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# Report on the Adaptation: Rapid Institutional Analysis (ARIA) Phase II Presentation on Research to Civil Society Organisations

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Rodney Bay, Gros Islet, Saint Lucia

June 3<sup>rd</sup>, 2014

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## Introduction

The Saint Lucia National Trust (SLNT), together with the World Resources Institute (WRI) and the Caribbean Natural Resources Institute (CANARI), has undertaken a research project to assess climate change adaptation readiness in Saint Lucia and Trinidad and Tobago. The project seeks to address the need for civil society engagement in policy and institutional analysis for climate change adaptation and will involve pioneering the use of the WRI's *Adaptation: Rapid Institutional Analysis* (ARIA) toolkit in the Caribbean. The specific objectives of the project are:

- i. to facilitate and support participatory research by civil society on climate change adaptation policy, institutions and actions;
- ii. to analyse the current state of policy, institutions and actions;
- iii. to identify high-priority and low-cost “next steps”;
- iv. to influence policy and adaptation processes;
- v. to catalyse, facilitate and support greater participation of civil society in decision-making processes and action; and
- vi. to develop island-specific approaches to vulnerability assessment.

This project is being funded by the Climate and Development Knowledge Network (CDKN).

On July 2<sup>nd</sup> 2013, the SLNT hosted an informational meeting with civil society organisation representatives on use of the ARIA toolkit. The toolkit aims to enhance access to environmental information, public participation, and access to justice in national-level climate change adaptation with the goal of improving the quality of adaptive actions by the Government of Saint Lucia, the private sector and the general public. This current meeting, facilitated by the Trust, followed on the one held in July 2013.

On October 18<sup>th</sup> 2013, The SLNT hosted another meeting with civil society organisation representatives on the use of the ARIA Phase II workbook. Participants were informed about the broad based nature of the research to develop civil society awareness about climate change, and a training session on the ARIA Phase II workbook was conducted utilising a priority area to demonstrate the use of the workbook, with the caveat that the quality for the indicator should be measured and not the indicator. Three organisations present at the meeting were identified to conduct the research on the thematic areas. The following assignments were agreed to and represented by:

- |                             |   |
|-----------------------------|---|
| (1) Food Security           | - Saint Lucia Agriculture for Youth (SLAFY) |
| (2) Freshwater Resources    | - Trust for the Management of Rivers        |
| (3) Livelihoods and Culture | - Laborie Development Foundation            |

A complete list of participants is given in Appendix 1. Proceedings of the meeting followed the format of a prepared meeting agenda which can be found in Appendix 2.

## Meeting Proceedings

### Welcome and Introductions

Mr. Bishnu Tulsie, Director of the Saint Lucia National Trust, welcomed the participants to the proceedings and informed participants of the purpose of the meeting. The purpose of the meeting was to present the findings of the research conducted for the three priority areas, and receive feedback from meeting participants on the research material presented. The participants introduced themselves and the organisations they represent (See Appendix I).

### Project Overview and Update

A brief overview of the project components was given, including the objectives, donors and partners. An update on project activities to date was also provided. The following were highlighted:

- April 8<sup>th</sup> and 9<sup>th</sup> 2013 - An orientation workshop was jointly facilitated by the Trust, the WRI, CANARI, and key stakeholders in the field of climate change
- July 2<sup>nd</sup> 2013 - the SLNT hosted an informational meeting with civil society organisation representatives on use of the ARIA toolkit
- Phase I of the research was conducted and examined national-level policies and institutions that address climate change adaptation needs.
- The result of the assessment done in Phase I of the project identified a plethora of undertakings but all within the confines of the Government. There were projects and programmes on climate change and climate change related activities, however the information was not being disseminated widely enough. The findings further highlighted that the activities were not based on the needs of the civil society but on the needs of the donors providing the resources/funding.
- Priority areas identified: Food Security, Livelihoods and Culture, and Fresh Water Resources
- October 18<sup>th</sup> 2013 – A meeting was held to train civil society partners and researchers on the use of the ARIA Phase II Workbook utilising the 3 Priority Areas identified.
- The following assignments were agreed to:
  - Food Security - Saint Lucia Agriculture for Youth (SLAFY)
  - Fresh Water Resources - Trust for the Management of Rivers
  - Livelihoods and Culture - Laborie Development Foundation

## Project Research and Findings

Meeting attendees were informed of the process the researchers conducted in obtaining research material. The activity included visiting various government ministries and parastatal and non-governmental agencies to interview personnel and conducting literature reviews for information on their thematic area. The research findings for each priority area were submitted to the SLNT and project partners CANARI and WRI for review and comments.

The research for each priority area was presented to the meeting participants. After each presentation a discussion ensued on the findings of the research conducted.

The Workbooks and Summary for each thematic area can be found in Appendix 3, 4 & 5 for Food Security, Freshwater Resources, and Culture and Livelihoods respectively.

## Next Steps

The next steps were identified as follows:

1. Show the integration of coordination and collaboration among groups;
2. Treat in totality and not separate projects;
3. Establish a broad based group such as a *Public Policy Forum for Sustainable Development*;
4. Co-opting other parties/people to *the Forum*, and not lose focus when doing so;
5. Define the methodology to presenting information to focus and community groups;
6. Develop a communication strategy to the news, social media etc.;
7. Civil Society Organisations (CSOs) groupings/meetings;
  - a. Coordination by CSOs;
  - b. The establishment of the coordinating mechanism
    - i. The Trust to support the Coalition in the early days;
    - ii. Membership; mandate; coordinating mechanism; legal entity through registration.
8. Director of the Trust to develop thoughts on defining the Coalition with support of Trust Council and Sustainable Development and Environment Division;
9. Two (2) month timeline for development.

## Conclusion

The Director thanked all for their participation during the process as it was a new initiative for the Trust and civil societies in general. He reviewed the next steps highlighting the establishment of the

Forum/Coalition for civil society on sustainable development. He further stated that the National Trust would provide support and communicate the brief to all Ministries as stated by the stakeholders from the consultation.

## Appendix 1

### LIST OF PARTICIPANTS

<b>NAME</b>	<b>ORGANISATION</b>
<b>Anita James</b>	Consultant – Phase 1 Researcher
<b>Augustine Dominique</b>	Researcher - Laborie Development Foundation
<b>Dr. Donates St. Aimee</b>	CAPSICUM
<b>Veronica Simon</b>	University of the West Indies – Open Campus
<b>Alva Lynch</b>	Saint Lucia Fisherman’s Cooperative
<b>Marcia Haywood</b>	CARITAS Antilles
<b>Joanna Rosemond</b>	Saint Lucia National Trust
<b>Nadia Cazaubon</b>	Researcher - Caribbean SEAS
<b>Dharmelta Maxwell</b>	Researcher - St. Lucia Agriculture Forum for Youth
<b>Dr. Gilbertha St. Rose</b>	CAPSICUM
	Caribbean Youth Environment Network
	Caribbean Youth Environment Network
<b>Shirlene Simmons</b>	Saint Lucia National Trust
<b>Bishnu Tulsie</b>	Saint Lucia National Trust

## Appendix 2

### MEETING AGENDA



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*Analyzing Climate Change Policy and Institutions in Saint Lucia and Trinidad and Tobago:  
Piloting a Caribbean process*

**Phase II Workshop with Civil Society Organisations  
June 3<sup>rd</sup>, 2014**

**9:30am**

**KOKO PALM RESORT, RODNEY BAY, GROS - ISLET**

### **AGENDA**

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1. Welcome and Introductions
2. Project Overview and Update
3. Project Research and Findings
  - a. Food Security
  - b. Culture and Livelihoods
  - c. Freshwater Resources
4. Discussion/ Question and Answer
5. Way Forward



**Appendix 3 – Summary Report and ARIA Workbook for the Food Security  
Priority Area**



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## **ADAPTATION: RAPID INSTITUTIONAL ANALYSIS (ARIA)**

### **PHASE II SUMMARY RESEARCH REPORT AND WORKBOOK**

#### **FOOD SECURITY**

#### **SAINT LUCIA**

December, 2013

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# **Adaptation: Rapid Institutional Analysis (ARIA)**

## **Saint Lucia**

### **Phase II Summary Report**

#### **Food Security**

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#### **Introduction**

Food security and the impact of climate change on food security are areas of critical importance to the economic and social development of any country. This is especially true of Small Island Developing States (SIDS) such as Saint Lucia. Saint Lucia, because of its small size and highly resource dependent economy is particularly vulnerable to the effects of climate change and, as such, there is great concern about the effects these changes can have on the nation's ability to grow and produce food.

In order to establish an effective climate adaptation strategy for the food sector it is important to have a clear understanding of what currently exists in the institutional environment. This summary report therefore presents the major findings from the Adaptation: Rapid Institutional Analysis (ARIA) Phase II Workbook for the Food Security priority area.

The completed Phase II ARIA Workbook is attached at the end of this report.

#### **Assessments**

Various climate change vulnerability, adaptation and impact assessments have been carried out in St. Lucia, both by local agencies as well as international organizations like the Food and Agriculture Organisation (FAO) and the United Nations Development Programme (UNDP). These studies have assessed the impact of climate change on all major sectors including agriculture and fisheries. However they do not address vulnerability and the impact of climate change on food security specifically.

In 2003 a policy document, "Saint Lucia National Climate Change Policy and Adaptation Plan" was prepared and is now presently under revision. This document represented the culmination of an involved, participatory process which was done under Component Four of the Caribbean Planning for Adaptation to Climate Change (CPACC) Project.

In addition, in order to meet its obligations as a party to the United Nations Framework Convention on Climate Change (UNFCCC) an assessment of the vulnerability and adaptation of

the impact of climate change is also outlined in the Second National Communication on Climate Change for St. Lucia.

## Information Management

In undertaking research for the ARIA study several research documents were reviewed and interviews were conducted with key stakeholders in various governmental departments and non-governmental institutions. This exercise exposed a number of issues related to transparency and the processes through which information is collected and shared. For example, it was discovered that retrieving information from government departments is a challenging exercise. Researchers found that much of the information which should be in the public domain was either inaccessible or only accessible by a few select individuals.

Additionally, though a number of institutions have been listed as participants in some research reports, few could recall or have ever used any of the information collected or recommendations made to guide any action or project that they may have undertaken to which this information was relevant.

The Ministry of Sustainable Development Science and Technology (MSDEST) is currently the governmental body responsible for dealing with issues of climate change and serves as the focal point for the implementation and coordination of activities required under the UNFCCC. As such it houses an inventory of documentation on the topic of climate change and adaptation and mitigation measures.

The Ministry recognises the importance of the agriculture sector for national food security and its *National Climate Change Policy and Adaptation Plan* seeks to address the impact of climate change on the sector and to promote the implementation of appropriate adaptation measures. The Sustainable Development and Environment Division of the MSDEST, however, is currently working to complete its website which will serve as a central point for the collection and sharing of information on climate change issues.

The website of the MET Office is currently the most available source of climate change data as it contains all information on weather conditions affecting St. Lucia.

## Coordination

There appears to be a lack of coordination among agencies which carry out climate change impact assessments as well as among relevant stakeholders.

A national focal point on climate change exists within the MSDEST. However there is no evidence to suggest that coordination of climate change adaptation initiatives in the priority area is actively carried out by the focal point.

On the other hand the Ministry of Agriculture is the agency mandated to ensure the nation's food and nutrition security. Considering the cross cutting nature of food security and climate change impacts, it is expected that the new National Food and Security Plan being prepared by the Ministry of Agriculture will outline a strategy for a coordinating mechanism.

## Prioritisation

Major policies and adaptation plans include *Saint Lucia National Climate Change Policy and Adaptation Plan (2006)*, currently under review and *Second National Communication on Climate Change to the UNFCCC for Saint Lucia (2011)*. Although specific mitigation measures and adaptation strategies are outlined in these documents they do not address food security specifically and do not outline a specific sequence of events for future implementation.

## Mainstreaming

The Sustainable Development and Environment Division within the MSDEST is the focal point for the United Nations Framework Convention on Climate Change (UNFCCC) . Although no formal mechanism for integrating climate change adaptation into projects or sectoral planning presently exists, the division actively seeks to educate stakeholders and help them to integrate climate change adaptation strategies into their planning and project development.

Some of the activities undertaken by the division include:

- Training workshops in topics like, "mainstreaming climate change into national planning and budget process of St. Lucia"
- Implementation of public awareness education strategy
- Formulation of a Saint Lucia National Climate Change Policy and Adaptation Plan

There are presently no formal requirements for the incorporation of climate change adaptation measures in planning and project developments in the public or private sector.

## Barriers to Adaption Initiatives

The Ministry of Sustainable Development's Sustainable Development and Environment Unit, as the focal point for climate change issues in St. Lucia, has identified the following factors as barriers to climate change adaptation within the priority area of food security (Agriculture Sector):

- Poor institutional research capacity
- Low data analysis capacity

- Diminished capacity to evaluate data results
- Lack of negotiating skills
- Limited sensitisation on the topic of climate change and its effect on food security
- Poor integrated planning strategies
- Lack of awareness of adaptation options
- Poor documentation

All of these are referred to in the *Second National Communication on Climate Change for Saint Lucia*, 2011 (Page 201)

## RECOMMENDATIONS

**Consider food sovereignty.** The "Declaration of Nyéléni" (2007), states that “food sovereignty is the right of peoples to healthy and culturally appropriate food produced through ecologically sound and sustainable methods, and their right to define their own food and agriculture systems.” Food sovereignty therefore places control over land, grazing, water, seeds, livestock and fish populations on local food providers and respects their rights. They can use and share them in socially and environmentally sustainable ways which conserve diversity. There is therefore a need to look at the issue of food sovereignty as well as a research driven approach to food security.

**Improve the role of civil society.** Civil society’s role should be to apply pressure to the government to force the implementation of particular policies. However civil society in Saint Lucia appears to be too passive, and thus needs to be more assertive in order to effectively fulfil its role. Additionally, so as to more successfully meet the demands of the masses, especially as it relates to climate and food security, government must respond to the needs of civil society.

**Develop a project / study database.** This will allow all projects, with their titles, area of concentration, summary and date of completion along with other relevant data to be compiled in a manner which enables ease of accessibility by the public. Interested persons will be able to discover what was done, who did it, and when it was done. This will foster a reduction in the duplication of efforts when undertaking assessments and similar projects.

**Establish a climate change coordination council.** Climate change is a reality and its effects are being felt. The impact that it has on small island states is great and there is need to bring it to the fore and to get political leaders and the general public to pay serious attention to it. The council will also have responsibility to sequence the removal of the barriers that have been identified in *Second National Communication on Climate Change on Saint Lucia* of 2011 (page 201). The Council should be comprised of the various agencies that play a role in the adaptation process and ensure that there is coordination of the efforts of these agencies.

**Outline a clear communications strategy.** There is need to get government departments as well as the general public to understand the importance of climate change adaptation initiatives, and the impact that a lack thereof can have on the food security of the country as well as its overall socioeconomic well being. The public needs basic information on food and food substitutes. The access to information by all stakeholders as well as the coordination and assertion of the Government needs improvement. Effective communication is seen as the key to get the “buy in” necessary to enable the adaptation initiatives to have their desired effect.

The influence and bombardment by international television cannot be understated and must be factored into any communications strategy.

**Undertake a study and develop an adaptation strategy to ensure food security in a changing climate.** There is need to identify the effects of climate change on food security in Saint Lucia. It is also necessary to identify climate adaptation measures to ensure national food security. To achieve this, clear coordination, communication and education strategies must be outlined. These strategies must be financed and the roles and responsibilities of the various agencies involved must be clearly defined.

**Enable stronger relationships among government ministries.** Stronger and more formal relationships must be developed between the Ministry of Sustainable Development, Energy, Science and Technology, Ministry of Agriculture, Ministry of Social Transformation, Ministry of Health and Ministry of Education on the approach to conducting food security research. This will facilitate better information sharing on climate change issues among relevant policy and decision makers.

**Improve agricultural policies.** The Ministry of Agriculture as the lead agency with responsibility for food security must guarantee that farmers adopt Good Agricultural Practices (GAPs) for better food quality and subsequently improved health of the people. Additionally lands should be allocated for food production and protected for ecological diversity. In collaboration with the St. Lucia Bureau of Standards, the Ministry of Agriculture has begun work to implement standards for all agricultural sectors. This must be fast tracked.

# Adaptation: Rapid Institutional Analysis

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Based on the National Adaptive Capacities Framework

Version 2.0

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

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

The workbook is structured as follows:

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

**Qualities of the indicator:** The qualities of the indicator describe key aspects of the institution that are likely to lead to better climate change adaptation governance. They are grouped under the following categories: **capacity, transparency and participation, accountability and enforcement, and comprehensiveness**. The indicator qualities are where most of the research will take place. After conducting some combination of legal research, overview of publications and reports, and interviews,

the research team should be able to provide a detailed analysis of each indicator quality. They can then mark in the table whether the quality is fully present (“Yes”), somewhat present (“Limited”), or not at all (“No”). If the indicator does not exist at all—if there is no institution in charge of coordinating adaptation efforts as an example—then the researchers would simply mark “N/A” and move to the next worksheet.

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

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

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

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

## Appendices:

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

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

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

## Priority Area Cover Sheet

Priority Area:

**Food Security**

Research Conducted by:

**Saint Lucia Agriculture Forum for Youth (SLAFY)**



Time Period:

**Four (4) months**

## 1. Assessment

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## Worksheet 1a: Vulnerability and Impacts Assessment

<b>Indicator</b>	Is there an assessment of climate change vulnerability and impacts for the priority area? This could either be as part of a national-level assessment or separate sectoral assessment. It may come from a source other than a government ministry, however it should still be evaluated using the same Qualities. If no assessment exists, provide an explanation in the Summary box below.
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### Brief Summary of past or ongoing assessments

Various climate change vulnerability, adaptation and impact assessments have been carried out in St. Lucia, both by local agencies as well as international organizations. These studies have assessed the impact of climate change on all major sectors including agriculture and fisheries. However these do not address vulnerability and the impact of climate change on food security specifically.

In 2003 a policy document, “Saint Lucia National Climate Change Policy and Adaptation Plan” was prepared and is now presently under revision. This document represented the culmination of an involved, participatory process which was done under Component Four of the Caribbean Planning for Adaptation to Climate Change (CPACC) Project.

In addition, in order to meet its obligations as a party to the United Nations Framework Convention on Climate Change an assessment of the vulnerability and adaptation of the impact of climate change is also outlined in the Second National Communication on Climate Change for St. Lucia.

The Ministry of Agriculture, Food Production, Fisheries and Rural Development is currently in the process of completing a National Food Security Policy with the aim of improving the islands food security. This plan however does not address climate change specifically and its possible impacts on food production.

Assessment made by	Government	NGO/Community	Academic Institution	Industry	Other
Name Ministry of Energy, Science and Technology	x	X			Intergovernmental Organization: Caribbean Climate Change Community Centre

Qualities of the indicator	Yes	Limited	No	n/a
1. The assessment includes both socioeconomic and biophysical aspects of vulnerability and impacts. <b>(Comprehensiveness)</b>	x			
2. Assessment methodology is made transparent. <b>(Transparency &amp; Participation)</b>	x			
3. Broad set of stakeholders were engaged in assessment development. <b>(Transparency &amp; Participation)</b>	x			

### Impacts Assessed

Biophysical	Economic	Social	Health
Sea level rise leading to inundation of coastal agricultural lands	Impacts on assets or properties from more intense storms, , and flooding	Loss of livelihoods, particularly those sensitive to ecosystem	Human casualties and injuries from extreme weather events and subsequent decrease in productivity,
Accelerated soil erosion and increased salination	Agricultural and livestock production losses from increased temperatures, droughts, soil erosion and increased agricultural pests	impacts such as fisheries, agriculture and tourism.	
Sedimentation of dams and reservoirs due to increased soil erosion.			
Increase in green house gases	Decrease in local production and increased dependence on importation of foods		
More frequent and severe weather events			
Biophysical alterations in freshwater and marine ecosystems	Impact of sea level rise on port facilities		

	affecting trade		
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Source: IPCC, 2007

### Documenting sources/Citation

2010. ***Vulnerability & Adaptation Assessment – Health Sector***. Emerson Vitalis and Marlon Ragunan

2001-2003. ***Saint Lucia National Climate Change Policy and Adaptation Plan***. Ministry of Physical Development, Environment and Housing. Page 11

2010. ***Saint Lucia Second National Communication on Climate Change. Vulnerability and Adaption Assessment. Agriculture Sector***. M. Luvette Thomas-Louisy and others. Sustainable Development And Environment Section, Ministry Of Physical Development, page 11.

