

Guidelines for the Development of Sectoral Adaptation Strategies and Action Plans (SASAPs)

Saint Lucia's Experience under the National Adaptation Planning Process



United States In-Country National Adaptation Plan (NAP) Support Program

Gift of the United States Government



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Guidelines for the Development of Sectoral Adaptation Strategies and Action Plans (SASAPs): Saint Lucia's Experience under the National Adaptation Planning Process

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Foreword

Saint Lucia's National Adaptation Plan (NAP) has been defined as a ten (10)-year process (2018-2028), consisting of priority cross-sectoral and sectoral adaptation measures for eight key sectors/areas and a segment on the 'limits to adaptation', complemented, incrementally, with Sectoral Adaptation Strategies & Action Plans (SASAPs). Priority sectors for adaptation action include: Tourism; Water; Agriculture; Fisheries; Infrastructure and spatial planning; Natural resource management (terrestrial, coastal and marine); Education; and Health. Other key sectors will be identified through a cyclical, iterative NAP process.

Saint Lucia's NAP process is spearheaded by the Sustainable Development and Environment Division (SDED) of the Department of Sustainable Development, currently housed within the Ministry of Education, Innovation, Gender Relations and Sustainable Development. The NAP process has benefitted from the inputs of multiple stakeholders, comprising public, statutory, academic and private sector bodies. Indeed, this process has involved State and non-State actors, such as media personnel, who play an important role in helping efforts to positively influence thinking, mould outcomes, change behaviour and instigate action across the populace, at all levels.

Saint Lucia's overarching NAP continues to be supplemented by several documents:

- *Saint Lucia's National Adaptation Plan Stocktaking, Climate Risk and Vulnerability Assessment Report*
- *Saint Lucia's National Adaptation Plan Roadmap and Capacity Development Plan 2018-2028*
- *Saint Lucia's Climate Change Communications Strategy*
- *Saint Lucia's Sectoral Adaptation Strategy and Action Plan for the Water Sector (Water SASAP) 2018-2028*
- *Saint Lucia's Sectoral Adaptation Strategy and Action Plan for the Agriculture Sector (Agriculture SASAP) 2018-2028*
- *Saint Lucia's Sectoral Adaptation Strategy and Action Plan for the Fisheries Sector (Fisheries SASAP) 2018-2028*
- *Saint Lucia's Portfolio of Project Concept Notes for the Water Sector 2018-2028*
- *Saint Lucia's Portfolio of Project Concept Notes for the Agriculture Sector 2018-2028*
- *Saint Lucia's Portfolio of Project Concept Notes for the Fisheries Sector 2018-2028*
- *Monitoring and Evaluation Plan of Saint Lucia's National Adaptation Planning Process*
- *Guidelines for the Development of Sectoral Adaptation Strategies and Action Plans: Saint Lucia's experience under its national adaptation planning process*

This process also supported a climate change website, an animated video and training for government entities and journalists in communicating about climate change. A NAP Assembly and Donor Symposium were also all made possible under this process, through the support of several entities.

Specifically, the process has benefited from the financial support of the United Nations Development Programme's (UNDP) Japan- Caribbean Climate Change Partnership (JCCCP). Technical and financial support for Saint Lucia's NAP process has also been provided through the United States (U.S.) In-Country NAP Support Programme (NAP-SP), implemented by the International Institute for

Sustainable Development (IISD). Technical support for the chapter on the 'limits to adaptation' in the NAP was provided under the IMPACT project, funded by the German Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety (BMUB), as part of the International Climate Initiative (IKI). The IMPACT project is jointly implemented by Climate Analytics, the Caribbean Community Climate Change Centre (CCCCC), Secretariat of the Pacific Regional Environment Programme (SPREP) and Charles and Associates (CAA) Inc. The Department extends its thanks to all of the foregoing and takes this opportunity to recognise the consultant, Ms. Clara Ariza, for her tireless efforts in Saint Lucia's NAP process, under the able guidance of SDED.

Saint Lucia looks forward to forging partnerships and alliances that will assist in developing additional SASAPs and implementing the measures, programmes, projects and activities outlined in its NAP, SASAPs and other support documents. Saint Lucia is prepared to welcome support, that is, finance, technology transfer and capacity building, from a variety of sources, including public, private, bilateral, multilateral and alternative sources, all in an effort to help the country build climate resilience and address the seemingly insurmountable phenomenon of climate change.

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1. INTRODUCTION

Saint Lucia is highly vulnerable to climate change due to its small land area, its location along the Atlantic hurricane corridor, its economic reliance on climate sensitive tourism and agriculture, and its limited financial capacity to reconstruct and reactivate its economy after climate-related shocks. With climate change, the island faces the prospects of sea-level rise, overall drier conditions, recurrent drought, but stronger rainfall events, and more intense hurricanes. These changes represent major threats to national development and economic growth and will increasingly affect every aspect of life on the island if no effective and timely adaptation measures are implemented. The cost of inaction on climate change in Saint Lucia could reach 12.1% of GDP by 2025, 24.5% by 2050 and 49.1% by 2100 (Bueno et al. 2008).

The Government of Saint Lucia (GoSL) recognises the challenges that climate change poses to its population, natural resources and economy, and has taken considerable steps to identify and address, to the extent possible, current and future climate risks in policy and practice. Today, various sectoral policies address climate change and a wide range of interventions focusing on adaptation have taken place, often facilitated or supported by international donors.

In a new major effort, Saint Lucia initiated its National Adaptation Plan (NAP) process in 2017. This is a process that enables the government to plan, prioritise and coordinate with relevant stakeholders, the activities that will, to the extent possible, protect the progress made in national sectors from the expected impacts of climate change, while ensuring that new policies, programmes, projects and activities consider those potential impacts from the outset and take the necessary steps to ensure all foreseen climate risks are reduced. The NAP focuses on building national capacities for planning and implementing effective adaptation action in all sectors and at all levels of society.

Saint Lucia's NAP has been defined as a 10-year process (2018-2028), consisting of a Plan (the NAP) with key cross-sectoral and sectoral adaptation measures for 7 sectors/areas prioritised by stakeholders in 2017 and tourism*, and to be **complemented with Sectoral Adaptation Strategies and Action Plans (SASAPs)** for the initial sectors/areas, and others, as funding becomes available. The SASAPs refine, expand and prioritise the sectoral measures included in the NAP. The SASAPs also propose indicative activities/outputs to support the design of projects for the implementation of the prioritised measures. Water, agriculture, fisheries, infrastructure and spatial planning, natural resource management (terrestrial, coastal and marine), education and health were ranked during a broad stakeholder consultation as the 7 sectors/areas that most urgently require adaptation action* and are therefore considered the initial sectors for SASAP elaboration. It is, however, highly encouraged that other sectors/areas start planning and implementing adaptation by following the recommended measures in the NAP and by initiating the elaboration of their own SASAPs. Other potential areas already flagged by

* Note that in 2015, prior to the NAP process being officially undertaken in Saint Lucia, the GoSL developed an Impact Assessment and National Adaptation Strategy and Action Plan for the Tourism Sector. The NAP includes a set of tourism-specific adaptation measures extracted from this document.

stakeholders that can be incorporated within the initial listing of SASAPs or as a standalone, as appropriate, include, among others: finance, housing, waste management, culture and sports.

This document has been prepared to facilitate the preparation of SASAPs in all national sectors/areas with the intention of accelerating the rate at which adaptation is planned and implemented in the country. It is based on the experience gained in the formulation of Saint Lucia's NAP and the SASAPs for the water, agriculture and fisheries sectors between 2017 and 2018. The document offers guidance and advice to technical officers in government agencies wishing to lead the development of a SASAP by recreating the process followed for water, agriculture and fisheries. Although it is recognised that other approaches can be used, the one summarised here proved to be simple and effective in the context of Saint Lucia.

The information in these guidelines is structured as answers to questions that emerge along the process of planning and developing a SASAP. Along the guidelines, examples of the previous experience in Saint Lucia are highlighted, and other documents that were developed in the framework of the NAP are referenced. The presentation delivered by the consultant to multiple agencies on April 16, 2018 as part of the training in the development of SASAPs is considered an addendum to these guidelines. It is important to note that this presentation itself and all the NAP documents are available to the public on the Department of Sustainable Development's **climate change website at: <http://www.climatechange.govt.lc/>**. They contain valuable information and extracts of them can be copied into the new SASAPs, as long as these are developed by and for the Government of Saint Lucia.

