



**GLOBAL ENVIRONMENT FACILITY
SMALL GRANTS PROGRAMME
UNITED NATIONS DEVELOPMENT PROGRAMME**

**COUNTRY PROGRAMME STRATEGY FOR
THE UTILISATION OF
OP 5 FUNDS
(2011-2014)**

SAINT LUCIA



US\$ 2 million (XCD\$5.4 million)
(US\$1 million in Core Funds and US\$1 million in STAR Funds)

Prepared by: Giles Romulus (NC, GEF SGP, Saint Lucia)

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LIST OF ACRONYMS

CBO	Community Based Organisation
COB	Convention on Biodiversity
CPMT	Central Programme Management Team
CPS	Country Programme Strategy
CSO	Civil Society Organisation
FAs	Focal Areas
FADs	Fish Aggregate Devices
FDI	Foreign Direct Investment
FS	Financial Sustainability
ES	Environmental Sustainability
GAP	Good Agricultural Practices
GEF	Global Environment Facility
GHGs	Green House Gases
GOSL	Government of Saint Lucia
HACCP	Hazard Analysis Critical Control Point
HFCs	Hydrofluorcarbons
KM	Knowledge Management
MDG	Millennium Development Goals
MEAs	Multi-lateral Environment Agreements
M & E	Monitoring and Evaluation
MPA	Marine Protected Areas
NC	National Coordinator
NCSA	National Capacity and Self- Assessment
NEMS	National Environmental and Management Strategy
NEP	National Environmental Policy
NGO	Non Governmental Organisation
NSC	National Steering Committee
OECS	Organisation of Eastern Caribbean States
OPAAL	OECS Protected Areas and Alternative Livelihoods Project
OS	Organisational Sustainability
PA	Programme Assistant
R & D	Research and Development
RM	Resource Mobilisation
SCS	Socio-cultural Sustainability
SGP	Small Grants Programme
SIDS	Small Island Developing State
SRO	Sub-regional Office
STAR	System for the Transparent Allocation of Resources
UN	United Nations
UNCCD	United Nations Convention to Combat Desertification.
UNDP	United Nations Development Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNOPS	United Nations Office for Project Services



INTRODUCTION

The GEF SGP and the Country Programme Strategy

The Global Environment Facility Small Grants Programme (GEF SGP) was established in 1992 as a corporate programme of the GEF. It is implemented by the United Nations Development Programme (UNDP) and executed by the United Nations Office for Project Services (UNOPS), on behalf of the GEF partnership. Since 1992, the GEF SGP has funded over 15,000 projects in 124 countries in the five GEF Focal Areas of *Biodiversity Conservation, Climate Change Mitigation, Protection of International Waters, Prevention of Land Degradation & Sustainable Forestry, and Chemicals which include the Elimination of Persistent Organic Pollutants*. The GEF SGP funds projects only through Civil Society Organisations (CSOs) with an emphasis on the poor and marginalised groups, and communities. The programme's objectives are to achieve environmental sustainability, reduce poverty and build capacity.

To achieve its global mission of addressing global environmental problems at the community level, SGP has pledged to work in a *decentralised, transparent, participatory, inclusive, efficient, flexible and cost effective manner*, and to create partnerships with Government, the private sector, donors and groups with a similar mission. This translates into being responsive, proactive and working with communities to address global environmental problems through initiatives that cumulatively and synergistically create positive impacts in the environment and for communities. SGP is country driven and most project decisions are made by the National Steering Committee (NSC), which is a volunteer group of nationals representing the CSO sector (in the majority), Government, the private sector, and academia.

SGP uses the Country Programme Strategy (CPS) to focus and to achieve impacts in a dynamic environment of competing needs which are championed by many different stakeholders with varying agendas. The CPS is the primary document which clearly articulates the platform for programming in each country. It is a guide to programme and project development, lays the basis for project implementation, monitoring and evaluation, and is a vehicle for developing and maintaining a results oriented, knowledge driven programme over an operational programme period which is usually 3 to 4 years.

During this programme period (2011- 2014), Saint Lucia has a total of US\$2 million available of grant funds which shall be disbursed through Planning Grants (up to US\$5,000), Full Grants (up to US\$50,000) and through a Special Projects Window (up to US\$150,000). CSOs will be invited to apply for grants which fall within the defined priority areas for Saint Lucia as stated in this strategy.



EXECUTIVE SUMMARY

The Purpose: Saint Lucia's Country Programme Strategy (CPS) for the period 2011 to 2014 is both a reactive and a proactive document. That is to say, it responds to the needs of the people and Government of Saint Lucia as articulated in national reports, policies and workshops, and it uses an assertive and get-up and change strategy to address the chronic issue of low capacity and capability of Civil Society Organisations (CSOs). Its aim is to bring about and catalyse positive and measurable changes in the GEF Focal Areas over the next two years, while contributing to poverty reduction and capacity building among CSOs.

The Context: Located in the Eastern Caribbean at 14°N and 61°W, Saint Lucia sits along a subduction zone and within the Atlantic Hurricane Belt, making it highly vulnerable to cyclonic as well as seismic and other associated hazards. This same location which gives it high natural vulnerability, confers a rich and diverse biodiversity with over 1310 species of plants, high endemic rates, a variety of coastal ecosystems which include mangroves, sea grass beds and coral reefs, and makes it a stopping point for migratory species. The island's biodiversity is at such a high level, it has been categorised as a *Conservation Hot Spot* by Conservation International.

The natural vulnerability of the island is exacerbated by many negative environmental impacts which come from land degradation, land and water pollution, overexploitation of species, invasive species and the threats and realities of climate change. Despite efforts to protect and manage the environment, which has resulted in the declaration of over 24 marine reserves, and protection of over 12% of the island's Rain Forest, the environment quality of the island continues to decline at rates which are unacceptable. Factors which compound the adverse impacts on the environment include: (i) insufficient inter and intra agency coordination among Government agencies and other stakeholders; (ii) limited involvement and advocacy of the citizenry; (iii) too few strong developed and/or developing CSOs; (iv) the absence of sustained environmental monitoring; (v) a limited number of skilled personnel; (vi) insufficient and inadequate strategic planning; (vii) the proliferation of studies and reports with few of the recommendations being implemented; (viii) insufficient project and programme monitoring and evaluation as an integral part of knowledge management; (ix) intermittent and discontinuous environmental awareness and education which is frequently not based on research; and (x) inadequate financing for natural resource management. The GEF National Capacity Self-Assessment which was completed for Saint Lucia in 2007¹ confirms a number of these challenges which have existed for several decades.

With a population of 167,123 in 2011, the island also suffers from socio-economic vulnerabilities which include an open economy, low economic growth of less than 1% in 2010/2011, unemployment in excess of 23%, a high poverty rate estimated at 28.8% in 2006, a high homicide rate calculated at 24 per 100,000 in 2010 and already at 17.4 per 100,000 at October 2012, and a labour force in which 53.7% are not certified. These realities combine to make Saint Lucia a highly natural and socio-economically vulnerable SIDS, while survival continue to depend on inflows of Foreign Direct Investment FDI and an increasing national debt which in 2011 had reached 68.5% of GDP.

To help offset these vulnerabilities, Saint Lucia has signed on to several Multi-lateral Environmental Agreements (MEAs), signaling to the World that it is prepared to take remedial measures as a member of the

¹ Government of Saint Lucia (2007) *National Capacity Self-Assessment for Global Environmental Programme – Capacity Development Report: Identification and Prioritisation of Capacity Needs and Elaboration of a National Capacity Building Action Plan*. UNEP GEF



global community of nations. These MEAs include the COB, the UNFCCC, and the UNCCD. The people and Government of Saint Lucia also have a National Environmental Policy and National Environment Management Strategy, which clearly articulates a vision, with principles, a goal and objectives. The vision statement envisions a healthy and productive environment “. . . that guarantees the sustainability of development activities and processes and that contributes fully to human development and to the quality of human life.” (Appendix 1). The GEF SGP takes its mandate from this vision and the objectives from the NEP NEMS which are to: “maintain the diversity of ecosystems, species and genes; maintain and enhance the natural productivity of ecosystems and ecological processes; optimise the contribution of natural and environmental resources to the production and trade of economic goods and services; optimise the contribution of natural and environmental resources to social and cultural development; prevent and mitigate the negative impacts of environmental change and natural disasters; maintain and enhance the contribution of the environment to human health; and fulfill regional and international responsibilities.” GEF SGP over the next two to three years will assist Saint Lucia in meeting several of these objectives.

The Strategy: The CPS strategy for change is based on developing the capacity of CSOs in the GEF Focal Areas of Biodiversity Conservation, Climate Change Mitigation, Land Degradation and Sustainable Forestry, Chemicals, and International Waters, while focusing on environmental sustainability and poverty reduction. There shall be three approaches to capacity development as follows. At the national level, a *National Mentoring System* will be established to help CSOs throughout the project cycle which will be complemented by a *National Environmental Literacy Programme* based on research which moves people from awareness to action. These initiatives will be complemented at the project level by compulsory capacity development project activities. Further, to drive the programme and projects, eight principles have been identified and shall be used to direct and determine their success. They are sustainability; creativity and innovation; participation and inclusiveness; accountability and transparency; equity; respect; learning; and results focused. Additionally, to help address or to catalyse an integrated and holistic approach to areas of high poverty such as Soufriere and Canaries/Anse La Raye, GEF SGP will introduce a Landscape Approach² as a practical and realistic approach to sustainable development at the landscape level.

Using a Results Based Management Approach, GEF SGP in consultation with CSOs and representatives of the GOSL, identified a number of outcomes for each of the ten GEF SGP global objectives and added three cross-cutting themes which are summarised in Table 1 below. All projects will contribute to these Saint Lucian and global outcomes.