2011. ***Second National Communication on Climate Change on Saint. Lucia***. Government of Saint Lucia, Ministry of Physical Development and the Environment Sustainable Development & Environment Division

2009-2010. ***Draft –Human Settlements Vulnerability and Adaptation Assessment Report Government of Saint Lucia***. Second National Communication Project staff.

2011. ***An Assessment of the Economic Impact of Climate Change on the Agriculture Sector in Saint Lucia***. The Economic Commission for Latin America and the Caribbean (ECLAC) Sharon Hutchinson, consultant.

2012. ***Caribsava Climate Change Risk Profile for Saint Lucia***. The Australian Agency for International Development (AusAID). Page 9

2013. ***National Food Security Policy-Draft*** . Ministry of Agriculture, Food Production, Fisheries and Rural Development. Government of Saint Lucia with technical support from The Food and Agriculture Organization

**Vulnerability and impact assessment:** An integrated and multi-sectoral assessment at the national level that helps decision-makers identifies 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”.<sup>1</sup> As the definition indicates, exposure is determined by location. This could be confined to a floodplain or as widespread as a country. It is possible to be exposed to climate impacts, but not be vulnerable to them (if adaptive capacity is sufficient enough to mitigate risks).

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

### Quality 1 Description

This quality asks whether the existing vulnerability and impacts assessment includes socioeconomic and political drivers of vulnerability – issues of wealth and credit access, governance, social stratification, gender impacts, etc., as well as biophysical impacts. Determine whether there are any gaps from research in Phase 1 that need to be addressed for the priority area.

### Findings:

The economic and biophysical impact of climate change on the agriculture sector have been assessed to varying degrees. Studies have examined the loss of production and productivity due to climate change and the consequential loss of revenue to producers as well as consumers. Livelihood characteristics and the role of the sector in the development of the economy were examined in order to assess the possible impact of climate change on the nation’s food security.

However vulnerability and impacts assessments of socioeconomic and political factors like

<sup>1</sup> 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.



gender, distribution of wealth and governance, as relates to climate change and food security have not been specifically addressed.

### Quality 2 Description

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

#### Findings:

Impact and vulnerability assessments have generally engaged most relevant sectors in the compilation of information. However it is not clear whether civil societies, producer organizations and other similar groups were considered and examined in the execution of these assessments.

Although completed assessments and studies undertaken in the area of climate change are made available for public consideration, either directly from the responsible agency or via the internet, the existence of such documents is not widely known by the public, civil societies and other relevant organizations. Assessments of this nature are not appropriately disseminated to appropriate groups or institutions.

### 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

**Finding:**

In the process of conducting these assessments of the impact of climate change on the agriculture sector in St. Lucia, consultations were held with various stakeholders as well as key local experts. Information on the particulars of the stakeholders consulted is not made available in these assessments.

Any vulnerability assessments of the impact of climate change on food security in St. Lucia should consider the following relevant stakeholders in a participatory consultative process:

- Producer groups or organizations (livestock, crops, fisheries)
- Manufacturers
- NGOs ( SLAFY, National Trust, NYC, RISE St. Lucia Inc)
- Academia (SALCC)
- Experts and professional institutions (IICA, CARDI)
- Governmental agencies and relevant ministries (MOA, MOH)

## Worksheet 1b: Inventory of Ongoing Adaptation Efforts

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

<p>The Ministry of Sustainable Development Science and Technology is currently the governmental body responsible for dealing with issues of climate change and serves as the focal point for the implementation and coordination of activities required under the UNFCCC.</p> <p>As such it houses an inventory of documentation on the topic of climate change and adaptation and mitigation measures. The ministry recognizes the importance of the agriculture sector for national food security and its <i>National Climate Change Policy and Adaptation Plan</i> seeks to address the impact of climate change on the sector and to promote the implementation of appropriate adaptation measures.</p>
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Inventory created by	Government	NGO/Community	Academic Institution	Industry	Other
<b>Name Sustainable Development and Environment Division (SDED)</b>	x				

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

Participation)				
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### Research Guidelines

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

### Documenting sources/Citation

2001-2003. **Saint Lucia National Climate Change Policy and Adaptation Plan.** Ministry of Physical Development, Environment and Housing. Page 11

2010. **Saint Lucia Second National Communication on Climate Change. Vulnerability and Adaption Assessment.** Agriculture Sector. M. Luvette Thomas-Louisy and others. Sustainable Development And Environment Section, Ministry Of Physical Development, page 11.

2011. **Second National Communication on Climate Change on Saint. Lucia.** Government of Saint Lucia, Ministry of Physical Development and the Environment Sustainable Development & Environment Division

2011. **An Assessment of the Economic Impact of Climate Change on the Agriculture Sector in Saint Lucia.** The Economic Commission for Latin America and the Caribbean ECLAC) Sharon Hutchinson, consultant.

### Quality 1 Description

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

#### Findings:

Impact assessments on climate change in St. Lucia have focused on the overall impact on the island as opposed to the specific area of food security. Climate change assessments have highlighted economic, biophysical and social impacts.

*St. Lucia Second National Communication on Climate Change. Vulnerability assessment- Agriculture Sector, Pg 40-48*

### Quality 2 Description

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

mistakes may be repeated

**Findings:**

There has been frequent change in the leadership of the ministry responsible for climate change as well as modifications to the structure of the relevant ministries which have handled issues of climate change.

This may have an impact on the ministry's ability to effectively implement adaptation measures and carry out strategies.

**Quality 3 Description**

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

**Findings:**

Although completed assessments and studies undertaken in the area of climate change are made available for public consideration, either directly from the responsible agency or via the internet, the existence of such documents is not widely known by the public, civil societies and other relevant organizations. Assessments of this nature are not appropriately disseminated to appropriate groups or institutions.

## 2. Prioritization

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## Worksheet 2a: Establishment of Priorities

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

Major policies and adaptation plans include *Saint Lucia National Climate Change Policy and Adaptation Plan (2006)*, currently under review and *Second National Communication on Climate Change for Saint Lucia (2011)*.

Although specific mitigation measures and adaptation strategies are outlined in these documents they do not address food security specifically and do not outline a specific sequence of events for future implementation.

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

### Research Guidelines

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

### Documenting sources/Citation

2010. ***Vulnerability & Adaptation Assessment – Health Sector***. Emerson Vitalis and Marlon Ragunan

2001-2003. ***Saint Lucia National Climate Change Policy and Adaptation Plan***. Ministry of Physical Development, Environment and Housing. Page 11

2010. ***Saint Lucia Second National Communication on Climate Change. Vulnerability and Adaption Assessment. Agriculture Sector***. M. Luvette Thomas-Louis and others. Sustainable Development And Environment Section, Ministry Of Physical Development, page 11.

2011. ***Second National Communication on Climate Change on Saint. Lucia***. Government of Saint Lucia, Ministry of Physical Development and the Environment Sustainable Development & Environment Division

2009-2010. ***Draft –Human Settlements Vulnerability and Adaptation Assessment Report Government of Saint Lucia***. Second National Communication Project staff.

2011. ***An Assessment of the Economic Impact of Climate Change on the Agriculture Sector in Saint Lucia***. The Economic Commission for Latin America and the Caribbean (ECLAC) Sharon Hutchinson, consultant.

2012. ***Caribsave Climate Change Risk Profile for Saint Lucia***. The Australian Agency for International Development (AusAID). Page 9

2013. ***National Food Security Policy-Draft*** . Ministry of Agriculture, Food Production, Fisheries and Rural Development. Government of Saint Lucia with technical support from The Food and Agriculture Organization

### Quality 1 Description

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

#### Findings:

No process for sequencing adaptation activities could be ascertained.

### Quality 2 Description

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



**Findings:**

There does not appear to be any coordinated implementation process. Projects and studies are undertaken in an *ad hoc* manner by various agencies when funding becomes available or if requested by a particular agency.

Stakeholder consultations are usually held during the process of data collection in these assessments and an effort is made to involve a wide cross-section of stakeholders.

## Worksheet 2b: Budget Processes

<b>Indicator</b>	Budgetary processes exist to channel finance to adaptation institutions or initiatives for this priority area. If there are none, provide an explanation in the summary box, indicate “N/A” in the qualities table and move to the next worksheet.
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### Brief summary of processes, if they exist

<p><b>Findings</b></p> <p>There does not appear to be a budgetary process to finance an adaptation institution or relevant initiative since there is no formal strategy for development in this priority area.</p>
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Budget set by	Government	NGO/Community	Academic Institution	Industry	Other
Institution Name	N/A	N/A	N/A	N/A	N/A

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

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

### Research Guidelines

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

**Documenting sources/Citation**

2013. *National Food Security Policy-Draft* . Ministry of Agriculture, Food Production, Fisheries and Rural Development. Government of Saint Lucia with technical support from The Food and Agriculture Organization

2001-2003. *Saint Lucia National Climate Change Policy and Adaptation Plan*. Ministry of Physical Development, Environment and Housing. Page 11

2010. *Saint Lucia Second National Communication on Climate Change. Vulnerability and Adaption Assessment. Agriculture Sector*. M. Luvette Thomas-Louis et al. Sustainable Development And Environment Section, Ministry Of Physical Development, pg 11.

2011. *Second National Communication on Climate Change on Saint. Lucia*. Government of Saint Lucia, Ministry of Physical Development and the Environment Sustainable Development & Environment Division

**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:**

N/A

**Quality 2 Description**

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

**Findings:**

N/A

**Quality 3 Description**

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

**Findings:**

**N/A**

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### 3. Coordination

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### Worksheet 3a: Coordination at Priority Area level

<b>Indicator</b>	The priority area is included in national coordination efforts reviewed in Phase I. If not, provide an explanation in the Summary box, mark “N/A” on the qualities table below and move to the next worksheet.)
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#### Brief summary of coordination or lack thereof

There appears to be a lack of coordination among agencies which carry out climate change impact assessments as well as among relevant stakeholders.

A national focal point on climate change exists within the Ministry of Sustainable Development Science and Technology. However there is no evidence to suggest that coordination of climate change adaption initiatives in the priority area is actively carried out by the focal point.

On the other hand the Ministry of Agriculture is the agency mandated to ensure the nation’s food and nutrition security. Considering the cross cutting nature of food security and climate change impacts, it is expected that the new National Food and Security Plan being prepared by the Ministry of Agriculture will outline a strategy for a coordinating mechanism.

<b>Participating Institution at Priority area level</b>	Government	NGO/Community	Academic Institution	Industry	Other
<b>Institution Name</b>	N/A	N/A	N/A	N/A	N/A

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

adaptation initiatives for the priority area. <b>(Capacity)</b>				
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### Research Guidelines

<b>Description</b>	This indicator reviews whether the priority area is included in national coordination efforts. This may not be the case depending on the effectiveness of the coordinating body, politically-motivated prioritization, or marginalization of the priority area.
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### Documenting sources/Citation

2010. ***Vulnerability & Adaptation Assessment – Health Sector***. Emerson Vitalis and Marlon Ragunan

2001-2003. ***Saint Lucia National Climate Change Policy and Adaptation Plan***. Ministry of Physical Development, Environment and Housing. Page 11

2010. ***Saint Lucia Second National Communication on Climate Change. Vulnerability and Adaption Assessment. Agriculture Sector***. M. Luvette Thomas-Louis and others. Sustainable Development And Environment Section, Ministry Of Physical Development, page 11.

2011. ***Second National Communication on Climate Change on Saint. Lucia***. Government of Saint Lucia, Ministry of Physical Development and the Environment Sustainable Development & Environment Division

2009-2010. ***Draft –Human Settlements Vulnerability and Adaptation Assessment Report Government of Saint Lucia***. Second National Communication Project staff.

2011. ***An Assessment of the Economic Impact of Climate Change on the Agriculture Sector in Saint Lucia***. The Economic Commission for Latin America and the Caribbean (ECLAC) Sharon Hutchinson, consultant.

2012. ***Caribsava Climate Change Risk Profile for Saint Lucia***. The Australian Agency for International Development (AusAID). Page 9

2013. ***National Food Security Policy-Draft***. Ministry of Agriculture, Food Production, Fisheries and Rural Development. Government of Saint Lucia with technical support from The Food and Agriculture Organization

### Quality 1 Description

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

**Findings:**

There seems to be a lack of coordination among the institutions concerned. Each ministry carries out its own assessments in isolation without consultation with other ministries undertaking similar projects.

Consultation with stakeholders is undertaken during the compilation of data for the assessment. However it is not clear whether prior discussions and investigations to determine scope of work already carried out in the priority area and whether opportunities exist to build upon existing assessments or adaptation measures.

**Quality 2 Description**

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

**Findings:**

Vertical coordination can lead to reduced duplication of efforts, maximized use of human and financial resources and an improved approach to problem solving. There is presently no evidence of an official coordinating agency in the priority area, climate change initiatives are often pursued by an agency when funding becomes available or if there is a perceived need to carry out an assessment or impact study.

**Quality 3 Description**

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

**Findings:**

As the agency responsible for the nation's food security, the Ministry of Agriculture has a clear understanding of the importance of agriculture to the islands socio economic situation, as evidenced by the formulation of a National Food Security Policy and their lead



role in the development of assessments of the agriculture sector. The Ministry of Sustainable Development, Science and Technology tends to focus on a scientific evaluation of the impacts of climate change on the society in general (Second National Communication on Climate Change) and adaptation strategies.

NGOs which operate in the agriculture sector often demonstrate expertise in the development and/or implementation of new technologies. IICA is presently working on a project *“Reducing the Impact of Climate Change on Agriculture, Enhancing Institutional Capacity to Promote and Support Climate Smart Agriculture in the Caribbean.”*

As such, coordination between such agencies would bring together needed expertise, institutional experience as well as human and financial resources which would result in a more coordinated and effective approach to adaptation initiatives.

## 4. Information Management

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## Worksheet 4a: Data gathering

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

Information regarding climate change adaptation is available to the major implementing and assessing agencies. There is little evidence to suggest that the actual producers, producer organizations and civil groups can easily access this information or have knowledge of its existence.

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

In St. Lucia the key climate change relevant data would include

- Rainfall,
- Temperature
- Humidity
- Sea level rise
- Sea temperature

Vulnerability and Adaption Assessment of the Agriculture Sector have identified these as climate variables that would affect agricultural and fisheries production.

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

Data on rainfall, temperature, humidity have been found to be relevant, up to date and well maintained by the St. Lucia Meteorological Service. Information on sea level rise and sea temperature is available but not collected on a regular basis.

The St. Lucia Metrological Service maintains a website which offers daily reports on the islands weather patterns. In collaboration with the Ministry of Agriculture, Food Production, Fisheries, Co-operatives and Rural Development and the Water Resource Management Agency, the Met Service produces a monthly newsletter, *Saint Lucia Monthly Agro-Met Bulletin* which provides reads with relevant information on climate and weather patterns.

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

**Documenting sources/Citation**

2001-2003. *Saint Lucia National Climate Change Policy and Adaptation Plan*. Ministry of Physical Development, Environment and Housing. Page 11

2010. *Saint Lucia Second National Communication on Climate Change. Vulnerability and Adaption Assessment. Agriculture Sector*. M. Luvette Thomas-Louisy and others. Sustainable Development And Environment Section, Ministry Of Physical Development, (pg 60-65)

2011. **Second National Communication on Climate Change on Saint. Lucia.** Government of Saint Lucia, Ministry of Physical Development and the Environment Sustainable Development & Environment Division

2009-2010. **Draft –Human Settlements Vulnerability and Adaptation Assessment Report Government of Saint Lucia.** Second National Communication Project staff.

2011. **An Assessment of the Economic Impact of Climate Change on the Agriculture Sector in Saint Lucia.** The Economic Commission for Latin America and the Caribbean (ECLAC) Sharon Hutchinson, consultant.

2012. **Caribsave Climate Change Risk Profile for Saint Lucia.** The Australian Agency for International Development (AusAID). Page 9

2013. **National Food Security Policy-Draft .** Ministry of Agriculture, Food Production, Fisheries and Rural Development. Government of Saint Lucia with technical support from The Food and Agriculture Organization

### Quality 1 Description

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

#### Findings:

The Ministry of Agriculture as well as other government agencies all systematically collect data relevant to their specific objectives and mandates. The Met Service shares data with relevant ministries and also publishes twice daily via various media outlets on rainfall, temperature and humidity. All of these are climate factors which affect food security.

### Quality 2 Description

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

#### Findings:

N/A

## Worksheet 4b: Information Analysis Institutions

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

A platform is a mechanism through which information can be shared openly and freely. It removes barriers to the access of information. For such a platform to exist there must be a high level of agreement and coordination between stakeholders. The evidence suggests that this platform does not exist as there is little coordination between agencies and stakeholders.

The Sustainable Development and Environment Division of the MSDEST is currently working to complete its website which will serve as a central point for the collection and sharing of information on climate change issues.

The website of the MET Office contains all information on weather conditions affecting St. Lucia, but not specifically for the area of climate change and food security.

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

#### **Documenting sources/Citation**

2001-2003. ***Saint Lucia National Climate Change Policy and Adaptation Plan***. Ministry of Physical Development, Environment and Housing. Page 11

2010. ***Saint Lucia Second National Communication on Climate Change. Vulnerability and Adaption Assessment. Agriculture Sector***. M. Luvette Thomas-Louisy and others. Sustainable Development And Environment Section, Ministry Of Physical Development, page 11.

2011. ***Second National Communication on Climate Change on Saint. Lucia***. Government of Saint Lucia, Ministry of Physical Development and the Environment Sustainable Development & Environment Division

2009-2010. ***Draft –Human Settlements Vulnerability and Adaptation Assessment Report Government of Saint Lucia***. Second National Communication Project staff.

2011. ***An Assessment of the Economic Impact of Climate Change on the Agriculture Sector in Saint Lucia***. The Economic Commission for Latin America and the Caribbean (ECLAC) Sharon Hutchinson, consultant.

2013. ***National Food Security Policy-Draft*** . Ministry of Agriculture, Food Production, Fisheries and Rural Development. Government of Saint Lucia with technical support from The Food and Agriculture Organization

<http://slumet.gov.lc/>

#### **Quality 1 Description**

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

**Findings:**

N/A

**Quality 2 Description**

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

**Findings:**

N/A

**Quality 3 Description**

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

**Findings:**

No climate adaptation platform exists. Nonetheless, the daily weather information on the Met Service website is regularly updated although information is limited to daily weather conditions such as rainfall, weather systems and forecasts.



## 5. Mainstreaming

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## Worksheet 5a: Mainstreaming in the Priority Area

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

The Sustainable Development and Environment Division within the MSDEST is responsible for climate change. Although no formal mechanism for integrating climate change adaptation into projects or sectoral planning presently exists, the division actively seeks to educate stakeholders and help them to integrate climate change adaptation strategies into their planning and project development.

Some of the activities undertaken by the division include:

- Training workshops in topics like, “mainstreaming climate change into national planning and budget process of St. Lucia”
- Implementation of public awareness education strategy
- Formulation of a Saint Lucia National Climate Change Policy and Adaptation Plan

As such there are presently no formal requirements for the incorporation of climate change adaptation measures in planning and project developments in the public or private sector.

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

and Enforcement)				
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**Research Guidelines**

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

**Documenting sources/Citation**

2001-2003. *Saint Lucia National Climate Change Policy and Adaptation Plan*. Ministry of Physical Development, Environment and Housing. Page 11

2010. *Saint Lucia Second National Communication on Climate Change. Vulnerability and Adaption Assessment. Agriculture Sector*. M. Luvette Thomas-Louisy and others. Sustainable Development And Environment Section, Ministry Of Physical Development, page 11.

2011. *Second National Communication on Climate Change on Saint. Lucia*. Government of Saint Lucia, Ministry of Physical Development and the Environment Sustainable Development & Environment Division , page 200

2009-2010. *Draft –Human Settlements Vulnerability and Adaptation Assessment Report Government of Saint Lucia*. Second National Communication Project staff.

2011. *An Assessment of the Economic Impact of Climate Change on the Agriculture Sector in Saint Lucia*. The Economic Commission for Latin America and the Caribbean (ECLAC) Sharon Hutchinson, consultant.

