
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.

ACRONYMS USED IN THE WORKSHEETS

APESL : Association of Professional Engineers of Saint Lucia

CARILEC : Caribbean Light and Electricity Companies

CARMI : Caribbean Regional Meteorological Institute

CCCCC : Caribbean Climate Change Community Centre

CYEN : Caribbean Youth Environment Network

CFL : Consolidated Foods Limited

DVRP : Disaster Vulnerability Reduction Program

ECFH : Eastern Caribbean Financial Holdings

ICAR : Iyanola Council for the Advancement of Rastafari

ICSL : Intercontinental Services Limited

LUCELEC : Saint Lucia Electricity Services Ltd.

NAO/EDF : National Authorising Office/European Development Fund

NCCC : National Climate Change Committee

NCCPAP : National Climate Change Policy and Action Plan

NDC : National Development Corporation

NEMO : National Emergency Management Organisation

NEP/NEMS : National Environment Policy/National Environmental Management Strategy

OECS : Organisation of East Caribbean States

PPCR: Pilot Program of Climate Resilience

RC : Roman Catholic

RRAC : Rallying the Region to Action on Climate Change

SDED : Sustainable Development and Environment Division

SLASPA : Saint Lucia Air and Seaports Authority

SLBS : Saint Lucia Bureau of Standards

SLNT : Saint Lucia National Trust

SMMA : Soufriere Marine Management Association

SNC : Second National Communications

UNEP : United Nations Environment Program

WRMA : Water Resources Management Agency

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

Saint Lucia has undertaken the initial national communications which examined the coastal zone and fisheries sector, forestry and terrestrial resources, freshwater resources, human settlements, human health and services, the agricultural sector, the tourism sector. The country has also produced the Second National Communications which looked at the agriculture and food sector, coastal sector, critical infrastructure, disaster, financial services, forest and marine biodiversity, health, human settlements and population distribution, tourism and water. An assessment of a region of the country, Vieux Fort, was also done in detail in collaboration with the Caribbean Community Climate Change Community Centre (5Cs). In examining human settlements, the various regions of the country were assessed as to their vulnerability.

Assessment made by	Government	NGO/ Community	Academic Institution	Industry	Other
Name Sustainable Development and Environment Division(SDED)	Climate Change Focal Point				
Deborah Bushell	SDED				Intergovernmental Organisation: Caribbean Climate Change Community Centre

Qualities of the indicator	Yes	Limited	No	n/a
1. Assessment(s) include(s) socioeconomic and political drivers of vulnerability. (Comprehensiveness)		Socio-economic only		
2. Assessment methodology is made transparent. (Transparency & Participation)	X			
3. Broad set of stakeholders were engaged in assessment development. (Transparency & Participation)	X			
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)		X		
5. Assessment(s) covers all sectors and regions. (Comprehensiveness)		X		
6. Assessment(s) includes exposure to climate impacts. (Comprehensiveness)	X			

Impacts Assessed (examples)¹:

Biophysical	Economic	Social	Health
Sea level rise	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 events, including heat waves
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	Possible overexposure to risks based on IPCC predictions	Greater inundation/erosion/threat/loss	Waterborne diseases from flooding
Coral bleaching			
Drought impact on forest ecosystem and habitat			
Loss of riparian habitats	Increased insurance		

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).

Invasion of riparian areas by drought resistant species	premiums	of low lying coastal development and communities	Malnutrition and lack of adequate freshwater
Intense rainfall leading to increase in land slippage	Increased requests for insurance coverage and bank loans to address adaptation measures	Loss of recreational value and carrying capacities of beaches	Impacts on food production
High erosion	Increased payouts to clientele	Reduced capacity, performance of drainage infrastructure and bridges	Vector borne diseases related to changes in mosquito breeding patterns
Increased sedimentation loads in watersheds	Dislocation of production and decline in availability of agricultural produce	Interruption to communications, loss of access due to destruction of critical roads and bridges	Mental health issues, stress, vector migration
Reduced rainfall may lead to ecosystem shifts and increased vulnerability of endangered species and reduced water flow in watersheds	Food scarcity	High vacancy rates, absenteeism, increased work loads	
Landscape openings cause exposure of wildlife to strong winds and storm surges	Increased cost of food products	Heat related staff slow-down	
	Warmer weather may cause persons not to travel		
	Increasingly perception of the Caribbean as a hurricane prone destination may affect arrivals		
	Damage to tourism infrastructure, interruption to key services such as water supplies and impacts on key attractions such as beaches and dive sites		
	Loss of biodiversity leads to reduced		

	attraction to visitors		
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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
General: N/A	<p>General: Find the vulnerability and impacts assessment for the country if it exists.</p> <p>These vulnerability assessments are contained within the Initial and Second National Communications in response to the country's obligations under the United Nations Framework Convention on Climate Change (UNFCCC) and the Vulnerability Capacity Assessment for the Vieux Fort Region is obtained as powerpoint presentations from the SDED.</p>	<p>General: Contact relevant agencies to confirm/ locate assessments if needed.</p> <p>Information obtained from the SDED</p>
Q1: N/A	<p>Q1: Review existing vulnerability and Impacts Assessment(s) and any supporting documents, especially those pertaining to methodology of assessing vulnerability.</p> <p>The Initial and Second National Communications for the UNFCCC done for the Sustainable Development and Environment Division, Climate Change Focal Point for Saint Lucia, were reviewed as well as documentation on the vulnerability capacity assessment for Vieux Fort. The national communications contain the methodologies used in the assessments.</p> <p>In an effort to project what the scenarios will be for the future if Global Climate Change continues apace, it is necessary to use modeling. The process is based on projections based on present day data. There are three levels: Global, Regional and National.</p> <p>The Global Climate Change models use the Special Report on Emission Scenarios (SRES), the scenarios are based on a set of four story lines labeled A1, A2, B1 and B2.</p> <p>The scenarios used are coded to:</p> <p><input type="checkbox"/> A1 – A world where there is rapid economic growth, low</p>	<p>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.</p> <p>Mr. Crispin D'Auvergene, the Chief Sustainable Development</p>

	<p>population growth and rapid introduction of new and more efficient technologies.</p> <p><input type="checkbox"/> A2- A world where there is a strengthening of regional cultural identities with an emphasis on family values and local traditions.</p> <p><input type="checkbox"/> B1- A world of rapid change in economic structures with the introduction of clean technologies.</p> <p><input type="checkbox"/> B2- A world where the emphasis is on local solutions to achieving economic, social and environmental sustainability.</p> <p>Most Caribbean islands are too small to be identified with a grid point in global climate models, limiting the ability to generate future projections for climate change.</p> <p>Regional Modeling as done by the Caribbean Institute of Meteorology and Hydrology (CIMH) or the University of the West Indies (UWI)/Mona Campus is based on the use of the PRECIS platform. PRECIS focuses on how climate change would affect countries of the Caribbean. Noting that the global climate models do not have sufficient resolution to show all but the larger Island States, the scenarios generated can be used in impact, vulnerability and adaptation studies,</p> <p>Though the information provided by the Global Climate Models and the PRECIS Caribbean Project has many advantages, it is provided at a scale that is still too large for the smaller Caribbean States. The information generated at these scales is not useful for a SIDS like Saint Lucia.</p> <p>However for an island such as Saint Lucia the 3-2-1 Modeling System presented a best process for forecasting and scenario building.</p> <p><input type="checkbox"/> Three- Multi Agency approach</p> <p><input type="checkbox"/> Two- Harnessing of expert knowledge</p> <p><input type="checkbox"/> One- One agreed report</p> <p>Three step approach to sector analysis : Get the facts Two heads are better than one : Share the facts One voice : Give the facts</p>	<p>and Environment Officer was interviewed and indicated that Saint Lucia would be severely impacted by climate change as the studies carried out in the various sectors revealed.</p>
<p>Q2: (Optional)) Are there legal requirements, administrative guidelines, or rules that require disclosure of the</p>	<p>Q2: Websites, method documents, etc. supporting the V&A assessment.</p> <p>http://unfccc.int/focus/adaptation/items/6999.php is an official site that discusses adaptation and its assessment</p> <p>A compendium on methods and tools to evaluate impacts of and vulnerability and adaptation to climate change can be found at http://unfccc.int/adaptation/nairobi_work_programme/knowledge_resources_and_publications/items/5401.php</p> <p>Page 8 of Report of the Conference of the Parties on its 8th session held at New Delhi from 23rd October to 1st November 2002, FCCC/CP/2002/7/Add.2</p> <p>Page 6,7 of Appendix D for stocktaking exercise and project document</p>	<p>Q2: (Optional) Interview a representative of the civil society or an academic to explain the methodology behind the national vulnerability assessment.</p>

methods for vulnerability and impacts?	preparation from Project Cooperation Agreement (PCA) Articles 4.1 and 4.8 of the UNFCCC mandates parties to produce national communications including vulnerability assessments and impact studies of climate change.	
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? Draft environment management bill National Climate Change Policy and Action Plan	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. Local Sector Consultant database of Second National Communications (Annex 1) PPCR Stakeholder consultations list of participants (Annex 2)	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. The Saint Lucia Insurance Council was interviewed and agreed that they were involved in the vulnerability assessment for the Second National Communications especially as it pertained to the financial sector and were happy to be part of the discussions as it educated them on climate change impacts on their sector
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. One Subnational level, Vieux Fort was done. Other assessments to be done for three regions by Ministry of Social Transformation. The	Q4: N/A

	vulnerability assessments of Human settlements looked at the vulnerability of the different regions in Saint Lucia, as far as human settlements were concerned.	
Q5: N/A	<p>Q5: Review assessment with advisory panel and research team to determine if any major sectors or regions were not included.</p> <p>All sectors considered but only one region already completed in detail and three more to be done with the Ministry of Social Transformation. More work to be done on livelihoods. Human settlements examined the vulnerability of human settlements in the various regions of the country.</p>	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	<p>Q6: Review assessment to determine whether exposure to climate change impacts is comprehensively covered and if research is up to date.</p> <p>The assessments covered the impacts of climate change comprehensively and the research was up to date according to the Climate Models and work of the Climate Studies Group of UWI, Mona Campus. The draft stock taking exercise for the Third National Communications indicated that some sectors would need more detailed studies such as the financial and agricultural sectors if more data became available.</p>	Q6: N/A

Documenting sources/Citation

Anita James, hired reseacher

Government of Saint Lucia. 2010. Vulnerability and Adaptation Assessment: Disaster Management Issues. Second National Communication Project of Saint Lucia. Prepared by A.L. French on behalf of the Sustainable Development and Environment Division, Ministry of Physical Development and the Environment, pg 11, 129

Government of Saint Lucia. 2001. Saint Lucia Climate Change Vulnerability and Adaptation Assessment. Prepared as part of the programme on enabling activities as part of Saint Lucia’s commitments under the UNFCCC. Prepared by Brian Challenger, Lyndon John and Joanna Raynold.