Table 1
Saint Lucia Programme Outcomes for GEF SGP OP 5

GEF SGP GLOBAL PROGRAMME OBJECTIVES	SAINT LUCIA'S PROGRAMME OBJECTIVES
Objective 1: Improve sustainability of protected areas and indigenous and community conservation areas through community-based actions	<ul style="list-style-type: none"> Improved Management of protected areas through participatory and livelihood approaches.
Objective 2: Mainstream biodiversity conservation and sustainable use into production landscapes, seascapes and sectors through community initiatives and actions	<ul style="list-style-type: none"> A Landscape Approach used more extensively for the planning and management of selected production landscapes in rural and rural/urban environments.

²

A working definition: A Landscape Approach focuses interventions at a contiguous land and/or sea area which is defined by similar ecological, cultural and socioeconomic characteristics and in which structures, systems and their feedbacks are studied and every effort made to understand them, and in which participatory and collaborative approaches to environmental planning and management are the dominant paradigm.



GEF SGP GLOBAL PROGRAMME OBJECTIVES	SAINT LUCIA'S PROGRAMME OBJECTIVES
Objective 3: Promote the demonstration, development and transfer of low carbon technologies at the community level	<ul style="list-style-type: none"> Alternative energy used more extensively in production systems as well as at the community and domestic levels in Saint Lucia.
Objective 4: Promote and support energy efficient, low carbon transport at the community level	<ul style="list-style-type: none"> Energy efficient transport modes promoted and in use in selected parts of Saint Lucia.
Objective 5: Support the conservation and enhancement of carbon stocks through sustainable management and climate proofing of land use, land use change and forestry	<ul style="list-style-type: none"> Reforestation and agro-forestry more extensively used as a means of protecting carbon stocks in various parts of Saint Lucia.
Objective 6: Maintain or improve flow of agro-ecosystem and forest ecosystem services to sustain livelihoods of local communities	<ul style="list-style-type: none"> Sustainable land management principles in use by communities as a means of protecting ecosystems services.
Objective 7: Reduce pressures at community level from competing land uses (in the wider landscapes)	<ul style="list-style-type: none"> Reduction of pressures in selected areas from competing land uses (in the wider landscapes)
Objective 8: Support transboundary water body management with community-based initiatives	<ul style="list-style-type: none"> Participatory and sustainable transboundary water body management through land based pollution abatement and transboundary cooperation
Objective 9: Promote and support phase out of POPs and chemicals of global concern at community level	<ul style="list-style-type: none"> Significant increase in awareness of chemical pollution and alternatives to agro-chemicals in use.
Objective 10: Enhance and strengthen capacities of CSOs (particularly community-based organizations and those of indigenous peoples) to engage in consultative processes, apply knowledge management to ensure adequate information flows, implement convention guidelines, and monitor and evaluate environmental impacts and trends.	<ul style="list-style-type: none"> Capacities and capabilities of CSOs enhanced and strengthened to engage in consultative processes, apply knowledge management to ensure adequate information flows, implement convention guidelines, and monitor and evaluate environmental impacts and trends.
CROSS-CUTTING THEMES	
Significant increase in Environmental Literacy	<ul style="list-style-type: none"> A larger percentage of publics are aware, are advocates and are taking positive action as collective stewards of the environment.
New micro business opportunities identified and developed	<ul style="list-style-type: none"> Sustainable community enterprises established.
Gender equity promoted and achieved in all projects.	<ul style="list-style-type: none"> Gender equity principles applied and measured for all projects.
Research and development promoted and supported as an integral part of all projects	<ul style="list-style-type: none"> R & D integrated as part of all projects and plays a greater role in promoting a culture of evidence based decision making.

The Indispensable Elements of Sustainability: The Saint Lucia CPS ends with four sub-sections which focus on Monitoring and Evaluation; a Knowledge Management Plan; a Resource Mobilisation Approach; and a focus on Sustainability. Three of the sub-sections contribute to sustainability, with the section on sustainability treating this concept as a never ending process rather than as an end.

Conclusion: This entire CPS will be evaluated towards the end of 2014 to determine its outcomes and impacts and identify the lessons learned in preparation for OP-6.



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1.0 The Context: The island of Saint Lucia is located at 14°N and 61°W within the Caribbean archipelago which stretches from Cuba in the North West to Trinidad in the south-east. It is also situated within Udvardy's Neotropical Realm³ and along a sub-duction zone where the Atlantic Plate is plunging beneath the Caribbean Plate, making the island highly vulnerable to seismic activity. The island is well endowed with biodiversity, with over 1310 species of plants, a high endemism rate, has a variety of coastal ecosystems such as mangroves, sea grass beds and coral reefs, and lies within the Atlantic Flyway Migratory Route for birds. For its biological diversity it has been classified as a *Conservation Hot Spot* by Conservation International⁴. Species and ecosystem diversity however do not in any way negate natural vulnerability, which is determined by location and geology, which in the case of Saint Lucia exposes it to annual hurricanes and other natural hazards such as earthquakes and tsunamis.

The natural vulnerability of the island is exacerbated by the negative environmental impacts which come from land degradation, land and water pollution, overexploitation of species, invasive species⁵, and the threats and realities of climate change. Other factors compounding the adverse impact on the environment include: (i) insufficient inter and intra agency coordination among Government agencies and other stakeholders; (ii) limited involvement and advocacy of the citizenry; (iii) too few strong developed and/or developing CSOs; (iv) the absence of sustained environmental monitoring; (v) a limited number of skilled personnel; (vi) insufficient and inadequate strategic planning; (vii) the proliferation of studies and reports with few of the recommendations being implemented; (viii) insufficient project and programme monitoring and evaluation as an integral part of knowledge management; (ix) intermittent and discontinuous environmental awareness and education which is frequently not based on research; and (x) inadequate financing for natural resource management. The GEF National Capacity Self-Assessment which was completed for Saint Lucia in 2007⁶ confirms a number of these challenges which have existed for several decades.

This plethora of environmental management challenges cannot be over stated, but must be balanced by the many successes achieved in Saint Lucia. The island has a modern history of protected areas management dating back to the early 20th century with the establishment of the Castries Water

³ Udvardy, Miklos D. F. (1975) *A Classification of the Biogeographical Provinces of the World*. Prepared as a Contribution to UNESCO's Man and the Biosphere Programme, Project No. 8; IUCN Occasional Papers No. 18: Switzerland. <http://cmsdata.iucn.org/downloads/udvardy.pdf>³

⁴ <http://www.biodiversityhotspots.org/xp/hotspots/caribbean/Pages/default.aspx>

⁵ Approximately 124 Alien Invasive Species have been listed for Saint Lucia of which 102 are in terrestrial, 6 in marine and 16 in Freshwater ecosystems. Ministry of Agriculture, Lands, Forestry and Fisheries (2012) *Saint Lucia Invasive Species Strategy 2012 – 2021* (Completed and submitted to the Cabinet of Ministers for review and approval)

⁶ Government of Saint Lucia (2007) *National Capacity Self-Assessment for Global Environmental Programme – Capacity Development Report: Identification and Prioritisation of Capacity Needs and Elaboration of a National Capacity Building Action Plan*. UNEP GEF



Works and more recently, the publication of a Systems Plan for Protected Areas⁷ in 1992 and its revision in 2009⁸. There are some 24 marine statutory declared reserves, though several are not managed, 12 – 13% of the island declared as Forest Reserves, and several more proposed protected areas. The island is a pioneer in the Eastern Caribbean for testing and establishing participatory and collaborative natural resource management approaches, has an approved National Environmental Policy with a clear vision, a large number of written policies and statutes which require financing for implementation, and its conservation work was recognized in 2004 when the Pitons Management Area was declared a World Heritage Site, which was followed by the establishment of two Ramsar Sites at Savannes Bay and Mankotè Mangrove. The island also has a regionally and world renowned MPA (Marine Protected Area) in the Soufriere Marine Management Area (SMMA). These achievements however do not in any way mask the social and economic vulnerability of the island and the resource management challenges listed above.

Socio-economic vulnerability comes from an economy which is open and highly dependent on foreign trade and FDI (Foreign Direct Investment) for development projects. The economy is dependent on Tourism, Agriculture and minimal manufacturing, and is subjected to the effects of all global crises. With a population estimated at 167,123 in 2011, the island experienced a negative 0.3% GDP per capita growth between 2010 to 2011, and in that same period an increase in the national debt by 11.6%, a growth in the national debt as a percentage of GDP from 64.8% to 68.5% and a decline in Banana exports by 69.8%⁹. Economic performance also continues to decline due to the adverse impacts on income caused by the effects of Trade Liberalisation policies. To compound this reality, the unemployment is over 23% in 2012, the poverty rate increased from 25.1% to 28.8% of the population between 1995 and 2005/2006, while indigence fell from 7.1% to 1.6% of the population which reflected the growth of programmes targeting the very poor¹⁰. The poorest cohort is between 14 to 24 years old, which represents 37% of the population with women headed households and the youth among the poorest. Spatial poverty varies from one part of the country to another, with the highest levels occurring in descending order as follows: Anse La Raye/Canaries (44.9%); Micoud (43.6%); Soufriere (42.5%); Laborie (42%); and Choiseul (38.4%) (Map1). Finally, two exacerbating and contributing factors to the social and economic vulnerability of the island are a high crime rate which reached 24.5 per 100,000 in 2010 and 17.4 per 100,000 at

⁷ Hudson Leslie, Renard, Yves, and Romulus, Giles (1992) *A System of Protected Areas for Saint Lucia*. Saint Lucia: Saint Lucia National Trust.