2013. *National Food Security Policy-Draft* . Ministry of Agriculture, Food Production, Fisheries and Rural Development. Government of Saint Lucia with technical support from The Food and Agriculture Organization

**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:**  
N/A

**Quality 2 Description**

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

**Quality 3 Description**

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

N/A

### Worksheet 5b: Mainstreaming Adaptation in planning

Indicator	The institution(s) tasked with prioritization and coordination have identified barriers for adaptation at the priority area level. (If not, explain so below, mark “N/A” in the qualities table and move to the next worksheet)
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#### Brief summary of examples

The Ministry of Sustainable Development, Sustainable Development and Environment Unit, acts as the focal point for climate change issues in St. Lucia. It has identified the following factors as barriers to climate change adaptation within the priority area of food security (Agriculture Sector):

- Poor institutional research capacity
- Low data analysis capacity
- Diminished capacity to evaluate data results
- Lack of negotiating skills
- Limited sensitization on the topic of climate change and its effect on food security
- Poor integrated planning strategies
- Lack of awareness of adaptation options
- Poor documentation

All of these are referred to in the *Second National Communication on Climate Change on Saint. Lucia* of 2011 (Page 201)

Qualities of the indicator	Yes	Limited	No	N/A
1. The responsible institution has examined multiple causes of barriers to adaptation in the priority area	x			

<b>(Comprehensiveness)</b>				
2. The responsible institution has considered a broad range of solutions. Where relevant, the responsible institution has considered addressing problems of infrastructure, natural resources and social safety nets. <b>(Comprehensiveness)</b>	x			
3. Authorities make publicly available a description of the process for selecting interventions and justify for its selection. <b>(Transparency and Participation)</b>		x		
4. Priority-setting and budgetary process is sufficiently transparent. Broad set of stakeholders were engaged in identification of solutions. <b>(Transparency and Participation)</b>		X		

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

### Research Guidelines

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

### Documenting sources/Citation

2001-2003. **Saint Lucia National Climate Change Policy and Adaptation Plan.** Ministry of Physical Development, Environment and Housing. Page 11

2010. ***Saint Lucia Second National Communication on Climate Change. Vulnerability and Adaption Assessment. Agriculture Sector.*** M. Luvette Thomas-Louisy and others. Sustainable Development And Environment Section, Ministry Of Physical Development, page 11.

2011. ***Second National Communication on Climate Change on Saint. Lucia.*** Government of Saint Lucia, Ministry of Physical Development and the Environment Sustainable Development & Environment Division

2009-2010. ***Draft –Human Settlements Vulnerability and Adaptation Assessment Report Government of Saint Lucia.*** Second National Communication Project staff.

2011. ***An Assessment of the Economic Impact of Climate Change on the Agriculture Sector in Saint Lucia.*** The Economic Commission for Latin America and the Caribbean (ECLAC) Sharon Hutchinson, consultant.

2012. ***Caribsave Climate Change Risk Profile for Saint Lucia.*** The Australian Agency for International Development (AusAID). Page 9

2013. ***National Food Security Policy-Draft*** . Ministry of Agriculture, Food Production, Fisheries and Rural Development. Government of Saint Lucia with technical support from The Food and Agriculture Organization

## Quality 1

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

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

- Policy framework;
- Rates, charges, taxes, permits, or tariffs;
- Zoning regulations;
- Insurance premiums;
- Standards;
- Land tenure or other property rights structures;
- Design of social protection programs;
- Lack of awareness or information;
- Lack of resources;
- Sub-national institutional structure;
- Lack of authority at a particular administrative level or body;
- Market factors;
- Legal harmonization between sections of the law or between levels

- of government;
- Sources of social inequity.

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

### **Findings:**

The research indicates that a wide range of stakeholders were consulted during the assessment of the gaps and constraints to the adaptation of climate change strategies.\*

The Sustainable Development and Environment Division has made every effort to make certain that the National Climate Change Committee is a multi-sectoral group where every relevant stakeholder is represented.

\*2011. Second National Communication on Climate Change on Saint. Lucia.

## **Quality 2**

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

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

- Full consideration of infrastructure-based solutions should include:
  - o A variety of options ("soft" options, "hard" options, ecosystem-based solutions, adjustment/removal of existing infrastructure, or any combination of the above)
  - o Cost analysis, including total costs, cost effectiveness, comparisons of long and short-term options, and issues of benefit distribution across sectors, populations, and regions
- Full consideration of ecosystem-based solutions should include:
  - o A variety of options ("soft" options, "hard" options,



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

**Findings:**

Although climate change impact assessments have been carried out and a number of adaptation policy documents have been formulated or are in the process of being formulated, no climate change adaptation plan has been formally adopted.

**Quality 3**

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

**Findings:**

The research indicates that no specific intervention has been selected to mitigate against the impact of climate change on the priority area of food security. It must be noted that there are ongoing discussions with stakeholders to determine which adaptation measure can be adopted and the possible effects on the population.

#### Quality 4

This indicator assesses whether the process for development of interventions to support adaptation in the policy area involved a wide range of stakeholders.

Members of the public, organizations, other levels of government and businesses have a legitimate interest shaping how adaptation is encouraged through official interventions.

As officials considered policy interventions, identify whether the public had an opportunity to comment on decision-making procedures. If they did, did they have a reasonable amount of time to comment, sufficient notice that the opportunity was upcoming, and sufficient information to make an informed contribution?

Furthermore, consider whether special effort was made to include members of poor and marginalized communities.

**Findings:**

**N/A**

## Appendix B: Interview Organizer

<b>Interviewee name</b>	<b>Affiliation</b>	<b>Title</b>	<b>Sector</b>
Anonymous (Observer)	St. Lucia's Meteorological Office	Observer	Meteorology
Crispin D'Auvergne	Ministry of Sustainable Development Energy, Science and Technology.	Chief Sustainable Development & Environment Officer	Climate Change
Anita James	Ministry of Sustainable Development Energy, Science and Technology	Consultant	Biodiversity
Joanna-Octave Rosemond	Ministry of Sustainable Development Energy, Science and Technology	Ozone Assistant	Ozone Layer Protection.
Guy Mathurin	Food and Agriculture Organization of the United Nations	International Consultant-Pesticide Management	Crop Protection
Sunita Daniel	Ministry of Agriculture, Food Production, Fisheries, Co-operatives and Rural Development	Chief Agriculture Planning Officer	Agriculture
Curt Delice	IICA	National Specialist	
Dawn Pierre-Nathaniel	Sustainable Development and Environment Division	Sustainable Development and Environment Officer	Climate Change

## 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”

## LIST OF ABBREVIATIONS AND ACRONYMS

IICA	Inter-American Institute for Co-operation on Agriculture
UNFCCC	United Nations Framework Convention on Climate Change
MSDEST	Ministry of Sustainable Development, Energy, Science and Technology
SDED	Sustainable Development and Environment Division

## Appendix 4 – Summary Report and ARIA Workbook for the Freshwater Resources Priority Area



WORLD  
RESOURCES  
INSTITUTE

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## **ADAPTATION: RAPID INSTITUTIONAL ANALYSIS (ARIA)**

### **PHASE II SUMMARY RESEARCH REPORT AND WORKBOOK**

#### **FRESHWATER RESOURCES**

#### **SAINT LUCIA**

December, 2013

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# Adaptation: Rapid Institutional Analysis (ARIA)

## Saint Lucia

### Phase II Summary Report

#### Freshwater Resources

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The Trust for the Management of Rivers was contracted by the Saint Lucia National Trust to conduct research to inform and compile a workbook for Phase II of the Adaptation: Rapid Institutional Analysis project focusing on freshwater resources in Saint Lucia. This report summarises the research findings.

The completed Phase II ARIA Workbook is attached as Appendix I.

## Method

A meeting was held at the beginning of the research exercise to identify all the major national and private sector agencies that are freshwater stakeholders. At the national level, these include the Water Resources Management Agency, National Water and Sewage Commission and Water and Sewerage Company and Forestry Department, which are organisations created to deal with freshwater-related issues. Other agencies include the Trust for the Management of Rivers, which is a non-governmental organisation, the Caribbean Public Health Agency, which is an organ of the CARICOM Secretariat and major hotels which extract water. Due to time constraints all of the identified agencies could not be interviewed. Therefore a random sample of agencies was selected and representatives from these agencies were interviewed.

A literature review was also conducted. The review included articles on websites and the following documents:

- Government of Saint Lucia. "Comprehensive Disaster Management Strategy and Programme Framework." 2009.
- Government of Saint Lucia. Estimates 2013/2014 Vol. II.
- Government of Saint Lucia. Estimates 2012/2013 Vol. II.
- Government of Saint Lucia. "Second National Communication on Climate Change for Saint Lucia." 2011.
- Government of Saint Lucia. "Saint Lucia's Strategic Programme for Climate Resilience (SPCR). Part One: Background and Rationale." 2011.
- Government of Saint Lucia. Ministry of Physical Development & Environment, Sustainable Development & Environment Section "Water Sector Final Report: Vulnerability and Adaptation Assessment for the Second National Communication on Climate Change". [Castries], 2010.
- Ministry of Agriculture, Food Production, Fisheries and Rural Development. "Agromet Monthly Bulletin."
- Saint Lucia National Trust, Adaptation: Rapid Institutional Analysis Phase I Workbook, 2013.

The information gathered from the interviews and literature review was used to populate the ARIA Phase II Workbook.

## Key Findings

### *Vulnerability and Impacts Assessment*

Existing vulnerability and impacts assessments focus primarily on socioeconomic drivers of biophysical impacts. However, these assessments are limited and do not adequately address the vulnerability and impacts of climate adaptation on the various sectors of society, gender and the impacts arising from changes in national governance. Having recognised this limitation, the Sustainable Development and Environment Division (SDED) designed Saint Lucia's Strategic Program for Climate Resilience (SPCR) to include these two outcomes:

1. Development of a gender disaggregated information source on specific aspects of vulnerable groups and
2. Establishment of targeted programming for different types of vulnerable groups

The methods for assessing impacts are transparent as they are available to the public upon request and reports have been disseminated to stakeholders who attended consultation workshops. Many of the reports are large documents written with technical language, so the average citizen perhaps would not read or be able to understand the entire document.

Civil society organisations and non-governmental organisations actively participated in consultations used to inform the assessments. Government agencies were also typically very well represented.

### *Inventory of Ongoing Adaptation Efforts*

Saint Lucia's Initial National Communication to the United Nations Framework Convention on Climate Change (UNFCCC) recognised freshwater as a critical resource, and the country's Second National Communication (SNC), which was done in 2010, included a detailed assessment of freshwater resources . The SNC contains an inventory of existing and ongoing initiatives in the water sector including the Water Sector Reform Project (1999–2009) and Water Resources Management Project (2000-2003). It also contains an assessment of adaptation options specific to freshwater resources. Appendix 7 of the SPCR contains a 'blueprint' of strategic adaptation projects titled 'Summary of Actions Deemed to be of National Significance for Addressing Climate Change'. Lessons learned have been included in the national communications, and customarily included reports of projects that have been implemented by the SDED.

### *Establishment of Priorities*

There is a process for sequencing adaptation activities related to freshwater. For example, the process of developing Saint Lucia's Strategic Programme for Climate Resilience included prioritisation of adaptation strategies. A public sector evaluation of projects including freshwater initiatives proposed by relevant agencies and/or government departments was conducted using predesigned selection criteria.

### *Budget Process*

Freshwater initiatives are included in the annual Estimates of Expenditure (national budget), however, the majority of these are funded through collaborations with funding agencies such as the United Nations Environment Programme, Government of Australia, United States Agency for International Development, Climate Investment Fund and the Global Environment Facility. Government departments and agencies typically seek funding from external funders to implement priority adaptation initiatives.

An investment program was developed for the proposed climate adaptation initiatives in the SPCR under the Pilot Programme for Climate Resilience (PPCR) project.

### *Coordination at Priority Area Level*

The National Climate Change Committee is responsible for coordinating climate change strategies. Government agencies represented on this committee are also implementing agencies for climate change and adaptation initiatives, including freshwater initiatives.

### *Data Gathering*

Actors with a stake in freshwater resources in Saint Lucia have access to data gathered and compiled by various agencies including the Water Resources Management Agency and the Saint Lucia Meteorological Service.

### *Information Analysis Institutions*

Under the first phase of the PPCR, the Saint Lucia Integrated National GeoNode (SLING) for climate change information sharing was created. During the course of this rapid assessment it was noted that the SLING website was not functioning. It was indicated that GeoNode would be revitalised under phase II of the PPCR.

The WRMA has an existing internal platform called WebMap which will be the agency's node to the national GeoNode. WebMap is accessible online through a username and password, however, access is currently restricted to staff of WRMA. The SDED has an internal database of climate change related projects and information including freshwater resources. That database can only be accessed physically from the server at the SDED office.

### *Mainstreaming Freshwater*

Currently there are no regulations requiring that adaptation measures be included in project development, however, several policy documents such as the National Climate Change Policy and Adaptation Plan and the National Water Policy include considerations for climate adaptation to ensure sustainable development.

### *Mainstreaming Adaptation in Planning*

Saint Lucia has a customary policy of consulting stakeholders during the development and planning phase of national projects. The process of identification of national initiatives is transparent and project documents including consultation workshop reports are readily available upon request from respective agencies and some are available online.

The key instrument for mainstreaming climate change adaptation in national development planning is through the National Climate Change Policy and Adaptation Plan which is available to all government agencies and stakeholder groups such as Tourism, Agriculture and Financial Services. It is also available to the Development Control Authority which is responsible for development approvals.

## **Recommendations**

1. Future vulnerability and impacts assessments with freshwater as a focal area should include socio-economic and political drivers of vulnerability. Commendably, the agencies involved in preparation of the Third National Communication have taken this into consideration during the planning phase.
2. To facilitate communication of the information gathered from these assessments, summary documents and information booklets should also be produced for wider dissemination to the general public. This could also include infographics that can be shared through news and social media to reach a larger audience.
3. Freshwater is critical to all sectors, therefore intersectoral coordination and implementation of national freshwater initiatives to adapt to climate change should be prioritised.

4. Revitalisation of SLING, the national climate change geonode should be a priority as this would greatly improve the ease of availability of information through the database.
5. An inventory of climate change initiatives and adaptation efforts should be developed into a searchable database and made available through SLING.
6. Government of Saint Lucia should develop innovative mechanisms to fund climate adaptation initiatives. One such mechanism could be the establishment of a Water Fund.
7. Regulations should be amended to require that adaptation measures be included in project development particularly in physical planning.
8. A National Land Use Policy should be implemented with one likely outcome being the protection of freshwater resources in Saint Lucia.
9. Freshwater initiatives should be widely publicised and promoted.
  - a. Traditional activities like rainwater harvesting should be repackaged to educate and encourage the younger population to rely on tried and tested “traditions” that support climate adaptation.
  - b. The Water Resources Management Agency is currently implementing a project in collaboration with other entities and WASCO in ground water exploration. A recommendation was made to involve communities in the process and encourage exploration especially in the south of the island.
10. Lack of coordination and collaboration
  - a. Political structure does not allow for collaboration;
  - b. Sustainable development requires collaboration and cooperation from the head of the government;
11. Donor agencies contribute to the polarisation of Ministries’ work programmes and activities. Participants at the review of findings were in agreement that Government departments and ministries tend to work in silos thus collaboration on projects and programs developed by these institutions is not always practised. The requirements of donor agencies can also be rigid and contribute to the lack of collaboration.

12. Communication is a key component in education to achieve behavioural change. Effective communication products must be designed to suit the target audience. A recommendation was made to review public relations activities and the types of activities designed to educate Saint Lucian citizens on:

- a. Climate change
- b. Impacts climate change will have on communities especially coastal residents and businesses
- c. Adaptation measures that the ordinary citizen and business owner can undertake to strengthen their homes/businesses and protect their families.

**APPENDIX I –PHASE II ARIA WORKBOOK FRESHWATER RESOURCES**

# Adaptation: Rapid Institutional Analysis

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Based on the National Adaptive Capacities Framework

Version 2.0

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

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

The workbook is structured as follows:

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

**Qualities of the indicator:** The qualities of the indicator describe key aspects of the institution that are likely to lead to better climate change adaptation governance. They are grouped under the following

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

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

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

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

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

## Appendices:

- C. 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.

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

## Priority Area Cover Sheet

Priority Area: Fresh Water Resources

Research Conducted by: Nadia Cazaubon

Time Period: 25 November – 6 December 2013

## 1. Assessment

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## Worksheet 1a: Vulnerability and Impacts Assessment

<b>Indicator</b>	Is there an assessment of climate change vulnerability and impacts for the priority area? This could either be as part of a national-level assessment or separate sectoral assessment. It may come from a source other than a government ministry, however it should still be evaluated using the same Qualities. If no assessment exists, provide an explanation in the Summary box below.
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### Brief Summary of past or ongoing assessments

There have been several vulnerability and impact assessments conducted as part of larger climate change studies the most recent of which are

1. “Saint Lucia’s Initial National Communication on Climate Change” (INC) commenced in 1999 and was completed in 2001. The INC included a vulnerability and adaptation assessment with included anticipated impacts of climate change on fresh water resources.
2. An indepth vulnerability and adaptation assessment of the Water Sector was conducted as part of the Second National Communication (SNC) in 2010.
3. Preparations are ongoing for the Third National Communication (TNC).
4. The University of the West Indies has commenced a Climate Change Adaptation Strategies for Water Resources and Human Livelihoods in the Coastal Zones of Small Island Developing States (CASCADE) project which is due to be completed in 2014. The first objective includes “providing a comprehensive Vulnerability Assessment Framework for livelihood impacts of climate change as a result of changes in fresh water systems...”

Assessment made by	Government	NGO/ Community	Academic Institution	Industry	Other
<b>Name</b>	Government of St. Lucia:  Ministry of Physical Development & Environment:  Sustainable		University of the West Indies		

	Development & Environment Division (SDED)				
--	---	--	--	--	--

Qualities of the indicator	Yes	Limited	No	n/a
4. The assessment includes both socioeconomic and biophysical aspects of vulnerability and impacts. <b>(Comprehensiveness)</b>	X			
5. Assessment methodology is made transparent. <b>(Transparency &amp; Participation)</b>	X			
6. Broad set of stakeholders were engaged in assessment development. <b>(Transparency &amp; Participation)</b>	X			

### Impacts Assessed (examples)<sup>2</sup>:

Biophysical	Economic	Social	Health
Sea level rise  Temporal and spatial shifts in terrestrial ecosystems (earlier blooming)  Biophysical alterations in fresh water and marine ecosystems	Impacts on assets or properties from more intense storms, forest fires, and flooding  Agricultural and livestock production losses from droughts and periods of intense rainfall	Temporary or permanent displacement from extreme weather or permanently altered living conditions (eg. loss of housing developments due to landslides)  Loss of livelihoods, particularly those sensitive to ecosystem impacts	Human casualties and injuries from extreme weather, including more intense storms  Increase in vector borne diseases eg. Dengue, malaria and chikungunya  Waterborne diseases from

<sup>2</sup> 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 4<sup>th</sup> Assessment Report on the Intergovernmental Panel on Climate Change, 2007*, (Cambridge University Press, 2007).

		such as fisheries	flooding  Malnutrition/lack of fresh water
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Source: IPCC, 2007

### Research Guidelines

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

### Recommended Research Methods and Sources

Legal Research	Research Documents	Interviews
<b>General:</b> N/A	<b>General:</b> Find the vulnerability and impacts assessment for the country if it exists.	<b>General:</b> Contact relevant agencies to confirm/locate assessments if needed.
<b>Q1:</b> N/A	<b>Q1:</b> Review existing vulnerability and Impacts Assessment(s) and any supporting documents, especially those pertaining to methodology of assessing vulnerability.	<b>Q1:</b> (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.
<b>Q2:</b> Should be available in Phase I research	<b>Q2:</b> Should be available in Phase I research	<b>Q2:</b>
<b>Q3:</b> (Optional) Are there legal requirements, administrative guidelines, or rules that require consultation broadly or with certain groups on	<b>Q3:</b> 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.	<b>Q3:</b> (Optional—if not already completed in Phase 1) Interview at least 1 representative of the civil society or an academic to explain the opportunities for involvement in the country's vulnerability assessment.

developing the methods for vulnerability and impacts assessment?		
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**Documenting sources/Citation**

**CASCADE. "Project Cascade."** <http://www2.sta.uwi.edu/cascade/> (Accessed December 2, 2013)

**Dawn Pierre-Nathoniel, Sustainable Development and Environment Officer, Ministry of Sustainable Development, Energy, Science and Technology, December 3, 2013. Interview by author, Castries.**

**Farzana Yusuf-Leon, Water Resource Specialist, Water Resources Management Agency, December 2, 2013. Interview by author, Castries.**

**Government of Saint Lucia. "Saint Lucia's Strategic Programme for Climate Resilience (SPCR). Part One: Background and Rationale." 2011.**

**Government of Saint Lucia. "Second National Communication on Climate Change for Saint Lucia." 2011.**



### 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”.<sup>3</sup> As the definition indicates, exposure is determined by location. This could be confined to a floodplain or as widespread as a country. It is possible to be exposed to climate impacts, but not be vulnerable to them (if adaptive capacity is sufficient enough to mitigate risks).

