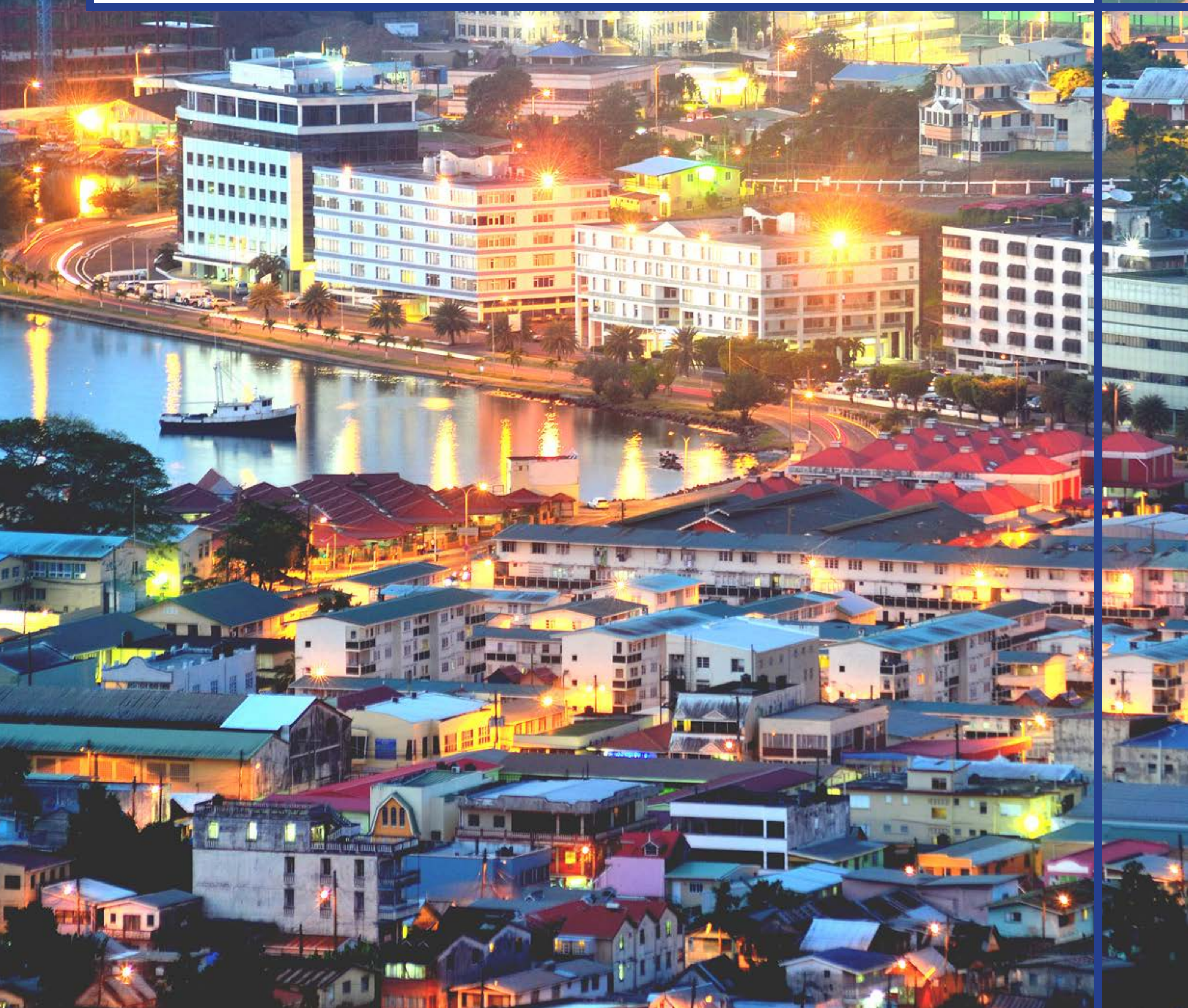
Saint Lucia's Climate Financing Strategy

Under the National Adaptation Planning Process

August 2020



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About the NAP Global Network

The NAP Global Network was created in 2014 to support developing countries in advancing their NAP processes and help accelerate adaptation efforts around the world. To achieve this, the Network facilitates sustained South-South peer learning and exchange, supports national-level action on NAP development and implementation, and enhances bilateral support for adaptation and climate-sensitive sectors through donor coordination. The Network's members include participants from more than 135 countries involved in developing and implementing National Adaptation Plans, as well as 11 donor members. Financial support for the Network has been provided by Austria, Canada, Germany, and the United States. The Secretariat is hosted by the International Institute for Sustainable Development (IISD). For more information, visit www.napglobalnetwork.org.