⁸ Haffey, David (2009) *A System of Protected Areas in Saint Lucia*. A product of the OECS Protected Areas and Livelihoods Project, funded by GEF through The World Bank and Fond Francais de L'Environnement Mondial (FFEM)

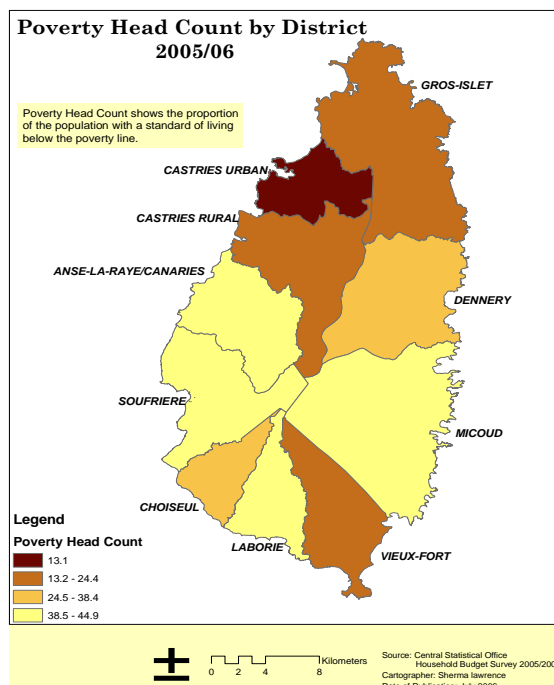
⁹ Government of Saint Lucia (2012) *Economic and Social Review 2011*.

¹⁰ <http://web.stlucia.gov.lc/docs/Economic%20and%20Social%20Review%202011.pdf>

Caribbean Development Bank (2007) *Trade Adjustment and Poverty in Saint Lucia 2005-2006 VOL 1: Main Report*. Prepared by Karie Consultants Ltd in association with The National Assessment Team of Saint Lucia

October 2012, and a labour force in which 53.7% of the population has no form of certification, of which 18.9% has school leaving as the only form of examination¹¹.

MAP 1 – Spatial Poverty in Saint Lucia



Source: CDB (2007) See footnote 6 below.

Saint Lucia's vulnerabilities derive not only from its geology, its latitude, its resource management practises, its human resource capacity and its socio economic profile, but also from the accelerating impacts of climate change. Vulnerability also comes from the twins of over-utilisation of few resources and under-utilisation of many natural resources. The future of Saint Lucia as a viable state will depend on its ability to protect its natural resource base which is the foundation of its economy, its ability to utilise its natural resources sustainably, and the ability of its people to become active stewards of its terrestrial and marine resources.

2.0 SGP's History in Saint Lucia: Saint Lucia joined the SGP programme in 1994 as part of the Barbados and the OECS GEF SGP UNDP sub-regional programme¹². From 1994 to 2004 the investment of GEF SGP in Saint Lucia was slow and minimal with less than five projects being approved. Between 2004 and 2010 there was an increase to 9 projects with a total investment of US\$353,502, which is made up of US\$176,679 from GEF SGP, US\$121,096 in cash co-funding

¹¹ Caribbean Development Bank (2007) *ibid*.

¹² The Barbados and the OECS sub-regional programme in 1994 included Antigua and Barbuda, Barbados, Dominica, Grenada, Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines, and the British Overseas Territories of Anguilla, the BVI and Montserrat. Dominica became a separate country programme in 2005 while the British Overseas Territories were disqualified from receiving GEF funds in December 2005.



and US\$52,728 in in-kind co-funding. The total investment represented a mere 8.9% of the total investment in the sub-region during that period (Table 1). The reason for this comparatively small investment was because of the low capacity of CSOs, the absence of sustained *in situ* assistance to CSOs, and the over dependence of the programme on volunteers.

Table1
Performance of Saint Lucia relative to the other islands
(2004-2010)

Country	Number of Projects	Total Value of Projects	GEF SGP Contribution (US\$)	Co-financing (US\$)	
				Cash	In-kind
Antigua and Barbuda	12	\$804,349.28	\$333,950.00	\$246,737.00	\$223,662.28
Barbados	28	\$1,238,468.59	\$542,483.50	\$254,363.09	\$441,622.00
Grenada	18	\$829,527.05	\$344,489.09	\$114,172.00	\$370,865.96
St. Kitts & Nevis	5	\$268,382.78	\$76,534.85	\$22,337.74	\$169,510.19
St. Lucia	9	\$353,502.00	\$179,678.48	\$121,095.51	\$52,728.01
St. Vincent and the Grenadines	11	\$465,631.04	\$214,006.00	\$77,391.01	\$174,234.03
Associated Counties	2	\$4,923.60	\$2,690.00	\$383.00	\$1,850.60
TOTAL	85	\$3,964,784.34	\$1,693,831.92	\$836,479.35	\$1,434,473.07

Source: Personal Communications from Tracy Phillips – GEF SGP Sub-regional Programme Assistant (September 2012) Based at the UNDP SRO in Barbados.

Notwithstanding this moderate investment, projects in Saint Lucia have demonstrated several lessons which included:

- the importance of participatory decision making in natural resource management processes;
- how to upscale from a community based project to a national and sub-regional project. The Praslin Protected Landscape Project which was funded by GEF SGP was the genesis of the OECS OPAAL Project which began as a Saint Lucia project and was then regionalised with the consensus of Saint Lucia;
- the importance of establishing environmental monitoring systems, particularly water quality testing in marine protected areas;
- the critical importance of collaborative planning and management in SIDS where power differentials between classes are acute;
- the indispensable requirement of understanding the politics of environmental management as a variable in natural resource management; and



- the critical need for sustained environmental education programmes based on research.

In spite of this modest performance and with the lessons learned, GEF SGP Saint Lucia as an autonomous programme is now poised to contribute to a significant improvement in natural resource management in Saint Lucia. It will also enable the country to meet many of its objectives under MEAs, contribute to the achievement of the MDGs, and reduce poverty through the introduction of alternative livelihoods, particularly in rural areas.

3.0 The Policy Framework for GEF SGP Programming: The GEF SGP is established in part to assist countries to meet their international, regional and local obligations and to implement local environmental policies. With the recognition of the importance of the environment by several governments, the country has since 1990 acceded to, signed and/or ratified many MEAs which qualifies it for international assistance and confers on it a shared responsibility for addressing global environmental problems at the national and community levels. As part of the OECS economic grouping, Saint Lucia has also signed on to regional policy statements such as *the St. George's Declaration of Principles for Environmental Sustainability in the OECS* (2001 as revised 2006) [See Appendix 1] which takes its orientation from Agenda 21 and provides sub-regional Governments with a framework for environmental sustainability based on 21 principles (Appendix 1). At the national level there is a plethora of policy documents and environmental statutes, many of which are waiting to be implemented in part or in whole. Table 2 summarises the list of international conventions, as well as sub-regional agreements and national policies, plans and programmes which Saint Lucia is obligated to implement, but is experiencing all kinds of challenges which include low and at times wavering political will, lack of funding and human resource constraints. (See Saint Lucia's NCSA Report, 2007)

Table 2
List of Relevant International Conventions

SCALE	RIO CONVENTIONS, SUB-REGIONAL AGREEMENTS AND NATIONAL POLICIES	DATE OF RATIFICATION or COMPLETION
INTERNATIONAL CONVENTIONS, COMMUNICATIONS AND PLANS.	UN Convention on Biological Diversity (CBD)	28 th July 1993
	CBD National Biodiversity Strategy and Action Plan (NBSAP)	September 2000.
	UN Framework Convention on Climate Change (UNFCCC)	14 th June 1993
	UNFCCC National Communications (1 st and 2 nd)	1 st = 30 th November 2001 2 nd = 19 th April 2012
	UNFCCC Nationally Appropriate Mitigation Actions (NAMA)	To be undertaken
	UN Convention to Combat Desertification (UNCCD)	30 th September 1997
	UN National Action Programmes (NAP)	2008
	Stockholm Convention (SC)	14 th October 2002
	SC National Implementation Plan (NIP)	7 th October 2007
	World Bank Poverty Reduction Strategy Paper	A CDB assessment was



SCALE	RIO CONVENTIONS, SUB-REGIONAL AGREEMENTS AND NATIONAL POLICIES	DATE OF RATIFICATION or COMPLETION
	(PRSP)	produced.
	GEF National Capacity Self Assessment (NCSA)	October 2007
	GEF-5 National Portfolio Formulation Exercise (NPFE)	25 th January 2012
	Strategic Action Plans for Shared International Water-Bodies	In progress
SUB-REGIONAL AGREEMENT	St. George's Declaration of Principles of Environmental Sustainability in the OECS	2001 and revised in 2006
NATIONAL POLICES AND STRATEGIES	National Environment Policy (NEP) and National Environmental Management Strategy (NEMS)	Completed in 2004 and Approved in 2005
	National Land Policy	May 2007
	Saint Lucia National Energy Policy	January 2010
	Coastal Zone Management Policy & Guidelines	2004
	Saint Lucia National Climate Change Policy and Adaptation Plan	2001
	Saint Lucia Invasive Species Strategy (2012 -2021)	To be approved.
	Saint Lucia Protected Areas Systems Plan (revised)	To be approved.
	Saint Lucia National Water Policy	2004
	National Agricultural Policy (2009-2015)	2009

The most comprehensive vision statement for environmental sustainability in Saint Lucia was approved by the Cabinet of Ministers of Saint Lucia in 2005. It summarises the vision and intent for the entire country by integrating the principles of Agenda 21, the St. George's Declaration and the aspirations of the people and their Government. It also identifies a role for all stakeholders. The entire vision statement is presented at Appendix 2 and the objectives are listed in Box 1, and as can be seen, gives GEF SGP its *raison d'être* or mission for working in Saint Lucia. (See Box 1)¹³.