2. WHAT DO YOU NEED TO KNOW BEFORE ENGAGING IN THE ELABORATION OF A SASAP?

1. **That a SASAP requires a fully dedicated individual.** The development of each of the three previous SASAPs took over 8 months and required the engagement of a dedicated consultant, given that technical staff are already juggling heavy workloads. Should a staff member be identified to lead the review and document-preparation process, this person should be fully assigned to this task.
2. **That a SASAP requires a lead agency.** This is usually the GoSL institution with responsibility for managing the sector/area of focus of the SASAP. Frequently two or more agencies share such responsibility. In such a case, it must be clear from the start which institution is the lead agency or if the lead will be shared and how. This must be a transparent decision, with the agreement of all relevant agencies.
3. **That a SASAP requires staff time and engagement.** The lead agency will need to appoint one technical officer to lead the SASAP, as even with the support of a consultant, there are multiple logistical and coordination tasks that the agency will need to be in charge of. These include, among others: identifying relevant stakeholder groups to invite to consultations; reviewing and providing

feedback on draft documents delivered by the consultant; establishing contacts and setting up in-person and virtual meetings between the consultant and persons who hold relevant information; delivering remarks at the opening of sessions as well as sector relevant presentations, as appropriate.

Ideally the “SASAP team” should include a lead technical officer, an assistant and a consultant. Other technical officers will need to be engaged as needed, to support stakeholder consultations, field visits, and to provide feedback on the SASAP, as it is elaborated. It is worth noting that a specialised consultant can provide useful input but is not indispensable. Saint Lucia’s experience has shown that there is less to be gained by having a sector specialist with little notion of climate change and the NAP process; and inadequate experience in analysing and consolidating vast amounts of information from multiple sources; compared with someone with analysing and collating experience, a good notion of climate change and the NAP process and the interest and time to allocate to this task. In terms of institutional memory and a proven track record, while not mandatory, the Department of Sustainable Development recommends that other sectors give consideration to the use of the same consultant that was successfully deployed for the three SASAPS completed in 2018.

4. **That a SASAP requires some financial resources** for covering the cost of consultation workshops. This will vary between sectors but consider that *at least* two multi-stakeholder workshops will take place (one at the beginning and one at the end of the process). In some sectors, additional workshops or focus group sessions may need to be conducted to ensure stakeholders are well represented. For example, the Agriculture SASAP required two workshops in the north of the island (Castries, the Central Business District) and two other workshops in different areas of the country to facilitate the participation of farmers from around the island. This was separate from technical planning meetings of sector technical staff and experts held at the start of the process, prior to workshops and consultations and as part of the validation process at the end.
5. **That the Department of Sustainable Development, as Saint Lucia’s climate change focal point, will provide support** in the coordination, mobilisation, facilitation and enabling of the process, as necessary, including, among others, delivering presentations at planned sessions and contributing to the review of products prior to: dissemination, submission for approval, or publication. However, ownership and leadership of the process will remain with the respective sector agency(ies).
6. **Media presence and involvement is recommended** throughout the process to disseminate information on efforts, engender widespread ownership and support and raise awareness.

3. WHY ADAPT?

Mitigation and adaptation are the two possible policy responses to climate change. Mitigation aims at reducing Greenhouse Gas (GHG) emissions and enhancing carbon sinks and reservoirs (storage), to restrict global warming. **Adaptation, is the process of anticipating the adverse effects of climate change and taking appropriate action to prevent or minimise the damage that can be caused.*** Adaptation is necessary because an increase in global temperature in the coming decades is inevitable, even if all GHG emissions are halted. Mitigation and adaptation strategies can be complementary. In fact, Saint Lucia's Climate Change Adaptation Policy encourages the implementation of adaptation measures with mitigation co-benefits.

4. WHAT IS SAINT LUCIA'S NAP AND HOW IS IT RELATED TO THE SASAPs?

The NAP is a document that sets the general framework for adaptation in Saint Lucia. It consists of:

- **Cross-sectoral adaptation measures** that seek to strengthen the capacity of the country's institutions to identify, prioritise, plan, attract funding for and effectively implement adaptation on the ground, based on sound evidence and the best practices available. The cross-sectoral measures will also support the coordination and implementation of the NAP and the integration of climate adaptation considerations into relevant development policies, strategies, plans, legislation and programmes.
- **Sectoral adaptation measures** that respond to reported climate adaptation needs in 7 key sectors/areas prioritised by stakeholders in 2017 as those in most urgent need of adaptation action, namely: water, agriculture, fisheries, infrastructure and spatial planning, natural resource management (terrestrial, coastal and marine), education, and health. The NAP also includes measures previously identified and prioritised for the tourism sector.**

Sectoral Adaptation Strategies and Action Plans (SASAPs) complement the NAP. SASAPs will be developed for the prioritised sectors/areas and others, as funding becomes available. Each SASAP entails a consultative process to: a) refine and expand the measures included for the sector in the NAP and b) prioritise the measures, and based on their urgency, propose whether their implementation should start in the short-term (2018-2021), medium-term (2021-2024) or long-term (2024-2028), with a short-term period proposed for the most urgent measures.

* While there are various definitions of climate change adaptation, this one, provided by the European Commission, was deemed useful for the purpose of these Guidelines.

** The adaptation measures presented in the NAP for the tourism sector were extracted from the Impact Assessment and National Adaptation Strategy and Action Plan for the Tourism Sector developed by the Caribbean Community Climate Change Centre and the GoSL in 2015.

In general terms, a SASAP is a sector-focused NAP, and as such, it follows the same principles and logic of the NAP.

The NAP and SASAPs:

- are based on transparent and highly participatory consultation processes;
- are aligned with Saint Lucia’s Climate Change Adaptation Policy;
- follow almost identical planning and implementation cycles;
- will be monitored on a yearly basis and the processes reviewed at least once during their **10-year lifespan**.

The NAP and SASAPs’ cycles include assessing adaptation needs (based on assessment of risks, vulnerabilities and capacities), the identification and prioritisation of measures to address those needs, the implementation of prioritised measures and monitoring, review and evaluation (**Annex 1** offers an overview of the NAP process, its principles and the elements to consider in each cycle, all of which is applicable to the SASAPs).

The NAP and SASAPs are living documents, and their review will offer an opportunity to adjust priorities and add, if necessary, new measures, to respond to emerging information on climate change-related risks and changes in the national and sectoral policy and development context. The review will also address gaps or delays in implementation. During the NAP reviews, the adaptation measures in the SASAPs will replace the initial/broad sectoral measures in the NAP to ensure the NAP is up-to-date and reflects national and sectoral adaptation priorities. **Figure 1** offers an overview of the NAP framework in Saint Lucia.

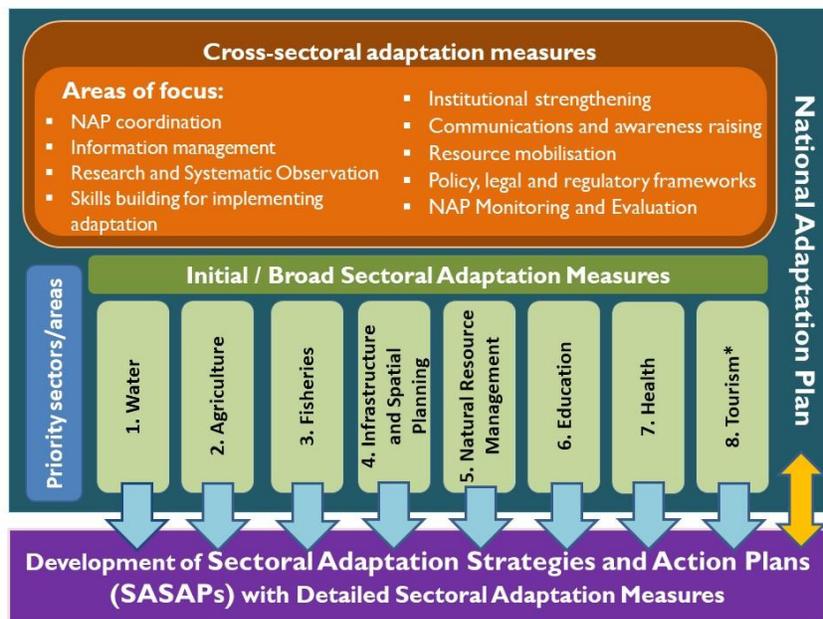


Fig. 1 Saint Lucia’s NAP Framework

5. WHAT IS THE FUNCTION OF A SASAP?

Technically, a SASAP includes a series of measures, as well as a strategy and a plan for implementing the measures and guiding decision-making processes related to climate change adaptation in a sector/area of national importance within the framework of Saint Lucia's 2018-2028 NAP period.

Each SASAP reflects and represents decisions made by stakeholders on the adaptation strategies (and specific interventions) required to enhance the climate resilience of existing and new investments and activities in their sector/area.

A SASAP supports the GoSL's efforts to facilitate the integration of climate change considerations into development policy and practice to build climate resilience at the national level and within and across sectors.