Government of Saint Lucia. 2001. Saint Lucia’s Initial National Communication on Climate Change in Response to its Commitments under the United Nations Framework Convention on Climate Change. Ministry of Physical Development and the Environment. Ch4. Pgs 41-71

Government of Saint Lucia. 2010. Second National Communication to the UNFCCC, Vulnerability and Adaptation Assessment Synthesis Report for Saint Lucia. Prepared by P.E. Murray and B. Tulsie on behalf of the Sustainable Development and Environment Division, Ministry of Physical Development and the Environment

Government of Saint Lucia. 2011. Second National Communication on Climate Change for saint Lucia. Ministry of Physical Development and the Environment.

Sustainable Development and Environment Division of the Ministry of Sustainable Development, Energy, Science and Technology, “Vulnerability and Capacity Assessment (VCA) Pilot Project” Powerpoint presentation

Interviews:

Mr. Crispin d’Auvergne, Chief Sustainable Development and Environment Officer, Sustainable Development and Environment Division, Ministry of Sustainable Development, Energy, Science and Technology, 31st may 2013, Sustainable Development and Environment Division’s Office, Caribbean Cinemas, Choc

Ms. Joalia St Louis, Saint Lucia Insurance Council Chairperson, The Beacon Insurance Company, 7th June 2013, telephone interview

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

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.

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: The existing vulnerability and impacts assessment was limited in considering socioeconomic drivers of vulnerability extent. The vulnerability of key physical, social and economic sectors and the consequences of these impacts on sustainable national development weighed heavily in selecting the sectors for the assessments. However issues of governance, social stratification, gender impacts have not been examined in detail due to limited financial and human resources.

Quality 2 Description

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

Findings: The methods for assessing both impacts and vulnerability are made transparent through the Initial and Second National Communications reports which are publicly available through the SDED on request, disseminated and able to be understood by a wide audience. Geographic Information System technology was used to generate temporal sea level rise scenarios and spatial data platforms for analysis and decision making.

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: Town and village councils, NGOs, key industries and scientific community were invited to the national consultations on preparation of the national communications which included the vulnerability assessments. In developing the Pilot Program for Climate Resilience which decided on the adaptation measures for implementation, civil society in the north and south of the island, the public sector, private sector, academia and research

were invited to extensive national consultations.

Quality 4 Description

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.

Findings: Only one subnational assessment was done for the Vieux Fort region and not included in the National Communications but was a project executed in collaboration with the CARICOM Climate Change Community Centre. Human settlements were studied in detail and looked at the various regions of the country.

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: Saint Lucia's Initial and Second National Communications Vulnerability Assessments were done in consultation with public sector stakeholder groups across the country in selecting the sectors to be assessed. These sectors were presented to multistakeholders during the national consultations held for the national communications presentations. The water sector was regarded as the cross cutting issue to consider how impacts may be related and comprehensive adaptation planning for the different sectors ensued as would be applied to the PPCR program. Human settlements and their vulnerabilities were studied and stakeholders consulted from the various regions of the country during the preparation of the report on vulnerability assessments for human settlements. The sectors teams which prepared the vulnerability assessments consulted with a variety of stakeholders in producing their individual reports.

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: Saint Lucia's national communications vulnerability assessments were based on UNAF and 123 modelling methods which looked at scenarios of 2020, 2050, 2080. Current temperature scenarios suggest that: minimum temperatures have increased at a rate of ~0.16° C per decade, and maximum temperatures at ~0.20° C per decade; the country is

projected to be warmer by up to 1.0 C by the 2020s, 2.0 C by the 2050s, and 3.0 C by the 2080s; the frequency of very hot days and nights will increase, while very cool days and nights will decrease; there is a likelihood that the country will be drier (in the mean) by the end of the century; the dry period is likely to be early in the year and June-July drier; and mean annual precipitation shows a steady increase from the 1970s to the 1980s, remained almost constant in the 1980s and 1990s and decreased slightly in the 2000s. An increase in intense tropical cyclone activity in the North Atlantic since about 1970 has been correlated with increases of tropical sea surface temperatures. These are in keeping with the IPCC Scenarios.

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)

Yes, as found in the PPCR it is most comprehensive. Intial and Second National Communications also contained some inventories.

Inventory created by	Government	NGO/Community	Academic Institution	Industry	Other
Name SDED	Climate Change Focal Point				

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	Interview an official to find out the extent that ongoing assessments and adaptation efforts are being integrated into national assessments and adaptation plans.

	<p>industry-level documents.</p> <p>The Vieux Fort Vulnerability Capacity Assessment (VCA), the PPCR, the initial and Second National Communications contain citations of ongoing assessments and work on adaptation at one subnational and mainly national levels. The disaster vulnerability assessment and the synthesis of the vulnerability assessments for the Second national Communications contain inventory of adaptation measures.</p> <p>The human settlements sector assessment examined the vulnerability of the various regions in the country.</p>	<p>Currently Saint Lucia is formulating a national development plan and these assessments and adaptation plans are being taken into consideration into the formulation. A situational analysis of the various sectors including environmental protection, coastal zone management and vulnerability assessments for Climate Change are expect to be included in the creation of the national development plan.</p>
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Documenting sources/Citation

Anita James, hired researcher

Government of Saint Lucia. 2010. Second National Communication to the UNFCCC, Vulnerability and Adaptation Synthesis report for Saint Lucia. Prepared by PE Murray and B. Tulsie on behalf of the Sustainable Development and Environment Division, Ministry of Physical Development and the Environment, Annex 4, page 105

Government of Saint Lucia. 2010. Vulnerability and Adaptation Assessment : Disaster Management Issues. Second National Communication Project of Saint Lucia. Prepared by A.L. Dawn French on behalf of the Sustainable Development and Environment Division, Ministry of Physical Development and the Environment, Annex 7, Adaptation Projects page 110; Table 10, Page 59, Adaptation Projects Status Reports

Dale Bernard, Economist, Ministry of Economic Affairs and National Development, 5th June 2013, Rex St. Lucian Conference Room

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)

The SDED has a mandate under the NEP/NEMS, the National Climate Change Policy and Action Plan of 2002 and the UNFCCC obligations to produce national communications on activities to adapt to Climate Change. The country is also involved in the Barbados Program of Action (BPOA), The Mauritius Strategy, the Saint Georges Declaration of Principles for Environmental Sustainability which all pledge that the country would take measures to adapt to Climate Change. The efforts are coordinated by the SDED which produced periodic reports on progress. The SDED is comprised of several officers working on major Multilateral Environment Agreements such as the Montreal Protocol, the UNFCCC, the Basel Convention, the Rotterdam Convention, the UN Convention to Combat Desertification and the Biodiversity Convention. The division usually leads the climate change vulnerability assessments through its UNFCCC technical focal point and experts from the private and public sector are usually coopted to assist in undertaking the assessments through island wide focus group and national consultations.

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

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
<p>General: Are there legal requirements, administrative guidelines, or rules that require an institution to produce a vulnerability and impacts assessment and a national inventory of adaptation over time?</p> <p>The NEP/NEMS guides the action of the SDED as far as climate change vulnerability and impact assessments are concerned. As a party to the UNFCCC, Saint Lucia is mandated to produce the assessments as part of its national communications. There is a Cabinet appointed Climate Change Committee that the SDED reports to. The National Climate Change Policy and Action Plan also mandates the SDED to review and revise these assessments over time. Through the Barbados Program of Action and the St Georges Declaration of Principles for Environmental Sustainability, Saint Lucia is expected to report on its climate change adaptation measures</p>	<p>General: N/A</p>	<p>General: N/A</p>
<p>Q1. Are there legal requirements, administrative guidelines, or rules that require the presentation of the vulnerability and impacts assessment and the</p>	<p>Q1. N/A</p>	<p>Q1. Interview a knowledgeable representative from an agency participating in the assessment to see if there is upward accountability.</p> <p>Information shared with Cabinet Appointed National Climate Change</p>

<p>inventory of adaptation efforts to national authorities?</p> <p>Yes, NEP/NEMS, the National Climate Change Adaptation Policy and Action Plan and the National Climate Change Committee Terms of Reference mandate that all climate change reports are shared with that Cabinet appointed National Climate Change Committee</p> <p>The aim of the national climate change adaptation policy is to foster and guide a national process of addressing the short, medium and long term effects of climate change in a coordinated, holistic and participatory manner.</p> <p>As part of the accountability requirement of the National Climate Change Adaptation Policy, all ministries or agencies shall have responsibility for implementing specific activities to address Climate Change and shall report as required to the National Climate Change Committee or to the Ministry with responsibility for climate change issues.</p> <p>The Committee shall report to the Cabinet of Ministers through the relevant Minister on a semi-annual basis as well</p>		<p>Committee.</p>
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<p>as at any other time deemed necessary. The National Climate Change Committee shall present to Cabinet an annual report on measures that have been taken to implement this policy.</p>		
<p>Q2. N/A</p>	<p>Q2. N/A</p>	<p>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).</p> <p>The Health and Finance Ministries and Insurance Council were interviewed as members of the National Climate Change Committee, they confirm that coordination of climate change adaptation assessments is occurring.</p>
<p>Q3. N/A</p>	<p>Q3. Assess whether the documents were produced and where funding came from.</p> <p>Soft copies of the assessments of the sectors were produced for the Initial and Second National Communications. The Funding came from the Global Environment Facility-United Nations Development Program (UNDP-GEF). Summaries of the assessments are included in the national communications which were produced as hard copies and disseminated to select agencies.</p>	<p>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.</p> <p>The budget was sufficient to carry out the assessment of sectors and not regions. The inventory was carried out for the First and Second national Communications and for the PPCR program</p>
<p>Q4. N/A</p>	<p>Q4. Briefly review</p>	<p>Q4. Interview at least 1 independent</p>