NAP Global Network

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

Gift of the United States Government

Implemented by: IISD International Institute for Sustainable Development

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In collaboration with CLIMATE ANALYTICS

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Foreword

Saint Lucia's National Adaptation Plan (NAP) has been defined as a 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, renamed resilient ecosystems (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 (DSD), 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 supporting efforts to positively influence thinking, mould outcomes, change behaviour and instigate action across the populace and 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

In continued efforts under the national adaptation planning process, several additional supplements have been developed, including:

- Saint Lucia's Climate Finance Strategy under the national adaptation planning process
- Saint Lucia's Private Sector Engagement Strategy under the national adaptation planning process
- Saint Lucia's Climate Change Research Policy and Strategy under the national adaptation planning process
- Saint Lucia's Resilient Ecosystems Adaptation Strategy and Action Plan 2019–2028
- Saint Lucia's Portfolio of Project Concept Notes for Resilient Ecosystems 2019–2028
- Saint Lucia's 2018 Monitoring and Evaluation Annual Report under the national adaptation planning process

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

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

Support for the development of this Climate Financing Strategy has been provided through the NAP-SP, implemented by the IISD. The Department would like to express its appreciation for this support and recognise the efforts of the consultants of the Climate Analytics, Inc. team—Laetitia de Marez, Paolo Cozzi and Rachel Pham—who helped develop this strategy under the 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 supporting documents. Saint Lucia is prepared to welcome support in the areas of 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.

Executive Summary

Access to finance remains a challenge to the implementation of climate change adaptation actions throughout developing countries. As a small island developing state (SIDS), Saint Lucia is particularly vulnerable to the impacts of climate change and faces specific capacity constraints and circumstances. It is expected to need to mobilise significant international technical and financial resources to address climate change and its impacts. These resources will come in a variety of forms and sources: financial and non-financial; public and private; and national and international.

Sources of NAP Finance

There are many resources available for the financing of climate change adaptation, from multilateral and bilateral public finance to national public finance and private finance. This range of sources can be useful in a variety of aspects of development and implementation of the NAP process (see **Figure ES1**) and includes:

- **Domestic public resources: Adaptation can be—and often has been—funded through a country's own resources, both public and private, in many cases without necessarily being recognised and accounted for as investment in climate change adaptation.**

  According to the International Monetary Fund (IMF), in 2016–2017 Saint Lucia's national budget included investments of XCD 325.9 million (USD 120.3 million), of which XCD 83.8 million (USD 31 million) was directed toward adaptation-related projects, which comes out to roughly 2% of GDP. Maintaining or increasing these levels of investment in adaptation would allow Saint Lucia to make substantial advances in resilience building and help demonstrate the country's own commitment when approaching international partners.