Specifically, the measures included in a SASAP support decision-making processes to:

1. address weaknesses in the capacities of stakeholders in the sector/area to plan and implement effective adaptation action

and measures that seek, for example to:

 - improve the information base for decision-making (such as climate projections, hazard maps, vulnerability assessments, etc.);
 - strengthen project design, funding and implementation abilities;
 - improve advocacy and outreach (better communications skills)
2. integrate adaptation considerations on policy, legislative, regulatory, strategic and other planning processes to ensure new projects and investments are resilient to climate change

and measures that call for the integration of climate adaptation considerations into key national and sectoral policy, legislative, strategic and other planning processes, such as, for example, building codes, Environmental Impact Assessments (EIAs); revised sectoral policies, etc.
3. increase the ability of existing and exposed investments and activities in the sector to withstand, minimise or avert the impacts of climate variability and change

and measures to, for example:

 - reinforce infrastructure at risk of direct impacts;
 - shift the location of activities/investments to less exposed areas;
 - diversify activities and products;
 - increase resource use efficiency and/or diversify key resources to reduce climate impacts (e.g. install rainwater harvesting systems or use drought tolerant crops in anticipation of potential water shortages).

6. WHO IS THE AUDIENCE OF A SASAP?

SASAPs target policy makers and managers in the sector/area of interest. However, it is highly recommended that during the SASAP's execution, attempts are made to coordinate effort and collaborate on actions which directly or indirectly relate to the sector/area, but are undertaken in other sectors, by other organisations and across different scales. This will allow the GoSL to identify and take advantage of potential synergies and avoid duplication, while increasing cross-sectoral adaptation benefits and accelerating adaptation action. It will also permit identifying and preventing potential detrimental effects that development actions in the sector/area of interest could have on other sectors; or actions other sectors could have on the SASAP's sector/area, under a changing climate.

7. WHO NEEDS TO BE INVOLVED IN THE SASAP FORMULATION PROCESS?

Planning and implementing adaptation for an entire sector/area of national importance is a huge task which requires the engagement and collaboration of multiple actors, at various levels and across geographic and sectoral boundaries. While the responsibility for coordinating the formulation and implementation of a SASAP rests on one or a few public institutions, representatives of sectoral stakeholder groups that may be, in any way, affected by the execution of the SASAP, should be consulted and their needs, inputs and capacities taken into account from the design phase, as all will have a role to play in supporting the execution of the adaptation measures on the ground and in facilitating the integration of adaptation at the local, national and regional level.

A stakeholder mapping exercise may help identify key actors at the outset of the process. However, the stakeholders involved in the development of a SASAP usually encompass, among others, representatives of the government agency(ies) with responsibility for the sector/area, the direct beneficiaries of the SASAP and all permanent or ad-hoc members of the National Climate Change Committee (NCCC), in representation of all other development sectors/areas and integrating the views of Non-Governmental Organisations (NGOs), Civil Society Organisations (CSOs), the business sector, including financial institutions and climate experts (e.g. Meteorological Office). The list of government agencies represented in the NCCC is presented in **Annex 2**.

As the formulation of Saint Lucia's sectorial SASAPs should follow an inclusive, participative and interactive approach, workshops, consultation meetings, formal and informal communications should be organised and promoted. A bonus to the open engagements, is that they offer the opportunity to educate and build commitment and consensus among decision-makers and stockholders. Additionally, the SASAPs should be widely disseminated and communicated to policy-makers; to bilateral and multilateral donor agencies and other non-state actors, who wish to support the GoSL's efforts to build climate resilience in the country.

8. HOW TO FORMULATE A SASAP?

The experience gained in elaborating the SASAPs for the Water, Agriculture and Fisheries sectors between 2017 and 2018, has led to the conclusion that the formulation of a SASAP involves a series of consecutive steps, spread along the four main phases. These are all reflected in the final SASAP document (see a generic and annotated outline of a SASAP in **Annex 3**). The SASAP elaboration phases are summarised below and detailed in the following sections.

Phase 1 (steps 1 to 4): Stocktaking - understanding the context-

Literature review to:

- establish the sector/area's characteristics and current circumstances
- identify the climate change and vulnerability background
- analyse the implications of climate change for the sector/area of interest in Saint Lucia
- determine the policy, regulatory and planning framework for the SASAP
- identify and list potential adaptation measures
- propose goals, objectives and outcomes for the SASAP
- produce a first draft of the SASAP

Phase 2 (Step 5): Stakeholder validation of the stocktaking results

Meetings and a workshop with representatives of the lead agency(ies) to:

- review the results of the Stocktaking exercise
- review the list of adaptation measures
- prepare for broad stakeholder consultations
- Improve the SASAP draft

Phase 3 (Step 6): Prioritisation of adaptation measures

Stakeholder consultation workshops to:

- engage different stakeholder groups in the SASAP process
- review, adjust and prioritise the list of adaptation measures
- draft adaptation project concept notes

Phase 4 (Steps 7 and 8): Finalising the SASAP

Activities to:

- Complete an advanced and full SASAP draft document
- Submit the SASAP draft document to the lead agency(ies) and other interested stakeholders for review
- Prepare the final SASAP document, integrating all relevant suggestions and comments received
- Make a public presentation of the final SASAP document (workshop if possible)
- Widely disseminate the SASAP
- Prepare a Cabinet memo to present the SASAP to the Cabinet of Ministers for approval.

8.1. FIRST PHASE: SASAP STOCKTAKING

This phase focuses on a comprehensive background research, review and analysis by the consultant (or staff in charge of the SASAP elaboration) with the support of the SASAP team at the SASAP lead agency, to provide the necessary governmental information on the sector/area's development context.

STEP 1. ESTABLISH THE SECTOR/AREA'S CHARACTERISTICS AND CURRENT CIRCUMSTANCES.

Look for data and reliable information that allows you to answer the following questions and other questions that may emerge and are deemed relevant to this assignment.

- a. Why is the sector/area important for Saint Lucia? (think of all potential answers, including cultural values)
- b. How much does it contribute to the GDP? Has this contribution grown/declined in the past years? why?
- c. How many people are employed by or depend on the sector/area for their income and livelihoods?
- d. Who are the main stakeholders of the sector/area in Saint Lucia?
- e. Does the sector offer benefits to vulnerable groups?
- f. Are there gender issues documented for this sector in the country?
- g. Where are most activities involved in the sector/area located?
- h. What resources are used or provided?
- i. What non-climatic factors affect the performance of the sector?
- j. What information gaps did you encounter?

Potential sources of information for this step include national and regional reports on the sector/area and its sub-sectors/sub-areas; national policy, strategy and planning documents as well as peer-reviewed articles on topics concerning the sector/area.

STEP 2. ESTABLISH THE CLIMATE CHANGE AND VULNERABILITY BACKGROUND

Once you understand the sector/area and have recorded how it functions in Saint Lucia, you should turn to search for the most recent information available on climate change projections for the country. Also look for information that allows you to determine the vulnerability of the sector/area to climate variability and change and what would the implications of no-action be. To do this, it is important to recognise that climate change can affect a development sector/area in multiple ways. There may be direct impacts such as those caused by sea level rise, drought, or excessive rainfall on the sector/area's assets and activities; indirect impacts such as those caused by flooding, and landslides (triggered by excessive rain, which is the direct effect).

Also indirect are the impacts of climate change on the resources on which the sector/area depends. Careful consideration must be given to this assessment, as there is a diversity of potential impacts that the sector/area may need to adapt to, and one single effect of climate change may have different consequences to different elements of the sector/area (e.g. more intense hurricanes can destroy tourism infrastructure and also reduce the touristic appeal of the country).

These two impacts need different adaptation measures). To complete this step, it is recommended that you undertake a comprehensive review of reliable sources that allow you to answer the following and other emerging questions:

- a. How has the sector/area been impacted by climate-related events in the past?
- b. Have the losses/damages been quantified?
- c. Why was it impacted?
- d. How often has it been impacted?
- e. Have climate-related impacts contributed to a decline in the development of the sector?
- f. What are the factors that make it sensitive to climate change?
- g. How long did it take for the sector/area to recover after the recorded climate-impacts?
- h. What factors contributed to the recovery?
- i. Which are the climate change-related effects that could directly impact the sector/area and cause most damage in the coming decades? (e.g. floods, drought, intense storms, increasing pest/disease outbreaks, etc)
- j. Which are the climate change-related effects that could indirectly impact the sector/area in the coming decades? (e.g. expected impacts on the resources upon which the sector/area depends)
- k. Are there predictions of potential losses for the sector/area with climate change?
- l. Have new climate change projections been developed for Saint Lucia after 2018? *Note, that this is the year of issue of the NAP, which includes the most reliable projections to date.*
- m. What do global reports on climate change tell about potential impacts for the sector/area?
- n. What solutions have been offered / tested to address the effects of climate change on the sector/area?
- o. Have these been tested in Saint Lucia?