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

### Quality 1 Description

This quality asks whether the existing vulnerability and impacts assessment includes socioeconomic and political drivers of vulnerability – issues of wealth and credit access, governance, social stratification, gender impacts, etc., as well as biophysical impacts. Determine whether there are any gaps from research in Phase 1 that need to be addressed for the priority area.

**Findings: The assessments focus mainly on socioeconomic drivers of vulnerability and biophysical impacts. The economic sectors weighed in heavily with separate assessments conducted for agriculture and tourism which are the main industries in Saint Lucia. Governance, social stratification and gender impacts are limited as the researcher in Phase 1 explained possibly due to human and financial resource constraints. The SDED which is the Climate Change Focal Point for Saint Lucia recognized the need to tailor assessments to understand the differential impacts of climate change on various socio-economic groups such as gender and wealth stratification. A chapter on gender, youth, children and poverty was included in the Report on Other Relevant Information for Saint Lucia’s Second National Communication to the United Nations Framework**

<sup>3</sup> 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.

**Convention on Climate Change (UNFCCC). The SDED is addressing this gap in the preparatory phase of the TNC.**

**During the first phase of the PPCR, Saint Lucia’s Strategic Program for Climate Resilience (SPCR) was developed. Two expected outcomes stated in the SPCR are**

- **A gender disaggregated information source on specific aspects of vulnerable groups developed**
- **Targeted programming for different types of vulnerable groups established**

**Quality 2 Description**

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

**Findings: The methodologies adopted in conducting the vulnerability and impacts assessments are outlined in reports generated for the INC, SNC and the SPCR. These reports are available to the public through requests to the SDED. Although SDED currently does not have a formal mechanism for requesting or providing information the department initiated the development of the Saint Lucia Integrated National GeoNode (SLING) during preparations of the Pilot Program for Climate Resilience (PPCR). SLING is intended to become the national platform for climate change data sharing and management. Although the GeoNode was developed and launched in 2012, there has been a gap between the first and second phase. At the time of preparing the report the website <http://sling.gosl.gov.lc> was non-functional. Final reports and various project documents are available on some websites including the Climate Investment Fund and the Caribbean Community Climate Change Center:**

<https://www.climateinvestmentfunds.org/cifnet/?q=country/saint-lucia>

[http://dms.caribbeanclimate.bz/webinfo/DocumentList\\_cbz\\_pn.php?search=Saint%20Lucia](http://dms.caribbeanclimate.bz/webinfo/DocumentList_cbz_pn.php?search=Saint%20Lucia)

**The assessments have been widely disseminated to all relevant agencies and stakeholders, particularly those who participated in the project activities, through distribution lists.**

**Many of these documents are large (more than 100 pages) and technical making them not easy to understand by the general public.**

**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: The National Climate Change Committee which was appointed by Cabinet in 1998 is comprised of both government and non-government agencies/institutions. Participants lists from assessment related activities demonstrated that a very broad group of stakeholders were consulted. Government agencies were always well represented. Business and/or Associations and the sole water provider on the island also actively participated. The number of participating community based organizations and NGOs was very wide particularly in preparatory activities of phase 1 of the PPCR when a deliberate strategy was employed to reach civil society organizations and was decentralized with two consultations in the north and south of the island respectively.**

## Worksheet 1b: Inventory of Ongoing Adaptation Efforts

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

### Brief Summary

**The SNC includes a summary inventory of existing and ongoing initiatives in the water sector including the Water Sector Reform Project (1999–2009) and Water Resources Management Project (2000–2003). It also contains an assessment of adaptation options specific to fresh water resources.**

**Appendix 7 of the SPCR contains a ‘blueprint’ of strategic adaptation projects titled ‘Summary of Actions Deemed to be of National Significance for Addressing Climate Change’.**

<b>Inventory created by</b>	Government	NGO/Community	Academic Institution	Industry	Other
<b>Name</b>	SDED				

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

### Research Guidelines

This indicator assesses whether an existing national inventory of adaptation efforts captures efforts at the priority area level. Without an institutional history of mistakes, successful projects, and ongoing projects and programs, planning may run the risk neglecting previous

lessons learned. For example, many countries will already have programs to extend drought-resistant crops, improve emergency warning systems, and to prevent flooding.

### Recommended Research Methods and Sources

Legal Research	Research Documents	Interviews
<b>General:</b> None	Consult the existing V&I assessment(s) for citations of ongoing assessments and work on adaptation at the sub-national and local levels. Alternately, this may be located elsewhere, in sector level planning or industry-level documents.	None
Q1: None	Q1: Evaluate inventory to determine comprehensiveness. Use web sources and local civil society or government ministry resources to corroborate.	Q1: (Optional) As necessary
Q2: None	Q2: Is there a policy or guideline for incorporating lessons learned in any available documentation?	Q2: As necessary to verify if there is a process for ensuring learning.
Q3: None	Q3: Is the information available and accessible?	Q3: N/A

### Documenting sources/Citation

Carolline Eugene, Sustainable Development and Environment Officer, Ministry of Sustainable Development, Energy, Science and Technology, December 3, 2013. Interview by author, Castries.

Dawn Pierre-Nathoniell, Sustainable Development and Environment Officer, Ministry of Sustainable Development, Energy, Science and Technology, December 3, 2013. Interview by author, Castries.

Government of Saint Lucia. *"Comprehensive Disaster Management Strategy and Programme Framework."* 2009.

Government of Saint Lucia. *"Saint Lucia's Strategic Programme for Climate Resilience (SPCR). Part Four: Appendix." Appendix 16.* 2011.

Government of Saint Lucia. *"Second National Communication on Climate Change for Saint Lucia."* 2011.

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](http://www.chicagomanualofstyle.org/tools_citationguide.html)

### Quality 1 Description

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

**Findings:** The INC report recognized that fresh water is a critical resource in climate change since any impact on fresh water resources in the country has the potential to adversely affect all sectors. However, a detailed vulnerability and impact assessment was not conducted specifically focusing on fresh water. Fresh water was made one of the ten focal areas included in the vulnerability and impact assessment in the SNC and a detailed assessment of the water sector was conducted in 2010. Until the full operationalization of the Saint Lucia Integrated National GeoNode, there will be no single source national inventory.

### Quality 2 Description

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

**Findings:** Although the researcher found no legislation which specifically requires incorporating lessons learned into project planning and implantation, the SDED has an internal customary protocol of conducting some level of monitoring and evaluation of projects producing lessons learned and incorporating them into ongoing and future activities. Since this is a practice of the department, it can be regarded as customary law. Additionally, some policy documents require assimilating lessons learned, for example, the Comprehensive Disaster Management Strategy and Programme Framework includes Assimilating Lessons Learnt as one of its Guiding Principles.

### Quality 3 Description

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

**Findings:** Lessons Learned is included in the 2010 'Report on Other Relevant Information for Saint Lucia's Second National Communication to the United Nations Framework Convention on Climate Change'. The lessons learned during implementation of the first phase of the PPCR are also documented in Appendix 16 of the SPCR 'Lessons Learned, Best Practice, Knowledge Transfer and Management under Saint Lucia's PPCR'. SDED also took the initiative to prepare Lessons Learned for the Special Programme on Adaptation to Climate Change (SPACC) project although this was not a required output. A few stakeholders were unaware of the many of the adaptation initiatives that have taken place or are ongoing in Saint Lucia. During the presentation of findings some stakeholders were of the view that the average Saint Lucian also would not know about those initiatives as it does not resonate with them.

## 2. Prioritization

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## Worksheet 2a: Establishment of Priorities

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

The process of developing Saint Lucia's Strategic Programme for Climate Resilience included prioritization of adaptation strategies. A public sector evaluation of each project proposed by relevant agencies and/or government departments was conducted using predesigned selection criteria.

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

- \*Only public sector stakeholders participated in the prioritization of projects in the PPCR

### Research Guidelines

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

### Recommended Research Methods and Sources

Legal Research	Research Documents	Interviews
General: N/A	General: Identify any record of sequencing of adaptation activities in planning documents	General: Review interviews from Phase 1. Assess whether further interviews are needed to gain necessary



		info.
Q1. (Optional) Is there a requirement for transparency?	Q1. Assess whether planning documents are available and accessible.	Q1. N/A
Q2. N/A	Q2. Is there a list of stakeholder consultations, meetings, or other evidence?	Q2: Interview a few members of key stakeholder groups.

### Documenting sources/Citation

**Adrian Hilaire, Director of Sea Ports, Saint Lucia Air & Sea Ports Authority, December 5, 2013. Telephone interview with author.**

**Augustine Dominique, President, Laborie Development Foundation, December 6, 2013. Telephone interview with author.**

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](http://www.chicagomanualofstyle.org/tools_citationguide.html)

### Quality 1 Description

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

#### Findings:

**Using a Selection Criteria, stakeholders rated proposed projects (adaptation activities) according to the following broad categories: cost, effectiveness, ease of implementation, acceptability to local stakeholders, Ministry of Finance and external donors, endorsement by experts, timeframe, institutional capacity, size of beneficiary group, potential social, environmental and economic costs and benefits, synergies with other initiatives and sustainability. The highest rated projects were further categorized under five strategic programme areas:**

**1 Human Welfare and Livelihood Protection**

**2 Integrated Natural Resource Protection, Conservation and Management to Promote**

## Sustainable Development

**3 Building Resilience through Business Development, Innovation and Productivity Enhancement**

**4 Capacity Development/Building and Institutional/ Organisational Strengthening**

**5 Reducing Risk to Climate Related Disasters**

## Quality 2 Description

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

**Findings: The private sector, civil society and public sector consultations held during phase 1 of the PPCR informed project development of adaptation strategies. Stakeholders were engaged during consultations and given the opportunity to voice their concerns and provide input. Project reports were subsequently broadly circulated through distribution lists. Some stakeholders received reports via email. The Public Sector stakeholder consultation list is available and found in Appendix 9 of the SPCR.**

**Two participants at the PPCR stakeholder consultations confirmed their participation at the workshop.**

## Worksheet 2b: Budget Processes

<b>Indicator</b>	Budgetary processes exist to channel finance to adaptation institutions or initiatives for this priority area. If there are none, provide an explanation in the summary box, indicate "N/A" in the qualities table and move to the next worksheet.
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### **Brief summary of processes, if they exist**

An investment program was developed for the proposed climate adaptation initiatives in the SPCR under the PPCR project.

<b>Budget set by</b>	Government	NGO/Community	Academic Institution	Industry	Other
Institution Name	Ministry of Finance, Economic Affairs, Planning and Social Security				

<b>Priority area initiatives in planning documents</b>	<b>Reflected in budget? (y/n)</b>
1. Implement measures to rehabilitate, restore or establish water supply systems to augment national water supply	Yes, the budget is reflected in the PPCR and the Disaster Vulnerability Reduction Project (DVRP).
2. Promote water recycling and water conservation measures in development initiatives	Yes, in the PPCR.
3. Collaborate with relevant stakeholders to further develop an enabling environment for implementation of the Integrated Development Plan/Environmental Management Fund approach to national development	No.
4. Implement integrated watershed planning	Yes, in the Disaster Vulnerability Reduction Project (DVRP)
5. Enhance enabling environment for integrated watershed planning and overall integrated water resources management for sustainable development	Yes, in the Disaster Vulnerability Reduction Project (DVRP)

<b>Qualities of the indicator</b>	<b>Yes</b>	<b>Limited</b>	<b>No</b>	<b>n/a</b>

4. The agency(ies) most closely tied to the priority area reflect adaptation initiatives in their annual budgets. <b>(Comprehensiveness)</b>		X		
5. Budgetary information for adaptation activities in the priority area is available and accessible. <b>(Transparency and Participation)</b>		X		
6. Budgetary allocations are sufficient to enable adaptation activities to proceed according to plans. <b>(Capacity)</b>			x	

### Research Guidelines

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

### Recommended Research Methods and Sources

Legal Research	Research Documents	Interviews
General: Review official budgets and the process for making budgetary processes transparent in a timely manner.	General: Find the budget and identify whether the projects and programs described in the prioritization are currently be funded	General NA
Q1. NA	Q1. Evaluate the priorities laid out in the relevant <b>adaptation plans</b> and compare these to the <b>approved budget(s)</b> for the most recent fiscal year.	Q1. Interview 1-3 relevant agency personnel anonymously or an independent third-party expert to determine the extent to which priorities are being reflected in budget.
Q2. NA	Q2. Assess whether information is made available and accessible	Q2: N/A

Q3. NA	Q3. Assess funding needs and allocation levels.	Q3. Interview key implementing personnel, possibly off the record, to gauge whether allocations have been sufficient.
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### Documenting sources/Citation

Dawn Pierre-Nathoniell, Sustainable Development and Environment Officer, Ministry of Sustainable Development, Energy, Science and Technology, December 3, 2013. Interview by author, Castries.

Farzana Yusuf-Leon, Water Resource Specialist, Water Resources Management Agency, December 2, 2013. Interview by author, Castries.

Government of Saint Lucia. Estimates 2013/2014 Vol. II. <http://www.slugovprintery.com/estimates/2013-2014/Estimates%202013-14.pdf> (Accessed December 4, 2013).

Government of Saint Lucia. Estimates 2012/2013 Vol. II. <http://www.finance.gov.lc/resources/> (Accessed November 26, 2013).

Interview with Ministry of Finance Officer, December 4, 2013.

### 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 Government of Saint Lucia (GOSL) Estimates of Expenditure reflects funding for climate change initiatives which is sourced from external funding agencies including, United Nations Environment Programme, Government of Australia, USAID, Climate Investment Fund and the Global Environment Facility. GOSL provides counterpart funding through administrative support provided under those projects.**

### Quality 2 Description

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

**Findings: The 2012-2013 and 2013-2014 Estimates of Expenditure (Vol. II) can be downloaded online or are available for purchase from the National Printing Corporation. Public participation in the debate or preparation of the budget is virtually non-existent with the exception of the contribution of elected representatives. Ministries submit a**

proposed budget to the Ministry of Finance however the process of selecting programs or activities for funding is not fully transparent and not understood by this researcher.

### Quality 3 Description

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

**Findings: The Government of Saint Lucia does not provide sufficient financial support to implement adaptation strategies and initiatives from local revenue sources. However, departments and agencies seek funding from external funding agencies to implement priority adaptation initiatives. Key government departments with responsibility for managing and implementing climate adaptation initiatives are also not optimally staffed.**

### 3. Coordination

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### Worksheet 3A: Coordination at Priority Area level

<b>Indicator</b>	The priority area is included in national coordination efforts reviewed in Phase I. If not, provide an explanation in the Summary box, mark “N/A” on the qualities table below and move to the next worksheet.)
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#### Brief summary of coordination or lackthereof

Ministries responsible for implementing climate change strategies are required to report to the National Climate Change Committee or the Ministry of Sustainable Development, Energy, Science and Technology. The NCCC coordinates national efforts including fresh water initiatives.

Participating Institution at Priority area level	Government	NGO/Community	Academic Institution	Industry	Other
<b>Institution Name</b>	National Climate Change Committee  Sustainable Development and Environment Division				

Qualities of the indicator	Yes	Limited	No	n/a
4. There is horizontal coordination (across ministries) as necessary, to carry out adaptation initiatives for the priority area. <b>(Capacity)</b>	x			
5. There is vertical coordination (global, national, local) as necessary to carry out adaptation initiatives for the priority area. <b>(Capacity)</b>	x			



6. There is intersectoral coordination (between gov't, civil society, and/or business) as necessary to carry out adaptation initiatives for the priority area. <b>(Capacity)</b>		X		
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### Research Guidelines

<b>Description</b>	This indicator reviews whether the priority area is included in national coordination efforts. This may not be the case depending on the effectiveness of the coordinating body, politically-motivated prioritization, or marginalization of the priority area.
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### Recommended Research Methods and Sources

Legal Research	Research Documents	Interviews
Review existing laws, administrative guidelines, or rules that require the integration an institution to review, revise, and implement country adaptation coordination strategies.	N/A	N/A
Q1. N/A	Q1. Assess evidence of partnerships and collaborations across ministries	Q1. Review interviews from Phsae 1, determine more regional or local authorities should be interviewed.
Q2. N/A	Q2. Assess evidence coordinating bodies, initiatives and processes between different regional/local, national, or global efforts	Q2. Interview project managers or personnel participating in coordinating activities

Q3: N/A	Q3. Assess whether there are intersectoral adaptation activities	Q3: If there appears to be uncoordinated redundancy, interview key personnel
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### Documenting sources/Citation

Dawn Pierre-Nathonié, Sustainable Development and Environment Officer, Ministry of Sustainable Development, Energy, Science and Technology, December 3, 2013. Interview by author, Castries.  
 Farzana Yusuf-Leon, Water Resource Specialist, Water Resources Management Agency, December 2, 2013. Interview by author, Castries.  
 Giles Romulus, National Coordinator, GEF SGP UNDP. December 6, 2013. Telephone interview with author.  
 Kelly Joseph, Executive Director, National Water and Sewage Commission, December 5, 2013. Telephone interview with author.  
 Venantius Descartes, Acting Director of Meteorological Services, Saint Lucia Meteorological Services. December 5, 2013. Telephone interview with author.

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](http://www.chicagomanualofstyle.org/tools_citationguide.html)

### Quality 1 Description

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

**Findings: The SDED and the NCCC have been coordinating climate adaptation projects. Government departments and agencies generally collaborate on projects and have started formalizing partnerships with Memorandum of Understandings. Duplication of efforts have existed in the past however with the NCCC, the incidence of duplication is decreased, rather projects support each other. Past and ongoing collaborations between agencies exist such as collaboration between the Water Resources Management Agency, Department of Forestry and the Meteorological Office to develop and implement a hydrological monitoring project and participation in the Caribbean Agrometeorological Initiative (CAMI) to improve application and provision of weather and climate information to farmers.**

**Ministries, departments and other governmental bodies tend to work in silos and in many instances compete for the same source of funds to carry out activities in their annual programs. The composition of the NCCC provides a platform to share project ideas and updates among key ministries.**

## Quality 2 Description

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

**Findings: At the national level, the NCCC provides guidance to minimize duplication of efforts when similar projects are submitted for funding. The GEF SGP process requires new applicants find out about ongoing or past projects for potential synergies and as a result seek to minimize duplication from the project planning phase.**

## Quality 3 Description

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

**Findings: Inter-sectoral collaboration is an ongoing process however it does not occur as efficiently as it should. Ministries have began formalizing collaboration efforts through developing Memorandi of Understanding.**

**At the civil society level, organizations typically seek technical support from relevant government agencies. Funding agencies like the Global Environment Facility Small Grants Program require that agencies find linkages with similar projects that have been or are being implemented. The GEF SGP is also responsible for implementing a Community Based Adaptation project funded by the Australian government. A technical committee was established as an internal mechanism to review and provide technical guidance.**

## 4. Information Management

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## Worksheet 4a: Data gathering

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

Adaptation relevant data and information is collected and compiled by the various agencies, primarily the Saint Lucia Meteorological Service (SLMS), the Water Resources Management Agency and the Agriculture Engineering Service Division. These agencies jointly produce a monthly agromet bulletin which is available online and emailed through distribution lists which includes farmers and other private sector stakeholders.

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

Weather observations, agrometeorological and climatological data including, air temperature, rainfall, standard precipitation index, wind, wave and swell heights, tides, weather forecasts and observations.	Saint Lucia Meteorological Service
Agrometeorological data including rainfall, stream flows, sunshine hours, evaporation	Water Resources Management Agency.

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

Data from the Saint Lucia Meteorological Service is available via request and up to date information can be obtained. Their website and teleforecast service also provides the latest weather report.

WRMA collects agrometeorological data monthly and bi-weekly. The most recent data collected by the agency is available upon request.