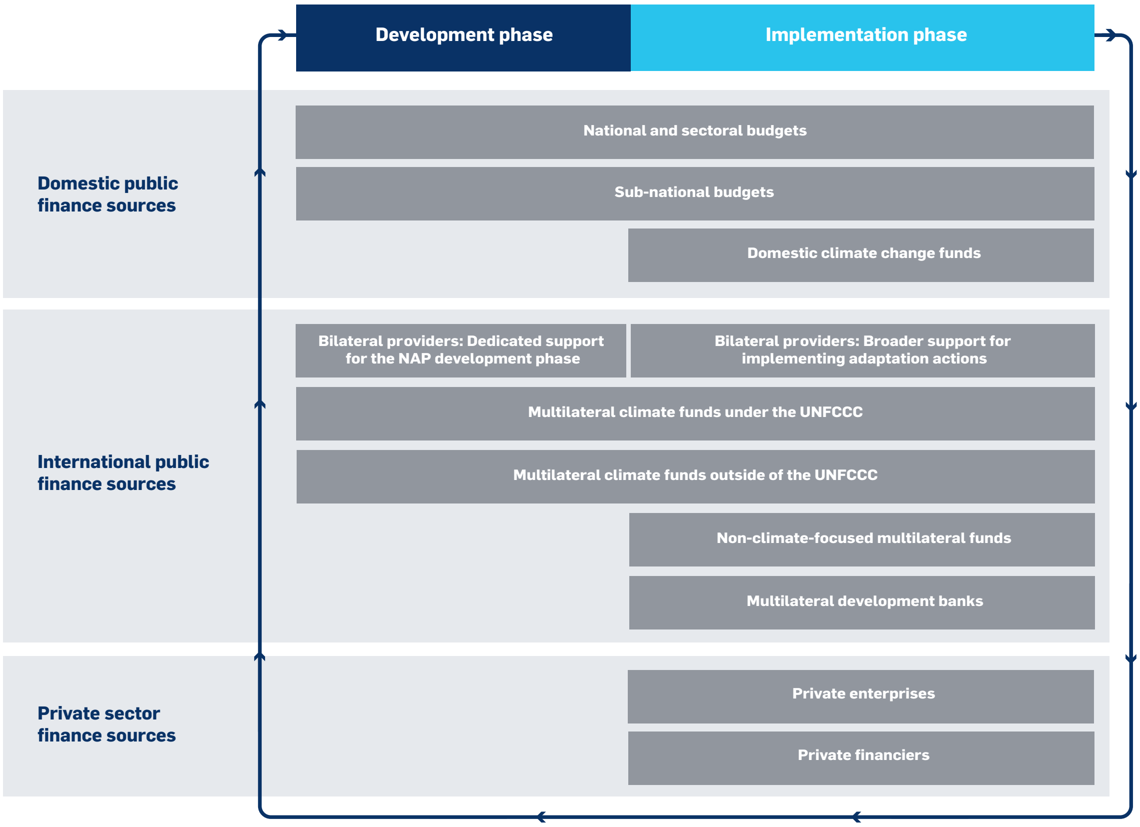
- **International public finance**: There are several international sources of financial and technical support for climate change adaptation. These include large multilateral financing institutions such as the Green Climate Fund (GCF) or the Global Environment Facility (GEF), as well as bilateral programmes that countries manage on their own.

  Saint Lucia has successfully accessed funds from both bilateral and multilateral sources, with its first submitted project approved by the Adaptation Fund in 2019. This project is focused on the agricultural sector and aggregates a number of the initiatives proposed in the SASAPs. Saint Lucia has also successfully engaged with the World Bank's Pilot Programme for Climate Resilience (PPCR), as well as the GCF's readiness programme, among others.

- **Domestic and International Private Finance**: Private financiers and enterprises can make an important contribution to climate change adaptation if adequately engaged by the Government, and if properly incentivised to invest in adaptation, both from a business and a corporate social responsibility perspective.

  The Government of Saint Lucia has prepared a Private Sector Engagement Strategy under its national adaptation planning process. The mapping of private sector actors within Saint Lucia will prove a valuable input into the broader development of a NAP Financing Strategy for Saint Lucia.