Potential sources of information for this step:

Start by reviewing the NAP document, as a major effort was made to include and list as many potential impacts of climate change as possible for the sectors/areas prioritised in the NAP. It is worth reading the information contained in the NAP, even if the sector/area of your interest was not prioritised, as you may find some of the potential impacts relevant to your assessment.

Other sources of information include the Initial, Second and Third National Communications to the UNFCCC as well as the Stocktaking; Vulnerability and Adaptation (V&A); Technology Needs Assessment (TNA) and Other Relevant Information reports elaborated in the framework of the National Communications to the UNFCCC. Information relevant to this section may also be found in various sectoral policies, strategies and planning documents as well as in The State of the Environment Report (2015) and in the Assessment and National Adaptation Strategy and Action Plan to Address Climate Change in the Tourism Sector of Saint Lucia (2015). In addition, there is a wide variety of international and regional reports on sectoral impacts of climate change, which often include adaptation strategies and specific measures. It is recommended that you look for information on your sector/area in the various Assessment Reports of the Intergovernmental Panel on Climate Change (IPCC), and on documents issued on the topic by trusted regional and international organisations and Think Tanks that focus on your sector/area of interest for your SASAP.

It is recommended that when you reach this point, you communicate with the focal point for Climate Change and the NAP process at the Department of Sustainable Development, as they will have the most updated information on climate projections for the country.

- p. Which initiatives have been undertaken in Saint Lucia to adapt the sector/area to climate change? Have they worked? How much have they costed? See **Annex 4** and fill in the template to the extent possible.
- q. What information and capacity gaps have been reported and which did you encounter during the review that may hamper adaptation planning processes based on sound climate information and other relevant scientific evidence?

A recommendation emerging from the previous SASAPs that you may find useful is to list, for easy referencing, the various potential climate variability and change effects projected for Saint Lucia along with the impacts they may cause on the sector/area. Use in this listing your findings on losses, damages and aspects that allowed the recovery of the sector/area from past climate-related events. Also add to the list, the potential actions that can support adaptation to the expected impacts. This list will provide you with a broad account of the sector's vulnerability, weaknesses, capacities and adaptation that will be addressed by the SASAP's adaptation measures.

STEP 3. DETERMINE THE POLICY, REGULATORY AND PLANNING FRAMEWORK FOR THE FORMULATION AND IMPLEMENTATION OF THE SASAP

With the support of the focal point for the SASAP at the lead agency(ies):

- Review the national and sectoral policies, legislation, regulations, strategies and planning instruments that guide the sector/area's development in Saint Lucia. Identify which of these documents have incorporated climate change considerations and which have not. Draft a list, similar to the one presented under the Enabling Environment sections of the NAP and the existing SASAPs.
- Investigate and make a preliminary list of the national and sectoral policies, regulatory and planning instruments that are relevant to the SASAP and which will be drafted or revised within the period of the SASAP. This will provide entry points for the integration of climate adaptation considerations, which is one of the main objectives of the SASAP.
- Review the Climate Change Adaptation Policy (see summary in **Annex 5**) and see if it contains specific measures/recommendations for the sector/area of focus of the SASAP you are formulating. Further, use the opportunity to understand well the different elements of the CCAP, as the SASAP is expected to contribute to the CCAP's implementation. For the purpose of monitoring and evaluation, it is required that each measure in the SASAP be aligned with at least one of the core elements of the CCAP (namely adaptation facilitation, implementation and finance).
- Investigate if Saint Lucia has produced new official reports / communications on its international climate change commitments (Paris Agreement, National Determined Contributions, NAP, Nationally Appropriate Mitigation Action (NAMA), etc.).

This review will not only provide the basis for including measures in the SASAP that target the integration of climate change adaptation considerations into relevant policies and planning instruments to be drafted

or reviewed, but also will ensure that all measures suggested are aligned with the CCAP and other national and sectoral policies.

STEP 4. IDENTIFY AND PROPOSE AN OVERARCHING GOAL, STRATEGIC OBJECTIVES AND MAIN OUTCOMES FOR THE SASAP AND ESTABLISH A FIRST FULL DRAFT LIST OF ADAPTATION MEASURES TO BE INCLUDED IN THE SASAP

Based on the results of steps 1 to 3, conduct an analysis of information, capacity, policy and other gaps, weaknesses and needs for planning and implementing effective adaptation in the sector/area, envision how the SASAP can contribute to overcome these limitations and propose an overarching goal, strategic objectives and main outcomes the identified measures can contribute to achieving.

Organise the first full draft list of adaptation measures per outcome and strategic objective. At this point, you will realise that many of the measures can contribute to various objectives and outcomes. For the sake of simplicity, assign each measure to a single objective and outcome.

Ensure that the draft list of adaptation measures proposed for the SASAP:

- Addresses all major challenges climate variability and change will most likely impose on the sector/area in the coming decades.
- Includes measures that are as specific as possible (avoid vague, or general measures),
- Is based on the results of the review conducted under Step 2.
- Includes measures to solve the capacity weaknesses and information gaps identified in steps 1 to 3 and that hamper adaptation planning.
- Includes measures to integrate adaptation into the relevant policy and planning instruments (entry points) identified during the execution of Step 3.

It is recommended that you look at the type of adaptation measures presented, for example, in the existing SASAPs to get a good idea of the level of detail required in the measures you propose for your SASAP.

It is also recommended that you look at the measures included in the NAP, as there may be some measures you suggest that have also been recommended for other sectors (and thus included in the NAP). This can help you identify synergies and establish collaborations for the implementation of such measures.

Finally, it would also be important that you review the NAP Communications Strategy, as it may give you some insights on potential effective measures to increase awareness on climate adaptation strategies at the sectoral level (should this be an area to be covered in the SASAP you are developing).

By the end of the 1st phase of the SASAP formulation, that is, when you have finalised the reviews required in Steps 1, 2 and 3, you will find yourself in a comfortable position to **write a first draft of the following sections of the SASAP** (as presented in **Annex 3**):

Section 2 (on Saint Lucia's NAP Process),

Section 5 (gender considerations),

Section 6 (the sector/area's context in Saint Lucia),

Section 7 (the climate change context, including the sub-section on climate change implications for the SASAP's sector/area).

Section 8 (the enabling environment for climate adaptation in the sector/area and its corresponding annex on the features of previous, current and approved climate change adaptation projects in the sector/area)

You will also have all elements to **propose an overarching goal, strategic objectives and main outcomes for the SASAP**. You can also prepare an initial full draft list of adaptation measures to be included in the **SASAP** (as indicated in Step 4).

8.2. SECOND PHASE: STAKEHOLDER VALIDATION OF THE STOCKTAKING RESULTS

This phase is highly dependent on stakeholder involvement.

STEP 5. HOLD AT LEAST A HALF DAY WORKSHOP WITH REPRESENTATIVES OF THE LEAD AGENCY(IES)

The workshop will offer an opportunity to:

- Present the findings of the Stocktaking exercise
- Discuss and agree on the overarching goal, strategic objectives and main outcomes of the SASAP and associated wording
- Discuss each of the adaptation measures proposed for inclusion in the SASAP. As you will see, the stakeholders will suggest merging various measures, propose additional measures, bring to your attention to gaps not addressed and other issues that need to be corrected during or shortly after this workshop.

In anticipation of the workshop, prepare a summary of the stocktaking document to share, along with the agenda, with the representatives of the lead agencies to be consulted. This document should include:

- A summary of the draft sections of the SASAP you prepared at the end of Step 4.
- The complete draft table of key policies, regulations and planning instruments for the SASAP
- The complete draft list of adaptation measures you compiled, ordered by main outcomes and strategic objectives
- An annotated outline for your SASAP (it is recommended that it follows the structure set in **Annex 3**)
- **Annex 4** as complete as possible.
- A request for the stakeholders involved in the workshop to return any specific comments by a specified date.

Be well prepared to present your Stocktaking findings (a brief PowerPoint presentation); to answer any emerging question and to clarify and reach agreement on any recommendation / suggested change to the list of adaptation measures that may be made during the workshop.

Also, request that the participants send you any other recommendation/change by email and to complete the table in **Annex 4** (Features of past, present and approved adaptation projects in the sector/area) and the Table with key policy, regulatory and planning instruments.

Request as well for them to complete the identification of policy entry points for the integration of climate change adaptation considerations you initiated.

Make sure you address all comments received during this first stakeholder workshop and consolidate a new version of the adaptation measures list.