WRMA, Agriculture Engineering Service Division and the SLMS collaborate on a monthly agromet bulletin. The most recent issue available online is for October 2013.

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

- \*(Data is readily available upon request from the Saint Lucia Meteorological Office)

### Research Guidelines

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

### Recommended Research Methods and Sources

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

### Documenting sources/Citation

Farzana Yusuf-Leon, Water Resource Specialist, Water Resources Management Agency, December 2, 2012. Castries.

Junior Mathurin, Water Resource Officer II. Water Resources Management Agency, November 21, 2012. Soufriere.

Ministry of Agriculture, Food Production, Fisheries and Rural Development. "Agromet Monthly Bulletin." [http://www.malff.com/index.php?option=com\\_content&view=article&id=224&Itemid=183](http://www.malff.com/index.php?option=com_content&view=article&id=224&Itemid=183) (Accessed December 2, 2013).

Saint Lucia Meteorological Service. "Forecast." [www.slumet.gov.lc](http://www.slumet.gov.lc). (Accessed December 5, 2013)

Venantius Descartes, Acting Director of Meteorological Services, Saint Lucia Meteorological Services. December 5, 2013. Telephone interview with author.

### Quality 1 Description

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

**Findings: The SLMS shares data upon request. Daily weather reports are distributed to media houses, email distribution list which is a free subscription service and via telephone and fax. SLMS updates weather observations to the World Meteorological Organization. The agromet bulletin provides an analysis of climate data. There is a mechanism in place for alerting relevant stakeholders on drought status.**

### Quality 2 Description

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

**Findings: n/a Data from the SLMS is readily available upon request.**

## Worksheet 4b: Information Analysis Institutions

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

Under the first phase of the PPCR, SLING, a GeoNode for climate change information sharing was created. During the course of this rapid assessment the website was not functioning, however, the responsible IT department indicated they would look into it.

The WRMA has an existing internal platform called WebMap which will be the agency's node to the national GeoNode. WebMap is accessible online via a username and password however access is currently restricted to staff of WRMA.

The SDED has an internal database of climate change related projects and information including fresh water resources. That database can only be accessed physically from the server at the SDED office.

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

### Recommended Research Methods and Sources

Legal Research	Research Documents	Interviews
General: Consult laws establishing or regulating the organization identified.	General: A mandate might exist in practice though not in the law. An organization might have created an internal mandate to serve stakeholders and provide them with this information. The organization could be a Government agency or university or private think tank.	General: (Optional) Interviewing a key official will be necessary if the mandate and organization are not identifiable in the law.
Q1. N/A	<p>Q1. Is there evidence that the platform is used frequently?</p> <p><b>Training was conducted during the launching and development of SLING however the website is currently not functioning so no information could be gathered as to the level of use of SLING. SDED receives frequent requests for climate</b></p>	Q1. Interview key personnel at the priority area level who can provide reliable information about the level of awareness.

	<b>change information and data which are readily provided.</b>	
Q2. N/A.	Q2. If the platform is only available online, does this dramatically limit access? Are there alternative methods of accessing the platform?	Q2. As necessary.
Q3. N/A	Q3. Review documentation that's available	Q3. Corroborate available information through interviews.

### Documenting sources/Citation

David Alphonse, GIS Officer, Physical Development, December 5, 2013. Telephone interview with author Dawn Pierre-Nathoniel, Sustainable Development and Environment Officer, Ministry of Sustainable Development, Energy, Science and Technology, December 3, 2013. Interview by author, Castries.

Farzana Yusuf-Leon, Water Resource Specialist, Water Resources Management Agency, December 2, 2013. Interview by author, Castries.

The World Bank. "Saint Lucia Launches National Data Management Portal to Improve DRM Decision Making." Worldbank.org. <http://go.worldbank.org/W6IM9NBVZ0> (accessed December 4, 2013).

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](http://www.chicagomanualofstyle.org/tools_citationguide.html)

### Quality 1 Description

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

**Findings: In 2012, the national GeoNode was launched . During this period, a consultant was employed to manage this central depository housed at the Physical Planning Department in the Ministry of Physical Development, Housing and Urban Renewal. A series of awareness activities were undertaken to inform relevant stakeholders about the national depository to provide documents and materials to populate the GeoNode as**

well as trainings on the use of SLING.

A public relations officer was recently appointed to the SDED and has commenced an educational campaign promoting activities and the work of the department.

### Quality 2 Description

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

#### Findings:

Although SLING, the national platform that is designed to share climate change related information is a web-based platform the SDED readily shares information made via requests.

### Quality 3 Description

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

**Findings: The central coordinator responsible for SLING is the Ministry of Physical Development. The national GeoNode is not adequately staffed, thus since the GeoNode's coordinator's contract ended there has been a gap in populating and maintaining the site. Although, responsibility for SLING had been reassigned, the Physical Planning Department has shifted focus to develop a national GIS in the interim. Revitalization of SLING is planned in phase 2 of the PPCR.**

## 5. Mainstreaming

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## Worksheet 5a: Mainstreaming in the Priority Area

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

<p>Under the Pilot Program for Climate Resilience, a number of projects were designed to address climate change adaptation. These projects were designed and proposed by stakeholders and relevant government ministries.</p> <p>The National Climate Change Commission is comprised of key government departments/agencies with fresh water mandates. Many agencies represented on the NCCC are also referral agencies who review Environmental Impact Assessments and provide technical recommendations and input to the Development Control Authority.</p>
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Qualities of the indicator	Yes	Limited	No	N/A
4. There are guidelines for assessing climate change impact risk in projects or sectoral planning. <b>(Comprehensiveness)</b>		x		
5. Relevant ministries, industries, and/or civil society stakeholders’ input was sought during project development. <b>(Transparency and Participation)</b>	x			
6. There is an accountability mechanism to ensure that climate change impacts are considered. <b>(Accountability and Enforcement)</b>		x		

### Research Guidelines

This indicator assesses whether national mainstreaming efforts are manifested at the priority area level. If none exist nationally, are there efforts that have arisen at a more local, regional, or sector-specific level?
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### 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>General: Evaluate master plans.</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>Q1. Assess whether there are guidelines for climate change risk integration</p>	<p>Q1.</p>	<p>Q1. Ask a representative from an environmental ministry if these considerations are being used.</p>
<p>Q2. N/A</p>	<p>Q2. Determine if there are stakeholder outreach reports available</p>	<p>Q2. Interview key stakeholder groups.</p>

Q3. Is there any mechanism to hold developers accountable for not assessing climate change impacts on developments	Q3. Review planning and regulations, zoning requirements, etc.	Q3. As necessary
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**Documenting sources/Citation**

**Adrian Hilaire, Director of Sea Ports, Saint Lucia Air & Sea Ports Authority, December 5, 2013. Telephone interview with author.**  
**Dawn Pierre-Nathoniell, Sustainable Development and Environment Officer, Ministry of Sustainable Development, Energy, Science and Technology, December 3, 2013. Interview by author, Castries. Saint Lucia, "Physical Planning and Development Act." No. 29 of 2001.**

**Quality 1 Description**

<p>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?</p>
<p><b>Findings: Currently there are no regulations requiring adaptation measures, however, several policy documents such as the NCCPAP and the National Water Policy includes considerations for climate adaptation to ensure sustainable development.</b></p> <p><b>The INC, SNC and PPCR-DVRP have documented past and ongoing government efforts to address climate change adaptation.</b></p> <p><b>The National Climate Change Policy and Adaptation Plan (NCCPAP) guides national processes to address the effects of climate change. The National Climate Change Committee provides oversight to ensure the implementation of the NCCPAP.</b></p>

**Quality 2 Description**

<p>Were key stakeholders consulted in the mainstreaming process? Were any key groups left out? Is there evidence that their input informed planning or implementation?</p>
<p><b>A broad stakeholder consultation process was undertaken in developing the SPCR and</b></p>

**during phase 1 of the PPCR. Stakeholder consultations are reflected in the preparation of the SNC, PPCR and SPCR. Saint Lucia has a culture and practice participatory planning of national initiatives including developing policy and implementing projects pertaining to fresh water resources.**

### **Quality 3 Description**

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

**The Physical Planning and Development Act No. 29 of 2001 includes enforcement measures and penalties. This act does not directly address climate change impacts however it is currently being revised and submissions have been made to include climate change in the legislation and regulations.**



## Worksheet 5b: Mainstreaming Adaptation in planning

Indicator	The institution(s) tasked with prioritization and coordination have identified barriers for adaptation at the priority area level. (If not, explain so below, mark "N/A" in the qualities table and move to the next worksheet)
-----------	---

### Brief summary of examples

The SDED have employed the best practice of producing lessons learned in the SNC and in the SPCR. The Water Vulnerability and Adaptation Assessment report for the SNC identifies constraints in the water sector.

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

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

### Research Guidelines

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

### Recommended Research Methods and Sources

Legal Research	Research Documents	Interviews
<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>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 strategic planning, if any?</p>
<p>Q1. (Optional) In a country with an adaptation law or a clear policy within the priority area, there may be sections of laws stating findings or particular needs or values which describe the need for a particular model for coordination. Similarly, such a body may be formed as part of a regulatory responsibility as laid out in rule-making procedures.</p>	<p>Q1. Identify any documentation of the intervention, including rule-making documents, project planning documents, program objectives, reports by Executive offices, or “findings” sections of relevant laws.</p> <p>These should be publicly available and free of charge.</p>	<p>Q1. NA</p>

<p>Q2. (Optional) In a country with an adaptation law or a clear policy within the priority area, there may be sections of laws stating findings or particular needs or values which describe the need for a particular model for coordination. Similarly, such a body may be formed as part of a regulatory responsibility as laid out in rule-making procedures.</p>	<p>Q2. Identify any documentation of the intervention, including rule-making documents, project planning documents, program objectives, reports by Executive offices, or “findings” sections of relevant laws.</p> <p>These should be publicly available and free of charge.</p>	<p>Q3. Interview someone who is familiar or was involved with the process.</p>
<p>Q3. N/A</p>	<p>Q3. Assess whether the rationale is made available through public documents</p>	<p>Q3. Only if necessary</p>
<p>Q4. N/A</p>	<p>Q4. Assess whether information is made proactively available</p>	<p>Q4. Interview at least 1-2 affected parties to assess if they had an adequate opportunity to participate in the decision-making process. Interview 1-2 officials to assess whether they took steps to consult on the development of standards and procedures</p>

### Documenting sources/Citation

**Government of Saint Lucia. Ministry of Physical Development & Environment Sustainable Development & Environment Section “Water Sector Final Report: Vulnerability and Adaptation Assessment for the Second National Communication on Climate Change”.[Castries], 2010.**

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](http://www.chicagomanualofstyle.org/tools_citationguide.html)

## Quality 1

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

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

- Policy framework;
- Rates, charges, taxes, permits, or tariffs;
- Zoning regulations;
- Insurance premiums;
- Standards;
- Land tenure or other property rights structures;
- Design of social protection programs;
- Lack of awareness or information;
- Lack of resources;
- Sub-national institutional structure;
- Lack of authority at a particular administrative level or body;
- Market factors;
- Legal harmonization between sections of the law or between levels of government;
- Sources of social inequity.

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

**Findings: Consultations were conducted during the process of developing the PPCR. Separate workshops were held with public sector, private sector and civil society in the north and the south of the island. During these consultations, stakeholders were engaged and afforded the opportunity to raise their sector relevant issues.**

## Quality 2

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

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

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

While few policy processes

**Findings: During the stakeholder consultations conducted to inform the PPCR and SPCR quite a few projects were conceptualized and proposed by private and civil society. The public sector consultation evaluated these interventions using the Selection Criteria which included costs, effectiveness, sustainability and potential social, environmental & economic costs and benefits.**

### Quality 3

This indicator measures whether there was transparency in the processes for intervention selection in the priority area and whether reasons were presented for such delegation. Identify whether authorities have publicly justified their selection of interventions in light of other options. Such

justification may be in rule-making documents, project planning documents, program objectives, reports by Executive offices, or “findings” sections of relevant laws.

**Findings: The SPCR employed a participatory approach to develop adaptation initiatives. Broad stakeholder consultations were conducted to inform strategies. Government agencies subsequently proposed projects for funding under the PPCR according to their need.**

#### Quality 4

This indicator assesses whether the process for development of interventions to support adaptation in the policy area involved a wide range of stakeholders.

Members of the public, organizations, other levels of government and businesses have a legitimate interest shaping how adaptation is encouraged through official interventions.

As officials considered policy interventions, identify whether the public had an opportunity to comment on decision-making procedures. If they did, did they have a reasonable amount of time to comment, sufficient notice that the opportunity was upcoming, and sufficient information to make an informed contribution?

Furthermore, consider whether special effort was made to include members of poor and marginalized communities.

**Findings: During phase 1 of the PPCR, a participatory approach was employed to confirm the strategic focus of the SPCR. The process included national consultations, focus group discussions and one-on-one meetings with key stakeholders, policy makers and potential beneficiaries. A public sector consultation was held where interventions were prioritized. Civil society organizations and the private sector did not directly participate in the prioritization exercise. It is unclear whether the public had any opportunity to comment on the decision making process (prioritization exercise).**

## Appendix B: Interview Organizer

Interviewee Name	Affiliation	Title	Sector	Indicator	Quality(ies)
Dawn Pierre-Nathoniél	Sustainable Development and Environment Division	Sustainable Development and Environment Officer	Public - Climate Change Focal Point	1A	Q1
				1B	Q1, Q2
				2B	Q1, Q3
				3A	Q1, Q2
				4B	Q1
				5A	Q1, Q3
				5B	
Farzana Yusuf-Leon	Water Resources Management Agency	Water Resources Specialist	Public - Water Management	1B	Q1
				2B	Q1, Q3
				3A	Q1, Q2, Q3
				4A	Q1, Q2
				4B	Q1, Q2
Kelly Joseph	National Water and Sewage Commission	Executive Director	Public - Water	3A	Q1

<b>Interviewee Name</b>	<b>Affiliation</b>	<b>Title</b>	<b>Sector</b>	<b>Indicator</b>	<b>Quality(ies)</b>
Venantius Descartes	Saint Lucia Meteorological Services	Acting Director of Meteorological Services	Public	3A	Q3
				4A	Q1, Q2
Giles Romulus	Global Environment Facility Small Grants Programme United Nations Development Programme		International Funding	3A	Q1, Q2
Anonymous	Ministry of Finance	Finance Officer	Public - Financial	2B	Q1
Caroline Eugene	Sustainable Development and Environment Division		Public	1B	Q2
David Alphonse	Surveys Department, Physical Planning Section	Chief Cartographer	Public - Planning	4B	Q1
Adrian Hilaire	Saint Lucia Air & Sea Ports Authority	Director of Sea Ports	Public/Private	2A	Q2
Augustine Dominique	Laborie Development Foundation	President	Civil Society	2A	Q2
Rita Harrison	Soufriere Fishermens Cooperative Society Ltd.	Member	Civil Society/Private	5A	Q2
Junior Mathurin	Water Resources Management	Water Resources Officer	Public - Water	4A	



## 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”

**Appendix 5 – Summary Report and ARIA Workbook for the Livelihoods and Culture Priority Area**



WORLD  
RESOURCES  
INSTITUTE

## **ADAPTATION: RAPID INSTITUTIONAL ANALYSIS (ARIA)**

### **PHASE II SUMMARY RESEARCH REPORT AND WORKBOOK**

#### **LIVELIHOODS AND CULTURE**

**SAINT LUCIA**

**January, 2014**

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# Adaptation: Rapid Institutional Analysis (ARIA)

## Saint Lucia Phase II Summary Report Livelihoods and Culture

### Introduction

The research responded to the question: Is the priority area **“livelihoods and culture”** captured within the current work on Climate Change Vulnerability and Adaptation (V&A) in Saint Lucia?

In the Saint Lucian context (and this may be extended globally), culture and livelihoods are interdependent constructs. Traditional livelihood activities like agriculture and fishing continue to be influenced by cultural practices; while the more recent and emerging livelihood activities especially in the service industries are so designed to use cultural assets and natural resources as leverage. Climate change, which has produced changes in weather patterns (more intense rainfall and flooding), will undoubtedly give rise to changes in the natural systems (seasons, tides etc.) which fishers and farmers have traditionally based their livelihood activities upon. Sea level rise, another consequence of climate change will have adverse impacts on the array of coastal activities from fishing to livelihoods in the rapidly growing hotel sector, port services and generally on coastal dwellings and infrastructure. These multiple impacts will certainly give rise to extensive infrastructure rehabilitation costs, a high food import bill and ultimately negative economic growth; but the most significant impacts will be dealt to people and by extension to livelihoods and culture.

### Method

The foregoing discourse provided the contextual frame for the research. It provided a framework for the establishment of research methods and data collection procedures. An extensive literature review was carried out across sectors such as Health, Human Settlements, Water, Agriculture, Critical Infrastructure, Coastal Zone, Forest and Marine Biodiversity, Financial Services and Tourism. The team also reviewed the ARIA Phase I Research Report and other reports of national climate change planning and policy. Interviews were conducted with critical stakeholders including experts from the Sustainable Development and Environment Division (SDED) of the Ministry of Sustainable Development, Energy, Science and Technology. Following this, the data was analysed to determine whether the priority area

“culture and livelihoods” was covered in any of the Climate Change reports and V&A Assessments in the work undertaken so far.

The findings of the research were used to inform and compile a workbook for Phase II of the Adaptation: Rapid Institutional Analysis project being undertaken by the Saint Lucia National Trust focusing on livelihoods and culture in Saint Lucia.

## Findings

Please see the completed Phase II ARIA workbook which is attached as Appendix I of this summary report.

## Recommendations

The analysis revealed that while there have been definite efforts to involve key organisations, individuals, and policy makers in decision making regarding the assessment of Climate Change V & A for the various sectors, these assessments did not address issues specific to the priority area livelihoods and culture. Notwithstanding the research must be contextualised within the following limitations:

1. The definition of livelihoods and culture is restrictive. It focuses on what is **culture** as against what is **cultural** and emphasises resource based livelihoods.
2. While interviews were conducted with key informants, none were conducted with officials of the Ministry of Social Transformation, the government agency with the mandate for social policy and livelihoods issues.

In spite of these limitations, the research provides strong arguments in support of the view that the current efforts to address the impacts of climate change in Saint Lucia have focused primarily on addressing issues related to infrastructure. While reference is made to loss of livelihoods, particularly those sensitive to ecosystem impacts such as fisheries and rain-fed agriculture, some in-depth research needs to be conducted to address the social impacts of climate change; hence the need for V & A Assessments specific to the priority area of “**livelihoods and culture**”. The results further emphasise the need for a body of work that facilitates the conduct of in-depth analyses of livelihoods and culture from a civil society perspective; and that measures climate change impacts on that unit of analysis. This body of work if initiated can be the catalyst for greater engagement of the Ministry of Social Transformation and can facilitate broader focus on activities that address real social transformation issues.

**APPENDIX I – PHASE II ARIA WORKBOOK- LIVELIHOODS & CULTURE**



# ADAPTATION: Rapid Institutional Analysis

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Based on the National Adaptive Capacities Framework

Version 2.0

## **Phase II Workbook**

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## **ACRONYMS USED IN THE WORKSHEETS**

**AUSAID: Australian Agency for International Development**

**BOSL: Bank of Saint Lucia**

**CARPHA: Caribbean Public Health Agency**

**CC: Climate Change**

**CCCCC : Caribbean Community Climate Change Centre**

**CEHI: Caribbean Environmental Health Institute**

**CYEN : Caribbean Youth Environment Network**

**CZMCC: Coastal Zone Management Consultancy Consortium**

**DVRP : Disaster Vulnerability Reduction Program**

**GOSL- Government of Saint Lucia**

**IISD: International Institute for Sustainable Development**

**IUCN: International Union for Conservation of Nature and Natural Resources**

**LDF: Laborie Development Foundation**

**LUCELEC: Saint Lucia Electricity Services Ltd**

**MACC: Mainstreaming Adaptation to Climate Change**

**MSDEST: Ministry of Sustainable Development, Energy, Science & Technology**

**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/Mational Environmental Management Strategy**

**NFP: National Focal Point**

**PCA: Project Cooperation Agreement**

**PPCR: Pilot Program of Climate Resilience**

**SDED : Sustainable Development and Environment Division**

**SLASPA : Saint Lucia Air and Seaports Authority**

**SLDB: Saint Lucia Development Bank**

**SLNT: Saint Lucia National Trust**

**SLTB: Saint Lucia Tourist Board**

**SMMA : Soufriere Marine Management Association**

**SNC : Second National Communication**

**SPACC: Special Programme for Adaptation to Climate Change (SPACC)**

**SPRC: Strategic Programme for Climate Resilience**

**TFP: Technical Focal Point**

**UNEP : United Nations Environment Program**

**UNFCCC: United Nations Framework Convention on Climate Change**

**UNISDR: UN Office for Disaster Risk Reduction**

**V&A: Vulnerability and Adaptation**

**WASCO: Water and Sewerage Authority**

**WRMA : Water Resources Management Agency**

## List of appendices

- E. 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.

