the rule, consideration of alternatives, and predicted impacts.

No-action alternative – During an impacts analysis, most systems require, the effects of not acting. This is critical for adaptation, as some processes may increase resilience, while others may make communities more vulnerable.

Cumulative impacts scenarios – For purposes of this assessment, cumulative impacts scenarios are a section of impact assessments which outline potential impacts of planned, ongoing, or reasonably foreseeable projects, decisions, and events in the affected area.

Strategic Environmental assessment - SEA refers to a range of “analytical and participatory approaches that aim to integrate environmental considerations into policies, plans and programmes and evaluate the inter linkages with economic and social considerations”