BOX 1

NATIONAL ENVIRONMENTAL OBJECTIVES:

- Maintain the diversity of ecosystems, species and genes.
- Maintain and enhance the natural productivity of ecosystems and ecological processes.
- Optimise the contribution of natural and environmental resources to the production and trade of economic goods and services.
- Optimise the contribution of natural and environmental resources to social and cultural development.
- Prevent and mitigate the negative impacts of environmental change and natural disasters.
- Maintain and enhance the contribution of the environment to human health.
- Fulfil regional and international responsibilities.

¹³

Government of Saint Lucia (2004) *National Environment Policy (NEP) and National Environmental Management Strategy (NEMS) For Saint Lucia*. (Approved by the Cabinet of Ministers in April 2005)



With a bold vision statement and commitment which are supported by a goal, principles, and objectives (See Appendix 2 and 3), GEF SGP will contribute in several ways to their achievement during OP-5. Contributions will include, assisting Saint Lucia in:

- protecting and conserving its natural assets such as biodiversity and their accompanying ecosystems;
- promoting and implementing the principles of sustainability as a core value for all interventions, including the development of alternative livelihoods;
- increasing the number and operational quality of CSOs whose members wish to design and implement environmental and sustainable development projects;
- identifying and developing alternative energy projects at the community level;
- promoting energy conservation practises;
- reducing pollution in the terrestrial and marine environments;
- changing attitudes and behaviour when interacting with the environment;
- promoting research and development;
- integrating monitoring and evaluation as an integral part of all projects and programmes; and
- implementing a dynamic knowledge management framework.

Ultimately, GEF SGP during OP-5 will assist Saint Lucia in meeting its international environmental commitments as well as its sustainable development and national environmental policy objectives, while creating a basis for significant transformation among CSOs in various communities. GEF SGP aims to become a reliable and dependable player in Saint Lucia's pursuit of environmental quality and sustainability.

4.0 SGP Country Programme Niche and Results Framework: The method used to identify the country niche had three basic steps. First there were meetings with officials from the public and private sectors, e.g. the Ministries of Agriculture and Sustainable Development and the Chamber of Commerce and the Bank of Saint Lucia. This was followed by a workshop with representatives from the public sector and CSOs in Saint Lucia, from which came a workshop report¹⁴ which identified a number of priority areas for action. Finally, a large number of reports and policy papers on the environment and sustainable development were read and analysed. The result of this process is presented below as the focus for action in Saint Lucia's country programme for OP-5 (2011-2014).

¹⁴ GEF SGP UNDP Saint Lucia (2012) *Towards the Identification of Programme Priorities for GEF SGP UNDP Saint Lucia for the period 2011-2014*. Workshop held at the University of the West Indies Open Campus, Morne Fortuné, Castries, Saint Lucia on Tuesday 24th July, 2012.



Photo 1: CPS Workshop (2012) – Plenary



Photo 2: CPS Workshop – Working Group

4.1 Strategy for Change: What then will be SGP's overarching Niche for Action and Strategy for Change? A major concern identified during the CPS development phase was the need to develop the capacity of CSOs in Saint Lucia, particularly of those groups from the poorest communities and managed by women and youth. Capacity development was regarded as indispensable to any progress for sustainable development in Saint Lucia. To address this chronic capacity development issue in Saint Lucia in a sustainable manner, SGP will initiate a *National* and a *Project Specific* Approach.

The genesis of this approach comes from our analysis of failed capacity development initiatives which were premised on the following:

- project time periods which are driven by the constraints of agendas and funding cycles;
- activities which do not adequately consider the existing situation of communities and groups;
- the existence of a support system for communities and groups;
- an alienating language which was donor driven and not grounded in the realities of communities; and
- the availability of well trained professionals with the right skills set, attitude and approach to assist throughout the project cycle.

To address these concerns and respond to these false premises, SGP will at the national level create a *National Mentoring System* which will support CSOs throughout the project cycle. This system will have clearly defined guidelines, principles as well as an effective monitoring and evaluation system. Persons will be recruited and trained and assigned to groups based on the results of a capacity/capability assessment.

Along with this national initiative will be the funding of a national Environmental Literacy and Capacity Development Programme aimed at moving various publics from awareness to action and training them in Agenda 21 issues and increasing familiarity with National Policies. This training



will also focus on specific topics such as conflict resolution and management, fund raising, project management, group dynamics, gender sensitivity, environmental ethics, M & E, report writing and documentation. SGP Saint Lucia will explore the feasibility of this training leading to some level of certification from the Sir Arthur Lewis Community College or the University of the West Indies Open Campus.

At the project design stage, after a project concept has been approved, all prospective grantees will go through a capacity/capability development assessment process, intended to determine the capacity level of the group and identify the remedial measures which must be taken to implement a project successfully. All remedial measures will then be costed and included in the project's budget for funding. It is hoped that through SGP staff and the members of the National Mentoring System, groups will build their capacity and if required, find qualified individuals throughout the country that can help them with their challenges. This we hope will herald a new age in the evolution of CSOs in Saint Lucia.

4.1.1 Project Principles: All projects approved should be guided by the following principles which will be communicated to all prospective grantees as part of the information application package and at the project inception workshop or meeting. These principles shall also guide the NSC in its review and approval of projects (See Table 3).

Table 3
Programme and Project Principles for GEF SGP Saint Lucia

PRINCIPLE	EXPLANATION
Sustainability	A core principle which is multi-dimensional and focuses on the present and future. Through this principle we are emphasising ecological, organisational and human capacity and capability, economic, financial, social and cultural sustainability as explained in sub-section 5.4
Creativity and Innovation	GEF SGP investments should catalyse creative thought and cutting-edge thinking and innovation to address environmental problems, challenges and issues. This will require bringing both a scientific, artistic and business approach to problem solving.
Participation and Inclusiveness	Though each of these can be separate principles, they are combined to help focus more on the qualitative than the quantitative dimension. SGP Saint Lucia believes that participation and inclusiveness should always be genuine and not token, but can vary at each stage in the project cycle. In addition, it is strongly believed that participation and inclusiveness are integral to and core drivers of capacity development at the community level.
Accountability and Transparency	These refer to the procedures and systems in place to record all programme and project transactions and progress; to prepare and submit all reports in the shortest time period; and to make available programme and project information when required. Limited and managed transparency will only be accepted in projects where there are issues associated with innovations, patents and copyrights. With GEF SGP however, the grantee is expected to exercise total disclosure.
Equity	Reducing the impediments to accessing GEF SGP resources and benefits



PRINCIPLE	EXPLANATION
	between men, women and young people, and between socio-economic classes.
Respect	Respect for project initiators, implementers, managers, stakeholders and beneficiaries. High regards for traditional knowledge that can be used or built upon to address environmental issues and create new sustainable livelihoods.
Learning	All interventions begin processes during which all lessons learned should be documented and shared with the public, other groups and communities. Learning is a requirement for capacity development and a <i>sine qua non</i> for progress.
Results Focused	All interventions by GEF SGP should bring about or contribute to qualitative and quantitative changes in the quality of the environment and human well being.

4.1.2 Creating Maximum Project Impact: All project ideas which meet the GEF SGP criteria and objectives and the focus for OP-5 will be reviewed, supported and presented to the NSC for a decision by the NC. It must be noted however, that in order to create maximum impact in any geographic area and/or Focal Area, a certain minimum number of projects may be required. With this in mind, SGP Saint Lucia will use a LANDSCAPE APPROACH wherever it is possible and in so doing identify the minimum investment required to create a sustainable impact. This will mean that for every landscape unit identified a problem tree will be created from which the major locus of interventions will be identified. For example, one geographic focus we have selected is the Qualbou Caldera in Soufriere where there is a World Heritage Site (Map 2 and Photo 3), a world renowned MPA and multiple challenges. There SGP proposes to use a LANDSCAPE APPROACH¹⁵ to ensure that integrated planning principles are used in defining and finding solutions. Once completed, such areas can qualify for a grant of up to US\$150,000 through SGP's Special Projects Window. This may also be the preferred approach for parts of the country with the highest poverty rates such as Anse La Raye/Canaries, Micoud, Vieux Fort and Choiseul (See Map 1 page 7).

Base on the social and economic profile of Saint Lucia and the capacity/capability of CSOs, GEF SGP will also use a proactive approach to project development and management and give priority to projects received from the youth and women and other poor and marginalized groups. These sections of the population will be given the most extensive support to identify projects and implement them because of the high poverty rate among them.

4.2 Focal Area Priorities: Tables 4 to10 are a summary of the decisions and the priority areas of focus for Saint Lucia during OP5:

¹⁵

A working definition: A Landscape Approach focuses interventions at a contiguous land and/or sea area which is defined by similar ecological, cultural and socioeconomic characteristics and in which structures, systems and their feedbacks are studied and every effort made to understand them, and in which participatory and collaborative approaches to environmental planning and management are the dominant paradigm.



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Chris Huxley.