8.3. THIRD PHASE: PRIORITISATION OF THE ADAPTATION MEASURES TO BE INCLUDED IN THE SASAP

STEP 6. HOLD ONE OR VARIOUS HALF-DAY WORKSHOPS FOR THE PRIORITISATION OF THE ADAPTATION MEASURES BY A WIDE RANGE OF THE SECTOR/AREA'S STAKEHOLDERS AND FOR THE SUBMISSION OF PROJECT CONCEPT NOTES

The main objective of this (these) workshop(s) is to engage the various stakeholder groups of the sector/area in the formulation and prioritisation of the adaptation measures in the revised list compiled at the end of Step 5. This (these) workshop(s) will, at the same time, raise awareness about the potential impacts of climate change in the sector/area and the steps the GoSL is taking to timely and effectively address them, including the recent formulation of the NAP and the purpose of the SASAP. The participants to this (these) workshop(s) may include, among others, GoSL officials, managers, sector/area experts, representatives of local businesses and Civil Society Groups involved in the sector/area of the SASAP. Their feedback is essential to determine the needs of the sector, how to address the needs and to establish the commitment to the process.

Depending on the number of stakeholders to be consulted and their geographic spread in the country, one or various workshops are required for this step. The experience of the previous SASAPs varies in this point. For the Water SASAP, it was possible to hold a large broad-based consultation with around 50 participants in one single location; conversely, for the Agriculture SASAP, four consultations with stakeholders from different geographic locations were required.

For this consultation workshop, both, a representative of the SASAP lead agency(ies) and the consultant (or person in charge of the SASAP) should prepare PowerPoint presentations or other suitable means to present/deliver, depending on the audience.

It is recommended that the person representing the lead agency prepare a presentation on the context of the sector/area, the main challenges faced and the changes the sector/area have experienced in the past decades and which can be attributed to climate change. The consultant, in collaboration with the Climate Change Focal Point, should complement this presentation with climate change projections for the country and potential impacts on the sector and with an explanation of the NAP and SASAP processes and their objectives.

The second session of the workshop consists of an exercise to prioritise the implementation (or at least initiation) of the adaptation measures according to their level of urgency. However, before starting, the participants are requested to split into groups (tables) and to look at the list of the adaptation measures, of which at least two copies can be provided on each table. The list of measures should have been prepared in advance in the format presented in **Annex 6**. Each group of participants is then requested to agree with the list and/or add key adaptation measures that are missing. After all participants agree on the final list of measures, the prioritisation exercise begins.

PROCEDURE TO PRIORITISE THE IMPLEMENTATION OF THE SASAP'S ADAPTATION MEASURES

To ensure the prioritisation of adaptation measures is made in a coherent and consistent manner, and the same criteria is used in all SASAPs, the Department of Sustainable Development developed an excel tool, that was successfully tested and used during the elaboration of the Water, Agriculture and Fisheries SASAPs.

The tool allows scoring from 1 (low) to 5 (high), the level of implementation priority (urgency) of each adaptation measure according to the following 12 agreed criteria.

Ranking criteria:

1. Relevance and alignment with national and sectoral policies, strategies, plans and legislation
2. Upfront cost of the technologies
3. Implementing, operational and maintenance cost
4. Effectiveness and impact
5. Ease of implementation /feasibility
6. Social acceptability
7. Institutional capacity
8. Size of beneficiary group(s)
9. Potential environmental risks
10. Synergies with other initiatives
11. Sustainability
12. Scalability and replicability

It is to be noted that a weighting ranging from 0.1 (least important) to 1.0 (very important) was attached to each criterion (see format in **Annex 6** and Ranking criteria descriptions in **Annex 7**).

To clarify the criteria and the scoring method, the participants are also provided with an information sheet (available in **Annex 7**).

To start the exercise, the consultant (or person in charge of the SASAP) explains the ranking criteria, as presented in the information sheet (**Annex 7**) and facilitates the scoring process of the two first adaptation measures against all criteria. This is a lengthy process that can be accelerated if each of the groups rank all measures against a specific number of criteria (by filling the format in **Annex 6** in a vertical way, which is more focused and much faster than filling the format in a horizontal manner). If only one consultation is to be held for this purpose, then the number of criteria is to be divided among the groups, with each group being assigned 3 criteria (for four groups). If, on the other hand, there are two consultations planned, then only half of the criteria needs to be scored during each consultation, with each group receiving an equal number of criteria to score.

It is worth noting that Criteria 1 (alignment with national and sectoral policy) is best to be left for the SASAP lead agency to score, as they are perfectly aware of the legal and regulatory framework for the sector and applicable to the SASAP and each of the measures.

At the end of the workshop, the consultant retrieves all templates filled, ensures each group has scored each of the measures agreed and included in the list and takes the formats to input the data into the excel tool devised by the Department of Sustainable Development.

The tool, for which formulae have been inputted, then calculates the final score of each adaptation measure by adding the total scores of the 12 criteria (obtained by multiplying the weighting of each criterion by the score assigned by the group in charge). The Excel tool then categorises the final scores into 3 groups that determine whether the implementation of each adaptation measure should start in the short-term (2018-2021), medium-term (2021-2024) or long-term (2024-2028).

To gain access to the Excel prioritisation tool, please get in touch with the Department of Sustainable Development or visit their **climate change website** at: <http://www.climatechange.govt.lc/> .

PREPARATION OF PROJECT CONCEPT NOTES

It is important to highlight that one more and key activity of this (these) consultation workshop(s) is the elaboration of Project Concept Notes. These are short, stand-alone project summary documents, to be proposed by the stakeholders and reviewed and improved (by better framing the project in terms of climate change adaptation) by the consultant (or person in charge of the elaboration of the SASAP). The templates to be filled for this purpose are distributed to the workshop(s) participants towards the end of the session. It is explained clearly that the concept notes should address climate-related challenges, be aligned with the measures discussed during the workshop and offer adaptation benefits (and if possible mitigation co-benefits) for the sector. If possible, participants should aim to fill the template at the workshop, either individually or in groups. The participants are also sent the template electronically, in case they wish to submit more than one concept note. The annotated template for the elaboration of project concept notes is presented in **Annex 8**.

It is worth noting that additional consultations may need to take place when a wide education/language gap exists between the stakeholders of the sector/area. For example, for the Agriculture and Fisheries SASAPs, there were additional consultations involving local farmers and

Role of the project concept notes

The project concept notes play an instrumental role in the SASAPs' fundraising efforts as they offer a subset of projects proposed for the implementation of adaptation measures in the SASAPs.

Project concept note portfolios, composed of a SASAP summary, a table summarising the concept notes and the concept notes themselves, are prepared during the elaboration of each SASAP and used for presentation to international donors, who can then support (technically and/or financially) the execution of the projects and activities that suit best their own funding priorities, interests and possibilities.

Concept notes can be submitted for funding consideration as stand-alone projects or merged with other concept notes to create a larger project/programme/activity. Concept notes can be submitted individually or merged, as necessary

fisherfolk, respectively. The dynamics of these participatory consultations allowed for improving the local stakeholders' knowledge of climate change and its implications in Saint Lucia and to receive their views with processes they see and challenges they face and associate with climate change. The local stakeholders were also requested to provide potential solutions to the identified climate-related challenges and were given support in the elaboration of the concept notes. Their inputs were given due consideration when refining the adaptation measures included in the SASAPs and the concept notes they submitted were also integrated in the final SASAP documents. Keep in mind when planning and executing the elaboration of new SASAPs that both the NAP and SASAP processes are inclusive and transparent and require the engagement of multiple sectors and society groups.

By the end of the third phase of the SASAP formulation, that is, when you have finalised Steps 5 and 6, you should find yourself in a comfortable position to write an entire and advanced draft of the SASAP.

8.4. FOURTH PHASE: FINALISING THE SASAP

This phase consists of a series of simple steps to complete the SASAP sections, based on the information collected until now and the results of the stakeholder consultations.

STEP 7. COMPLETE THE SASAP BY INCORPORATING THE FEEDBACK RECEIVED ON THE ADVANCED DRAFT

It is recommended that during this step you:

- follow the format in **Annex 3** and look carefully at the formats used for each section in the SASAPs for Water, Agriculture and Fisheries to generate an advanced and complete draft of the SASAP.
- pay particular attention to details and highlight those areas that you consider the stakeholders can still complement/better inform during their review.
- ensure all comments and the concept notes received after the workshop are incorporated in the final document.

Particularly important at this stage is that you thoroughly understand the **implementation strategy of the SASAP**. Unless there is a reason or alternative source of funding for the SASAP you are developing, it is to be assumed that the funding and implementation strategy of the SASAP you develop is similar to that of other SASAPs. This implies the expectation that the execution of most of the measures may occur as a consequence of their inclusion in projects and programmes funded from both national and international sources.

