
ADAPTATION:

RAPID INSTITUTIONAL ANALYSIS

Based on the National Adaptive Capacities Framework

Version 2.0

July, 2013

Phase II Workbook

Introduction.....	2
Priority Area Cover Sheet	4
1. Assessment	5
Worksheet 1a: Vulnerability and Impacts Assessment	6
Worksheet 1b: Inventory of Ongoing Adaptation Efforts	10
2. Prioritization.....	12
Worksheet 2a: Establishment of Priorities	13
Worksheet 2b: Budget Processes.....	15
3. Coordination	18
Worksheet 3b: Coordination at Priority Area level.....	19
4. Information Management	22
Worksheet 4a: Data gathering.....	23
Worksheet 4b: Information Analysis Institutions	25
1. Mainstreaming	28
Worksheet 5a: Mainstreaming in the Priority Area	29
Worksheet 5b: Mainstreaming Adaptation in planning.....	32
Appendix B: Interview Organizer	37
Glossary	38

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 ARIA Phase II workbook is to be completed by the researchers for each priority area selected at the Phase II workshop. The Phase II research should build upon the Phase I research in the following ways: 1) to help inform priority area selection, 2) to develop an in-depth understanding of how issues identified in the Phase I are manifested at the priority area-level in order to enable case study analysis, and 3) to strengthen advocacy efforts by providing evidence of institutional needs for adaptation in a given priority area.

Phase II begins when the lead research organization holds the Phase II workshop to train civil society partners who have agreed to help carry out the Phase II research. In this workshop, the civil society partners are trained in the ARIA method and process as well as given a summary of the Phase I research. The civil society partners often bring their own expertise to research, climate change adaptation, politics or policy, or otherwise that help inform the research for Phase II. The selection of the priority areas is informed by the research from Phase I, but is still a participatory process that involves the partners who will be helping to carry out the research.

The workbook 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.

PRIORITY AREA COVER SHEET

Priority Area: _____

Research Conducted by: _____

Time Period: _____

1. ASSESSMENT

WORKSHEET 1A: VULNERABILITY AND IMPACTS ASSESSMENT

Indicator	Is there an assessment of climate change vulnerability and impacts for the priority area? This could either be as part of a national-level assessment or separate sectoral assessment. It may come from a source other than a government ministry, however it should still be evaluated using the same Qualities. If there no assessment exists, provide an explanation in the Summary box below.
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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. The assessment includes both socioeconomic and biophysical aspects of vulnerability and impacts. (Comprehensiveness)				
2. Assessment methodology is made transparent. (Transparency & Participation)				
3. Broad set of stakeholders were engaged in assessment development. (Transparency & Participation)				

Impacts Assessed (examples)¹:

Biophysical	Economic	Social	Health
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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).

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

If vulnerability and impact assessments were uncovered in the Phase I research, this worksheet determines whether these assessments sufficiently capture the priority area.

Recommended Research Methods and Sources

Legal Research	Research Documents	Interviews
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: Should be available in Phase I research	Q2: Should be available in Phase I research	Q2:
Q3: (Optional) Are there legal requirements, administrative guidelines, or rules	Q3: Websites or records of broad consultation, such as lists of individuals and organizations consulted with by preparers of V&A assessment, attendees at	Q3: (Optional—if not already completed in Phase 1) Interview at least 1 representative of the civil society or an academic to explain the opportunities for

that require consultation broadly or with certain groups on developing the methods for vulnerability and impacts assessment?	participatory events, or online participation platforms.	involvement in the country's vulnerability assessment.
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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 the Chicago Manual of Style:*

http://www.chicagomanualofstyle.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., as well as biophysical impacts. Determine whether there are any gaps from research in Phase 1 that need to be addressed

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.

for the priority area.

Findings:

Quality 2 Description

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

Findings:

Quality 3 Description

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.