Table 4
4.2.1 Biodiversity Conservation - SGP Priority Areas and Results Framework
 (OP 5 project objectives were taken from the GEF SGP OP 5 Programme Document)

SGP PRIORITY NICHE			RESULTS FRAMEWORK			
Op 5 Project Objectives	National Priorities	SGP Priority Areas of Action in Saint Lucia	Outcomes	Indicators	Means of Verification	Activities
Objective 1: Improve sustainability of protected areas and indigenous and community conservation areas through community-based actions	<ul style="list-style-type: none"> • Reduce resource degradation. • Sustainable financing for resource management • Promote alternative livelihoods. • Support derivative livelihoods. • Establishment of protected area in Systems Plan (to be approved). • Greater community involvement in PA Management. • Invasive species control/elimination. 	<ul style="list-style-type: none"> • Effective management of protected areas using participatory approaches. . • Sustainable livelihoods and income in PAs. • Control of Invasive species. 	<ul style="list-style-type: none"> • Improved Management of protected areas through participatory and livelihood approaches. 	<ul style="list-style-type: none"> • Hectares of PA influenced. • Hectares of significant ecosystems with improved conservation status. • No. of protected areas with increased community involvement in management. • Income in PAs/Value of biodiversity products. 	<ul style="list-style-type: none"> • Project reports. • Field surveys. • Project reports and surveys. • Project reports. 	<ul style="list-style-type: none"> • Minimum of 4 projects in four protected areas.
Objective 2: Mainstream biodiversity conservation and sustainable use into production landscapes, seascapes and sectors through community initiatives and actions	<ul style="list-style-type: none"> • Promotion and implementation of integrated development principles. • Promotion and implementation of GAP. • Sustainable use of natural resources. 	<ul style="list-style-type: none"> • Promotion and implementation of a Landscape approach to sustainable agriculture and urban development in rural and urban landscapes. • Protection and management of coastal habitats. 	<ul style="list-style-type: none"> • A Landscape Approach used more extensively for the planning and management of selected production landscapes in rural and rural/urban environments. 	<ul style="list-style-type: none"> • Hectares of landscapes/sea-scapes applying sustainable use practises e.g. GAP. 	<ul style="list-style-type: none"> • Project reports. • Site visit reports. 	<ul style="list-style-type: none"> • At least four projects in separate production landscapes and seascapes.



4.2.2 Climate Change Mitigation: Table 5 summarises the priorities for Saint Lucia during OP 5.

Table 5
Climate Change Mitigation – SGP Priority Niche and Results Framework
(OP 5 project objectives are taken from the GEF SGP OP 5 Programme Document)

SGP PRIORITY NICHE			RESULTS FRAMEWORK			
Op 5 Project Objectives	National Priorities	SGP Priority Areas of Action in Saint Lucia	Outcomes	Indicators	Means of Verification	Activities
Objective 3: Promote the demonstration, development and transfer of low carbon technologies at the community level	<ul style="list-style-type: none"> GOSL supports the development, adaptation and use of all Green Technologies for private sector and domestic use. 	<ul style="list-style-type: none"> Use of alternative energy in production systems at the community level (e.g. agriculture, domestic lightening etc). Introduce biodiesel, wind and waste to heat conversion. 	<ul style="list-style-type: none"> Alternative energy used more extensively in production systems as well as at the community and domestic levels in Saint Lucia. 	<ul style="list-style-type: none"> Tonnes of CO₂ avoided. Number of community members or production systems using alternative energy. 	<ul style="list-style-type: none"> Project reports. 	<ul style="list-style-type: none"> At least four projects.
Objective 4: Promote and support energy efficient, low carbon transport at the community level	<ul style="list-style-type: none"> Alternative transport. Vehicle efficiency use. Energy audits. Urban greening. 	<ul style="list-style-type: none"> Fuel efficiency in the fishing sector (2 strokes to 4 stroke engines). Promotion of Bicycle Riding. Promotion of solar vehicles. More efficient public transport system. Car pooling. 	<ul style="list-style-type: none"> Energy efficient transport modes promoted and in use in selected parts of Saint Lucia. 	<ul style="list-style-type: none"> Tonnes of CO₂ avoided. Low carbon transport practices. Total value of energy, technology and transport service provided. 	<ul style="list-style-type: none"> Project reports. Surveys 	<ul style="list-style-type: none"> At least 4 projects.
Objective 5: Support the conservation and enhancement of carbon stocks through sustainable management and climate proofing of land use, land use change and forestry	<ul style="list-style-type: none"> Reforestation and slope stabilisation. Agroforestry. 	<ul style="list-style-type: none"> Reforestation Agroforestry 	<ul style="list-style-type: none"> Reforestation and agro-forestry more extensively used as a means of protecting carbon stocks in various parts of Saint Lucia. 	<ul style="list-style-type: none"> Hectares of land under improved land use and climate proofing practises. Tonne of CO₂ avoided through improved land management. 	<ul style="list-style-type: none"> Project reports. Site visit reports. 	<ul style="list-style-type: none"> At least 6 projects.



4.2.3 Land Degradation: Table 6 summarises the priorities for Saint Lucia during OP 5.

Table 6

Land Degradation – SGP Priority Niche and Results Framework

(OP 5 project objectives are taken from the GEF SGP OP 5 Programme Document)

SGP PRIORITY NICHE			RESULTS FRAMEWORK			
Op 5 Project Objectives	National Priorities	SGP Priority Areas of Action in Saint Lucia	Outcomes	Indicators	Means of Verification	Activities
Objective 6: Maintain or improve flow of agro-ecosystem and forest ecosystem services to sustain livelihoods of local communities	<ul style="list-style-type: none"> • Forest restoration and rehabilitation. • Slope Stabilisation. • Sustainable Land Cultivation Practices. • Sustainable Production and Harvesting of Timber and Non-Timber Products. 	<ul style="list-style-type: none"> • Animal Waste Management. • Rain Water Harvesting. • Capacity building of Local Communities as it relates to assessment restoration and rehabilitation of Forests Ecosystems and Land Development. • Product Development and Marketing. (Micro enterprise development) 	<ul style="list-style-type: none"> • Sustainable land management principles in use by communities as a means of protecting ecosystems services. 	<ul style="list-style-type: none"> • Hectares of land restored and rehabilitated. • Number of communities demonstrating sustainable land and forest management practices. 	<ul style="list-style-type: none"> • Project reports. • Site visit reports. • Reports from the Ministry of Agriculture. 	<ul style="list-style-type: none"> • A least 10 projects.
Objective 7: Reduce pressures at community level from competing land uses (in the wider landscapes)	<ul style="list-style-type: none"> • Land Use Banks. • Development of community Land Use plans (including zoning) • Capacity building of CSOs 	<ul style="list-style-type: none"> • Establishment of Buffer Zones (Reforestation & Afforestation). • River bank and slope stabilisation. • Capacity development of CSOs. 	<ul style="list-style-type: none"> • Reduction of pressures in selected areas from competing land uses (in the wider landscapes) 	<ul style="list-style-type: none"> • Hectares of land restored and rehabilitated. • Hectares of land applying forest, agricultural and water management practices 	<ul style="list-style-type: none"> • Project reports. • Site visit reports. • Reports from the Ministry of Agriculture 	<ul style="list-style-type: none"> • A least 10 projects.



4.2.4 International Waters: Table 7 summarises the priorities for Saint Lucia during OP 5.

Table 7

International Waters – SGP Priority Niche and Results Framework

(OP 5 project objectives are taken from the GEF SGP OP 5 Programme Document)

SGP PRIORITY NICHE			RESULTS FRAMEWORK			
Op 5 Project Objectives	National Priorities	SGP Priority Areas of Action in Saint Lucia	Outcomes	Indicators	Means of Verification	Activities
Objective 8: Support transboundary water body management with community-based initiatives	<ul style="list-style-type: none"> • Stock assessment of fisheries resources. • Fishing Technology enhancement. • Invasive species management. • Pollution control and reduction from land base sources. • Marine Protected Areas Establishment and Management. 	<ul style="list-style-type: none"> • Land based pollution control • Development of sustainable Livelihood options (FADs) • Improved management of MPAs. • Cooperative management between Saint Lucia and SVG and possibly Martinique. 	<ul style="list-style-type: none"> • Participatory and sustainable transboundary water body management through land based pollution abatement and transboundary cooperation 	<ul style="list-style-type: none"> • Hectares of marine/coastal areas or fishing grounds managed sustainably. • Tonnes of land-based pollution avoided. 	<ul style="list-style-type: none"> • Project Reports. • Reports from various Ministries (Agriculture & Health). 	<ul style="list-style-type: none"> • At least 4 projects.



4.2.5 Chemicals: Table 8 summarises the priorities for Saint Lucia during OP 5.

Table 8

Chemicals – SGP Priority Niche and Results Framework
(OP 5 project objectives are taken from the GEF SGP OP 5 Programme Document)

SGP PRIORITY NICHE			RESULTS FRAMEWORK			
Op 5 Project Objectives	National Priorities	SGP Priority Areas of Action in Saint Lucia	Outcomes	Indicators	Means of Verification	Activities
Objective 9: Promote and support phase out of POPs and chemicals of global concern at community level	<ul style="list-style-type: none"> Reduction in stockpiles Phasing out of HFCs. Promoting HACCP Standards. Capacity Building in GAPs. 	<ul style="list-style-type: none"> Public Awareness and Training. Alternative Organic Pesticides and Technology through demonstration (taking into account sustainability and replicability). Organic farming such as (Urban agriculture; Urban green space. Nutritional Security Square Foot Farming) 	<ul style="list-style-type: none"> Significant increase in awareness of chemical pollution and alternatives to agro-chemicals in use. 	<ul style="list-style-type: none"> Kilograms of harmful chemicals avoided from being used or burnt. 	<ul style="list-style-type: none"> Project reports. Field reports. Reports from Ministry of Agriculture.. 	<ul style="list-style-type: none"> At least four projects.