	<p>the qualifications of lead staff and supporting staff in the responsible agencies.</p> <p>The qualifications of lead staff are at the BSc and Masters Level in Environmental Engineering, Soil Science, Planning, Economics, Coastal Zone Management, Climate Change, Sustainable Development, Disaster Management, Tourism Studies, Public Health</p>	<p>scientist or an academic who has reviewed the qualifications of members of the national assessment team.</p> <p>The national assessment team included individuals qualified in the sector areas from the government service collaborating with similarly qualified persons from the private sector as much as possible. The teams were trained in the Climate Modelling Methods by the Climate Studies Group of the Mona Campus, University of the West Indies (UWI). The teams met regularly with the National Climate Change Committee to chart the progress of the assessments until the assignment was completed.</p>
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Documenting sources/Citation

Anita James, hired researcher

Government of Saint Lucia, . 2002. National Climate Change Policy and Adaptation Plan. Ministry of Physical development, Environment and Housing. Pg 19, Accountability, Monitoring and Review, Mayers Printing Co. Ltd

Crispin d’Auvergne, Chief Sustainable Development and Environment Officer, Ministry of Sustainable Development, Energy, Science and Technology; 31st May 2013, SDED Offices

Ms. Joalia St Louis, Chairperson, Saint Lucia Insurance Council, Beacon Insurance agency Representative, Friday 7th June 2013, telephone interview

Mr. Emmerson Vitalis, Environmental Health Officer, Environmental Health Branch, Ministry of Health, 31st May 2013, telephone interview

Ms. Dale Bernard, Economist, Ministry of Economic Affairs and National Development, 5th June 2013, Rex St Lucian Conference Room

Ms. Deepa Girdari, Tourism Officer, Ministry of Tourism and Creative Industries, 25th June 2013, E-mail interview

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**

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: The report on vulnerability and adaptation is presented to the National Climate Change Committee which is a duly appointed Cabinet Committee as part of the National Communications on Climate Change for the United Nations Framework Convention on Climate Change (UNFCCC). Political ownership of the process was created through the PPCR where external funding had to be sought from the World Bank to implement the adaptation projects under the PPCR and Disaster Vulnerability Reduction Program (DVRP) which stemmed from the vulnerability assessment studies. According to the NCPAP, the NCCC is to report to the Cabinet of Ministers on a semi annual basis and to prepare an annual report for presentation to the Cabinet.

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: The SDED which is in charge of preparing vulnerabilities and impact assessments has coordinated efforts with other relevant agencies and institutions through the National Climate Change Committee and through its collaboration with the vulnerability assessment and adaptation teams of the National Communications Process. The preparation of the suite of projects for the Pilot Program for Climate Resilience entailed extensive coordinated consultative and collaborative discussion with stakeholders.

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: The SDED as a part of its obligations under the UNFCCC reviews, revises and updates the national assessment and inventory of adaptation efforts periodically. In this regard the Initial and Second National Communications have been produced which gives an indication of adaptation efforts undertaken or proposed on the island. The Stock Taking Exercise for the Third National Communications has been completed and the Project Document is currently being finalized. Funding has been provided at all times by

the Global Environment Enabling Activity Facility.

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: The inventory of existing adaptation efforts was produced for the Initial and Second National Communications and the PPCR through extensive consultation islandwide. The consultants hired to undertake the PPCR process and the vulnerability assessments were quite well versed in understanding the biological, economic and social elements of climate impacts and vulnerability and this is reflected in the sectors studied and the variety of projects selected to be implemented.

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

There is a process for identification of priority sectors which was obtained through national consultation with relevant stakeholders based on socio-economic factors that are important for national development. This process occurs according to which sectors the stakeholders deemed relevant to be assessed. As a result seven sectors were addressed in the Initial National Communications, ten sectors were addressed in the Second national Communications. Human settlements were studied according to the quadrants identified in the National Vision Plan, viz the Northwest Quadrant, the North East Quadrant, the West Central Quadrant and the Southern Quadrant. The Castries, Gros Islet regions form the Northwest Quadrant, Praslin, Micoud, Vieux Fort, Laborie, Choiseul regions form the Southern Quadrant; Babonneau, Dennerly regions form the North East Quadrant and Soufriere, Anse La Raye regions form the West Central Quadrant. Climate Change impacts of Sea level rise, extreme events, increased mean annual temperature, change in rainfall patterns were investigated; overall vulnerability and adaptive capacity were assessed for each region. Economic development and population densities were noted. The PPCR process further consulted all sectors and walks of life from the public, private sector, civil society, academia and research organisations to ensure that all key stakeholders were involved in deciding on the final selection of adaptation projects to be implemented.

Prioritization(s) made by	Government	NGO/Community	Academic Institution	Industry	Other
Name	SDED UNESCO National Commission St Joseph’s Convent Ciceron Secondary School Micoud RC Infant School	CYEN CWWA SLHTA APESL CARITAS Gros Islet Town Council SLNT ICAR Castries Fishermen’s Cooperative Society Ltd	University of the West Indies	WINFRESH ECFH LUCELEC CFL Cocount Bay Beach Resort and Spa ICSL The Great Physician International	CARILEC OAS Embassy of Mexico JICA OECS-ESDU CEHI IICA NAO/EDF NDC The

		Saint Lucia Dive Association- Anbaglo Dennery Mabouya Valley Development Foundation Folk Research Centre SMMA NCA Gros Islet Football League Vieux Fort South Football League Laborie Development Foundation Mabouya Valley Youth and Sports Council Dennery Village Council Mothers and Fathers' league Choiseul Village Council Vieux Fort North Council Anse La Raye Development Foundation Micoud North Disaster Preparedness Committee Vieux Fort North Rural			Marina and Marigot Bay Insurance Council of Saint Lucia Tapion Hospital
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		Council			
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Priorities	Geographies	Populations	Sectors	Ecosystems	Infrastructure	Agencies
Specify	Vieux Fort	Vieux Fort	Agriculture Tourism Critical infrastructure Disaster Human settlements Financial services Water Disaster Biological diversity Forestry Coastal resources	Marine Coastal Forest	Bridges Hurricane Shelter at Marchand	Coconut Bay Ministry of Social Transformation

Qualities of the indicator	Yes	Limited	No	n/a
1. Identification of priorities considers critical sectors, geographic regions, vulnerable populations, ecosystems, and infrastructure. (Comprehensiveness)	x			
2. Process for identification of priorities is transparent and publicly available. (Transparency & Participation)			x	
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)	x			
4. Institutional needs are identified in relevant general planning documents, such as sectoral strategies or regional development plans. (Comprehensiveness)	x			
5. Prioritization uses cost-benefit analysis that is stakeholder-driven. (Capacity/Transparency and Participation)			x	

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	<p>General: Identify any record of prioritization. This may include specific plans, laws, or approved budgets.</p> <p>The National Climate Change Adaptation Policy identified a suite of adaptation activities to be carried out. This plan was also developed through a national consultative process. It prioritised activities giving priority, rationale, time frame, resource needs and scope.</p> <p>The PPCR Process produced a list of adaptation projects from the SNC as well as criteria for project prioritisation and selection for possible funding by the World Bank and the GCCA Alliance. It also included a summary of actions deemed to be of national significance for addressing Climate change.</p>	<p>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.</p> <p>Ministries and agencies produced a suite of adaptation projects for possible funding. These were prioritized in consultation with the submitting agencies.</p>
Q1. (Optional) Some countries have a requirement to consider a minimum set of factors	Q1. Review documents prepared by the responsible institution(s) to establish priorities in the key area.	Q1. In the absence of clear documentation of consideration of priorities, interview at least 1

<p>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.</p>	<p>Assess the extent to which the documents available inform the reader of the priority areas considered before the final decision was made.</p> <p>The PPCR and SPCR documents inform the reader of the priority areas identified through national consultations and based on agreed prioritization criteria.</p>	<p>individual involved in the decision-making process to identify whether there was a broad consideration of potential priorities before arriving at a final decision.</p> <p>Same as above</p>
<p>Q2. N/A</p>	<p>Q2. Find the consultation documents and the final prioritization. Note whether the document is available on the internet free of charge and is easily found by a non-specialist.</p> <p>The PPCR documents are available as hard and soft copies from the SDED. However, they are not available on the internet.</p>	<p>Q2.N/A</p>
<p>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?</p> <p>The NEP/NEMS calls for participatory development of programs to address environmental actions. The SDED uses participatory methods through national consultations and focus group meetings to arrive at policies and programs to address environmental</p>	<p>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.</p> <p>The Second National Communications (SNC) and the PPCR documents contain the priority adaptation projects. The SNC groups these adaptation actions according to short, medium and long term priorities. The PPCR gives an indication of the projects that would be</p>	<p>Q3. Interview individuals involved in the establishment of priorities for the country to find out how many and what type of consultation took place</p> <p>The individuals interviewed were not able to give that kind of specificity of information.</p>