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:

- Provincial-level governments
- Representatives of local governments and tribal governments or indigenous organizations
- NGOs
- Key industries
- Members of the scientific community

Findings:

WORKSHEET 1B: INVENTORY OF ONGOING ADAPTATION EFFORTS

Indicator	If a national inventory of existing and past adaptation efforts exists, is the priority area captured within the inventory? If it is not, provide an explanation in the summary box and move to the next indicator.
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Brief Summary

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

Qualities of the indicator	Yes	Limited	No	n/a
1. Inventory includes initiatives developed by public, private, and civil society sectors. (Comprehensiveness)				
2. There is a mechanism or process for capturing lessons learned from past initiatives in the priority area. (Comprehensiveness)				
3. The above information on past initiatives is available, for free, on the internet. (Transparency and Participation)				

Research Guidelines

This indicator assesses whether an existing national inventory of adaptation efforts captures efforts at the priority area level. 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
General: None	Consult the existing V&I assessment(s) for citations of ongoing assessments and work on adaptation at the sub-national and local levels.	None

	Alternately, this may be located elsewhere, in sector level planning or industry-level documents.	
Q1: None	Q1: Evaluate inventory to determine comprehensiveness. Use web sources and local civil society or government ministry resources to corroborate.	Q1: (Optional) As necessary
Q2: None	Q2: Is there a policy or guideline for incorporating lessons learned in any available documentation?	Q2: As necessary to verify if there is a process for ensuring learning.
Q3: None	Q3: Is the information available and accessible?	Q3: 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

If the priority area is marginalized, either due to location, socioeconomic status, or other reason, it may not have been sufficiently included in the vulnerability and impacts assessment.

Findings:

Quality 2 Description

Effective adaptation and preparedness measures will require iteration, learning, and flexibility. If ministry leadership is frequently replaced, or institutional knowledge is otherwise not retained, mistakes may be repeated

Findings:

Quality 3 Description

This information should be made available for the public concerned, including communities, NGOs, private sector, and academia.

Findings:

2. PRIORITIZATION

WORKSHEET 2A: ESTABLISHMENT OF PRIORITIES

Indicator	There is a process for sequencing adaptation activities within the priority area. If there is not, provide an explanation in the summary box and move to the next indicator.
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Brief Summary of Process, if it exists

Qualities of the indicator	Yes	Limited	No	n/a
1. Process for sequencing adaptation activities is transparent and publicly available. (Transparency & Participation)				
2. Broad set of stakeholders were engaged in sequencing process– including vulnerable and marginalized groups – in order to assure that priorities are informed by a broad range of perspectives. (Transparency & Participation)				

Research Guidelines

When addressing adaptation, government authorities may opt to unveil all-encompassing plans that attempt to address all vulnerabilities at once. These are all too often over ambitious and doomed to fail. Developing a sequencing of priority activities within the priority area can improve chances of successful implementation.

Recommended Research Methods and Sources

Legal Research	Research Documents	Interviews
General: N/A	General: Identify any record of sequencing of adaptation activities in planning documents	General: Review interviews from Phase 1. Assess whether further interviews are needed to gain necessary info.
Q1. (Optional) Is there a requirement for transparency?	Q1. Assess whether planning documents are available and accessible.	Q1. N/A

Q2. N/A	Q2. Is there a list of stakeholder consultations, meetings, or other evidence?	Q2: Interview a few members of key stakeholder groups.
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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

This indicator assesses there is a process for sequencing adaptation activities at the priority level. If there is, who determines the sequence? How are costs and benefits evaluated? What is the timeframe?

Findings:

Quality 2 Description

Implementing agencies need to address stakeholder concerns, gather information, and disseminate information in order to plan and successfully implement projects

Findings:

WORKSHEET 2B: BUDGET PROCESSES

Indicator	Budgetary processes exist to channel finance to adaptation institutions or initiatives for this priority area. If there are none, provide an explanation in the summary box, 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					

Priority area initiatives in planning documents	Reflected in budget? (y/n)
1.	
2.	
3.	
4.	
5.	

Qualities of the indicator	Yes	Limited	No	n/a
1. The agency(ies) most closely tied to the priority area reflect adaptation initiatives in their annual budgets. (Comprehensiveness)				
2. Budgetary information for adaptation activities in the priority area is available and accessible. (Transparency and Participation)				
3. Budgetary allocations are sufficient to enable adaptation activities to proceed according to plans. (Capacity)				

Research Guidelines

This indicator assesses whether national budgeting and appropriations sufficiently meet the demands for priority area 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. Assess whether information is made available and accessible	Q2: N/A
Q3. NA	Q3. Assess funding needs and allocation levels.	Q3. Interview key implementing personnel, possibly off the record, to gauge whether allocations have been sufficient.