To facilitate the planning and design of such projects and programmes, the tables with the adaptation measures should include indicative outputs. Have a good look at the Water SASAP, for example, to understand the logic between the adaptation measures and the indicative outputs and see how, in the case of various interlinked or closely related adaptation measures, a series of shared outputs is presented. You are strongly encouraged to follow the same logic in the presentation of outputs in the SASAP tables you will develop at this point.

The project concept notes are also instrumental in supporting the SASAPs' fundraising efforts. In this regard, compiling a good number of concept notes, addressing different challenges and benefiting various groups, is important. It is recommended that you look at the concept notes in other existing SASAPs, as some of them may also be relevant for your sector/area. If this is the case, you can copy the relevant concept notes into your SASAP, indicating in them that they are also part of another SASAP.

Finally, share the advanced draft of the SASAP with a wide cross section of Heads and technical staff in the lead agency(ies) and other relevant stakeholders (including the Department of Sustainable Development as Climate Change Focal Point) for review and final comments.

STEP 8. HOLD A FINAL WORKSHOP WITH THE LEAD AGENCY(IES) TO PRESENT THE FINAL SASAP DOCUMENT AND CLARIFY OR MAKE ANY LAST-MINUTE CHANGES.

This is the final recommended step in the elaboration of the SASAP document.

Other important recommendations include:

- **Wide dissemination of the SASAP document.** As with throughout the process, use various means to solicit feedback from stakeholders within specified timeframes. This may require persistence on the part of the lead agency, including emails, calls, in-person visits, skype discussions, what's app and focus group sessions.
- **Ensure** from the start and throughout that **requisite Heads of Departments, Permanent Secretaries and Ministers are well aware and support the effort.**
- At the end, **prepare a Cabinet memo** for the presentation of the SASAP to the Cabinet of Ministers for approval.

ANNEX 1. THE NATIONAL ADAPTATION PLAN (NAP) PROCESS

The Conference of the Parties to the United Nations Framework Convention on Climate Change (UNFCCC) has established the NAP process as a mechanism to facilitate effective mid and long-term climate adaptation planning. The NAP is a policy process leading to full integration of climate change adaptation into national development planning and budgeting.

Through the NAP process, countries iteratively assess their risks and vulnerabilities under climate change; build capacities to reduce these risks and to tap into opportunities opened by the changing conditions; and identify, rank, plan and implement national and sectoral adaptation measures.

At its core, the NAP process consists of three steps: planning at both a national and subnational levels; implementation of the plans, by national and subnational authorities; and monitoring and evaluation. The success of each of these steps hinges on several enabling factors, including institutional arrangements that foster dialogue and joint action; information sharing among stakeholders; and capacity development, so that the skills and resources are available to effectively deliver on adaptation plans.

Figure 2 offers a simplified overview of the NAP process.

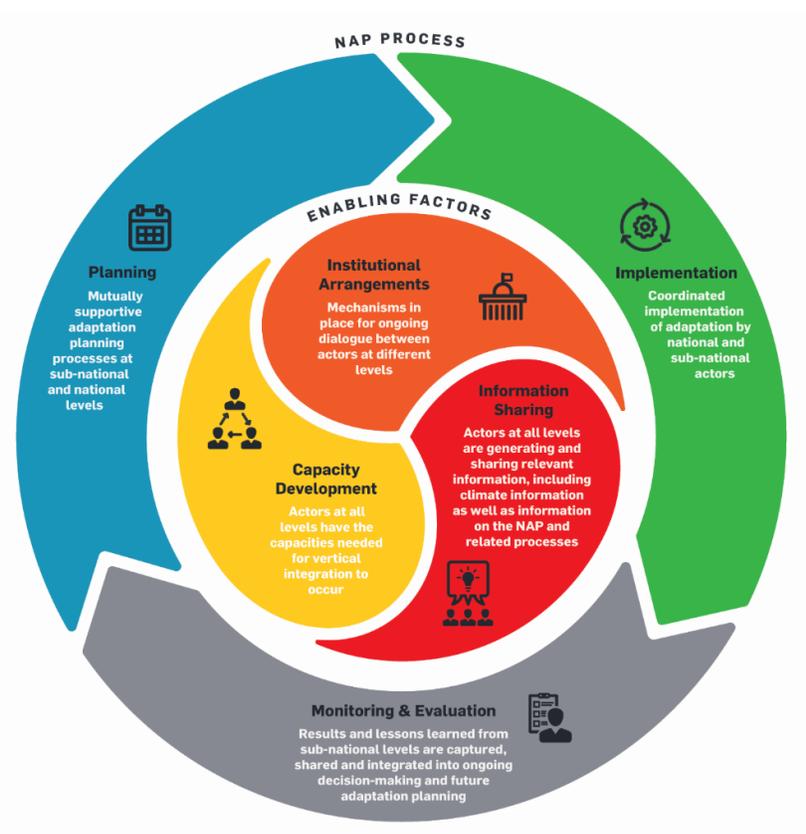


Fig.2. Simplified overview of the NAP process.

Source: Dazé & Dekens, 2017*

* Dazé, A. & Dekens, J. (2017). A Framework for Gender-Responsive National Adaptation Plan (NAP) Processes. NAP Global Network

To assist least developed and developing countries in planning the elaboration, implementation and monitoring, review and evaluation of their NAPs, the UNFCCC Least Developed Countries Expert Group (LEG) published in 2012 the Technical Guidelines for the NAP Process. These Guidelines summarise the NAP process in terms of four elements, or building blocks, and offer a series of indicative steps and activities countries can undertake under each element.

As NAPs are flexible and non-prescriptive, the LEG Guidelines encourage countries to start their process at the element that is more suitable to their own circumstances and to select for each element, the combination of specific steps and activities they deem most appropriate for their national process, seeking to enhance the coherence of adaptation and development planning, rather than duplicating efforts undertaken or underway. A brief general description of the NAP process elements is presented in **Box 2** and schematic representations of the process in **Figure 3**.

Box 1. The NAP Process

Definition:

A NAP is a policy process leading to integration of climate change adaptation into national planning and where feasible, budgeting and involving inter-agency coordination, climate risk and vulnerability assessments, capacity-building efforts and identification and ranking of national priorities (including those reflected in relevant national documents, plans and strategies). The NAP process allows countries to conduct comprehensive medium- and long-term climate adaptation planning in an iterative and ongoing way.

Main Objectives of the NAP process:

- To reduce vulnerability to the impacts of climate change, by building adaptive capacity and resilience; and,
- To facilitate the integration of climate change adaptation, in a coherent manner, into relevant new and existing policies, programmes, and activities – development planning processes and strategies in particular - within all relevant sectors and at different levels, as appropriate.

Principles of the NAP Process:

- Not prescriptive, countries can decide on the best way to move forward.
- Seeks to enhance the coherence of adaptation and development planning, rather than duplicate efforts.
- Facilitates country-owned, country-driven action.
- Is designed for countries to monitor and review it regularly and update it iteratively as better-quality climate data and other information becomes available.
- Is designed to identify and address gaps in capacity and adaptation on an ongoing basis.

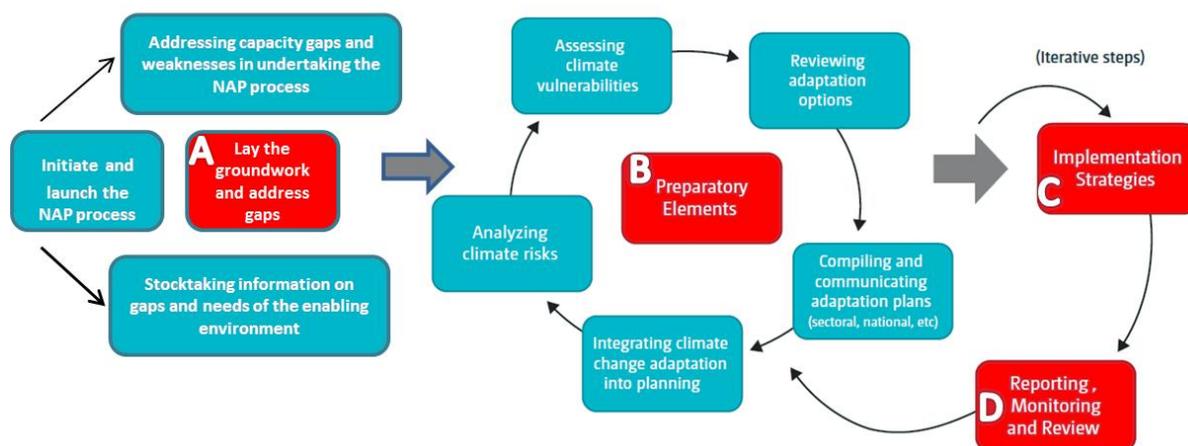


Fig. 3. Schematic representation of the NAP Process. The main elements are presented in red and the suggested steps in blue. *Illustration adapted from the LEG Guidelines*