- F. 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.
- G. Draft Project Proposal:** Vulnerability Capacity Assessment under the EU-GCCA Programme(partially completed)

## Introduction

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

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

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

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

The workbook is structured as follows:

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

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

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

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

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

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

## Priority Area Cover Sheet

**PRIORITY AREA: Livelihoods and Culture**

**Research Conducted On behalf of the LABORIE DEVELOPMENT FOUNDATION INC. by:**

- 1. Charleen Charles (BSc, MSc Economics)**
- 2. Augustine Dominique:** Founding member and current President of the Laborie Development Foundation (LDF) Inc.

**Time Period: December 15, 2013 – January 30, 2014**



## 1. Assessment

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## Worksheet 1a: Vulnerability and Impacts Assessment

<b>Indicator</b>	Is there an assessment of climate change vulnerability and impacts for the priority area <b>Livelihoods and Culture</b> ? This could either be as part of a national-level assessment or separate sectoral assessment. It may come from a source other than a government ministry, however it should still be evaluated using the same Qualities. If no assessment exists, provide an explanation in the Summary box below.
------------------	---

### Brief Summary of past or ongoing assessments

**Any discussion on livelihoods and culture must be based on the seminal work of Chambers & Conway (1991) who define livelihoods as “the capabilities, assets (including both material and social resources) and activities required for a means of living”. Of significance to this analysis is the notion that livelihoods and culture are generally intertwined; and while there have been changes in the practice of many livelihoods over time, many still have their basis in traditions fundamental to the existence of people who practice them. As a small island state, Saint Lucia has achieved some targets in the area of climate change Vulnerability and Adptation (V & A) Assessment through the work of the Sustainable Development and Environment Division (SDED) of the Ministry of Sustainable Development, Energy, Science & Technology (MSDEST). Some of these assessments are presented in the table below. However, much of this work focusses on “loss of livelihoods” from climate change impacts. ARIA Version 2.0 Phase 1 Workbook, (p. 6) refers to “loss of livelihoods, particularly those sensitive to ecosystem impacts such as fisheries and rainfed agriculture”. A review of project work being considered for Saint Lucia produced a draft project proposal covering an effort to undertake *Saint Lucia’s first climate change assessment of vulnerable socio-economic groups which would be a departure from the traditional sectoral assessments*. However, this proposal has not been completed. Therefore, the current work on V & A does not cover assessments exclusive to the priority area *livelihoods and culture*. There is need for a body of work that facilitates the conduct of an indepth analysis of livelihoods and culture from a civil society perspective; and also measures climate change impacts on that unit of analysis.**

Name	Assessment made by				
	Government	NGO/ Community	Academic Institution	Industry	Other
<b>V &amp; A Report – Health Sector</b>	X				
<b>V &amp; A Report – Critical Infrastructure</b>	X				

V & A Report – Human Settlements	X				
V & A Report – Agriculture	X				
V & A Report – Coastal Sector	X				
V & A Report – Forest & Marine Biodiversity	X				
CARIBSAVE Climate Change Risk Profile for Saint Lucia, March 2012					X

Qualities of the indicator	Yes	Limited	No	N/A
7. The assessment includes both socioeconomic and biophysical aspects of vulnerability and impacts. <b>(Comprehensiveness)</b>		X		
8. Assessment methodology is made transparent. <b>(Transparency &amp; Participation)</b>		X		
9. Broad set of stakeholders were engaged in assessment development. <b>(Transparency &amp; Participation)</b>		X		

**Impacts Assessed (examples)<sup>4</sup>:**

Biophysical	Economic	Social	Health
Melting Glaciers/earlier snowmelt	Impacts on assets or properties from more intense storms, forest fires, and flooding	Temporary or permanent displacement from extreme weather or permanently altered living conditions (eg.	Human casualties and injuries from extreme weather, including heat waves
Sea level rise	Agricultural and		Reduced air quality

<sup>4</sup> 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 4<sup>th</sup> Assessment Report on the Intergovernmental Panel on Climate Change, 2007*, (Cambridge University Press, 2007).

Temporal and spatial shifts in terrestrial ecosystems (earlier blooming, northward shift of species)	livestock production losses from heat waves and droughts	Sea level rise) Loss of livelihoods, particularly those sensitive to ecosystem impacts such as fisheries and rainfed agriculture	and increased incidence of cardio-respiratory diseases, especially among vulnerable segments of population Waterborne diseases from flooding and unusually high rainfall  Malnutrition/lack of freshwater
Biophysical alterations in freshwater and marine ecosystems			

Source: IPCC, 2007

### Research Guidelines

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

### Recommended Research Methods and Sources

Legal Research	Research Documents	Interviews
<b>General: N/A</b>	<p><b>General:</b> Find the vulnerability and impacts assessment for the country if it exists.</p> <p><b>V &amp; A Assessments are available for the following sectors:</b>  <b>Health, Human Settlements</b>  <b>Water, Agriculture, Critical Infrastructure, Coastal, Forest and Marine Biodiversity, Financial Services and Tourism. However, they do not directly measure or capture the priority area.</b></p>	<p><b>General:</b> Contact relevant agencies to confirm/locate assessments if needed.</p> <p><b>SDED</b></p>
<b>Q1: N/A</b>	<p><b>Q1:</b> Review existing vulnerability and Impacts Assessment(s) and any supporting documents, especially those pertaining to methodology of assessing vulnerability.</p> <p>The review realised no V&amp;A assessments specific to the priority area, culture and livelihoods.</p> <p><b>As previously reported, V &amp; A</b></p>	<p><b>Q1:</b> (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><b>Interview were conducted with Mrs. Dawn Pierre-</b></p>

	<p>Assessments for sectors such as Health, Human Settlements Water, Agriculture, Critical Infrastructure, Coastal, Forest and Marine Biodiversity, Financial Services and Tourism were reviewed. Assessment methods used included</p> <ul style="list-style-type: none"> <li>• Interviews with critical stakeholders (to include use of information from local and technical experts)</li> <li>• Literature review across sectors</li> <li>• Trend analyses</li> <li>• Case studies</li> <li>• Review of National plans and policy documents</li> <li>• Risk analyses</li> </ul> <p><a href="http://www.careclimatechange.org/tk/cba/en/cba_basics/key_concepts.html">http://www.careclimatechange.org/tk/cba/en/cba_basics/key_concepts.html</a></p> <p>Pouliotte, Jennifer; Barry Smit And Lisa Westerhoff, "Adaptation and development: Livelihoods and climate change in Subarnabad, Bangladesh", Department of Geography, University of Guelph, Guelph, ON, N1G 2W1, Canada, 2009.</p> <p>Gordon Conway, Robert Chambers. "Sustainable Rural Livelihoods: Practical concepts for the 21st century." <i>IDS Discussion Paper 296</i> (1991): 29 pp.</p>	<p>Nathaniel, Sustainable Development &amp; Environment Officer III, Sustainable Development and Environment Division of the Ministry of Sustainable Development, Energy, Science and Technology.</p> <p>In response to the question on <u>whether these assessments sufficiently capture the priority area</u>, the Officer informed that there was a partial treatment of livelihoods in many of the assessments. However, these assessments mainly focused climate change impacts on the environment and there was little or no reference to culture. The Officer emphasized the point through the following example: "We play cricket in Saint Lucia, and it is noticeable that in recent times weather patterns have changed significantly. It rains in the dry season and there can be intense dry spells during the rainy season. Many have blamed the non-completion of cricket games in the dry season on</p>
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	<p><b><i>Livelihoods and Climate Change - Combining disaster risk reduction, natural resource management and climate change adaptation in a new approach to the reduction of vulnerability and poverty: A Conceptual Framework Paper Prepared by the Task Force on Climate Change, Vulnerable Communities and Adaptation. International Institute for Sustainable Development(IISD), International Union for Conservation of Nature and Natural Resources (IUCN) and Stockholm Environment Institute, 2003.</i></b></p> <p><b><u>Reports:</u></b>  <b>Ministry of Physical Development and Environment, Sustainable Development and Environment Division (SDED). <i>Report on Other Relevant Information for Saint Lucia's Second National Communication to the United Nations Framework Convention on Climate Change.</i>Castries, Saint Lucia: Government of Saint Lucia, October 2010.</b></p>	<p>climate change, but no in-depth studies have been undertaken to address these issues. Only anecdotal evidence is available at this time.”</p>
<p><b>Q2:</b> Should be available in Phase I research.</p>	<p><b>Q2:</b> Available in Phase I research and reproduced here</p> <p><a href="http://unfccc.int/focus/adaptation/items/6999.php">http://unfccc.int/focus/adaptation/items/6999.php</a> is an official site</p>	<p><b>Q2:</b></p>

	<p><b>that discusses adaptation and its assessment</b></p> <p><b>A compendium on methods and tools to evaluate impacts of and vulnerability and adaptation to climate change can be found at <a href="http://unfccc.int/adaptation/nairobi_work_programme/knowledge_resources_and_publications/items/5401.php">http://unfccc.int/adaptation/nairobi_work_programme/knowledge_resources_and_publications/items/5401.php</a></b></p> <p><b>Page 8 of Report of the Conference of the Parties on its 8<sup>th</sup> session held at New Delhi from 23<sup>rd</sup> October to 1<sup>st</sup> November 2002, FCCC/CP/2002/7/Add.2</b></p> <p><b>Page 6,7 of Appendix D for stocktaking exercise and project document preparation from Project Cooperation Agreement (PCA)</b></p> <p><b>Articles 4.1 and 4.8 of the UNFCCC mandate parties to produce national communications including vulnerability assessments and impact studies of climate change.</b></p>	
<p><b>Q3:</b> (Optional) Are there legal requirements, administrative guidelines, or rules that require consultation broadly or with certain groups on developing the</p>	<p><b>Q3:</b> Websites or records of broad consultation, such as lists of individuals and organizations consulted with by preparers of V&amp;A assessment, attendees at participatory events, or online participation platforms.</p> <p><b>Broadbased National Climate Change Committee (NCCC) of Saint Lucia approved by Cabinet of Ministers and</b></p>	<p><b>Q3:</b> (Optional—if not already completed in Phase 1) Interview at least 1 representative of the civil society or an academic to explain the opportunities for involvement in the country’s vulnerability assessment.</p> <p><b>NA</b></p>

<p>methods for vulnerability and impacts assessment?</p> <p><b>The Permanent Secretary of the MSDEST is the National Focal Point for Climate Change. The SDED is the division of the ministry responsible and Technical Focal Point for Climate Change (CC). As a basic tenet, the Division uses consultation to ensure that all stakeholders are included in decision making about Climate Change activities in Saint Lucia. Consultation is also facilitated by the National Climate Change Committee; <i>which was re-established in 1999 with the sanction of the Cabinet of Ministers of the</i></b></p>	<p><b>established in 2001</b></p> <p><b>Email listing from the NCCC</b></p> <p><b>Lists of participants Part 4 of the SPCR/PPCR Report (2011) pp 54-75</b></p>	
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<p><b><i>GOSL. Note however, that Climate Change policy in Saint Lucia is driven by a mix of international, regional and national policy imperatives</i></b></p>		
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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](http://www.chicagomanualofstyle.org/tools_citationguide.html)

**Quality 1 Description**

This quality asks whether the existing vulnerability and impacts assessment includes socioeconomic and political drivers of vulnerability – issues of wealth and credit access, governance, social stratification, gender impacts, etc., as well as biophysical impacts. Determine whether there are any gaps from research in Phase 1 that need to be addressed for the priority area.

**Findings:**

**The findings are presented within the context of interdependence culture and livelihoods in the Saint Lucian context? Traditional livelihood activities like agriculture and fishing are influenced by cultural practices of the past; while the more recent and livelihoods especially in the tourism and service industries use Saint Lucia’s natural and cultural attributes, assets and resources as leverage for foreign investment capital. The research supports the view that Climate Change will undoubtedly create changes in the natural systems (seasons, tides etc.) which traditional livelihood practitioners use for guidance during their planting, harvesting and other activities. Sea level rise, a consequence of Climate Change will certainly displace fishers as their natural places of berthing and preparation of fish traps and other paraphernalia would become submerged. It would also have an adverse impact on hotel and coastal dwellings, recreation and infrastructure. More intense rainy seasons will cause loss of fertile agricultural lands, create havoc with the food supply, create severe flooding which would in turn lead to failure of the island’s infrastructure. These multiple impacts will leave the country with a larger than usual food import bill, extensive cost to rehabilitate infrastructure and further stagnate our fragile economy. In addition, a change in weather patterns would have an adverse negative impact on the increased tourist arrivals which Saint Lucia and other Small Island Developing States depend on so heavily to support livelihoods both traditional and emerging.**

**The research finds that the priority area was not directly covered in existing V & A assessments. Matters pertaining to biophysical impacts have been given extensive coverage e.g. studies on landslides, impacts on critical infrastructure and marine resources. The current work also includes some socio-economic and political drivers but there are gaps in the discussion on issues of wealth and credit access and the specific unit of analysis, livelihoods and culture. One attempt to address the V & A impacts as they relate to the linkage between climate change and the livelihoods of women and children in the rural communities of Millet, Bexon and Anse Ger was found but this remains an incomplete draft (See Appendix B).**

**Quality 2 Description**

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

**N/A**

**Findings:**

**Within the parameters presented on page 7 this question is not applicable to the priority area.**

**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:**

**The MSDEST is the National Focal Point (NFP) for Climate Change, and the Sustainable Development and Environment Division (SDED) is the department within that Ministry which serves as the Technical Focal Point (TFP) with directly responsibility for implementing the national Climate Change programme. SDED uses national consultation as a basic strategy for project implementation and every effort is made to reach out to all target groups within the Public and Private Sector and Civil Society. Over the last 5-10 years a number of public and private sector**

agencies and civil society groups have participated in SDED Climate Change projects and activities. They include Ministry of Sustainable Development, Energy, Science and Technology (Dept. of Forestry, SDED, Public Utilities; and Energy Science & Technology), Ministry of Agriculture, Food Production and Fisheries (Department of Fisheries), Ministry of Physical Planning, Housing and Urban Renewal (Depts. Of Physical Planning and Crown Lands), Saint Lucia Electricity Services Ltd. (LUCELEC), Saint Lucia Insurance Council, Office of Private Sector Relations (OPS), Soufriere Marine Management Association (SMMA), Education Sector (Sir Arthur Lewis Community College), Farmers Groups (Belle Vue Farmers Cooperative etc.), Banking Institutions (BOSL and SLDB), Saint Lucia Tourist Board (SLTB), Caribbean Public Health Agency (CARPHA) formally Caribbean Environmental Health Institute (CEHI), Saint Lucia National Trust (SLNT), National Development Corporation or Invest Saint Lucia, Southern Taxi Association, Laborie Development Foundation (LDF) Inc., Representatives of Local Government Authorities, Renwick & Co. Ltd., National Emergency Management Organisation (NEMO) etc.

Part 4 of the Special Programme for Climate Resilience/Pilot ilot Programme for Climate Resilience (SPCR/PPCR) Report (2011) pp 54-75 presents a listing of all Stakeholders who participated in discussion on the development of that programme for Saint Lucia. Pages 42-44 of the Report on a National Symposium on Climate Change and Food Production in Saint Lucia (2005) also presents a listing of participants. Public participation in Climate Change is also represented by the involvement of over 500 households from around Saint Lucia in a survey to identify and develop projects for the Special Programme for Adaptation to Climate Change (SPACC). A review of attendance lists at the various workshops conducted by the SDED reveals that key organizations, individuals, and government offices were involved in the data collection and decision making process regarding the assessment of climate change vulnerabilities for the various sectors.

This effort to engage as many groups and organisations as possible in dialogue on Climate Change issues can provide impetus to efforts at addressing Climate Change impacts, but it must be extended to the priority area (LIVELIHOODS AND CULTURE) as a direct effort to develop adaptation measures.

Interviews conducted with:

Dawn Pierre Nathaniel

Sustainable Development & Environment Officer III

**Ministry of Sustainable Development Energy, Science & Technology**

**Face to face on January 7, 2014**

**Via Telephone on January 10, 2014**

## Worksheet 1b: Inventory of Ongoing Adaptation Efforts

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

**The need for a repository of all relevant policy documents has been recognized by the SDED. However, the SDED has a series of project documents which provide examples of past and current adaptation efforts. Key documents produced by the SDED illustrating adaptation efforts include:**

- 1. Mainstreaming Adaptation to Climate Change (2003-2009)**
- 2. Special Programme on Adaptation to Climate Change: Implementation of adaptation measures in Coastal Zones (SPACC)**
- 3. Capacity Development for Policy Makers: Addressing Climate Change in key sectors**
- 4. Pilot Programme for Climate Resilience-Caribbean Regional Programme**

**A review of these documents, reveal that the indicator is not directly captured. This analysis is based on the parameters defined for the priority area of “livelihoods and culture” as presented (WORKSHEET 1A, p.7). According to the UN Office for Disaster Risk Reduction Saint Lucia: Review of current and planned adaptation action (2011) current adaptation efforts are focused on specific sectors (public infrastructure, coastal zone, fresh water, biodiversity, agriculture, tourism) and on strengthening the capacity of governments to facilitate adaptation. [http://www.preventionweb.net/files/25775\\_saintlucia.pdf](http://www.preventionweb.net/files/25775_saintlucia.pdf) (Review of regular and planned adaptation efforts – Saint Lucia). Livelihood and culture is not currently a priority and therefore does not feature directly.**

Inventory created by	Government	NGO/Community	Academic Institution	Industry	Other
Name	X				UN Office for Disaster Risk Reduction (UNISDR)

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

### Research Guidelines

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

### Recommended Research Methods and Sources

Legal Research	Research Documents	Interviews
General: None	Consult the existing V&A assessment(s) for citations of ongoing assessments and work on adaptation at the sub-national and local levels. Alternately, this may be located elsewhere, in sector level planning or industry-level documents.  <b>1. NA</b>	None
Q1: None	Q1: Evaluate inventory to determine comprehensiveness. Use web sources and local civil society or government ministry resources to corroborate.  <b>The inventory is comprehensive to the extent that it reflects the range of activities and actions labelled as planned or proposed adaptation efforts. See Saint Lucia's Strategic Programme for Climate Resilience (SPRC) under and Beyond the Pilot Programme for Climate Resilience (PPCR) Part 4 but it DOES NOT address the priority area of</b>	Q1: (Optional) As necessary

	<b>Livelihoods and Culture.</b>	
Q2: None	Q2: Is there a policy or guideline for incorporating lessons learned in any available documentation? <b>Report on Other Relevant Information for Saint Lucia’s Second National Communication to the UNFCCC, 2010, confirms the presence of climate change related policies at the national level. As reported on p. 4 “there is a clear link between the SNC process and national development and policy formulation”. Policies reflect discourse on issues and challenges on the national, regional and international climate change agenda but do not focus directly on the priority area of livelihoods and culture.</b>	Q2: As necessary to verify if there is a process for ensuring learning.
Q3: None	Q3: Is the information available and accessible? <b>The information which is readily available and clearly presented in both the 1<sup>st</sup> and 2<sup>nd</sup> National Communication Reporting exercises do not relate directly to the priority area "livelihoods and culture.</b>	Q3: N/A

#### Documenting sources/Citation

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

[http://www.chicagomanualofstyle.org/tools\\_citationguide.html](http://www.chicagomanualofstyle.org/tools_citationguide.html)

#### Quality 1 Description

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

#### Findings:

**The priority area is marginalized due to the fact that much of the funding available for addressing issues of V & A are directed to physical environment and infrastructural projects.**

#### Quality 2 Description

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

#### Findings:

**As indicated previously, the SDED uses consultation as a basic strategy for encouraging a participatory approach to addressing Climate Change issues. Moreover, the division’s policy is to ensure that all dialogue, discussions and research on Climate Change is constantly documented. Constant documentation ensures that institutional knowledge is retained and that there is continuity of process regarding action to address Climate Change issues. While discussions have taken place they have not been dedicated solely to impacts in the priority area "livelihoods and culture".**