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

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

Open budgets are a key component of transparency. With the impacts of climate change burdening the most vulnerable, this level of transparency has important equity impacts.

Findings:

Quality 3 Description

Assess funding levels with the help of Advisory Panel members, if necessary, to determine sufficiency.

Findings:

3. COORDINATION

WORKSHEET 3A: COORDINATION AT PRIORITY AREA LEVEL

Indicator	Adaptation efforts for the priority area are being coordinated at the national level. If not, provide an explanation in the Summary box, mark “N/A” on the qualities table below and move to the next worksheet.)
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Brief summary of coordination or lackthereof

Participating Institution at Priority area level	Government	NGO/Community	Academic Institution	Industry	Other
Institution Name					

Qualities of the indicator	Yes	Limited	No	n/a
1. There is horizontal coordination (across ministries) as necessary, to carry out adaptation initiatives for the priority area. (Capacity)				
2. There is vertical coordination (global, national, local) as necessary to carry out adaptation initiatives for the priority area. (Capacity)				
3. There is intersectoral coordination (between gov’t, civil society, and/or business) as necessary to carry out adaptation initiatives for the priority area. (Capacity)				

Research Guidelines

Description	This indicator reviews whether the priority area is included in national coordination efforts. This may not be the case depending on the effectiveness of the coordinating body, politically-motivated prioritization, or marginalization of the priority area.
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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. N/A	Q1. Assess evidence of partnerships and collaborations across ministries	Q1. Review interviews from Phsae 1, determine more regional or local authorities should be interviewed.
Q2. N/A	Q2. Assess evidence coordinating bodies, initiatives and processes between different regional/local, national, or global efforts	Q2. Interview project managers or personnel participating in coordinating activities
Q3: N/A	Q3. Assess whether there are intersectoral adaptation activities	Q3: If there appears to uncoordinated redundancy, interview key personnel

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

Different ministries with roles and responsibilities may not be coordinating sufficiently due to a variety of reasons: lack of coordination in institutional culture, poor relationships, competitiveness, etc. These barriers may adversely affect adaptation at the priority area level.

Findings:

Quality 2 Description

Multiple funders may fund similar initiative with implementing institutions at different levels. Poor vertical coordination in planning and implementation may lead to waste, inefficiency, and confusion.

Findings:

Quality 3 Description

Different sectors may have different technical capacities, social capital, and resources, and therefore may find mutual benefits in coordinating adaptation work.

Findings:

4. INFORMATION MANAGEMENT

WORKSHEET 4A: DATA GATHERING

Indicator	Actors in the priority area have access to adaptation-relevant information identified in Phase I (If not, mark “N/A” in the qualities table and move to next worksheet.)
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Summary

Identify Key Data climate change adaptation-relevant data types for the priority area:

Assess Quality—Are they up to date? Relevant? Maintained?

Qualities of the indicator	Yes	Limited	No	n/a
1. The MET Office makes data available and usable to key actors in the priority area. (Transparency and Participation)				
2. If data is not made readily available, there is a process for submitting a request for information. (Accountability and Enforcement)				

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. Assess whether information managed by the MET office or other authorities is available and usable to a lay audience.	Q1. As necessary
Q2. Is there a Freedom of Information Act that can be invoked for information access? Is the information made proactively available?	Q2. Determine whether there are any mechanisms for filing an information request.	Q2. Interview relevant experts or agency personnel as necessary.

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

In addition to managing and maintaining key climate info, the MET is responsible for sharing the information and making it relevant and useful to other ministries, the private sector, and civil society.

Findings:

Quality 2 Description

If data is not readily available, there should be a mechanism to enable other government personnel or members of the public, to request the information.