Figure ES1. Potential sources of finance for the NAP process



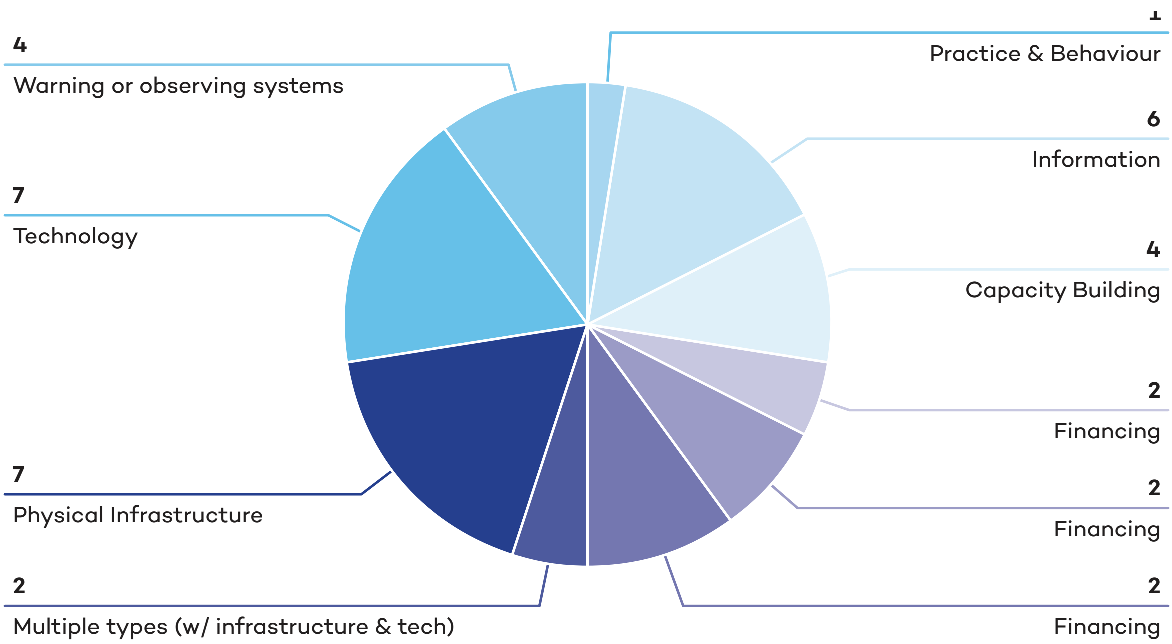
Source: Parry, et al., 2017.

Alignment of Funding Sources With NAP Priorities

Indicative costing has been conducted on an as-needed basis in the development of specific concept notes for the achievement of the NAP objectives. These are included in the SASAPs developed in support of the country's NAP process. **This concept note development process is continuous and ongoing. It is also worth noting that the NAP will not be financed in one single effort, and as such, an iterative process needs to be maintained for developing funding priorities**. The approximate total cost to implement the concept notes thus far developed is estimated at USD 35.4 million. This includes the concept notes developed for the Water, Fisheries and Agriculture SASAPs.

As part of the development of this financing strategy, the SASAP concept notes developed to date were assessed in terms of type and scale. The assessment of type found that just under half of the concept notes considered include "hard" investments, such as efforts to promote the adoption of new technology, build out early warning systems, or construct physical infrastructure. These results can be found in **Figure 2**. These types of projects can be interesting to any number of donors or institutions and will tend to be the types of projects supported by the GCF. The concepts that are not "hard" investments are nevertheless critical components of the NAP. These aspects—including studies, development of new policy initiatives, elaboration of action plans, information and education—are often supported by specific initiatives of larger funds or by bilateral donors such as the European Commission's Global Climate Change Alliance+ (GCCA+).

Figure ES2. 39 SASAP concept notes by type



Source: Author diagram.

Table ES1 shows the distribution of the concept notes by indicative scale of funding required. All but one of the concepts have a total indicative cost of less than USD 10 million. Furthermore, a significant majority of the concept notes with indicative costs (32 out of 39) have projected costs of less than USD 1 million. The concept notes are therefore relatively small from a climate finance perspective, particularly given that USD 10 million is the threshold for the GCF's "micro" project category and is also the upper limit for the requests to the GCF under the Simplified Approval Process. **Depending on the funding source and value, relevant actors should, therefore, continue to look for opportunities to consolidate the lesser small-scale projects into larger programmes and include them in larger concepts that include "hard" investments in order to achieve scale and transformational results**.