<p>degradation problems.</p> <p>The NCCPAP calls for a participatory approach to addressing climate change issues.</p>	<p>funded. They are both obtained from the SDED.</p>	
<p>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.)</p> <p>In the NCCPAP, resource needs were considered in the prioritization process.</p>	<p>Q4. Consult the existing prioritization document or supporting action plans for identification of institutional needs.</p> <p>The PPCR, National Capacity Self Assessment (NCSA) and the Stock Taking Exercise of the Third National Communications (TNC) contain the institutional needs as far as adaption is concerned.</p>	<p>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.</p>
<p>Q5. Review whether stakeholder-driven cost-benefit analyses are required in prioritization processes .</p> <p>The prioritization process for the PPCR program was left to each agency as to their most pressing needs.</p>	<p>Q5. Review prioritization documents for methods used.</p> <p>The prioritization process was determined by agencies according to their most pressing needs and whether the projects would be funded by the donor funding agencies and the contribution of the sectors to national socio-economic development, along with the proposed criteria of cost, effectiveness, ease of implementation, accessibility to stakeholders, accessibility to Finance Ministry, accessibility to external donors, endorsement by experts, time frame, institutional capacity, size of beneficiary group, potential social, environmental and economic costs and benefits, synergies with other initiatives, sustainability.</p>	<p>Q5. (Optional) Interview 1 person involved in prioritization process to understand if cost-benefit analysis was employed in prioritization and what stakeholders were involved.</p> <p>The agencies selected their projects based on their most pressing needs for national socio-economic development and whether they would be funded by the donor agencies for the PPCR program.</p>

Documenting sources/Citation

Anita James, hired researcher

Government of Saint Lucia. 2002. Saint Lucia National Climate Change Policy and Adaptation Plan. Pgs 21-29, The National Climate Change Strategy

Government of Saint Lucia. 2011, Strategic Program for Climate Resilience under the Pilot Program for Climate Resilience, Volume 4, Appendix 6, Pg 11, Appendix 7, pg 18, Appendix 8, pg 21

Government of Saint Lucia, 2007, National Capacity Needs Self –Assessment for Global Environment Management in Saint Lucia. Ministry of Physical Development, Environment and Housing. Prepared by Agrico, Limited. Institutional Framework, pgs 11-13, Pg 67 Institutions strengthened in support of environmental management

Ms. Dawn Nathoniell, Sustainable Development and Environment Officer, Ministry of Sustainable Development, Energy, Science and Technology, 3rd June, 2013, interview at SDED Offices, Choc

Ms. Joalia Louis, Chairperson Saint Lucia Insurance Council, Beacon Insurance Agency, 7th June, 2013, telephone interview

Ms. Hayes, Head of Standards Development Department, Saint Lucia Bureau of Standards, 24th June 2013, telephone interview

Mr. Cuthbert Nathoniell, Internal Auditor, Saint Lucia Air and Seaports Authority, 24th June 2013, telephone interview

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 responsive planning. A national process may consider:

- 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)

Findings: The prioritization process for the country considered the factors described above with special attention paid to those critical for national socio-economic development. This prioritization resulted in a number of initiatives being implemented with external funding.

For example, the water sector, which is considered cross cutting for all other sectors, is bebefitting from investments through the RRAC project of the USAID in collaboration with the OECS. The Vieux Fort region was considered for adaptation investments under the Special Program for Adaptation to Climate Change (SPAC), in collaboration with private sector interests. Also, under the Vulnerability Capacity Assessment adaption options being considered by the Ministry of Social Transformation, vulnerable groups in three communities would be considered for capacity development, and the forest rehabilitation program was considered of great necessity as it is important for soil conservation and water production purposes. The marine and coastal ecosystems were also identified for adaptation measures by the Fisheries Department as they are important for fisheries provision in the country. Funding facilities were designed to assist private sector agencies to borrow funds at reasonable rates for investment in adaptation projects.

Quality 2 Description

This indicator assesses whether there is a transparent and well-publicized process and documentation of the prioritization process.

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.

Are there legal requirements, administrative guidelines, or rules that require publication and dissemination of:

- 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?

Findings: In PPCR documentation, there is a proposed criteria for project prioritization and selection that was used in designing Saint Lucia's suite of activities under that programme. The prioritization process for the PPCR activity was transparent as it was devised through extensive consultation with stakeholders and through this method it was well publicized. The PPCR document which can be regarded as a prioritization document is publicized, available at no cost and sufficiently understandable by members of the public. There are no legal requirements that require publication and dissemination but as a matter of policy the proposed priorities were publicized and disseminated. The structure of the decision making process was not publicized or disseminated. Opportunities to participate in the decision making process were given to stakeholders through the extensive consultations of the PPCR process. The final results of the prioritization process were publicized and disseminated.

Quality 3 Description

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 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.

Findings: There were extensive consultations in the determination of adaptation projects under the PPCR process using a criteria list. All categories of stakeholders were invited to these consultations in order to determine the priority projects of the country.

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: Under the NCSA, institutional needs for carrying out adaptation activities were identified through a national consultative process. Through the PPCR process, there was a criterion to determine whether institutional capacity existed to carry out a particular project. The criterion sought to determine whether the capacity existed within the institution, whether it could be sourced locally, and how much additional capacity and knowledge were needed to implement the option?

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: In the criteria used to determine the priority of an adaptation activity that was selected, it was considered whether the adaptation option provide large benefits to a small group of persons or incremental benefits to a large group of persons, how significant were the anticipated benefits, whether there were possible adverse effects on the environment or people, whether the initiative would build on past, current or planned initiatives, whether the option if implemented would be sustained over time.

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

There are new initiative budget processes which may be used to channel funds to government adaptation institutions.

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

Priorities in planning documents (list major items)	Reflected in budget? (y/n)
1. implement measures to rehabilitate, restore or establish water supply systems to augment national water supply	Yes, under the PPCR
2. Implement measures to safeguard health and sanitation	Yes, under the PPCR
3. Ensure security and safeguarding of food provisioning	Yes, under the PPCR
4. Implement measures to safeguard community and livelihood assets	Yes, under the PPCR
5. Collaborate with relevant stakeholders to further development of enabling environment for implementation of the integrated development planning/environmental management framework approach to national development.	Yes, under the PPCR

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

and harmonization. (Comprehensiveness)				
4. Budgetary processes meet international standards for transparency and participation. (Transparency and Participation)	X			

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
<p>General: Review official budgets and the process for making budgetary processes transparent in a timely manner.</p> <p>National budgetary processes are transparent to the extent that public agencies are invited to submit initiatives for funding but they are not involved in the selection process except to defend their submissions if they are considered worthy of deliberations.</p>	<p>General: Find the budget and identify whether the projects and programs described in the prioritization are currently being funded.</p> <p>Through the PPCR program, funding was obtained for most of the prioritized projects, through the World Bank and the Global Climate Change Alliance.</p>	<p>General N/A</p>
Q1. NA	<p>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.</p> <p>The PPCR process has budgets that were recently approved for funding by external donor agencies and the Minister of Finance.</p>	<p>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.</p> <p>The priorities are reflected in the budget as long as they are externally funded.</p>
Q2. NA	Q2. See above	Q2. See above
Q3. NA	Q3. Refer to relevant	Q3. See above, as necessary.

	documents on harmonization of finance, including OECD-DAC's website on Paris Principles for Aid Effectiveness, and your own country's budget documents.	
<p>Q4. Review transparency standards for budgeting at major steps in the process. This may include parliamentary rules on appropriations and oversight.</p> <p>The Finance Act of Saint Lucia sets the standards for public sector budgeting and financial management.</p>	<p>Q4. Identify and review evidence of budgets being released to public.</p> <p>The budgets are placed in Volumes 1 and 2 of the Budget estimates. Volume 1 is the narrative of the budget while Volume 2 contains the figures involved in the budget. These volumes are sold to the public at a cost of \$125EC and can be obtained from the National Printing Corporation.</p>	<p>Q4. (Optional) Interview 1 representative from stakeholder watchdog group and 1 agency personnel to verify transparency and participation</p> <p>Stakeholder watchdog group, the National Consumers Association could not verify this as it had not done such an investigation.</p>

Documenting sources/Citation

Anita James, hired researcher

Government of Saint Lucia. Volume 1. Budget Estimates 2011-2012

Government of Saint Lucia. Volume 2. Budget Estimates

Government of Saint Lucia. The Finance Act

Ms. Mary Daniel, Sales Officer, National Printing Corporation, 29th May 2013, Telephone interview

Mr. Raphael St. Hill, President, National Consumers Association, th June 2013, e-mail interview.

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: The PPCR documents were approved by the Minister of Finance for external funding to be rolled out. These approved projects would be included in the budget estimates for the financial year for which the adaptation measures would be undertaken.

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: The budgetary institutions usually disburse funds effectively to agencies that need them but the usual obstacles occurs when the external funding agency may take long to disburse the funds due to their own bottle necks.

Quality 3 Description

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

Findings: This occurs quite effectively as long as the funds are disbursed from the international finance agency in a timely fashion.

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: Budget estimates are available in Volumes 1 and 2 to the public for sale from the National Printing Corporation.

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

No process exists for revisiting priorities set forth in official prioritization decisions.

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

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

This indicator assesses whether the institution responsible is accountable to an authority (such as a parliament or executive office).

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.

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.

Findings:

Quality 2 Description

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.

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.

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.

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

N/A

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)				N/A
2. Coordination needs across sectors and ministries have been considered and are described in a publicly available document. (Comprehensiveness and transparency and participation)				N/A

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).
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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, inter-sectoral, and multilevel planning within or affecting the country.	General: Review recommendations for interagency, inter-sectoral, 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	Q2. Review publicly available documentation of coordination needs across sectors or ministries.	N/A

sectors or ministries.		
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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:*

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

The Sustainable Development and Environment Division of the Ministry of Sustainable Development, Energy, Science and Technology is tasked with the responsibility of adaptation coordination in the country. This responsibility is contained in the NCCPAP.