### Quality 3 Description

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

#### **Findings:**

**The research finds that information is accessible through the SDED Climate Change website although currently under reconstruction is an excellent source. The National Climate Change Committee maintains a mailing list and uses this to ensure that all its members receive information on Climate Change Activities on a regular basis. However this information does not address issues in the priority area "livelihoods and culture".**



## 2. Prioritization

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## Worksheet 2a: Establishment of Priorities

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

**A process for sequencing adaptation activities within the priority area DOES NOT currently exist. As indicated previously, efforts at Climate Change Adaptation in Saint Lucia have mainly been focused on responses to direct environmental impacts. Consequently, the priority area is generally addressed in terms of an indirect impact on sectors such as agriculture, marine and forestry, health and critical infrastructure.**

Qualities of the indicator	Yes	Limited	No	N/A
5. Process for sequencing adaptation activities is transparent and publicly available. <b>(Transparency &amp; Participation)</b>				X
6. Broad set of stakeholders were engaged in sequencing process– including vulnerable and marginalized groups – in order to assure that priorities are informed by a broad range of perspectives. <b>(Transparency &amp; Participation)</b>				X

### Research Guidelines

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

### Recommended Research Methods and Sources

Legal Research	Research Documents	Interviews
General: N/A	General: Identify any record	General: Review interviews

	of sequencing of adaptation activities in planning documents	from Phase 1. Assess whether further interviews are needed to gain necessary info.
Q1. (Optional) Is there a requirement for transparency?  N/A	Q1. Assess whether planning documents are available and accessible.	Q1.  N/A
Q2.  N/A	Q2. Is there a list of stakeholder consultations, meetings, or other evidence?  N/A	Q2: Interview a few members of key stakeholder groups.  N/A

#### Documenting sources/Citation

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

#### Quality 1 Description

This indicator assesses whether there is a process for sequencing adaptation activities at the priority level. If there is, who determines the sequence? How are costs and benefits evaluated? What is the timeframe?
<b>Findings:</b>  <b>There isn't a process for sequencing adaptation activities at the priority level.</b>

#### Quality 2 Description

Implementing agencies need to address stakeholder concerns, gather information, and disseminate information in order to plan and successfully implement projects
<b>Findings:</b>  <b>While responsible agencies implement strategies to address stakeholder concerns, concerns in the priority area are NOT directly addressed. It is also important to note that the quantum of funds available for adaptation in developing countries is extremely limited.</b>

## Worksheet 2b: Budget Processes

<b>Indicator</b>	Budgetary processes exist to channel finance to adaptation institutions or initiatives for this priority area. If there are none, provide an explanation in the summary box, indicate “N/A” in the qualities table and move to the next worksheet.
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### Brief summary of processes, if they exist

Since Saint Lucia ratified the United Nations Framework Convention on Climate Change (UNFCCC) in 1993 and the Kyoto Protocol to the Convention in 2005, the island has taken steps to ensure that it meets the necessary requirements for participating within the UNFCCC framework.

A budgetary process exists for channeling funds, and is based on the Finance Act of Part 3; Section 7 Sub-Sections(s) 1 and 2. The Act stipulates that “(1) Subject to the Constitution and except as otherwise provided in this Act, all revenues and other monies raised or received for the purposes of the Government, not being revenue or other monies which are payable by or under any enactment into some other fund established for a specific purpose, shall be paid into and form part of the Consolidated Fund; and (2) For the purposes of subsection (1), monies raised or received includes monies received by way of a grant, donation, gift or other like method.” Consequently, since financing for Climate Change activities comes mainly from external sources, these funds are processed within the national accounting system, and are announced at the beginning of the financial year.

It must also be noted that at a 2013 United Nations Framework Convention on Climate Change (UNFCCC) Ministerial High Level Meeting, in Warsaw, Poland, Saint Lucia’s Minister of Sustainable Development, Energy, Science and Technology, Dr. James Fletcher stated that *“the availability of finance is fundamental to realising Saint Lucia’s goal of successfully addressing climate change”*. He asserted that Saint Lucia needs funds for addressing the following adaptations issues: *upgrading the water supply, improving food security, strengthening our coastal defences, stormproofing infrastructure; and retooling its health sector”*. Note that while this is an indication of possible entry of livelihoods and culture into the discourse at the policy level, there is no direct reference to livelihoods and culture.

<b>Budget set by</b>	Government	NGO/Community	Academic Institution	Industry	Other
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Institution Name	<b>GOSL</b>	<b>UNFCCC AUSAID</b>			<b>Private sector</b>
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Priority area initiatives in planning documents	Reflected in budget? (y/n)
<b>1. Upgradng our water supply</b>	<b>Yes</b>
<b>2. Improving food security</b>	<b>Yes</b>
<b>3. Strengthening coastal defences</b>	<b>Yes</b>
<b>4. Retrofitting/Stormproofing infrastructure</b>	<b>Yes</b>
<b>5. Retooling the health sector</b>	<b>Yes</b>
<b>6. Greenhouse Gas (GHG) Inventory</b>	<b>Yes</b>
<b>7. Mitigation Assessment</b>	<b>Yes</b>
<b>8. Livelihoods and Culture</b>	<b>No</b>

Qualities of the indicator	Yes	Limited	No	n/a
<b>7. The agency(ies) most closely tied to the priority area reflect adaptation initiatives in their annual budgets. (Comprehensiveness)</b>				<b>X</b>
<b>8. Budgetary information for adaptation activities in the priority area is available and accessible. (Transparency and Participation)</b>				<b>X</b>
<b>9. Budgetary allocations are sufficient to enable adaptation activities to proceed according to plans. (Capacity)</b>				<b>X</b>

### Research Guidelines

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

### Recommended Research Methods and Sources

Legal Research	Research Documents	Interviews
General: Review official budgets and the process for making budgetary processes transparent in a timely manner.	General: Find the budget and identify whether the projects and programs described in the prioritization are currently be funded	General <b>N/A</b>
Q1. <b>N/A</b>	Q1. Evaluate the priorities laid out in the relevant <b>adaptation plans</b> and compare these to	Q1. Interview 1-3 relevant agency personnel anonymously or an independent third-party expert

	the <b>approved budget(s)</b> for the most recent fiscal year.	to determine the extent to which priorities are being reflected in budget.
Q2. N/A	Q2. Assess whether information is made available and accessible	Q2: N/A
Q3. N/A	Q3. Assess funding needs and allocation levels.	Q3. Interview key implementing personnel, possibly off the record, to gauge whether allocations have been sufficient.

### Documenting sources/Citation

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

[http://www.chicagomanualofstyle.org/tools\\_citationguide.html](http://www.chicagomanualofstyle.org/tools_citationguide.html)

Adaptation for Climate Change in the Coastal Sector of Saint Lucia – a key sector analysis (2010): Peter A. Murray. Programme Officer, OECS Secretariat

### 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:

**None**

### Quality 2 Description

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

### Findings:

**None**

### Quality 3 Description

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

### Findings:

**None**

### 3. Coordination

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### Worksheet 3A: Coordination at Priority Area level

<b>Indicator</b>	The priority area is included in national coordination efforts reviewed in Phase I. If not, provide an explanation in the Summary box, mark “N/A” on the qualities table below and move to the next worksheet.)
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**Brief summary of coordination or lackthereof**

*Livelihood and culture* is not directly included as a sector in national coordination efforts reviewed in Phase I. The Sustainable Development and Environmental Division of the Ministry of Sustainable Development, Energy, Science and Technology is tasked with the responsibility of adaptation coordination in the country. Its efforts are concentrated on mainstream adaptation activities as reflected in projects in the PPCR and SPACC.

<b>Participating Institution at Priority area level</b>	Government	NGO/ Community	Academic Institution	Industry	Other
<b>Institution Name</b>	N/A				

Qualities of the indicator	Yes	Limited	No	n/a
7. There is horizontal coordination (across ministries) as necessary, to carry out adaptation initiatives for the priority area. <b>(Capacity)</b>				X
8. There is vertical coordination (global, national, local) as necessary to carry out adaptation initiatives for the priority area. <b>(Capacity)</b>				X
9. There is intersectoral coordination (between gov't, civil society, and/or business) as necessary to carry out adaptation initiatives for the priority area. <b>(Capacity)</b>				X

**Research Guidelines**

<b>Description</b>	This indicator reviews whether the priority area is included in national coordination efforts. This may not be the case depending on the effectiveness of the coordinating body, politically-motivated prioritization, or marginalization of the priority area.
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### Recommended Research Methods and Sources

Legal Research	Research Documents	Interviews
Review existing laws, administrative guidelines, or rules that require the integration an institution to review, revise, and implement country adaptation coordination strategies.	N/A	N/A
Q1. N/A	Q1. Assess evidence of partnerships and collaborations across ministries N/A	Q1. Review interviews from Phase 1, determine more regional or local authorities should be interviewed. N/A
Q2. N/A	Q2. Assess evidence coordinating bodies, initiatives and processes between different regional/local, national, or global efforts N/A	Q2. Interview project managers or personnel participating in coordinating activities N/A
Q3: N/A	Q3. Assess whether there are intersectoral adaptation activities N/A	Q3: If there appears to uncoordinated redundancy, interview key personnel N/A

#### Documenting sources/Citation

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

[http://www.chicagomanualofstyle.org/tools\\_citationguide.html](http://www.chicagomanualofstyle.org/tools_citationguide.html)

#### Quality 1 Description

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

**Findings: N/A**

#### Quality 2 Description

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

**Findings: N/A**

**Quality 3 Description**

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

**Findings: N/A**

## 4. Information Management

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## Worksheet 4a: Data gathering

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

**Although the priority area is not a main stream adaptation activity, it is linked indirectly to some sectors especially in the area of Disaster Risk Reduction. Generally data is available to key actors in the direct priority areas. However, access to data can sometimes be affected by the bureaucratic process.**

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

1. National Climate Change Policy and Action Plan (NCCPAP)
2. Report of National Symposium on Climate Change and Food Production
3. Caribsave Climate Change Risk Profile for Saint Lucia
4. Vulnerability and Adaptation Assessment on Water
5. Vulnerability and Adaptation Coastal Sector
6. Vulnerability and Adaptation Assessment for Marine Biodiversity
7. Vulnerability and Adaptation Assessment for Human Settlements
8. Vulnerability and Adaptation Assessment for Agriculture
9. Vulnerability and Adaptation Assessment for Tourism
10. Vulnerability and Adaptation Assessment for Infrastructure
11. ARIA Phase I workbook
12. An Assessment of The Economic Impact On Climate Change On The Health Sector In Saint Lucia
13. 1<sup>st</sup> and 2<sup>nd</sup> National Communication on Climate Change
14. Saint Lucia Strategic Programme for Climate Resilience (SPCR), 2011
15. Vulnerability and Adaptation Assessment: Synthesis Report

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

Climate Change information is relevant to the needs of vulnerable populations and persons in the traditional and emerging livelihoods sectors namely the agriculture, fishing and service (mainly hotel) sectors. It is also critical to infrastructure which can be significantly impacted by climate change.

Most of the data reviewed is current but it may not be specific to the priority area. Climate related information is accessible via the government website [www.slumet.gov.lc](http://www.slumet.gov.lc) and social media sites (facebook and twitter) at Saint Lucia Met Services. Weather information is updated daily and all other climate related data could be sourced through a formal request addresses to the Director of MET Services. SDED has a Climate Change website which is currently under reconstruction. Information on the server at the SDED can be made available on request.

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

<b>Legal Research</b>	<b>Research Documents</b>	<b>Interviews</b>
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<p>N/A</p>	<p>Q1. Assess whether information managed by the MET office or other authorities is available and usable to a lay audience.</p> <p><b>Information managed by the MET office is readily available to the public. The format in which the information is presented is basic and easily understood.</b></p>	<p>Q1. As necessary</p> <p><b>Mr. Maclean JnBaptiste, MET Officer, Saint Lucia Metrology Services, 11th January, 2014, telephone interview.</b></p>
<p>Q2. Is there a Freedom of Information Act that can be invoked for information access? Is the information made proactively available?</p> <p><b>The FREEDOM OF INFORMATION ACT SAINT LUCIA, No. __ of 2009 is an Act to promote maximum disclosure of information in the public interest, to guarantee the right of everyone to access to information, to provide for effect mechanisms to secure that right and for related matters.</b></p> <p><b>A formal request would have to be made to the relevant authorities.</b></p>	<p>Q2. Determine whether there are any mechanisms for filing an information request.</p> <p><b>According to the Freedom of Information Act which guides public official, "A person making a request for information to a public authority which holds information necessary for the exercise or protection of any right shall, be entitled to have that information communicated to him or her." Therefore, all requests for climate change information could be channeled through a formal request addressed to the Director of MET Services and/or the Permanent Secretary of the Ministry of Sustainable Development Energy, Science and Technology who is the National Focal Point for Climate Change.</b></p>	<p>Q2. Interview relevant experts or agency personnel as necessary.</p> <p>N/A</p>

Documenting sources/Citation

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

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

**Findings:**

**MET information is accessible and available on a timely bases. The MET is an active part of the National Climate Change Network and makes information available to a lay audience. As it becomes necessary more scientific data is available to key stalkholders and researchers on climate change. See above section.**

### Quality 2 Description

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

**Findings:**

**There is a mechanism to access data through the Met Office (see above response).**

## Worksheet 4b: Information Analysis Institutions

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

**The platform for exchange of climate change information in Saint Lucia is the National Climate Change Committee. However, the exchange of information does not directly include the priority area (livelihoods and culture). Any reference to livelihoods and culture is presented as an indirect impact on livelihoods assets such as: agriculture, critical infrastructure biodiversity, tourism and the health sector.**

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

### Recommended Research Methods and Sources

Legal Research	Research Documents	Interviews
General: Consult laws establishing or regulating	General: A mandate might exist in practice though	General: (Optional) Interviewing a key official will be necessary if the



the organization identified.  <b>No laws that directly capture the priority area are available</b>	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.	mandate and organization are not identifiable in the law.
Q1. N/A	Q1. Is there evidence that the platform is used frequently?	Q1. Interview key personnel at the priority area level who can provide reliable information about the level of awareness.
Q2. N/A	Q2. If the platform is only available online, does this dramatically limit access? Are there alternative methods of accessing the platform?	Q2. As necessary.
Q3. N/A	Q3. Review available documentation	Q3. Corroborate available information through interviews.

#### Documenting sources/Citation

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

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

**Findings:**

#### Quality 2 Description

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

**Findings:**

**Quality 3 Description**

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

**Findings:**

## 5. Mainstreaming

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## Worksheet 5a: Mainstreaming in the Priority Area

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

The processes currently available for integrating climate change risk and adaptation into projects or sectoral planning include discussions at the national level within the framework of the National Climate Change Committee; and during the review process for developments that require an Environmental Impact Assessment (EIA). The EIA process is led by the Development Control Authority (DCA), which seeks the advice of the SDED on projects which have the potential to significantly impact the natural environment or which may exacerbate climate change risks. Other opportunities which have not been fully implemented include the National Environment Commission launched in 2008 to coordinate environment related actions at the national level but there has not been much progress on this front.

The establishment of the Ministry of Sustainable Development, Energy, Science and Technology is the most recent development that has the potential to provide greater impetus to the integration of climate change risk and adaptation into projects or sectoral planning.

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

### Research Guidelines

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

## Recommended Research Methods and Sources

Legal Research	Research Documents	Interviews
<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><b>The National Emergency Management Organisation is established by Act of Saint Lucia Parliament. In Section Disaster Management Act No. 30 of 2006; Sub-section ... it gives the Director the right to inter alia “develop and recommend to the Minister national policies to foster and promote the mitigation of, preparedness for, response to and recovery from emergencies and disasters in Saint Lucia”.</b></p>	<p>General: Evaluate master plans.</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><b>An interview with CLIMATE CHANGE OFFICER AT SDED, Dawn Pierre-Nathaniel and recent discussions with the Chief Physical Planning Officer (Karen Augustin) and Legal Officer of the Ministry of Physical Development, Housing &amp; Urban Renewal confirm that there have been strides with mainstreaming climate change but there was still much to be achieved. Projects undertaken by various government departments were highlighted namely: Ministries responsible for the Health and Education sectors; The Water and Sewerage Company (WASCO) with reference to Waste water man’g’t plan; Water Resources Management Agency (WRMA); Physical Development; Forestry Dept. Watershed management plan; Dept. of Fisheries, Ministry of Infrastructure involving retrofitting schools and hospitals under PPCR DVRP at a cost of about USD40 million;</b></p>

		<p><b>Meteorological Services (MET) Hydrological and Meteorological monitoring; Env Health Surveillance systems; National Emergency Management Organisation; Ministry of Social Transformation (MOST)</b></p> <p>However, it was noted that there are issues with the EIA process that need to be addressed.</p> <p>Mrs. Pierre-Nathniel also informed that the NCCPAP (2003) was developed through a participatory process involving national stakeholders. It is currently being revised and prepared for adoption in 2014. The NCCPAP document mandates all public agencies to get involved in climate change adaptation activities.</p> <p>With reference to the Pilot Programme for Climate Resilience (PPCR) she informed that the strategies used for providing loan funds at low rates for adaptation activities and for allowing public sector agencies the opportunity to integrate adaptation into their activities was also an attempt to integrate climate change adaptation into national policy. She also noted that through the NCCC, agencies are encouraged to integrate Climate Change Adaptation in all areas of public</p>
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		sector policy.
Q1. Assess whether there are guidelines for climate change risk integration	Q1. <b>The guidelines are provided in the NCCPAP.</b>	Q1. Ask a representative from an environmental ministry if these considerations are being used.  <b>Guidelines are being used by some agencies but there is need for broader application.</b>
Q2. N/A	Q2. Determine if there are stakeholder outreach reports available <b>The are reports available. One important example is the</b>  <b>Report On National Symposium On Climate Change And Food Production</b>	Q2. Interview key stakeholder groups.  <b>Mr. Theodolus Mathurin, Member, Laborie Fishers and Consumers Co-operative</b>  <b>Being an employee of the Saint Lucia Met Services, who had participated in some Climate Change workshops, Mr. Mathurin demonstrated a high level of understanding of Climate Change. He reported that the use of harmful chemicals created more carbon dioxide in the atmosphere causing the climate to change.</b>  <b>He explained that this had an impact on fishers. He mentioned over warming of the ocean, increase in carbon dioxide in the atmosphere, the rising of sea levels and erosion of the bay.</b>  <b>He stated that his secondary livelihood, fishing was directly affected by climate change due to the aforementioned changes in the environment. Mr. Mathurin was not aware of any projects that were implemented to</b>

		<p>address the impacts of climate change in the fisheries sector. He also did not believe that enough was being done to safeguard the livelihoods of fishers against climate change.</p> <p>An interview was also conducted with Joseph William, Farmer and Member of the Black Bay Small Farmers Cooperative.</p> <p>He concept of climate change was limited to deforestation and poor farming practices. He presented the television and speaking to other farmers as sources of information on Climate Change.</p> <p>He did indicate that he had participated in a Climate Change training activity at the National Skills Development Centre but couldn't remember the organizer.</p> <p>In response to the question as to whether Climate Change had an impact on his livelihood, he reported that after more than 30 years of farming, he had noted that every year heavy rains and soil erosion reduced the level of productivity of his farm.</p> <p>Mr. William did not recall any assistance given to him to address the impact of climate change.</p> <p>Interviews were also conducted with</p> <p>(a) Mr. Vivian Henry, a trained agricultural engineer, farmer and teacher possessed an above average knowledge of</p>
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		<p><b>Climate Change. He has participated in climate change and sustainability workshops given by SDED in collaboration with the Ministry of Education and at a grassroots level. Mr. Henry expressed a need for more funding and education to address issues of vulnerability and adaptation.</b></p> <p><b>(b) Mr Biens Charlmagne, Marketing Manager of the National Credit Union League, has participated in SDED stakeholder workshops and consultations on Climate Change and adaptation. He did not see a direct link between his sector and climate change.</b></p>
<p>Q3. Is there any mechanism to hold developers accountable for not assessing climate change impacts on developments</p> <p><b>No mechanism exist. However , the presence of the SDED on the DCA can facilitate an intervention on behalf of the state in that regard. Some developments require that an EIA to be undertaken as part of the application process.</b></p>	<p>Q3. Review planning and regulations, zoning requirements, etc.</p> <p><b>Physical Developments and planning in Saint Lucia are regulated by the Physical Planning Act#29 of 2001.</b></p> <p><b>The Development Control Authority (DCA) is legally mandated to receive and approve applications for development.</b></p> <p><b>Under the Physical Planning Act#29 of</b></p>	<p>Q3. As necessary N/A</p>

	<p><b>2001, Special Enforcement Areas or Development Zones can be established. A recent example is the Pitons Management Area (PMA) which is also regulated by the Soufriere Region Integrated Development Plan otherwise known as the Hyder Report 2008 This report was approved by the Government of Saint Lucia.</b></p>	
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#### Documenting sources/Citation

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

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Interviews of January 10, 2014 on

1. Joseph William, Member of Black Bay Small Farmers Association  
Conducted on Farm at Black Bay, Laborie

January 10, 2014

2. Mr. Theodolus Mathurin, Member, Laborie Fishers and Consumers Co-operative ALSO Employee the Saint Lucia Met Services,

Conducted on on Beach in Laborie Village

Interviews of January 12, 2014

**3. Mr. Vivian Henry, a trained agricultural engineer, farmer and teacher**

Telephone Interview

**4. Mr Biens Charlmagne, Marketing Manager of the National Credit Union League**

Telephone Interview

#### 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:**

**Saint Lucia has participated in many initiatives geared towards integrating Climate Change into the national sustainable development process. One such example is the Mainstreaming Adaptation to Climate Change (MACC) project which allowed Saint Lucia to build national capacity to identify climate change risks, reduce vulnerability to climate change, access and utilize resources to minimize the costs of climate change among other activities. Nonetheless, the extensive consultative process facilitated under the Second National (Climate Change) Communications (SNC) Project. In addition, through projects like the PPCR, the GOSL has sought to ensure that climate change adaptation and disaster risk reduction are mainstreamed into national development planning. However, there are no regulations requiring adaptation measures in projects.**

**Quality 2 Description**

Were key stakeholders consulted in the mainstreaming process? Were any key groups left out? Is there evidence that their input informed planning or implementation?