Findings:

WORKSHEET 4B: INFORMATION ANALYSIS INSTITUTIONS

Indicator	Is there a platform for the exchange of climate information that includes the priority area? If not, provide an explanation in the summary box and move to the next worksheet.
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Brief summary of platform

Qualities of the indicator	Yes	Limited	No	n/a
1. According to key stakeholders, is there sufficient awareness of the platform at the priority area level? (Capacity)				
2. Does the platform make appropriate use of technology or other media to translate data into useful information? (Capacity)				
3. Is the platform sufficiently staffed and funded? (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. A platform should also allow for stakeholders to contribute information and inform the collection process.

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. N/A	Q1. Is there evidence that the platform is used frequently?	Q1. Interview key personnel at the priority area level who can provide reliable information about the level of awareness.
Q2. N/A.	Q2. If the platform is only available online, does this dramatically limit access? Are there alternative methods of accessing the platform?	Q2. As necessary.
Q3. N/A	Q3. Review documentation that's available	Q3. Corroborate available information through interviews.

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

If there are no awareness building activities, including funding to promote and educate on use of the platform, it will likely go unused, and may be used to justify less transparency in the future.

Findings:

Quality 2 Description

The platform should use a range of media to allow the greatest participation that is reasonably possible. These could include web-based platforms, mobile technology, early-

alert systems, and community meetings.

Findings:

Quality 3 Description

Without sufficient and reliable resources and adequate staffing, it's unlikely that the information platform would meet its targets.

Findings:

1. MAINSTREAMING

WORKSHEET 5A: MAINSTREAMING IN THE PRIORITY AREA

Indicator	There are processes or procedures for integrating climate change risk and adaptation into projects or sectoral planning (if applicable). If not, provide an explanation in the summary box, mark “N/A” in the qualities table and move to the next worksheet
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Brief summary of examples

Qualities of the indicator	Yes	Limited	No	N/A
1. There are guidelines for assessing climate change impact risk in projects or sectoral planning. (Comprehensiveness)				
2. Relevant ministries, industries, and/or civil society stakeholders’ input was sought during project development. (Transparency and Participation)				
3. There is an accountability mechanism to ensure that climate change impacts are considered. (Accountability and Enforcement)				

Research Guidelines

This indicator assesses whether national mainstreaming efforts are manifested at the priority area level. If none exist nationally, are there efforts that have arisen at a more local, regional, or sector-specific level?

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: Evaluate master plans.	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 guidelines for climate change risk integration	Q1.	Q1. Ask a representative from an environmental ministry if these considerations are being used.
Q2. N/A	Q2. Determine if there are stakeholder outreach reports available	Q2. Interview key stakeholder groups.
Q3. Is there any mechanism to hold developers accountable for not assessing climate change impacts on developments	Q3. Review planning and regulations, zoning requirements, etc.	Q3. As necessary

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:

Quality 2 Description

Were key stakeholders consulted in the mainstreaming process? Were any key groups left

out? Is there evidence that their input informed planning or implementation?

Quality 3 Description

If climate change impacts were not considered, leading to adverse risk for groups, sectors, or individuals, are there grievance mechanisms?

WORKSHEET 5B: MAINSTREAMING ADAPTATION IN PLANNING

Indicator	The institution(s) tasked with prioritization and coordination have identified barriers for adaptation at the priority area level. (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 examples

Qualities of the indicator	Yes	Limited	No	N/A
1. The responsible institution has examined multiple causes of barriers to adaptation in the priority area (Comprehensiveness)				
2. The responsible institution has considered a broad range of solutions. Where relevant, the responsible institution has considered addressing problems of infrastructure, natural resources and social safety nets. (Comprehensiveness)				
3. Authorities make publicly available a description of the process for selecting interventions and justify for its selection. (Transparency and Participation)				
4. Priority-setting and budgetary process is sufficiently transparent. Broad set of stakeholders were engaged in identification of solutions. (Transparency and Participation)				

(Optional Case Study) Based on Phase I and Phase II research, what are the institutional barriers to mainstreaming adaptation into priority area planning and projects? Are new rules needed? Better coordination between regional and national bodies? More opportunities for civil society to engage?