Coordination organized by:	Government	NGO/Community	Academic Institution	Industry	Other
Institution Name	Sustainable Development and Environment Division				

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)	X			
2. Sufficient resources have been appropriated for coordination activities. (Capacity)		X		
3. Coordination body has appropriate membership and skill sets. (Capacity)	X			
4. There is a system for monitoring and review of the coordination process. (Accountability and Enforcement)	X			
5. Officials and members of the public have mechanisms to ensure that actions for coordination have been undertaken. (Accountability & Enforcement)			X	

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
<p>Review existing laws, administrative guidelines, or rules that require the integration an institution to review, revise, and implement country adaptation coordination strategies.</p> <p>The Sustainable Development and Environment Division of the Ministry of Sustainable Development, Energy, Science and Technology by virtue of the fact that it is the technical focal point of the United Nations Framework Convention on Climate Change resides with them affords them the responsibility to</p>	N/A	N/A

<p>review, revise and coordinate the implementation of adaptation strategies</p> <p>The Volume 1 Estimates of the Ministry of Finance defines the role of the various divisions of government including SDED. The NCCPAP defines the role of the agency responsible for implementation of climate change adaptation activities.</p>		
<p>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.</p> <p>The NCCPAP gives the body responsible for climate change adaptation, the role of coordinating the implementation.</p>	<p>Q1. Find any documentation (online or otherwise) that clearly defines the coordinating body's mandate, how it was created, and to whom it reports.</p> <p>The SDED was created as a section in the Ministry of Planning, several years ago. It oversees environmental management matters from generally a policy standpoint and is the focal point for several MEAs. It possesses no legal mandate but as the body charged to implement the United Nations Framework Convention on Climate Change, is responsible to promote adaptation measures. The National Climate Change Policy and Action Plan for was endorsed by Cabinet in 2002 and mandates the body responsible for climate change to coordinate adaptation strategies for the country.</p>	<p>Q1. N/A</p>

	<p>The NCCC was created during the CPACC Project and for the implementation of climate change activities.</p> <p>According to the NCCPAP, the NCCC shall report to the Cabinet of Ministers through the Minister of Environment.</p>	
Q2. N/A	<p>Q2. Identify the budget for the coordination body.</p> <p>Project funding for the SDED comes most often from donor agencies. In 2010-2011, \$672,482EC; in 2011-2012, \$1,009,479 and in 2012-2013, \$1,423,586 was spent by SDED on their programs and except for salaries and sundries, no local funds were available for adaptation coordination work</p>	<p>Q2. (Optional) Interview officials from agencies responsible for implementation of coordination to gain perspective on funding levels.</p> <p>The Chief Sustainable Development and Environment Officer, Mr Crispin D’Auvergne stated that donors provide the funding for adaptation coordination activities.</p>
<p>Q3. Review laws, guidelines, and rules as to the quorum and make-up of the prioritization body.</p> <p>The SDED works through the National Climate Change Committee which is composed of public, and private sector entities and NGO representatives. Its mandate flows from the NCCPAP.</p>	<p>Q3. Review documentation of prioritization institution’s membership rules and member qualifications (e.g., CVs or appointment proceedings)</p> <p>The NCCC is a Cabinet appointed committee. All ministries or agencies with responsibility for implementing specific activities or programmes to address Climate Change are to report as required to the National Climate Change Committee. The implementation of the National Climate Change</p>	Q3. N/A

	<p>Adaptation Policy shall be monitored by the broad based National Climate Change Committee.</p> <p>Members comprise the Biodiversity Unit, the Department of Agriculture, the Department of Fisheries, the Forestry Department. The Saint Lucia Insurance Council, the Ministry of Finance, the National Emergency Management Organisation, the Physical Planning Department, the Environmental Department, Ministry of Health, the National Conservation Authority, the Public Utilities Department, the Saint Lucia Electricity Services Ltd, the Saint Lucia Solid Waste Management Authority, the Sir Arthur Lewis Community college, the Saint Lucia Air and Sea Ports Authority, The Water and Sewerage Company, the Saint Lucia Bankers Association, Ministry of External Affairs, the Water Resources Management Unit</p>	
<p>Q4. Review administrative rules, guidelines and procedures requiring the periodic monitoring and review of the coordination mechanism</p> <p>The NCPAP outlines that government shall review the mandate, terms of reference and composition of the National Climate Change</p>	<p>Q4. Determine whether there are publicly available reports on the results of monitoring and review—either from internal sources or external groups.</p> <p>There is no documentation on the results of monitoring and review of the coordination mechanism.</p>	<p>Q4. N/A</p>

<p>Committee with a view to better equipping it to fulfil its mandate.</p>	<p>As a result, there is nothing publicly available.</p>	
<p>Q5. Review relevant laws (climate change law, administrative procedures act, etc.) and precedents authorizing administrative review procedures, judicial review, and citizen suit.</p> <p>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.</p> <p>The above does not exist</p>	<p>N/A</p>	<p>N/A</p>

Documenting sources/Citation

Anita James, hired researcher

Government of Saint Lucia. 2011 Estimates Volume 2011-2012

Government of Saint Lucia 2012 Estimates Volume 2012-2013

Government of Saint Lucia. 2002. National Climate Change Policy and Adaptation Plan, Ministry of Physical Development, Environment and Housing Pg 19 Monitoring and Review.

Government of Saint Lucia. 2011. Strategic Program for Climate Resilience

Mr. Crispin d’Auvergne, Chief Sustainable Development and Environment Officer, Sustainable Development and Environment Division, Ministry of Sustainable Development, Energy, Science and Technology, 31st May, SDED Office.

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

The starting point for 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: The National Climate Change Policy and Action Plan mandates the broadbased National Climate Change Committee to champion the adaptation plan for the country. The National Climate Change Committee is the body that the SDED reports to on Climate Change adaptation matters and progress.

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: The SDED holds meetings of the National Climate Change Committee based on funds obtained from projects from external donor agencies such as the Global Environment Facility. The salaries of the SDED staff members are paid for by the government of Saint Lucia.

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: The representatives of private, public and NGO sectors who sit on the NCCC that the SDED reports to, are from the following agencies : Biodiversity Unit, Department of Agriculture, Department of Fisheries, Forestry Department, Insurance Council of Saint Lucia, Meteorological Services Department, Ministry of Finance, Ministry of Tourism, National Emergency Management Organisation, Physical Planning Department, Environmental Health Department, National Conservation Authority, Public Works Department, St. Lucia Electricity Services limited, Public Utilities, St Lucia Solid Waste Management Authority, Sir Arthur Lewis Community College, St Lucia Air and Sea Ports Authority, Water and Sewerage Company, St Lucia Bankers Association, Ministry of External Affairs, Water Resources Management Unit. The members who represent these agencies are usually quite qualified in their field. The members' qualifications and backgrounds are made public if requested.

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: The National Climate Change Committee meets at least once a quarter or as projects demand. The monitoring and review of adaptation strategies occur when the national communications are being formulated including the assessment of vulnerabilities to Climate Change. The NCCC usually guides the process. The NCCC also supervised the PPCR process, of which the implementation of adaptation measures is still to be rolled out.

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: Access to information on the NCCC, including its membership and activities is available on request. The NCCPAP mandates the NCCC to be responsible for implementing the adaptation strategies of the country. The PPCR Process mandates SDED to play a coordinating role in the implementation of the PPCR activities.

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

The SDED meets with the NCCC on a needs basis depending on the availability of funding from external donors.

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

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

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. Minutes of coordination meetings are attached as Appendix 3.	Q1. Interview 2-3 representatives of coordinating body members to see if the coordination processes if meetings are scheduled. The members interviewed all indicated that the 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 The members generally could not remember examples of decisions that were adopted .
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. The members interviewed generally revealed that coordination efforts were successful because decisions that were taken at meetings were usually followed up and documented

Documenting sources/Citation

Anita James, hired researcher

Government of Saint Lucia. Unpublished. 2008. Notes of NCCC Meeting 21st Oct 2008

Government of Saint Lucia. Unpublished.2007. Notes of NCCC Meeting 9th October 2007

Government of Saint Lucia. Unpublished report. 2007. Powerpoint Presentation, Quarterly Meeting of NCCC, 2nd October 2007

Ms. Joalia St. Louis, Chairperson, Saint Lucia Insurance Council, Beacon Insurance Agency, 7th June 2013, telephone interview

Mr. Cuthbert Nathoniell, Internal Auditor, SLASPA, 24th June 2013, telephone interview

Ms. Tzarmallah Haynes, Head of Standards Department, Saint Lucia Bureau of Standards, 24th June 2013, telephone interview

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

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

Findings: The coordinating body is as active as funds and projects allow. The meetings are generally well attended when convened, indicating general commitment from the agencies represented. There is no incentive provided to members of the Committee to attend meetings.

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: The SDED has often asked members of the NCCC to be more involved in translating climate change messages and activities on the ground through their agencies. The Saint Lucia Insurance Council held seminars on Climate Change for its members to educate them about the impacts on their sector and members of SDED were invited to make presentations. The SLASPA also carried out one such seminar. Currently the water sector is undertaking an adaptation measure with the assistance of the USAID to improve data management

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: The coordinating body is quite effective. The members of the NCCC interviewed all viewed the SDED in the most favorable light and found that they were very hard working as far as Climate Change and adaptation matters were concerned.

4. INFORMATION MANAGEMENT

WORKSHEET 4A: DATA GATHERING

Indicator	Climate change adaptation-relevant monitoring systems are regularly maintained and updated with data relevant 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

The data gathering systems are generally well maintained such as the meteorological and hydrological stations of the Water Resources Management Agency (WRMA) and the Meteorological Offices. The temperature measuring instruments for the WRMA are currently not working due to the fragility of the instruments. The Agency has its own hydata/webdata software to store data online which online operation is currently not working. It also takes regular humidity and evaporation readings as well as sunshine hours and rainfall readings. They also take stream flow readings and have instituted early flood warning systems on one river. The National Emergency Management Organisation has also established an early warning system for more rivers.