4.2.6 Capacity Development: Table 9 summarises the priorities for Saint Lucia during OP 5.

Table 9

Capacity Development – SGP Priority Niche and Results Framework

(OP 5 project objectives are taken from the GEF SGP OP 5 Programme Document)

SGP PRIORITY NICHE			RESULTS FRAMEWORK			
Op 5 Project Objectives	National Priorities	SGP Priority Areas of Action in Saint Lucia	Outcomes	Indicators	Means of Verification	Activities
Objective 10: Enhance and strengthen capacities of CSOs (particularly community-based organizations and those of indigenous peoples) to engage in consultative processes, apply knowledge management to ensure adequate information flows, implement convention guidelines, and monitor and evaluate environmental impacts and trends	<ul style="list-style-type: none"> • Great participation of CBOs in sustainable development processes. • Greater awareness and understanding of the RIO-Conventions. • Application of knowledge to address environmental challenges. • More sustainable small business initiative at the community level. • Project development and management. • Group Management. 	<ul style="list-style-type: none"> • Capacity development of CSOs. • Mentoring System Established • Training: <ul style="list-style-type: none"> - Project Development and Management. - Micro Enterprise. - Advocacy. - Environmental Ethics. - Fund raising. - Group Management. - Conflict Resolution and Management. - Documentation - Networking - Knowledge Sharing. • Community based environmental monitoring systems established. 	<ul style="list-style-type: none"> • Capacities and capabilities of CSOs enhanced and strengthened to engage in consultative processes, apply knowledge management to ensure adequate information flows, implement convention guidelines, and monitor and evaluate environmental impacts and trends. 	<ul style="list-style-type: none"> • Number of Community Groups that participated in training. • Number of groups whose capacity has increased. • Number of local and/or national policies influenced. • Number of CSOs formed. 	<ul style="list-style-type: none"> • Project Reports. • Media reports. • Workshop reports • Evaluation reports. • Reports on mentoring system. 	<ul style="list-style-type: none"> • At least 4 major projects for different sections of the island.



4.2.7 Cross Cutting Themes: Table 10 summarises the priorities for Saint Lucia during OP 5.

Table 10

Cross Cutting Themes – SGP Priority Niche and Results Framework

SGP PRIORITY NICHE			RESULTS FRAMEWORK			
Op 5 Project Objectives	National Priorities	SGP Priority Areas of Action in Saint Lucia	Outcomes	Indicators	Means of Verification	Activities
Significant increase in Environmental Literacy	<ul style="list-style-type: none"> NCSA priority Sustained Environmental Awareness and Education programmes. 	<ul style="list-style-type: none"> A sustained National Environmental Awareness Programme (3 yr programme). Environmental Literacy as part of all approved projects. Environmental Literacy based on research and monitoring and evaluation. 	<ul style="list-style-type: none"> A larger percentage of publics are aware, are advocates and are taking positive action as collective stewards of the environment. 	<ul style="list-style-type: none"> Number of environmental literacy programmes implemented. Number of media reports & Contents. Degree to which environmental issues are mainstreamed in public discourse. 	<ul style="list-style-type: none"> Project reports. Media reports and contents. Survey 	<ul style="list-style-type: none"> At least four national stand alone projects. All projects approved.
New micro business opportunities identified and developed	<ul style="list-style-type: none"> Sustainable micro enterprises established at the community level (national economic and sustainable development policies) 	<ul style="list-style-type: none"> Micro enterprise developed and supported at the community level. 	<ul style="list-style-type: none"> Sustainable community enterprises established. 	<ul style="list-style-type: none"> Number of enterprises established. Number of persons employed (men and women). Total income generated. 	<ul style="list-style-type: none"> Project Reports. 	<ul style="list-style-type: none"> For all projects as required.
Gender equity promoted and achieved in all projects.	<ul style="list-style-type: none"> Gender equity (MDG 3) 	<ul style="list-style-type: none"> Gender equity in all projects. 	<ul style="list-style-type: none"> Gender equity principles applied and measured for all projects. 	<ul style="list-style-type: none"> % of project participant and beneficiaries which are men or women. Amount of benefits to men 	<ul style="list-style-type: none"> Project Reports. 	<ul style="list-style-type: none"> For all projects as required.



SGP PRIORITY NICHE			RESULTS FRAMEWORK			
Op 5 Project Objectives	National Priorities	SGP Priority Areas of Action in Saint Lucia	Outcomes	Indicators	Means of Verification	Activities
				and women. • % of youth engages in projects and receiving benefits (boys and girls)		
Research and development promoted and supported as an integral part of all projects	• Not clearly articulated, but expressed as a need by all Government technocrats.	• Promotion and funding of R & D as part of projects or independently if directly linked to policy change, environmental protection and resource management.	• R & D integrated as part of all projects and plays a greater role in promoting a culture of evidence based decision making.	• Published results	• Project reports and R & D reports	• Part of all projects as deemed necessary.



5.0 The Indispensable Elements of Sustainability: This section of the strategy ends with an explanation of what constitutes sustainability, but before explains the three fundamental elements of sustainability, i.e., monitoring and evaluation, knowledge management and resource mobilization.

5.1 Monitoring and Evaluation: M and E are the basis for all results oriented programme and indispensable to learning and knowledge creation. In a world of constant change where we are making the road while walking, effective M & E is the only way to determine if a planned destination is certain.

GEF SGP Saint Lucia will undertake M & E at two levels, the project and the programme levels. At the project level, all projects will begin with a determination and understanding of the baseline. Baselines will be ascertained on a project by project level in the case of new projects or will refer to the baseline for each geographic area where a Landscape Approach is used. In addition, each project will identify clear variables for monitoring and reporting on and the manner for documenting results. Participatory M & E shall be an integral part of all Project Inception Workshops and part of all capacity development initiatives. Comparatively, each project shall have a minimum of two evaluations depending on its duration and its complexity. To undertake M & E, all projects shall allocate a minimum of 10% of their budget towards designing and implementing an M & E plan. Table 11 is a summary of the mandatory activities and broad timeframes for all projects.

Table 11

M & E Plan at the Project Level

M&E Activity	Responsible Parties	Timeframe
Participatory Project Monitoring	Grantees	Duration of project
Baseline Data Collection ¹⁶	Grantees, NC	At project concept planning and proposal stage
Two or Three Project Progress and Financial Reports <i>(depending on agreed disbursement schedule)</i>	Grantees, NC, PA	At each disbursement request
Project Workplans	Grantees, NC, PA	Duration of project

¹⁶ Capacity-development workshops and M&E trainings may be organized in relation to innovative techniques for community monitoring, including new technologies (i.e. GPS-enabled cameras, aerial photos, participatory GIS, etc.); as well as in response to guidelines for “climate proofing” of GEF focal area interventions; REDD+ standards; and/or other specific donor/co-financing requirements. Source: *GEF SGP CPS template document*.



M&E Activity	Responsible Parties	Timeframe
NC Project Proposal Site Visit (as necessary / cost effective ¹⁷)	NC	Before project approval, as appropriate
NC Project Monitoring Site Visit (as necessary / cost effective)	NC	On average once per year, as appropriate
NC Project Evaluation Site Visit (as necessary / cost effective)	NC	At end of project, as appropriate
Project Final Report	Grantees	Following completion of project activities
Project Evaluation Report (as necessary / cost effective)	NC, NSC, External party	Following completion of project activities
Prepare project description to be incorporated into global project database	PA, NC	At start of project, and ongoing as appropriate

At the programme level, M & E shall take place as required by the NC and the NSC, and as required by the GEF SGP guidelines. (See Table 12).

Table 12

M & E Plan at the Programme Level

M&E Activity	Responsible Parties	Timeframe
Country Programme Strategy Review	NSC, NC, CPMT	Start of OP5 & annually.
Strategic Country Portfolio Review	NSC, NC	Once during OP5
NSC Meetings	NSC, NC, UNDP CO	Minimum twice per year
Performance and Results Assessment (PRA) of NC Performance	NC, NSC, UNDP CO, CPMT, UNOPS	Once per year
Country Programme Review resulting in Annual Country Report ¹⁸	NC presenting to NSC and CPMT	Once per year

¹⁷ To ensure cost-effectiveness, project level M&E activities, including project site visits, will be conducted on a discretionary basis, based on internally assessed criteria including (but not limited to) project size and complexity, potential and realized risks, and security parameters. Source: *GEF SGP CPS template document*.

¹⁸ The annual Country Programme Review exercise should be carried out in consultation with the national Rio Convention focal points and the associated reporting requirements.



M&E Activity	Responsible Parties	Timeframe
Financial 4-in-1 Report	NC/PA, UNOPS	Quarterly

The information produced from various M & E sessions will be compiled into an M & E excel spreadsheet for analysis and synthesis. SGP Saint Lucia will use the results and the knowledge gained to train CSOs, to influence policy and for periodic publications for large scale distribution. Individual project information will be aggregated at the project level (i.e. similar projects or projects dealing with the same ecosystems) and at the Focal Area Level from which lessons will be distilled. There will also be analysis of project information at the programmatic level for publications.

5.2 Knowledge Management (KM) Plan¹⁹: All project interventions create data which when carefully analysed and synthesized can produce knowledge which can be useful in the short, medium and long term. KM is a critical part of SGP's results oriented approach and is based on three premises as follows:

- every project intervention creates information and knowledge which should be documented;
- information and knowledge that is hidden or not shared is useless and will be lost over time; and
- knowledge creation is about learning and cumulative change and therefore should be used to influence policy, attitude and behaviours, and future project interventions.

GEF SGP Saint Lucia will conceptually approach KM as a Spiral with several critical components or stages, all of which are integral to a KM Plan. The components of a KM plan are therefore as follows:

- Data/Information: comes from project implementation and observation.
- Documentation: careful documentation in a manner which allows for analysis later.
- Storage: store away for use later
- Retrieval: easy access of data for analysis.
- Analysis: aggregating, interpreting, comparing, and supplementing information from other sources to aid in understanding.
- Synthesis: Arriving at conclusions based on the analysis.
- Knowledge: Conclusions which adds to understanding or changes understanding.
- Dissemination: Using the knowledge created to change policy, attitudes and behaviours and to build strong partnerships.