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. (Optional) In a country with an adaptation law or a clear policy within the priority area, there may be sections of laws stating findings or particular needs or values which describe the need for a particular model for coordination. Similarly, such a body may be formed as part of a regulatory responsibility as laid out in rule-making procedures.	Q1. Identify any documentation of the intervention, including rule-making documents, project planning documents, program objectives, reports by Executive offices, or “findings” sections of relevant laws. These should be publicly available and free of charge.	Q1. NA
Q2. (Optional) In a country with an adaptation law or a clear policy within the priority area, there may be sections of laws stating findings or particular needs or values which describe the need for a particular model for coordination. Similarly, such a body may be	Q2. Identify any documentation of the intervention, including rule-making documents, project planning documents, program objectives, reports by Executive offices, or “findings” sections of relevant laws.	Q3. Interview someone who is familiar or was involved with the process.

formed as part of a regulatory responsibility as laid out in rule-making procedures.	These should be publicly available and free of charge.	
Q3. N/A	Q3. Assess whether the rationale is made available through public documents	Q3. Only if necessary
Q4. N/A	Q4. Assess whether information is made proactively available	Q4. Interview at least 1-2 affected parties to assess if they had an adequate opportunity to participate in the decision-making process. Interview 1-2 officials to assess whether they took steps to consult on the development of standards and procedures

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

Adaptation is possible where it encounters few barriers. A wide examination of possible causes of barriers will be necessary if policy makers are to encourage adaptation in the policy area.

For a particular sector, population, or place, sources of barriers to be considered include:

- Policy framework;
- Rates, charges, taxes, permits, or tariffs;
- Zoning regulations;
- Insurance premiums;

- Standards;
- Land tenure or other property rights structures;
- Design of social protection programs;
- Lack of awareness or information;
- Lack of resources;
- Sub-national institutional structure;
- Lack of authority at a particular administrative level or body;
- Market factors;
- Legal harmonization between sections of the law or between levels of government;
- Sources of social inequity.

Ideally, the responsible institution has considered a broad range of players including: government agencies; sub-national government bodies; businesses; households; NGOs; and, community-based institutions

Findings:

Quality 2

Different interventions are appropriate to address different barriers to adaptation. While consideration of such barriers is beyond the scope of the ARIA analysis, this indicator asks whether a variety of interventions were considered before a decision.

Where relevant, the responsible institution should consider addressing problems of infrastructure, natural resources and social safety nets.

- Full consideration of infrastructure-based solutions should include:
 - o A variety of options (“soft” options, “hard” options, ecosystem-based solutions, adjustment/removal of existing infrastructure, or any combination of the above)
 - o Cost analysis, including total costs, cost effectiveness, comparisons of long and short-term options, and issues of benefit distribution across sectors, populations, and regions
- Full consideration of ecosystem-based solutions should include:
 - o A variety of options (“soft” options, “hard” options, ecosystem-based solutions, or a combination of the above)
 - o Cost analysis, including total costs, cost effectiveness, comparisons of long and short-term options, and issues of benefit distribution across sectors, populations, and regions
- Full consideration of social safety nets should include:
 - o The full range of policy tools for providing safety nets, including market-based approaches (e.g. insurance) and options that support community-based safety nets.
 - o Cost analysis, including total costs, cost effectiveness, comparisons of long and short-term options, and issues of

benefit distribution across sectors, populations, and regions While few policy processes
Findings:

Quality 3

This indicator measures whether there was transparency in the processes for intervention selection in the priority area and whether reasons were presented for such delegation. Identify whether authorities have publicly justified their selection of interventions in light of other options. Such justification may be in rule-making documents, project planning documents, program objectives, reports by Executive offices, or “findings” sections of relevant laws.
Findings:

Quality 4

<p>This indicator assesses whether the process for development of interventions to support adaptation in the policy area involved a wide range of stakeholders.</p> <p>Members of the public, organizations, other levels of government and businesses have a legitimate interest shaping how adaptation is encouraged through official interventions.</p> <p>As officials considered policy interventions, identify whether the public had an opportunity to comment on decision-making procedures. If they did, did they have a reasonable amount of time to comment, sufficient notice that the opportunity was upcoming, and sufficient information to make an informed contribution?</p> <p>Furthermore, consider whether special effort was made to include members of poor and marginalized communities.</p>
Findings:

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”