Information Category	Major types of data needed	Has it been gathered	Who gathers? (Institution)	Link
Climate observation	Rainfall, temperature, sea level rise, windspeed, humidity, wave and swell heights	Yes	Met Services WRMA	www.slumet.gov.lc
Demographic information	Age, gender, location occupation	Yes	The Government Statistics Department	www.cso.stats.gov.lc (currently under reconstruction)
Environmental information	Landslides Floods Stream flow Deforestation Water quality	Yes	WRMA NEMO Forestry Trust for the management of rivers(TMR) Fisheries	WRMA, TMR and Forestry do not have websites as such www.nemo.gov.lc forestryeeunit.blogspot.com www.maff.egov.lc iwcam.org/documents/gef-iwcam-project.../gef...of.../file

Local/indigenous knowledge	Medicinal herbs/practices Crafts Music Dance Home gardens	Yes	Folk Research Centre (video taped all over the island, not collected for a while)	www.stluciafolk.org
Other				

Qualities of the indicator	Yes	Limited	No	n/a
1. Climate observation/monitoring systems are regularly maintained and updated with relevant data. (Comprehensiveness)	X			
2. Demographic information systems relevant to climate change are regularly maintained and updated as needed, including forecasts where possible. (Comprehensiveness)	X			
3. Environmental monitoring/observation systems are regularly maintained and updated as is relevant, including forecasts where possible. (Comprehensiveness)	X			
4. Methods for data gathering are made transparent and publicly available. (Transparency & Participation)			X	
5. Data is publicly available in raw form. (Transparency and Participation)			X	
6. Traditional and/or local climate knowledge and observations are gathered. (Transparency and Participation)		X		

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	<p>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.</p> <p>To some degree</p> <p>The reports on climatic and weather conditions examined, as issued by the Saint Lucia Meteorological Services, www.slumet.gov.lc, gave information on weather including forecasts, rainfall, temperature, wind, wave and swell heights that would be useful for most priority sectors examined in the vulnerability assessments.</p>	<p>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.</p> <p>The WRMA collects data on water resources. The type of information collected is maximum and minimum temperatures, sunshine hours, humidity and evaporation. The temperature data have not been collected since December. The sunshine hours are collected every day. The humidity and evaporation data are collected every day. The data is collected physically at Union and Vigie Airport. The Vigie data is collected by WRMA. The data has been collected since the 1950s. Humidity is collected as a percentage. Evaporation is in millimeters.</p>
<p>Q2. (Optional) Consult laws that are relevant for climate change adaptation or for the ministries of health, human settlements or the census.</p>	<p>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.</p> <p>The Economic and Social Review published by the Ministry of Finance contains a variety of data</p>	<p>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.</p> <p>(Optional) Corroborate with an interview from a non-</p>

	<p>that are relevant to adaptation.</p> <p>The government Statistics Department also collects information on demographics that are relevant to adaptation.</p> <p>The Government Statistics Department also publishes statistics of relevance to adaptation such as human settlements, critical infrastructure. Currently their website is under construction.</p> <p>Statistical information on Saint Lucia published in nationmaster.com shows data available on agriculture, industry, disasters, economy, environment, health, people, transportation.</p>	<p>governmental scientist.</p>
<p>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.</p> <p>The Forest and Lands Department, guided by the Forest, Soil and Water Conservation Ordinance of 1946/83 implicitly mentions management of</p>	<p>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.</p> <p>The Forestry Department and the Water Resources Management Agency do not have regular Annual Reports. However reports presented to the Minister of Sustainable Development show that various aspects of data collection are reported on as carried out during the year.</p> <p>The Forestry Department has a good geographic</p>	<p>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.</p> <p>The research department of the Forestry Department is mandated to collect floral data for the agency to help give information on kinds of plants existing on the island, whether these plants are endemic or indigenous, how the species of plants in the forest are responding to environmental conditions.</p>

<p>the forests and similarly implicitly expects collection of data to manage the forest.</p> <p>The Water and Sewerage Act #14 of 2005 guides the activities of the Water Resources Management Agency which implicitly mentions management of the water resources including collection of data. It monitors water quality and quantity, promotes and coordinates research on water issues as they surface, sustains and provides assessments of weather, climate and hydrological data, ensures the accuracy and integrity of primary data on the state of water resources, including maintenance of the recording instruments.</p> <p>The Wildlife Act of 1983 mandates management of Wildlife which implicitly requires data collection.</p> <p>The Water Resources Management Agency disseminates the data on request by other agencies. It produces a regular CARMi bulletin of agrometeorological information in conjunction with the Meteorological Services and the Department of Agriculture.</p> <p>Similarly the Forestry Department disseminates</p>	<p>information systems of forest reserves, wildlife locations, wetlands, mangroves, turtle sites, beaches, rivers, streams, seagrass beds.</p> <p>River bank information and landslide data was collected by Forestry Department.</p> <p>Landslide data shows date collected, location, GPS position, forest reserve, private land, slope, presence or absence of landslides, presence or absence of wildfires, areas of wildfires delineated, bedrock exposure, species present, height and diameter of trees present.</p> <p>Riverbank information is not objective, it is based on a scale with some level of subjectivity, rapid assessment of soils, whether stable or unstable, or less stable, land use management, sources of pollution, built in infrastructure, physical conditions.</p>	<p>The herbarium has 5290 specimens and the plants are collected in terms of genus, species, family, collection number, accession number, location, date collected, regions both as to district and community.</p>
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<p>data on wildlife and forests on request by other agencies. Forestry Department collects information on aspects of land management especially related to watershed and forest management like river bank assessment and landslide data.</p>		
<p>Q4. NA</p>	<p>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.</p> <p>The agencies do not have websites with such documents.</p>	<p>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.</p> <p>The methods for data collection are available on request.</p>
<p>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.</p> <p>Data collection is not explicitly mentioned in the Acts of the departments concerned. There is no Freedom of Information Act in Saint Lucia.</p>	<p>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.</p> <p>Raw data is not revealed; usually only processed data.</p>	<p>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.</p> <p>Raw data is not usually made available.</p>
<p>Q6. Are there rules or</p>	<p>Q6. Do reports from</p>	<p>Q6. Interview key agency</p>

guidelines requiring the integration of local knowledge in climate system monitoring? No.	relevant agencies indicate an collection of local/indigenous knowledge in regards to climate impacts? No.	personnel who may have been involved with coordinating data collection and maintenance. No such collection of data done.
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Documenting sources/Citation

Anita James, hired researcher

Mr. Michael Bobb, Chief Forest Officer, Forestry Department, Ministry of Sustainable Development, Energy, Science and Technology, 24th June 2013, telephone interview

Mr. Michael Andrew, Water Resources Management Agency Director, Ministry of Sustainable Development, Energy, Science and Technology, 24th June 2013, telephone interview

Mr. Joel Ramine, Water Resources Officer, Water Resources Management Agency, Ministry of Sustainable Development, Energy, Science and Technology, 19th June, telephone interview

Mrs. Rebecca Rock, Draughtsman, Forestry Department, Ministry of Sustainable Development, Energy, Science and Technology, 24th June 2013, Balata Office of Forestry Department

Mr. Donatian Gustave, Research Officer, Forestry Department, Ministry of Sustainable Development, Energy, Science and Technology, 24th June 2013, Balata Office of Forestry Department

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

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: Such information is collected by the Saint Lucia Meteorological Services. The agency does the information collation as described. Satellite data is used to verify and supplement local data.

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: Such information can be usually found at the Government Statistics Department. It can also be found on the nationmaster.com website

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: Regular environmental quality data is collected by the Forestry Department and the Water Resources Management Agency which collects hydrological data. Green house gas emissions, projected crop yields are not collected as yet. Species migration is collected by the Forest and Lands Department while vector migration is collected by the Ministry of Health.

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: Data collection is available but the methods are made available on request. The general public, scientists and universities who request information are generally served by the relevant agencies.

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: Data is available usually as processed data. It is usually available on request to members of the public free of charge. There is no freedom of information law.

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: Local knowledge is not taken into consideration in considering official climate variability and change in Saint Lucia.

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.)
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Brief summary of institution, if it exists

The SDED is the institution charged as the technical focal point for Climate Change in the country with coordinating the analyzing of climate adaptation relevant information for Saint Lucia to produce documentation that can be used by key stakeholder groups.

Major Data set	Information gathered by:	Government, NGO, Academic, private sector, Community
1. Rainfall	St Lucia Meteorological Services, WRMA	Government
2. Temperature	St Lucia Meteorological Services, WRMA	Government
3. Sea Level Rise	Meteorological Services	Government
4. Wind speed	Meteorological Services	Government
5. Humidity	Meteorological Services	Government

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)			x	
2. Sufficient budget is provided for ongoing information analysis. (Capacity)		x		
3. The status of vulnerable ecosystems and populations/communities is periodically analyzed. (Capacity)	x			
4. Climate scenarios are developed using all available projections and their uncertainty estimates. (Capacity)		x		

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
<p>General: Consult laws establishing or regulating the organization identified.</p> <p>No laws available as yet</p>	<p>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.</p> <p>The SDED serves that purpose.</p>	<p>General: (Optional) Interviewing a key official will be necessary if the mandate and organization are not identifiable in the law.</p> <p>The UNFCCC’s Focal Point in the country has the mandate under the National Climate Change Adaptation Policy and the National Environmental Policy and Management Strategy.</p>

<p>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.</p> <p>There is no law but the process is undertaken periodically for national communication reports for the UNFCCC. The choice of individuals to do the analyses is based on their skills and experience and usually involves public and private sector expert collaboration.</p>	<p>Q1. Documents published by or available at the institution may contain clues as to whether there is such a peer review process.</p> <p>Such details are not present in the documents. However there is ample collaboration among teams in the preparation of the assessments.</p>	<p>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?</p>
<p>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 government. Examine also the relevant budget and the appropriate laws through which funds are allocated to institutions.</p> <p>No laws exist and the budget caters for payment of salaries and other sundries.</p>	<p>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.</p> <p>The Annual Budget Estimates (Volume 2) includes the budget for the SDED.</p>	<p>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.</p> <p>The external agencies like the Global Environment Facility provide substantial funding for the adaptation programs.</p>
<p>Q3. Does the institution</p>	<p>Q3. Determine through</p>	<p>Q3. (Optional) If information is</p>

<p>have a legal mandate or administrative rule requiring periodic review of the vulnerability status of ecosystems and communities?</p> <p>The guidelines from the UNFCCC allow for periodic review of the vulnerability status of ecosystems and communities through national communications.</p> <p>The NCCPAP also calls for a similar review.</p>	<p>reports or publications whether these analyses are conducted at certain time intervals.</p> <p>These analyses are conducted at four yearly intervals.</p>	<p>not available publicly, ask a representative of the rules are for reviewing and updating vulnerability information.</p> <p>The UNFCCC guidelines are available for viewing by the public</p>
<p>Q4. N/A</p>	<p>Q4. Review reports and publications and compare against recent climate change science literature.</p> <p>The national communications and the vulnerability reports agree with the climate change science literature of the IPCC</p>	<p>Q4. (Optional) This should not be needed unless it's not clear which projections are being considered.</p>

Documenting sources/Citation

Anita James, hired researcher

UNFCCC.2006 IPCC Guidelines

Crispin D’Auvergne, Chief Sustainable Development and Environment Officer, Ministry of Sustainable Development, Energy, Science and Technology, 31st May 2013, SDED Office, Choc

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.**

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

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: Collaboration exists among public and private sector entities engaged in analyzing data. However independent, qualified and skilled professionals do not peer review the data analysis carried out by the teams.