ANNEX 2. NATIONAL CLIMATE CHANGE COMMITTEE (NCCC) MEMBERSHIP

Organisation*	Key Department, Division, Section, Unit Engaged from Organisation
Ministry with responsibility for Sustainable Development	<ul style="list-style-type: none"> • Sustainable Development and Environment Division (Secretariat)** • Renewable Energy Division*** • Protected Areas Management
Ministry with responsibility for Agriculture	<ul style="list-style-type: none"> • Agriculture • Fisheries • Forestry • Water
Ministry with responsibility for Physical Planning	<ul style="list-style-type: none"> • Physical Planning • Surveys and Mapping • Architecture
Ministry with responsibility for Health	<ul style="list-style-type: none"> • Environmental Health Division • Engineering
Ministry for Education	<ul style="list-style-type: none"> • Sir Arthur Lewis Community College • Gender Relations
Ministry with responsibility for Tourism	-
Ministry with responsibility for Finance	-
Office of the Prime Minister	<ul style="list-style-type: none"> • National Emergency Management Organisation
Ministry with responsibility for Infrastructure	<ul style="list-style-type: none"> • Engineering • Meteorological Services Department • Public Utilities Division
National Insurance Council of Saint Lucia	-
Saint Lucia Bankers Association	-
National Conservation Authority	-
Saint Lucia Electricity Services Limited	-
Saint Lucia Solid Waste Management Authority	-
Saint Lucia Air and Sea Ports Authority	-
Water and Sewerage Company	-

* Nomenclature of Ministries have changed over the years.

** Includes staff directly from the Climate Change team, but also, as needed, from Coastal Zone Management, Chemicals, Biodiversity and Small Island Development States (SIDS) Development agenda.

*** Recently moved to the Ministry with responsibility for Infrastructure.

ANNEX 3. GENERIC ANNOTATED SASAP OUTLINE

This Annex presents a generic and annotated SASAP outline. However, the reader is invited to visit the original documents of the SASAPs elaborated for the Water, Agriculture and Fisheries sectors to better understand the content of each section.

Section	Key features and content of the section / <i>Suggestions</i>
Foreword	
Executive summary	<ul style="list-style-type: none"> • Presents an overview of the importance of the SASAP's sector/area for the country • Explains the NAP as a key planning instrument for adaptation and places the SASAP in the context of the NAP • Acknowledges the donor of the SASAP • Offers the number of measures included in the SASAP • Introduces the outcomes and strategic objectives of the SASAP • Explains the target audience of the SASAP
Acronyms	<ul style="list-style-type: none"> • Includes all acronyms that appear more than once in the SASAP document
1. Introduction	<ul style="list-style-type: none"> • Sets the global and national background for adaptation in the sector • Discusses briefly the progress made in Saint Lucia in terms of climate change adaptation, ending with the CCAP.
2. Saint Lucia's National Adaptation Planning (NAP) Process	<ul style="list-style-type: none"> • Offers a short description of the NAP Process in Saint Lucia. <i>This section can be copied from the existing SASAPs.</i>
3. The SASAP in the framework of Saint Lucia's NAP	<ul style="list-style-type: none"> • Indicates the SASAP is a 10-year framework for adaptation action in the specific sector/area of the SASAP • Presents the overarching goal of the SASAP • Explains the number of measures, objectives and outcomes included in the SASAP
3.1. Target audience	<ul style="list-style-type: none"> • Establishes the target audience for the SASAP. <i>This section can be adapted from the corresponding section in the existing SASAPs</i>
3.2. Scope of the SASAP	<ul style="list-style-type: none"> • Establishes the scope of the SASAP. <i>Various points in this section can be extracted from the corresponding section in the existing SASAPs</i>
4. Methodological approach and SASAP formulation process	<ul style="list-style-type: none"> • Defines the driving factors for the formulation of the SASAP • Explain briefly each step taken in the elaboration of the SASAP (<i>Various points in this sub-section can be extracted or adapted from those in the corresponding section in the existing SASAPs</i>)
5. Gender considerations	<ul style="list-style-type: none"> • Informs on gender issues in the country as they relate to climate change. <i>Incorporate relevant gender-disaggregated data for the</i>

Section	Key features and content of the section / <i>Suggestions</i>
	<i>sector/area of the SASAP into the text presented in the corresponding section of the existing SASAPs. Update the information provided if necessary.</i>
6. Saint Lucia's sector/area (of the SASAP), e.g. <i>Saint Lucia's Water Sector (for the Water SASAP)</i>	<ul style="list-style-type: none"> • Provides the context for the economic, social and environmental importance of the sector/area in the country. • Highlights damages and losses caused by previous climate-related impacts to the sector/area. • <i>Be brief, but provide sufficient information to understand the issues affecting the sector/area.</i>
7. Climate change context	<ul style="list-style-type: none"> • <i>Can be copied from the section in the existing SASAPs (update if new climate information has emerged since 2018).</i>
7.1. Climate change projections for Saint Lucia	<ul style="list-style-type: none"> • <i>Can be copied from the corresponding section in the existing SASAPs (update if new climate information has emerged since 2018).</i>
7.2. Climate change implications for the sector/area of the SASAP in Saint Lucia	<ul style="list-style-type: none"> • Lists all key factors of vulnerability to climate change in the sector, using climate projections and risks analysis available and based on the initial literature review and on expert recommendations (if available).
8. Enabling environment for climate adaptation action in the sector/area of the SASAP in Saint Lucia	<ul style="list-style-type: none"> • This section summarises the national and sectoral development policy, legislative, regulatory, strategic and planning environment that allows the development of the SASAP.
8.1. National development, climate change and agriculture policy and planning framework	<ul style="list-style-type: none"> • Establishes the international climate change policy framework for the SASAP. • Explains the most important policy guiding the development of the sector/area of the SASAP in the country. • Provides a comprehensive and up-to-date table with the key policy, legislation and planning instruments for the sector/area in Saint Lucia. <i>This table needs to be elaborated for each SASAP. It can use elements of the table presented for this section in the NAP document and elements from the tables presented in the existing SASAPs, if applicable.</i>
8.2. Progress made in the implementation of climate change adaptation activities	<ul style="list-style-type: none"> • Makes reference to the most common adaptation initiatives undertaken in Saint Lucia between 2012 and the year of elaboration of the SASAP <i>(to update, if necessary, the corresponding table in the existing SASAPs).</i> • Introduces Annex 2 of the SASAP, which includes all relevant adaptation initiatives that have taken place in the sector/area in Saint Lucia.
9. Saint Lucia's SASAP for the sector/area of interest	<ul style="list-style-type: none"> • Provides a background for the SASAP • Summarises the measures, objectives and contents of the SASAP • <i>This section can be adapted from the corresponding section in the existing SASAPs</i>

Section	Key features and content of the section / <i>Suggestions</i>
9.1. Strategic goal, objectives and outcomes	<ul style="list-style-type: none"> • Outlines the overarching goal, key outcomes and associated strategic objectives of the SASAP
9.2. Implementation and funding of the SASAP	<ul style="list-style-type: none"> • Indicates the lead agency(ies) for the formulation and implementation of the SASAP • Outlines the strategy to be followed for the implementation of the SASAP. <i>Adapt, if necessary, from the corresponding section in the existing SASAPs.</i>
9.3. Monitoring and evaluation	<ul style="list-style-type: none"> • <i>Unless additional provisions for M&E of the SASAP are made, this section can be copied from the corresponding section in the existing SASAPs.</i>
10. Adaptation Measures	<ul style="list-style-type: none"> • This is the SASAP. For each strategic objective a table with measures is presented. The strategic objectives are organised under the outcomes they are expected to contribute to. Each Outcome and Strategic Objective is formatted as a title, to ensure it appears in the Table of Contents. Each table with measures includes columns for: <ul style="list-style-type: none"> - The prioritised adaptation measures - The proposed period for implementation - Indicative outputs - The elements of Saint Lucia’s Climate Change Adaptation Policy (CCAP) the measures will help implement.
11. Concept notes for climate change adaptation in the sector/area of the SASAP	<ul style="list-style-type: none"> • Provides the series of concept notes prepared in the framework of the SASAP to aid fundraising efforts. • <i>Use the introduction presented for this section in the existing SASAPs</i> • <i>Use the template provided for the concept notes in this document.</i> • <i>The title of each concept note should be formatted as a title, to ensure it appears in the Table of Contents. See existing SASAPs for reference.</i>
12. Conclusions	<ul style="list-style-type: none"> • Provides concluding remarks to the document
13. References	<ul style="list-style-type: none"> • Lists all references cited along the document
ANNEX I. Saint Lucia Climate Change Adaptation Policy (2015)	<ul style="list-style-type: none"> • Offers a summary of the CCAP. <i>Include if considered applicable. Alternatively, summarise the CCAP in the text.</i>
ANNEX 2. Features of significant past, present and approved projects contributing to climate change adaptation in the sector/area of the SASAP in Saint Lucia	<ul style="list-style-type: none"> • Includes a table with the features of all climate change adaptation initiatives that have taken place or have been approved for the sector/area of focus of the SASAP in Saint Lucia. <i>Use the template provided in these Guidelines; ensure all lessons learned are recorded and convert any Eastern Caribbean Currency to USD.</i>