**Note that the above response suggests that there was extensive consultation leading up to the SNC. Also, following from earlier reports that SDED consults all stakeholders including civil society on climate change issues, it is reasonable to assume that all stakeholders were consulted and that their input formed part of planning and implementation. In project development and planning?**

**Quality 3 Description**

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

**Grievance mechanisms exist in the laws of the state related to the above?.**

## Worksheet 5b: Mainstreaming Adaptation in planning

Indicator	The institution(s) tasked with prioritization and coordination have identified barriers for adaptation at the priority area level. (If not, explain so below, mark “N/A” in the qualities table and move to the next worksheet)
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### Brief summary of examples

**Yes according to SDED and Murray (2010) one of the main barriers to adaptation generally is the availability of financing. In the priority area?**

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

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

**From the researchers perspectives, the main institutional barriers to mainstreaming adaptation to climate change are the limited funding opportunities**

available, the inflexible protocols governing use of available funding ; and the need to develop mechanisms that will ensure that the debate involves and reaches the poor and marginalized in meaningful ways. Since Saint Lucia's contribution to the global GHG is negligible, new rules are needed to address this discrepancy. Moreover, the conversation needs to be extended to include matters critical to the survival of people in small and marginalised states. Addressing these critical issues and challenges requires indepth research and dialogue. Hence the need to conduct indepth research on the impact of climate change on the priority area livelihoods and culture as anecdotal reports indicate that climate change significantly impacts the livelihoods and culture of people in small island developing states like Saint Lucia.

### 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
<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><b>The NCCPAP mandates government agencies to include climate change considerations into their planning and policivies.</b></p> <p><b>The Disaster</b></p>	<p>General:</p> <p><b>None.</b></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 strategic planning, if any?</p> <p><b>SDED has a national climate change committee which facilitates this process.</b></p> <p><b>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</b></p>

<p><b>Management Act No. 30 of 2006</b></p> <p><b>The Ministry of Agriculture has developed a policy on Disaster Risk Reduction.</b></p>		<p><b>change adaptation into all areas of policy making. It was produced under the Caribbean Planning for Adaptation to Climate Change Project (CPACC). CPACC will demonstrate some methods that will be possible for adaptation measures to take place in public sector agencies.</b></p> <p><b>The NCCC encourages public sector agencies to integrate climate change adaptation planning into their policies, plans, programs and activities. (ARIA Report Phase 1, Section 5)</b></p>
<p>Q1. (Optional) In a country with an adaptation law or a clear policy within the priority area, there may be sections of laws stating findings or particular needs or values which describe the need for a particular model for coordination. Similarly, such a body may be formed as part of a regulatory responsibility as laid out in rule-making procedures.</p> <p><b>N/A</b></p>	<p>Q1. Identify any documentation of the intervention, including rule-making documents, project planning documents, program objectives, reports by Executive offices, or “findings” sections of relevant laws.</p> <p>These should be publicly available and free of charge.</p> <p><b>N/A</b></p>	<p>Q1. <b>N/A</b></p>

<p>Q2. (Optional) In a country with an <b>adaptation law or a clear policy within the priority area</b>, there may be sections of laws stating findings or particular needs or values which describe the need for a particular model for coordination. Similarly, such a body may be formed as part of a regulatory responsibility as laid out in rule-making procedures.</p>	<p>Q2. Identify any documentation of the intervention, including rule-making documents, project planning documents, program objectives, reports by Executive offices, or “findings” sections of relevant laws.</p> <p>These should be publicly available and free of charge.</p> <p><b>Draft Strategic Plan for the newly configured Ministry of Sustainable Development, Energy, Science and Technology has climate change adaptation measures and considerations underlying its policies, plans and programs.</b></p> <p><b>The Disaster Risk Reduction Policy and Plan of NEMO takes Climate Change Adaptation into consideration</b></p> <p><b>While these documents can be accessed freely. via a formal request to the relevant government agency, they will not provide any information</b></p>	<p>Q3. Interview someone who is familiar or was involved with the process.</p> <p><b>Our initial interview with Anita James, formerly BioDiversity Coordinator and current Manager of the NBSAP Revision and Preparation of the 5<sup>th</sup> National Report Project reveals that while much has been achieved in the area of Climate Change Adaptation, the current reality is that Saint Lucia is in need of strong environmental legislation to support current effort at mainstreaming Climate Change Adaptation. This legislation must also address issues specific to the priority area livelihoods and culture.</b></p>
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	<b>directly relevant to the priority area in focus "livelihoods and culture".</b>	
Q3. N/A	Q3. Assess whether the rationale is made available through public documents	Q3. Only if necessary
Q4. N/A	Q4. Assess whether information is made proactively available	Q4. Interview at least 1-2 affected parties to assess if they had an adequate opportunity to participate in the decision-making process. Interview 1-2 officials to assess whether they took steps to consult on the development of standards and procedures

#### Documenting sources/Citation

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

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#### Interviews conducted on January 10, 2014

**Interviewee(s): Anita James, former Biodiversity Co-ordinator, currently Manager, Biosafety Project, Ministry of Sustainable Development, Energy, Science and Technology**

#### Quality 1

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

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

- Policy framework;
- Rates, charges, taxes, permits, or tariffs;
- Zoning regulations;
- Insurance premiums;
- Standards;
- Land tenure or other property rights structures;
- Design of social protection programs;



- Lack of awareness or information;
- Lack of resources;
- Sub-national institutional structure;
- Lack of authority at a particular administrative level or body;
- Market factors;
- Legal harmonization between sections of the law or between levels of government;
- Sources of social inequity.

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

**Findings:**

**Through the NCCC and other participatory planning mechanisms, the SDED and the Ministry of Sustainable Development, Energy, Science and Technology endeavours to ensure that all relevant stakeholders within the public and private sector are involved in planning and decision making about adaptation. Hopefully, this level of involvement will be extended to involve discussions within the priority area of livelihoods and culture., but this has not yet happened.**

**Quality 2**

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

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

- Full consideration of infrastructure-based solutions should include:
  - o A variety of options ("soft" options, "hard" options, ecosystem-based solutions, adjustment/removal of existing infrastructure, or any combination of the above)
  - o Cost analysis, including total costs, cost effectiveness, comparisons of long and short-term options, and issues of benefit distribution across sectors, populations, and regions
- Full consideration of ecosystem-based solutions should include:
  - o A variety of options ("soft" options, "hard" options, ecosystem-based solutions, or a combination of the above)
  - o Cost analysis, including total costs, cost effectiveness, comparisons of long and short-term options, and issues of benefit distribution across sectors, populations, and regions
- Full consideration of social safety nets should include:

- The full range of policy tools for providing safety nets, including market-based approaches (e.g. insurance) and options that support community-based safety nets.
- Cost analysis, including total costs, cost effectiveness, comparisons of long and short-term options, and issues of benefit distribution across sectors, populations, and regions

**Findings:**

**In an environment of resource scarcity, there are limitations within which policy can be implemented. In addition, some of these decisions are donor driven. However, the NCCC process is one which facilitates a level of dialogue that considers the range of interventions listed above in arriving at the best strategies and projects to address adaptation. Nonetheless, this level of dialogue has not yet been extended to the priority area of livelihoods and culture.**

**Quality 3**

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

**Findings:**

**It has already been noted that the NCCC process facilitates transparency but due to the paucity of work in the priority area, one cannot draw a conclusion at this time.**

**Quality 4**

This indicator assesses whether the process for development of interventions to support adaptation in the policy area involved a wide range of stakeholders.

Members of the public, organizations, other levels of government and businesses have a legitimate interest shaping how adaptation is encouraged through official interventions.

As officials considered policy interventions, identify whether the public had an opportunity to comment on decision-making procedures. If they did, did they have a reasonable amount of time to comment, sufficient notice that the opportunity was upcoming, and sufficient information to make an informed contribution?

Furthermore, consider whether special effort was made to include members of poor and

marginalized communities.

**Findings:**

**The preceding discussions suggest a level of public involvement in decision making about Climate Change interventions. Pages 54-77 of the Report on Saint Lucia's preparations for the SPCR/PPCR Part 4 suggest that there was some civil society participation and an effort to include representatives of poor and marginalized communities is evident. This is however limited to those communities which exhibit a level of organization.**

## Glossary

**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.

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

**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).

**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.

**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.

**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.

**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.

**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”

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

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

**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.

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## Appendix Field a: COUNTRY CONTEXT

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

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

### Political Landscape

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

**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 28<sup>th</sup> 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.**

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## Appendix B: Draft Project Proposal for Vulnerability Capacity Assessment under the EU-GCCA Programme

### PROJECT SUMMARY:

**Project title:** Assessment of the linkage between climate change and the livelihoods of women and children in rural communities of Millet, Bexon and Anse Ger.

#### What support is the project seeking?

*The project require \$50,000 from EU-GCCA programme*

*It has been determined that deliverables should meet the following timelines based on the funding period:*

*Draft TOR by June 2013*

*Draft report by December 2013-05-24*

*Final report by February 2014-02-28*

#### Why is this support required?

##### **Problem Statements:**

- 1. The communities of Bexon, Millet are highly prone to the effects of rainfall, landslide and flooding which affect the residents in the community.*
- 2. The Anse Ger community is prone to the effects of increased sea surface temperatures and dry spells which affect the livelihoods of the fishers and farmers respectively in this community.*

*What needs are we trying to address?*

*To determine the extent to which climate change will impact livelihoods in rural communities, many of which operate at or near to the subsistence level and to identify appropriate adaptation responses.*

##### **VCA Objectives:**

1. *To investigate the nature, depth and extent of the impact of climate related hazards on the livelihoods of women and children in the target communities*
2. *To assess the capacity of the communities identified to respond to the impact of climate change and to identify appropriate responses*
3. *To develop national capacity to conduct VCAs*

**Implementing agency:**

*The project will be implemented by the Ministry of Social Transformation & with support from the MSDEST*

**Supporting projects:**

1. *Ministry of Social Transformation's Community After School Programme(CASP)*
2. *Ministry of Agriculture, Food Production, Fisheries and Rural Development extension programmes*

## What are the expected results?

*What will change as a result of this project?*

1. *Awareness of climate change and its impacts on the communities will be enhanced;*
2. *Saint Lucia will have its first climate change assessment of vulnerable socio-economic groups which will be a departure from the traditional sectoral assessments pursued at the CCCCC to date.*
3. *National capacity for conducting VCAs enhanced*
4. *New approach for directly assessing social vulnerabilities vis-à-vis climate change and rural communities*

*What are the planned outputs of the project?*

1. *Consultations*
2. *Awareness and capacity building*
3. *KAP or other report document*
4. *VCA report on socio-economic group*
5. *Dissemination of the model approach of directly assessing social vulnerabilities vis-à-vis climate change and rural communities*
6. *At least 30 community development practitioners trained in VCA methodology*
7. *A suite of concrete adaptation responses to address the vulnerabilities of the communities*

*What activities will be undertaken?*

1. *KAP survey or other instrument to collect data*
2. *Identification and assessment of the synergies between;*
  - a. *synergies between social groupings (cross-cutting gender issues)*
  - b. *the social groupings and the climate sensitivities/hazards*
  - c. *synergies between the social grouping and the relevant sectors*
3. *The capacity (human, technological, institution, policies & legislation, social safety net programmes) of the communities to cope and recover*

*How will we determine whether the expected results have been achieved?*

1. Report submitted in a timely manner
2. Report provides clear and concrete follow-up activities and recommendations
3. The VCA follows a process which is inclusive, participatory and address the key issues

## Background

### **A. Context and need for the Project**

*Over the years Saint Lucia has embarked on a number of Climate Change activities. These include a number of initiatives led by the Caribbean Community Climate Change Centre (CCCCC) such as the Adaptation to Climate Change (ACC), Mainstreaming Adaptation to Climate Change(MACC) and Special Programme on Adaptation to Climate Change (SPACC) Projects. Saint Lucia has also submitted its Initial National Communication (INC) and its Second National Communication (SNC) to the United Nations Framework Convention on Climate Change (UNFCCC) and is in the process of submitting its project document to commence working on its Third National Communication (TNC) to the UNFCCC.*

*Currently Saint Lucia is about to embark on the implementation of its Strategic Programme for Climate Resilience and well as conducting an Adaptation Rapid Institutional Assessment which targets non-governmental organization's knowledge of the national climate change institutional and information resources. Saint Lucia is also currently implementing projects under the USAID funded Reducing the Risk to Humans and Natural Assets resulting from Climate Change (RRACC) project. Saint Lucia, through these various projects has made significant progress in documenting the vulnerabilities of sectors arising as a result of climate change and implementing pilot projects to demonstrate appropriate responses.*

*Despite these successes there is a notable absence of climate change disaggregated data for vulnerable groups such as women, children, fisher folk, farmers and other artisanal rural settlers and the poor. The research and results have typically focused on sectors with robust assessments for agriculture, coastal and marine biodiversity, terrestrial biodiversity, water, critical infrastructure, tourism, human settlement etc.*

*The 2012 Economic and Social Review for Saint Lucia indicated that the preliminary figures for unemployment for the year 2012 are 20.6 percent. The inflation rate for 2012 is quoted as 4.2 percent jumping from 2011's 2.8 percent. In addition the growth rate of the country*



*contracted by point 8 percent. The largest segment of Saint Lucia's population falls between the age groups 10-14, 15-19 and 20-24 years, and accounts for. 26.3 percent of the total population. However those entering the age group of 50 and above increased by 6.1 percent.*

*The implication of these economic realities for the poor and vulnerable groups have been recognised by the government with its attempts to cushion the impact by introducing a number of social safety nets such as the SMILE , NICE and STEP programmes. Notwithstanding, these programmes are short term and do not address any of climate related vulnerabilities to which the poor and vulnerable groups are exposed. If no effort is put into understanding the vulnerabilities and identifying the appropriate responses, climate change can potentially push individuals below the poverty lines where they were just above it or further deepen their poverty where they were already below the poverty line.*

*Embarking on this VCA project will build on the work which has already been undertaken in Saint Lucia, by adding another critical yet missing level of information on the risk which climate change poses to the livelihoods of women and children in rural communities.*

Not only will it address this data and information gap but it will also gives the community an opportunity to view the positives of climate change in terms of how innovation and creativity could be fostered. Further it can assist in helping women and children realize that they are not helpless or hopeless but that there is a level of response which they can undertake.

## **B. Impact and Outcome**

*Set out the expected Impact and Outcome that pursuing this project will contribute to climate resilience in Saint Lucia. Please note that impacts would be medium term results, such as reduced spending on water borne diseases on the island, while outcomes are longer term results such as enhanced water security leading to reduced poverty.*

*There should be a clear link between the need outlined in Section A above and the Impact and Outcome set out here.*

*See notes from brainstorming session*

## **Appraisal Case**

*The VCA will building on a project which already exists namely Ministry of Social Transformation's Community After School Programme (CASP)*

*. NB. Speak to socio-economic issues which relate to livelihoods of the communities identified above.*

## **A. Determining Critical Success Criteria (CSC)**

*The success criteria that are critical to achieving the impact and outcome recorded in the Strategic Case are recorded below.*

*Weighting between 1 and 5, where 1 is least important and 5 most important based on the relative importance of each criteria to the success of the intervention have been applied.*

<i>CSC</i>	<i>Description</i>	<i>Weighting (1-5)</i>
<i>1</i>	<i>Established structures –(community groups, clubs)</i>	<i>5</i>
<i>2</i>	<i>Ongoing initiatives to support project</i>	<i>3</i>
<i>3</i>	<i>Community ownership &amp; participation</i>	<i>5</i>
<i>4</i>	<i>Supporting data and data analysis readily available</i>	<i>5</i>
<i>5</i>	<i>Funding in place, adequate and available in a timely manner</i>	<i>5</i>
<i>6</i>	<i>Agency ownership and participation</i>	<i>5</i>

## Financial Case

### **A. How much it will cost**

*The expected cost of the project will be \$50,000. Breakdown of those costs will be set out in the TORs for the consultant.*

### **B. How it will be funded: capital/programme/admin**

*The VCA project will be funded by the EU:GCCA Programme. No costs are anticipated for the Government of Saint Lucia except in kind support.*

## Management Case

### **A. Oversight**

*Set out the overarching governance arrangements for the project/programme. It should contain who are the major stakeholders and explain how their stake is represented. Where appropriate it should also cover how primary stakeholder voice is represented.*

*MOST will be the primary implementing agency for this VCA assisted by SDED of MSDEST & CCCCC.*

**B. Management**

*Clarify the overarching management arrangements covering how management responsibilities are divided up.*

*MOST assisted by SDED of MSDEST.*

**C. Monitoring and Evaluation**

*Set out the monitoring and evaluation plan, If an approach is based on no or weak evidence but reflects previous practice (or, based on professional understanding seems like a good idea) you should include how you propose to monitor the impact of the intervention to ensure it is having the expected effect. New ideas and innovations will need more rigorous evaluation to test the actual effects, and assess potential for replication / scaling up. Give details on how you will do this.*

*The M&E for the project will be conducted by the CCCCC.*

**D. Risk & Assumptions**

*It will assist with*

## Appendix C: Interview Organizer

Interviewee name	Affiliation	Title	Sector	Indicator	Quality(ies)
Joanna Rosemond	Sustainable Development & Environment	Sustainable Development & Environment Officer	SDED/Government	1A	General
Dawn Pierre-Nathaniel,	Sustainable Development & Environment	Sustainable Development & Environment Officer III	SDED/Government	Example: "2b"	Example: "Q1, Q2"
				1A	Q1
				5A	General
Vivian Henry	Independent farmer	Agricultural Engineer/Farmer/Teacher	Agriculture/Education	5A	Q1
Theodolus Mathurin	Laborie Fishers and consumers cooperative	Fisherman/MET Officer	Fishing and MET SERVICES	5A	Q1
Anita James	Sustainable Development & Environment	Coordinator, National BioSafety Project also Researcher for ARIA Phase 1	SDED/Government	2A	Q1
					Q2
				5A	General
Joseph williams	Black Bay small Farmers Cooperative	Farmer	Agriculture	5A	Q1
Biens Charlmagne	National Credit Union League	Marketing Manager/ Acting General Manager	Finance	SA	Q1
Maclean JnBaptist	Saint Lucia Meteological Services	MET Officer IV	MET SERVICES	4A	Q1
					Q2
					Q3