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: Limited budget as is obtained from the Global Environmental Facility.

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: Preparation of the national communications periodically includes vulnerability assessments of various sectors which include ecosystems. The assessments are updated at the time of National Communications preparation.

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: Various sector teams are assigned the responsibility by SDED to assess the vulnerabilities of sectors using climate change predictions and scenarios covering various scenarios and years such as 2020, 2050 and 2080.

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

The process is not stakeholder driven but stakeholder participatory.

Information Category	Major information needs	Has relevant analysis been disseminated	Who disseminates? (Institution)	Link
Climate Scenario Information	Temperature, sea level rise, rainfall, 2030, 2050, 2080	Yes	SDED	
Potential Impacts	Droughts Floods Storm damage Landslides Diseases increase	Yes	SDED	
Other (economic, etc.)	Infrastructure Insurance	Yes	SDED	

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

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, indentified 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
<p>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.</p> <p>NEP/NEMS and NCCPAP encourage a participatory process to adaptation studies. There is no explicit mention of publication of findings.</p>	<p>General: Review agency websites for publications, assess the accessibility of the information and evaluate to see if any stakeholder processes were used.</p> <p>Stakeholders were collaborated with through national consultations and focus groups, publications are not available on agency websites but are available at SDED if requested. The National Climate Change Committee which is a multistakeholder group guided the process of arriving at adaptation measures both for the national communications and for the Pilot Program for Climate Resilience</p>	<p>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.</p> <p>The Chief Sustainable Development and Environment Officer informed on the process where stakeholders indentified the priorities to be decided upon from consultations and the Insurance Council Representative informed that stakeholders were always involved in the discussions and selections of the priorities for the Initial communications, the second national communications and the Stock Taking Exercise for the Third National Communications.</p>
<p>Q1. (Optional) Is there a legal mandate obligating the institution to involve stakeholders.</p> <p>There is no legal mandate but involving the stakeholders is</p>	<p>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</p>	<p>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.</p>

<p>procedural and operational. The NCCPAP mandates that stakeholder involvement.</p>	<p>circumstances.</p> <p>The PPCR document gives the names of participants at PPCR meetings that decided on the adaptation strategy and the document on the Third National Communication Stock Taking Exercise list of participants was also obtained.</p>	<p>(Optional) Identify a representative of a key stakeholder group and identify whether they have been contacted for opportunities for consultation.</p> <p>Stakeholders were involved at various levels in preparing national adaptation information. At the level of preparation of the vulnerability assessments, experts from the public and private sectors were used to provide information and expertise on the various sectors studied; national consultations were held with a wide cross section of stakeholders to get their views on the most relevant adaptation measures and the priorities that should be considered for both the PPCR and the national communications.</p>
<p>Q2. N/A</p>	<p>Q2. Review documents presenting analysis of climate change adaptation-relevant data.</p> <p>The sector documents for the various national communications namely the initial, Second National and Stock Taking Exercise for the Third National Communications were reviewed to understand the data that was used to arrive at adaptation measures for the various sectors.</p>	<p>Q2. N/A</p>
<p>N/A</p>	<p>Determine if publicly available reports exist.</p> <p>The reports of the national communications exist and are available for the public on request.</p>	

Documenting sources/Citation

Anita James, hired researcher

Government of Saint Lucia, Strategic Programme for Climate Resilience , Volume 4

Government of Saint Lucia, 2001, Initial National Communications

Government of Saint Lucia, 2011, Second National Communications

Mr. Crispin D’Auvergne, Chief Sustainable Development and Environment Officer, Ministry of Sustainable Development, Energy, Science and Technology, 7th June, SDED Choc Office

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Quality 1 Description

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.

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:

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

Findings: The national consultations for the preparation of the national communications involved mainly governmental and private sector representatives. The PPCR process embraced a broader cross section of stakeholders.

Quality 2 Description

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.

Findings: The PPCR Documents and the vulnerability and impacts assessments and

adaptation measures documents are quite easy to be understood by the general public.

Quality 3 Description

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.

Findings: Generally the relevant data is quite able to be understood by the appropriate groups. Data on Fisheries is possessed by the Fisheries Department and is quite able to be understood by relevant local organizations.

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

The geonode is a platform for the sharing of geospatial data. There is also an internal data base that is available on demand. There is a climate change website, www.climatechange.gov.lc; this website is not up to date and the publication NEXUS printed regularly by SDED also helps out in that regard of sharing information on adaptation.

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)			x	
2. Sufficient budget is provided for ongoing information dissemination. (Capacity)		x		
3. The mandated institution coordinates appropriately with other institutions. (Capacity)		x		
4. There is an efficient and fair means for individuals and organizations to demand climate-relevant information. (Accountability & Enforcement)	x			

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
<p>General: Examine laws, rules, and administrative guidelines for establishment of an agency or institution responsible for information dissemination of climate change adaptation broadly.</p> <p>The NEP/NEMS and the NCCPAP give guidelines on information dissemination of climate change adaptation broadly and the UNFCCC as well.</p>	<p>General: N/A</p>	<p>General: N/A</p>
<p>Q1. N/A</p>	<p>Q1. Identify any record of consultation for an access to information plan. This may include “a method” section or records of consultation.</p> <p>No record exists.</p>	<p>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.</p> <p>Done through PPCR consultations and through national consultations for national communications.</p>
<p>Q2. (Optional) Examine the laws creating the service or institution (if they exist).</p> <p>No laws exist</p>	<p>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.</p> <p>National budgets on dissemination of adaptation information do not exist; funding for information dissemination is usually obtained from donor agencies</p>	<p>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.</p> <p>Funding comes from external sources for information dissemination on adaptation.</p>

Q3. N/A	Q3. N/A	<p>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.</p> <p>The Ministry of Health receives information on adaptation as a member of the National Climate Change Committee.</p> <p>(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.</p> <p>Through the National Climate Change Committee, information is disseminated on adaptation.</p>
<p>Q4. Identify whether climate adaptation relevant data is subject to freedom of information laws or equivalent rules and guidelines (possibly at the agency level).</p> <p>Freedom of information laws do not exist in the country</p>	Q4. NA	<p>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.</p> <p>Information is disseminated on request by agencies. The Health Ministry required information and obtained it on impact of climate on health.</p>

Documenting sources/Citation

Anita James, hired researcher

Government of Saint Lucia. 2002. National Climate Change Adaptation Policy

Mr Emmerson Vitalis, Environmental Health, Ministry of Health, 29th May 2013, telephone interview

Ms. Dawn Pierre Nathoniell, Sustainable Development and Environment Officer, Ministry of Sustainable Development, Energy, Science and Technology, 3rd June 2013, SDED Office

Ms. Joalia St. Louis, Chairperson, Saint Lucia Insurance Council, Beacon Insurance Agency, 7th June 2013, telephone interview

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 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: No process of review exists.

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: Funds are insufficient. Currently the climate change website needs updating.

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: A broad cross section of stakeholders have been invited to PPCR meetings where they were told of the climate impacts and plans and projects to address them and where their input were required in the decision making process. During the national communications consultations as well, stakeholders were sensitized as to the climate impacts and plans to address them.

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: The NCCPAP is the guiding policy on how information is shared on adaptation. The SDED responds as well as it can to requests for information. The NCCPAP encourages stakeholder involvement in adaptation activities.

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

Yes, SDED is represented on the Development Control Authority where they share their views on matters related to climate change risk and adaptaion into project development.

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)		x		

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. Environment 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? The PPCR method of providing loan funds at low rates for adaptation activities and to give all public sector agencies the

<p>has still to be developed for the country. Sitting on the DCA helps ensure that SDED make representation on Climate Change issues on development projects</p>		<p>opportunity to integrate adaptation into their activities was the approach taken. Through the NCCC, agencies are encouraged to integrate Climate Change Adaptation in all areas of public sector policy.</p> <p>The NCCPAP document mandates all public agencies to get involved in climate change adaptation activities.</p>
<p>Q1. Assess whether there are laws, policies, or rules requiring consideration of climate change impacts in project development and implementation.</p> <p>No actual laws exist but the presence of SDED on the DCA should help climate change issues to be taken into consideration in development projects.</p>	<p>Q1. Check to see if there are mandates or reports from agencies or executive offices requiring adaptation consideration project development.</p> <p>In the PPCR process and the Special Program of Climate Adaptation (SPAC), adaptation considerations were included in activities for various agencies.</p>	<p>Q1. Ask a representative from an environmental ministry if these considerations are being used.</p> <p>They are being used in the PPCR process.</p>

Documenting sources/Citation

Anita James, hired researcher

Government of Saint Lucia, 2002. National Climate Change Adaptation Policy

Mr. Crispin D’Auvergne, Chief Sustainable Development and Environment Officer, Ministry of Sustainable Development , Energy, Science and Technology, 31st May 2013, SDED Office

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

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: Climate Change mainstreaming will begin to take effect with the implementation of the PPCR suite of projects. There are no regulations requiring adaptation measures in project development.

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

The Ministry of Finance is currently embarking on the formulation of a National Development Plan for the country. In this regard, climate change issues of risk and adaptation will be taken into consideration in the development of the plan. Systems will thereby be created for integration of climate change into the planning of critical sectors. The Pilot Program on Climate Resilience should demonstrate many examples of what can be done in the country to be successful in that regard.