¹⁹

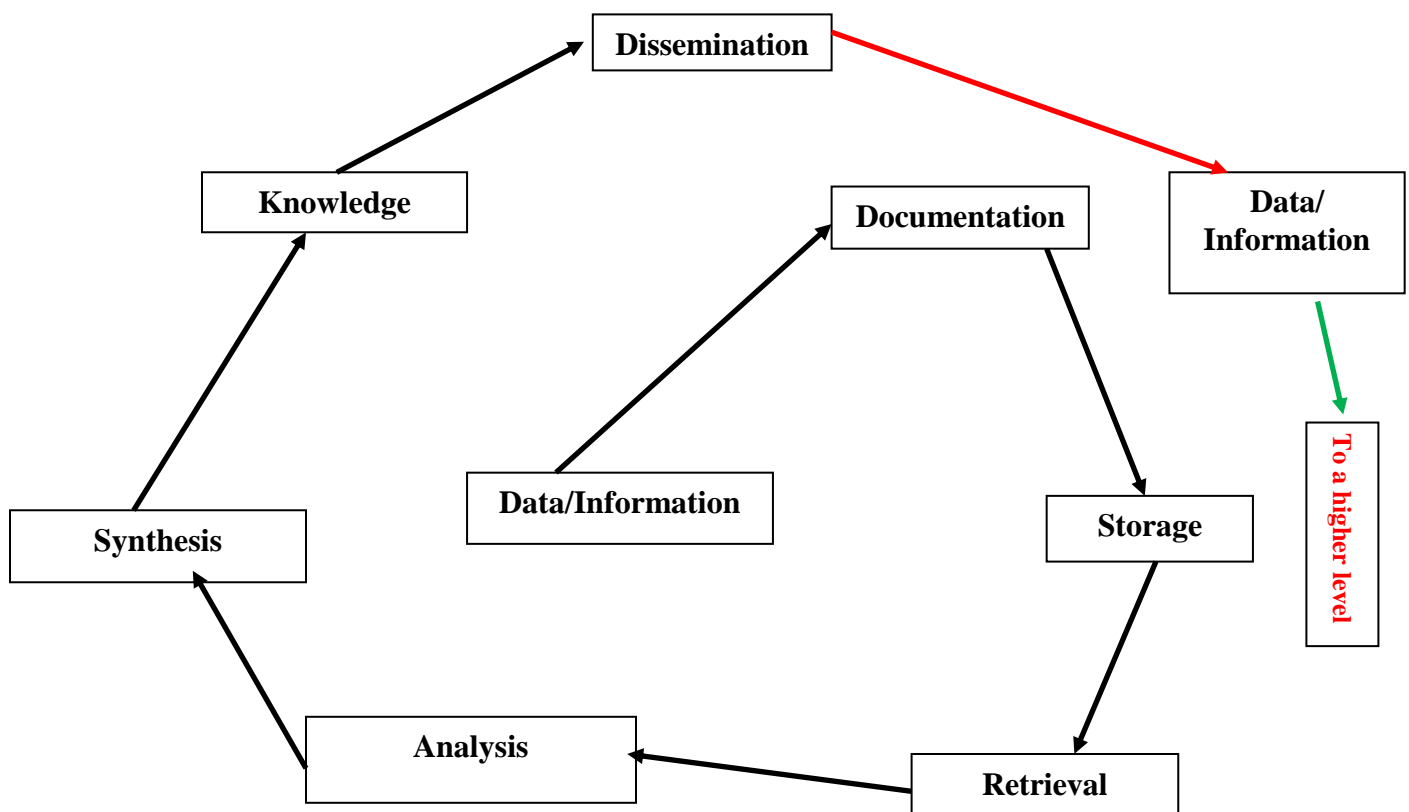
Source: Adapted from the *Saint Lucia Country Programme Strategy 2007-2010* Prepared by Giles Romulus

- **Data/Information:** Knowledge created becomes data or the basis for another iteration at a higher level. A Spiral of Change.

Figure 1 summarises the major components of the SGP Saint Lucia KM approach.

Fig. 1

The KM Spiral



Operationalisation of this concept will occur at the project level and the country programme level. At the project level, all grantees will be taught to handle all the various stages of the KM approach and then to use the knowledge to target various publics such as policy makers, resource users, and the general public. Table 13 illustrates how this will be implemented.

Table 13

Components of a KM Strategy

OBJECTIVES	TARGET GROUP	KNOWLEDGE PRODUCTS	DISSEMINATION STRATEGY	MONITORING		EVALUATION
				Indicators	Means of Verification	
<ul style="list-style-type: none"> To change or influence policy. 	<ul style="list-style-type: none"> Decision Makers/ Takers 	<ul style="list-style-type: none"> Succinct proposals. Letters DVD Discussion papers News Releases Cultural products e.g. shows, concerts 	<ul style="list-style-type: none"> Site visits. Make the Prime Minister or another Minister the champion. Media Discussions Advocacy. Knowledge Fairs 	<ul style="list-style-type: none"> Responses State of the policy (has it changed? has it been introduced?) 	<ul style="list-style-type: none"> Public Statements of commitment. Action taken. 	<ul style="list-style-type: none"> Impact of the policy or change.
<ul style="list-style-type: none"> To change the ways in which resource users interact with nature. 	<ul style="list-style-type: none"> Resource Users 	<ul style="list-style-type: none"> DVDs Simple how to instructions. Results Testimonials 	<ul style="list-style-type: none"> Knowledge Fairs Learning Attachments In situ discussions TV Programmes Establish knowledge centres of excellence. 	<ul style="list-style-type: none"> No. of changes observed. 	<ul style="list-style-type: none"> Field reports 	<ul style="list-style-type: none"> Impact of changes over time.
<ul style="list-style-type: none"> To inform the public and advocate for change. 	<ul style="list-style-type: none"> General public. 	<ul style="list-style-type: none"> Media releases. DVDs Published results. Discussion Papers Published Testimonials 	<ul style="list-style-type: none"> Live Media Phone-In programmes. Published news releases. Knowledge Fairs Site visits School presentations 	<ul style="list-style-type: none"> Level of support received. 	<ul style="list-style-type: none"> Reports 	<ul style="list-style-type: none"> Impact of support.

5.3 Resource Mobilisation (RM)²⁰: Resource mobilisation is indispensable for the continued survival of the SGP programme in any country and is a basic requirement to help SGP in meeting the 1:1 co-financing ratio required by the GEF Council. The main objectives of this CPS resource mobilisation strategy shall be to:

- cover the cost of project activities not fully funded by the SGP, as in the case of alternative livelihoods components;
- cover part of the administrative and operational costs associated with managing the programme in Saint Lucia;
- develop projects at scales which will ensure their viability and sustainability; and

²⁰

Source: Adapted from the *Saint Lucia Country Programme Strategy 2007-2010* Prepared by Giles Romulus



- meet the project and programme co-financing ratios as required by the GEF regulations.

RM should result in *Cash and/or In-Kind* contributions and take place at three levels targeting the GOSL and its various Ministries, the Private Sector, Bi-lateral and Multilateral donors and where possible, wealthy persons living in the country. The three levels of RM are:

- *The Project Level:* it is expected that every project proponent shall raise at least 50% of the project budget (in-kind and in-cash) and provide evidence to that effect. All projects should have at minimum in-kind co-funding and those exclusively with in-kind co-funding shall be determined by the NC and the NSC.
- *The Country Programme Level:* Once completed, the CPS shall serve as a basis for raising funds over its three-year life span. This task shall be the direct responsibility of the NC with assistance from the NSC.
- *The Sub-regional and International Levels:* The CPS shall serve as the basis for RM at the sub-regional and international levels. This task shall be the direct responsibility of the NC with assistance from the NSC and CPMT.

Successful RM strategies are context specific and cannot be generalised as each potential donor has different requirements. There are however a menu of general guidelines which can be adapted to various contexts, all of which are in one way or the other linked to the credibility of the programme. These guidelines include:

- *Effective Promotions of SGP:* Using various media forms to promote the SGP in the country and to disseminate the Lessons Learned from projects.
- *Knowledge of the Donor:* Developing an information database on the donor which answers such questions as the donor's programme focus; their requirements and preferences; and their project approval cycle. Cultivating a relationship with the donor is also indispensable for future funding prospects and this frequently requires an investment of time and patience. Very importantly, one must ensure that the donor is not involved in projects or programmes that contradict the principles and values of the SGP.
- *Knowledge of Organisation:* Knowing the strengths of the organisation and not misrepresenting its achievements and capabilities. Honesty is usually the best approach as misleading the donor is guaranteed to sully reputations, as donors talk to each other.
- *Effective Management of the Funds:* Ensuring that there is transparency and accountability for the funds and that all reporting requirements are met in a



timely manner. Reporting requirements are to stakeholders, the community, donors and in many cases a report to the appropriate Ministry of Government is recommended for strategic and information reasons. It is also necessary to ensure that all commitments made during negotiations are kept.

- *Covering the Administration Cost:* Receiving a grant is one successful step in a two step process which includes the management of the funds and the project activities. If a grant will add responsibilities to a CSO or SGP which are beyond the capacity of its volunteers and/or staff, it is wise to negotiate for sufficient funds to cover in full or in part the administration and operational cost. If this is not done, successful project implementation will be in jeopardy from inception.
- *SGP Regulations:* Using SGP rules and regulations to avoid problems, in particular the “dos” and “don’ts”; the legal instruments; and the formulas used to calculate in-kind contributions from donors. These are all critical requirements to ensure that an initiative is fundable and has a high probability of being successful.
- *Monitoring and Evaluation:* It is a requirement that a monitoring programme on RM be established for Saint Lucia which could include a registry of funding sources, documenting successes, failures and lessons learned. It is also necessary that there be an annual evaluation of the RM programme to identify lessons learned and share at the national and community levels.

Finally, clarity of message is also a critical part of every RM strategy and time and resources need to be spent on that area in order to avoid confusion and misinterpretations. The strategy of GEF SGP Saint Lucia will be to explore all legitimate avenues of funding.