ANNEX 4. FEATURES OF SIGNIFICANT PAST, PRESENT AND APPROVED PROJECTS CONTRIBUTING TO CLIMATE CHANGE ADAPTATION IN THE SECTOR/AREA OF INTEREST FOR THE SASAP (ANNOTATED FORMAT)

Project	Total Investment Cost	Donor/ Sponsor	Responsible Institutions	Direct Beneficiaries Targeted	Lessons Learned and Key Success Factors
<i>Title of project</i>	<i>Amount in USD</i>	<i>Name of donor/ sponsor</i>	<i>Government agencies responsible for the project in Saint Lucia</i>	<i>Targeted beneficiaries (Districts / Groups) and number of direct beneficiaries if possible</i>	<i>Record the lessons learned and the key success factors and Use this knowledge to inform the adaptation measures in the SASAP.</i>
<i>Geographic context (Regional / National project)</i>					
<i>Period of implementation: e.g. 2013-2014</i>					
<i>Status: (Select one: Completed / Ongoing / Approved)</i>					
<i>Include one project per row and insert as many rows as necessary</i>					

The Saint Lucia Climate Change Adaptation Policy (CCAP) of 2015, outlines the general strategy for understanding and addressing the risks posed by climate change. It seeks to “ensure that Saint Lucia and its people, their livelihoods, social systems, and environment are resilient to the risks and impacts of climate change.” The Policy endorses the principles of a cross sectoral approach to climate adaptation and concretely addresses: 1) adaptation facilitation- (appropriate policy, legislative and institutional environment); 2) adaptation financing (measures to ensure adequate and predictable financial flows) and, 3) adaptation implementation (concrete actions to prepare for, or respond to, the impacts of climate change).

The CCAP’s execution will encompass activities geared towards building the resilience of households, communities, vulnerable groups, enterprises, sectors and ultimately, the nation, with efforts directed towards achieving the following objectives by 2022: a) Priority adaptation measures to the adverse effects of climate change developed and implemented at all levels; b) Identification of vulnerable priority areas and sectors and appropriate adaptation measures using available and appropriate information, recognising that such information may be incomplete; c) Adaptation measures in vulnerable priority areas supported by existing data sets and traditional knowledge, or new data developed as necessary; and d) Appropriate adaptation measures integrated into national and sectoral development strategies and linked as far as national circumstances will allow, to the national budgeting process.

In terms of facilitation, the CCAP proposes actions related to strengthen inter-agency and inter-sectoral collaboration, for example, identifying a suitable mechanism for strengthening the nexus between climate change adaptation and disaster risk reduction and formalising the relationship between the NCCC and other coordinating bodies, as appropriate.

Among the actions that the CCAP outlines for implementation, is the development of NAPs. Importantly, the CCAP puts specific focus on:

- Protecting freshwater resources, promoting watershed management and implement rainwater harvesting and storage;
- Establishing integrated coastal management and adaptation measures to increase the resilience of coastal systems, communities, critical infrastructure, and economic activities;
- Protecting human health from climate change- related diseases;
- Diversifying economic opportunities in agriculture and fishing, biodiversity conservation and management;
- Formulating appropriate building and zoning codes and promoting integrated early warning and response systems; and
- Promoting strategic partnerships between the public sector, private sector and civil society in the implementation of adaptation measures.

Importantly, while focused on addressing climate change adaptation, the CCAP recognises that some mitigation activities provide meaningful adaptation co-benefits and increase resilience.

ANNEX 7. CRITERIA FOR THE PRIORITISATION OF ADAPTATION MEASURES *

CRITERIA	DESCRIPTION
1. Relevance and alignment (weight: 1.0)	The measure is well aligned with national development plans and climate policy goals and targets. 1=low relevance and/or not aligned; 5= high relevance and/or aligned
2. Upfront cost of the technologies (weight: 0.8)	The upfront cost of the technologies and deployment is too expensive to purchase. Are there any possibilities for cost sharing? 1= expensive; 5= inexpensive
3. Implementing, operational and maintenance cost (weight: 1.0)	The long term operational and maintenance costs are attainable. Are there any possibilities for cost sharing? 1= unattainable; 5= attainable
4. Effectiveness and impact (weight: 1.0)	The measure or intervention can effectively solve problems or realise opportunities derived from climate change adaptation (economic benefits, social benefits, benefits to ecosystems). 1= low effectiveness/impact; 5= high effectiveness/impact
5. Ease of implementation /feasibility(weight: 0.8)	Measures are highly feasible/easy to implement (e.g. no/limited policy, regulatory, institutional, legal, technical, financial, business, social and gender barriers). 1= low feasibility (many barriers); 5= high feasibility (few barriers)
6. Social acceptability (weight: 1.0)	Stakeholders will accept, adopt and apply the adaptation measures. 1= low acceptance; 5=high acceptance
7. Institutional capacity (weight: 0.8)	Sufficient institutional absorptive capacity exists within the implementing agency (ies) to support the implementation of the measure. Can the capacity be sourced locally? How much additional capacity and knowledge are needed to implement the measure? 1=insufficient capacity; 5= sufficient capacity
8. Size of beneficiary group(s) (weight: 1.0)	The adaptation measure provides direct benefits to a large number of local, community, district and national beneficiaries. 1= low number of beneficiaries; 5= high number of beneficiaries
9. Potential environmental risks (weight: 1.0)	No significant environmental risks. Will there be any expected adverse effects on the environment, natural resources or people? 1= high risk; 5= low risk
10. Synergies with other initiatives (weight: 0.6)	The measure builds on past, current or planned initiatives. Is there an opportunity for resource sharing; e.g. technical assistance, institutional support, etc.? 1=low synergies; 5= high synergies
11. Sustainability (weight: 1.0)	The measure can be sustained over time beyond this one-off project, i.e., there is a strong exit strategy (e.g. financial, institutional, etc).

* This format includes modified elements of the Saint Lucia's Strategic Programme for Climate Resilience (SPCR), Under and Beyond the Pilot Programme for Climate Resilience (PPCR), (2011) and modified Green Climate Fund criteria.

CRITERIA	DESCRIPTION
	1= low sustainability; 5= high sustainability
12. Scalability and replicability (weight: 0.6)	The measure is scalable and replicable in Saint Lucia, beyond this intervention. 1= low scalability/replicability; 5= high scalability/replicability
1. Relevance and alignment (weight: 1.0)	The measure is well aligned with national development plans and climate policy goals and targets. 1=low relevance and/or not aligned; 5= high relevance and/or aligned
Notes	
Weighting scale	0.1 (low importance) to 1.0 (high importance)

ANNEX 8. PROJECT CONCEPT NOTE ANNOTATED TEMPLATE

CONCEPT NOTE FOR CLIMATE CHANGE ADAPTATION PROJECT TO BE INTEGRATED IN SASAP	
Project title	
Objective(s)	
Rationale	<ul style="list-style-type: none"> - Short explanation on the climate risks / expected impacts that make the intervention necessary (see table of impacts for support) - Short explanation of the proposed intervention, if possible mentioning: <ul style="list-style-type: none"> - what has been done before and current gaps to be covered by the project. e.g. <i>“Currently, there is an island-wide flood early warning system that requires improving, as data limitations do not allow the calculation of xxxx, hampering the prioritization of infrastructure relocation”</i> - What will the project improve/do and what are the expected project benefits - Main project partners (Institutions/communities/businesses/other). - Proposed location/site(s)
Beneficiaries	<i>e.g. Community members and households exposed to flooding</i>
Activities and Tasks	Short list: – –
Main outputs/products	Short list: – –
Implementation	➤ Responsible institutions:
Cost estimate (rough estimate of costs, if possible disaggregated into broad budget lines/activities)	
Total: USD _____	
Duration	
Additional information	If possible, link the proposal to specific measures in the SASAP (<i>e.g. this project is directly related to the SASAP’s measures 12, 62, 64 and 65</i>). Include a note here if the proposal has mitigation co-benefits.