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)		x		

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? This may be achieved through

<p>No laws exist, but but the national climate change adaptation policy and action plan exists and mandates that various sectors integrate adaptation into their planning and implementation.</p>		<p>enactment of environmental legislation and endorsement and implementation of the revised national policy and action plan on climate change.</p>
<p>Q1. Assess whether there are laws, policies, or rules requiring consideration of climate change impacts in planning.</p> <p>NCCPAP covers that aspect.</p>	<p>Q1. Check to see if there are mandates or reports from agencies or executive offices requiring adaptation consideration in planning.</p> <p>NCCPAP is the only document.</p>	<p>Q1. Ask a representative from an environmental ministry if these considerations are being used.</p> <p>No indication that such considerations are used except for the hotel sector which is just getting on stream in this regard.</p>

Documenting sources/Citation

Anita James, hired researcher

Government of Saint Lucia, 2002, National Climate change and Adaptation Policy

Ms. Dawn Pierre Nathoniel, Sustainable Development and Environment officer, Ministry of Sustainable Development, Energy, Science and Technology, 3rd June, SDED Offices

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.**

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

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: Climate Change risks and future scenarios are not mandated as such. Some entities in the hotel sector are retrofitting their buildings to withstand windspeeds, lack of water with rain water harvesting systems and improving their effluent discharge.

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

Disaster Management and Risk Reduction is beginning to feature into policies and programs of many agencies. There is a disaster vulnerability reduction program (DVRP) that the country will be implementing along with the PPCR program. Standards are not really in existence as yet.

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)			x	

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
<p>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.</p> <p>The NCCPAP mandates government agencies to include climate change considerations into their planning and policies.</p> <p>The Ministry of Agriculture developed a policy on disaster risk</p>	<p>General: None.</p>	<p>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> <p>The NCCPAP is a well prepared document formulated through national consultation. It was endorsed by Cabinet in 2002 and mandates government agencies to integrate climate change adaptation into all areas of policy making. It was produced under the Caribbean Planning for Adaptation to Climate Change Project (CPACC). The PPCR will</p>

<p>reduction for its sector</p> <p>The National Emergency Management Organisation has the Comprehensive Disaster Management Plan in which Outcome 4 of the goal “Regional Economic Development enhanced through Comprehensive Disaster Risk Management”, speaks of Enhanced community resilience in CDERA states/territories to mitigate and respond to the adverse effects of climate change and disasters.</p>		<p>demonstrate some methods that will be possible for adaptation measures to take place in public sector agencies.</p> <p>The National Climate Change Committee endeavors to encourage public sector agencies to integrate climate change adaptation planning into their polices, plans, programs and activities.</p>
<p>Q1. Assess whether there are laws, policies, or rules requiring consideration of climate change impacts into socioeconomic development or other social programs.</p> <p>The NCCPAP gives guidance in that regard.</p>	<p>Q1. Check to see if there are mandates or reports from agencies or executive offices requiring adaptation consideration in policies or programs.</p> <p>The Strategic Plan that is in development for the new Ministry of Sustainable Development, Energy, Science and Technology has climate change adaptation measures and considerations underlying its policies, plans and programs.</p> <p>The Disaster Risk Reduction Policy and Plan of NEMO takes Climate Change Adaptation into consideration.</p>	<p>Q1. Ask a representative from a relevant agency to see if these considerations are being used.</p> <p>The NEMO uses Climate Change Adaptation Planning in its program and activities such as the Hyogo Framework for Action for Disaster Risk Reduction and Management.</p> <p>The Insurance Agencies through the Saint Lucia Insurance Council are beginning to consider climate change adaptation especially where it concerns the use of hazard maps in formulating insurance risk management systems.</p>

Documenting sources/Citation

Anita James, hired researcher

Government of Saint Lucia. 2004. Disaster Management Policy Framework for Saint Lucia. Page 10 www.nemo.gov.lc

Government of Saint Lucia. 2002. National Climate Change Policy and Action Plan. Ministry of Physical Development and Environment.

International Strategy for Disaster Reduction. 2005-2015. Hyogo Framework for Action. Building the resilience of nations and communities to disasters

Ms. Joalia St. Louis, Chairperson, Saint Lucia Insurance Council, Beacon Insurance Agency, 7th June 2013, telephone interview

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: The approach in studying impacts of climate change is not comprehensive. It outlined potential impacts of planned, ongoing or reasonably foreseeable projects, decisions and events in the affected areas considering the no action alternative. Under the SPAC Project, attempts have been made to retrofit a hotel and community centre to take in climate change issues. Under the PPCR project several impacts of adaptation planning will be implemented in various sectors as a pilot for demonstration purposes for lessons to be learned for replication.

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 be 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.

The PPCR process is the first major undertaking to implement adaptation planning in a comprehensive fashion across several sectors in the country. It is taking place under the back drop of a new government administration of the Saint Lucia Labour Party which came into existence on November 28th 2011. This government realigned the environment portfolio into a new ministry called the Ministry of Sustainable Development, Energy, Science and Technology which now includes the Forestry Department, the Water Resources Management Agency, the Biodiversity Unit, the Public Utilities Unit and the Energy, Science and Technology Unit. The Sustainable Development and Environment Division is included as a division in this ministry and undertakes the Climate Change work of the country. The PPCR activities are to be implemented as soon as possible since the Ministry of Finance recently gave permission for it to proceed. There is in development, the formulation of a national development plan for the country which is taking place through island wide consultations with the public, private, non governmental organization and community based sectors of the society. This development plan will be a vision for the country as far as general development is concerned and will be for a span over at least twenty years. This plan will help climate change to be better integrated into all the sectors, plans, policies of the island. There is to be instituted major environmental legislation for climate change which should help make it easier for the integration process for climate change adaptation to take place in the sectors. This process will be undertaken with funding from an external agency.

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.

There are several processes in place relating to sectoral planning. All the sectors are planning generally through stakeholder consultations. Some plans have already been developed, some are being developed and some need to be reviewed. The agricultural ministry has an agricultural policy to guide the sector until 2015. It began in 2009. There is a sustainable energy plan and policy. There is a coastal zone management strategy and action plan. There is a strategic plan for the water resources management agency. The Ministry of Sustainable Development has recently drafted a Strategic Plan for its guidance for the next five years and climate change underpins its vision. The Ministry of Tourism has a national policy. There is a national cultural policy. There is a national policy for the disabled. Just to name examples.

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?

There is a poverty reduction assessment and strategy that was recently completed. The Ministry of Social Transformation is responsible for implementing this policy and strategy. The Social Support Development Fund, SSDF, helps fund projects related to poverty alleviation.

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?

There is a disaster management plan that seeks to guide disaster risk reduction. The country will be implementing a disaster vulnerability risk program along with the pilot program for climate resilience. There is a catastrophic risk insurance facility to help communities handle the impacts of disaster. The National Emergency Management Organisation undertook a hazard mapping program recently to guide the country as to the vulnerable areas that could lead to disasters, including those as a result of Climate Change.

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

Currently, there is a Physical Development Planning Act that mandates that EIAs be done for development projects but there are no regulations to support the act. These are in development. Consequently EIAs in the country have not been that impactful.

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

There is a draft bill on Freedom of Information which has not as yet been enacted.

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

It is an unwritten policy of government that major stakeholder involvement be undertaken in national planning and policy making processes so that there would be greater support for these measures. Consequently there are often consultations taking place through one agency or another in the country. The NCCPAP mandates that stakeholders should be consulted in adaptation planning for Climate Change.

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?

The country's budgeting process starts with a budget circular sent to ministries and they are invited to submit new initiatives and recurrent expenditure and also to send business plans on how to achieve these plans in the narrative part of the budget. The circular gives an indication of government priorities, so the submissions requested from the various government agencies should conform to the priorities sent out. This call is disseminated around the month of October of every year and the government agencies are given deadlines to submit. This is followed by a discussion of the submissions after the deadline at the Finance Ministry, to understand the requests from the agencies and to help make clear these requests, budget analysts from the Ministry of Finance seek out the various ministries. It is then the duty of the Budget Office in the Ministry of Finance to compile all the documents and organize formal meetings with the ministries to agree on objectives and to ascertain possible areas of funding. The Minister of Finance gets involved at this stage. The Ministry of Planning and National Development is in charge of the capital budget while the Ministry of Finance, Environmental Affairs and Social Security is responsible for recurrent expenditure, and has overall responsibility of the budgeting process through the budget office.

There is a budget technical committee which comprises persons from various ministries which meet to cut back and fine tune the budget in keeping with the funding available and overall priorities of the government. The policy committee of selected ministries and the Minister of Finance make the final decision and changes to get final approval. It then goes to Cabinet to get endorsement and approval and the budget is then debated in the Parliament, when it finally becomes an Act of Parliament for that financial year.

APPENDIX B: INTERVIEW ORGANIZER

Interviewee name	Affiliation	Title	Sector	Indicator	Quality(ies)
Crispin D’Auvergne	SDED	Chief Sustainable Development and Environment Officer	Climate Change Coordinator	Example: “2b”	Example: “Q1, Q2”
				1a,	Q3,
				1c	Q3
				3b	Q2
				4b	Q2, Q3
4c	Q1				
4d	Q1,Q2,q4				
Dawn Nathoniel	SDED	Sustainable Development and Environment Officer	PPCR Coordinator	2A	Q1,Q2,Q5
				4c	Q1
Joralia Louis	Saint Lucia Insurances Council	Chairperson of the Council	Financial Services	1a	Q3
				1c	Q2
				2a	Q3
				3c	Q1,Q2,Q3
				4c	Q1
Emmerson Vitalis	Environmental Health Branch	Environmental Health Officer	Health	1c	Q2
				4d	Q3
Dale Bernard	Ministry of National Development and Economic	Economist	Public Sector	1b	
				1c	Q2
				2b	Q1

	Affairs				
Raphael St Hill	National Consumer Association	President	Civil Society	2b	Q4
Ms Daniel	National Printing Corporation			2b	Q4

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”