5.4 Sustainability Strategy²¹: The litmus test for the sustainability of SGP’s programme or a project is the level and durability of results, particularly the outcomes and impacts, and whether the project or programme was the basis and/or catalyst for replication or upscaling. Sustainability by its very nature is a multi-dimensional concept, which covers several areas which include the following:

- *Environmental Sustainability (ES):* The long term impact of the project or programme on the ecosystems and ecological processes and the GEF Focal Areas.
- *Organisational Sustainability (OS):* The capacity and capability of the organisation to implement the project and to improve its capacity to manage future projects. Management considerations such as vision, mission, human

²¹

Source: Adapted from the *Saint Lucia Country Programme Strategy 2007-2010* Prepared by Giles Romulus



resources, structure, systems and income or profits are critical to OS. An important element is the nature of the organisation, i.e., is it static or dynamic or has it become a learning organisation. Finally, the enabling environment for the operations of the organisation or the institutional setting, is considered a major element of OS.

- *Financial Sustainability (FS):* The financial viability of a product or a service developed to generate a surplus need to be established prior to approval of funding for its development. That means the principles and practice of small business enterprise should be integrated into projects. Frequently, FS is not sufficiently considered and assessed in environmental and sustainable development projects and programmes. Recurrent cost coverage is an integral part of FS.
- *Socio-Cultural Sustainability (SCS):* This is perhaps the least considered in the debate on sustainability. SCS refers to the sensitivity of a project or a programme to the social and cultural values of a country or a community. It is within their reality that a motivated community or a population is born. SCS serves as the basis for ES, OS, and FS.

Sustainability will be the essential test for a successful Saint Lucia SGP programme and shall in addition to ES, OS, FS, and SCS incorporate such factors as:

- *Country Priorities:* The extent to which the CPS helps in meeting the national priorities of the people and GOSL as articulated in various policy documents.
- *Genuine Partnerships:* The extent to which grantees can nurture genuine partnerships among themselves, with the GOSL, the private sector, and donors.
- *Networking:* The extent to which the grantee and SGP can create a network of support and sharing among grantees, the Government and other stakeholders.
- *Level of Asset Control and/or Management:* In the case of land, the extent to which the land is legally owned or managed by the grantee and in the case of leases and rental agreements, the duration of time. This factor can easily cause a project to fail. Legal agreements are usually necessary to ensure long – term sustainability.
- *Level of RM:* The success of RM for project and programme implementation and management.
- *Quality of Human Resources:* The human resource capacity of CSOs and the



SGP programme at the country level. The level of volunteerism is also an important factor. This factor is among the most important as it has a direct relationship to OS, FS and project implementation.

To ensure the sustainability of the Saint Lucia SGP programme, all projects shall be subjected to the Sustainability Test of ES, OS, FS, and SCS to determine their probability of success. This shall be the responsibility of the NC and the NSC.

6.0 Conclusion: The GEF SGP presents this strategy as a contribution to achieving a healthy, productive and sustainable environment, which is indispensable for the well being of all Saint Lucians. In keeping with SGP's Results Based Approach, the entire strategy will be evaluated as a precursor to the 6th Operational Period of the GEF which is scheduled to commence in 2015.



APPENDIX 1

PRINCIPLES

ST.GEORGE'S DECLARATION OF PRINCIPLES OF ENVIRONMENTAL SUSTAINABILITY IN THE OECS

PRINCIPLES	DESCRIPTION
1	Foster Improvement in the Quality of Life.
2	Integrate Social, Economic and Environmental Considerations into National Development Policies, Plans and Programmes.
3	Improve on Legal and Institutional Frameworks.
4	Ensure Meaningful Participation by Civil Society in Decision Making.
5	Ensure Meaningful Participation by the Private Sector
6	Use Economic Instruments for Sustainable Environmental Management
7	Foster Broad-based Environmental Education, Training and Awareness.
8	Address the Causes and Impacts of Climate Change
9	Prevent and Manage the Causes and Impacts of Disasters
10	Prevent and Control Pollution and Manage Waste
11	Ensure the sustainable use of Natural Resources
12	Protect Cultural and Natural Heritage
13	Protect and Conserve Biological Diversity
14	Recognise Relationships between Trade and the Environment
15	Promote Co-operation in Science and Technology
16	Manage and Conserve Energy
17	Negotiate and Implement Multilateral Environmental Agreements
18	Co-ordinate Assistance from the International Donor Community towards the Organisation of Eastern Caribbean States Region
19	Implementation and Monitoring
20	Obligations of Member States
21	Review



APPENDIX 2

VISION STATEMENT FOR ENVIRONMENTAL SUSTAINABILITY IN SAINT LUCIA

The Government and People of Saint Lucia envision a healthy and productive environment that guarantees the sustainability of development activities and processes and that contributes fully to human development and to the quality of human life. In this vision, poverty will be eliminated, and the environmental causes of poverty, such as inadequate land use, poor sanitation and inequitable access to natural resources, will be effectively addressed. At the same time, all main threats to human health and safety will be eliminated, and mechanisms will be in place to cope with new and emerging risks and to manage the different types of wastes and the various sources of contamination generated from within and outside the country.

While the economic and social benefits of environmental management will be recognised, nature and the environment will also be respected for their intrinsic value, and for their place within the national patrimony. In this vision, there will be fair and equitable opportunities for people to access and use natural and environmental resources for social, economic and cultural benefits. The environment and the way it is perceived, used and managed will contribute to cultural identity and social cohesion at the local and national levels.

In this vision, all people and institutions will be aware and will have a good understanding of environmental issues, making them conscious and ready to demand, as well as to play a part in, environmental conservation and management. In accordance with Principles 3, 4 and 5 of The St. George's Declaration, rights and responsibilities in environmental management will be distributed among all sectors of society, including the state, the private sector, non-governmental and community organisations, communities, and individual households. In particular:

- the public sector will be efficient and effective, providing overall guidance to the processes of environmental management as well as specific resources and services in relevant areas;*
- there will be a strong sense of corporate social and environmental responsibility, with businesses and private sector bodies playing a part in the regulation of market forces and in the management of the environment;*
- people and communities will be empowered and involved in all relevant aspects and institutions of governance, particularly for the management of the environment;*
- some of the responsibilities for environmental management will be shared with other nations, through relevant regional and international institutions and instruments;*
- there will be genuine international cooperation in environmental cooperation in environmental affairs, and external partners will assume their responsibility for environmental management at the global, regional, national and local levels.*

In its quest for environmental quality and sustainability, Saint Lucia will fully assume its global and regional responsibility, especially for the joint management of resources, landscapes and environments that are shared with other countries, either in ecological terms, or on the basis of the and historical cultural relationships.



APPENDIX 3

PRINCIPLES, GOAL AND OBJECTIVES OF SAINT LUCIA'S NATIONAL ENVIRONMENTAL POLICY

PRINCIPLES:

- **Rights:** all citizens, including those of future generations, have the right to a clean, healthy, safe and productive environment. The actions and behaviour of people and institutions must respect these rights.
- **Equity:** the rights of all citizens must be recognised, and opportunities to access environmental resources and to derive benefits from these resources must be equitable, without any discrimination on the basis of age, sex, race, religion or ability.
- **Stewardship:** all citizens and institutions should feel a sense of responsibility, and there should be a fair sharing of rights and authority among the state, civil society, individuals and the private sector. All stakeholders must recognise that they have a part to play in the processes of environmental management.
- **Leadership:** it is the responsibility of the state to establish and manage a policy framework for environmental management, and government must therefore assume and retain a leadership role in policy formulation and implementation.
- **Accountability and transparency:** it is also the responsibility of the state to ensure that there is fairness, transparency and accountability in the formulation, adoption and implementation of all public policy, including national environmental policy.
- **Collaboration and participation:** public policy must promote the participation of stakeholders, facilitate the development of collaboration and partnerships among relevant actors, and encourage community involvement in management whenever desirable and practical. Voluntary compliance must be promoted and encouraged to the maximum extent possible.
- **Enforcement:** at the same time, laws and regulations must be effectively and efficiently enforced, conflicts and crises must be fairly resolved and arbitrated whenever they arise, and the procedures and processes of enforcement must be properly coordinated.
- **Legitimacy:** enforcement measures should be acceptable to and accepted by all stakeholders, thanks to the fairness and transparency of decisions and to stakeholder participation in policy formulation and decision-making.
- **Efficiency:** organisations and processes of environmental management must be fully effective and efficient, with streamlined and integrated systems and procedures.
- **Capacity-building:** all social partners must be capable of participating in environmental management, and must therefore develop their human and technical resource capacity through training, organisational development, resource mobilisation and technical assistance.
- **Coordination and integration:** there is a need for proper co-ordination among all actors, and policy objectives and instruments must remain coherent, compatible and mutually reinforcing.
- **Precaution:** whenever necessary, the precautionary principle must be applied and followed, i.e. the decision not to proceed with significant changes in resource use in the absence of an adequate assessment of the potential impacts of these changes.
- **Provision of incentives and disincentives:** whenever applicable, financial and other economic instruments can be used to promote sustainable activities and patterns of resource utilisation.
- **Diversity:** public policy should make use of a wide range of instruments, using them creatively and effectively, and recognising the value of both formal and informal measures and mechanisms.
- **Public awareness:** effective environmental management requires an educated public, aware of issues and their causes, and informed of needs and requirements.
- **Knowledge:** environmental management must be based on sound research and information, with appropriate monitoring of issues, trends and impacts.

OBJECTIVES:



- Maintain the diversity of ecosystems, species and genes.
- Maintain and enhance the natural productivity of ecosystems and ecological processes.
- Optimise the contribution of natural and environmental resources to the production and trade of economic goods and services.
- Optimise the contribution of natural and environmental resources to social and cultural development.
- Prevent and mitigate the negative impacts of environmental change and natural disasters.
- Maintain and enhance the contribution of the environment to human health.
- Fulfil regional and international responsibilities.