Table ES1. Distribution of concept notes by indicative cost

Indicative Cost Range (USD)	Count
0–100,000	8
100,001–250,000	8
250,001–1,000,000	16
1,000,001–10,000,000	6
10,000,001+	1

This strategy further considers the alignment of the strategic objectives of the NAP with a selection of key multilateral climate funds. **Decisions on which funding source to approach for a project will need to occur on a case-by-case basis, depending on the sector, type of activity, scale of the project, desired implementation arrangements and other relevant factors, as appropriate**. However, there are several commonalities between the strategic objectives:

- Several of the sectoral outcomes have strategic objectives focused on improving the **national legal and regulatory framework** to facilitate adaptation action in the relevant sector (generally strategic objective 1 for each sector in the NAP). These will presumably involve smaller-scale, grant-based support modalities. This type of work is often supported by bilateral donors, but may also be supported by entities such as the GCCA+ as well as through national budget allocations.
- Large investments, such as those focused on **infrastructure**, may be appropriate for the GCF or the Adaptation Fund. However, it is important to be able to make a strong case for the climate rationale of the project, tying the investment directly to how it will help the country and targeted communities cope with the existing and projected impacts of climate change. Such infrastructure investments may also be strong candidates for engaging the private sector through public–private partnerships.
- There are a number of **"soft" investments identified within the water sector** that involve changing behaviour to enhance the conservation of limited water resources. These types of investments may be appropriate for bilateral donors or the GEF small grants programme. Such actions may also provide opportunities for private sector enterprises to collaborate, for example, as part of corporate social responsibility or national budgetary efforts.
- Though the GCF and Adaptation Fund are primarily focused on funding concrete projects, they both have **programmes that can help countries enhance their capacity or develop projects**. The GCF Readiness Programme, for example, can help with engagement of civil society and the private sector (NAP Cross-Sectoral Outcome 3, Strategic Objective 2), and can help improve the country's capacity to access adaptation finance (Strategic Cross-Sectoral Outcome 6, Strategic Objective 1). Such efforts are also often strong candidates for bilateral cooperation.

Mapping Key Actors and Roles

Key stakeholders in financing the NAP process include ministries, departments and agencies (MDAs), intermediaries and accredited entities to the GCF and Adaptation Fund (AF), civil society and the private sector. These actors will play a variety of roles in NAP financing, such as:

- Generating project ideas
- Enhancing project development capacity/supporting project development
- Contributing resources to projects
- Approving projects
- Engaging donors/submitting proposals
- Engaging the private sector
- Implementing project, monitoring & evaluation.

Table ES2 summarises these expected roles in the NAP process and the actors who are expected to take them on.

Table ES2. Roles of key actors in NAP financing

Organisation/ entity	Generating project ideas	Enhancing project development capacity/ Support project development	Contributing resources to Projects	Approving projects	Engaging donors/ submitting proposals	Engaging the private sector	Implementing projects	Monitoring and evaluation
Department of Sustainable Development	•	•	•	• (in select cases)	• (in select cases)	•	•	•
National Climate Change Committee	•	•		•[1]		•		•
Department of Economic Development		•		•[2]	•			•
Line ministries	•	•	•		•	•	•	•
Accredited entities	•		•		•	•	•	•
Civil society	•	•	•				•	•
Private sector	•		•			•	•	•

Financing the NAP

Financing the NAP process will be an ongoing iterative process (see **Figure ES3**). It will involve a variety of steps:

- **Defining funding priorities** – The Government of Saint Lucia (GoSL) will need to maintain an iterative process of developing and updating funding priorities on the basis of their priority in the NAP (short-term, medium-term and long-term).
- **Soliciting and/or developing project/programme concepts** – Once priorities have been identified, these need to be translated into project concepts that clearly lay out the project and its objectives. How this occurs will depend on the nature of the project/priority: line ministries or other key actors (such as fund intermediaries) may be requested to take the lead, or project/programme ideas may be solicited by the private sector or others.

[1] Source: Author diagram.

[2] Final approval through PSIP (and no objection procedure, as appropriate).

- **Aligning concepts with funding sources** – Alignment of project concepts with appropriate sources of funding will involve a review of nationally available resources, identification of available sources of international finance, and consideration of the appropriateness of private sector finance.
- **Elaborating full proposals** – Once funding sources have been identified, proposals will need to be developed (as appropriate), typically including the development of feasibility studies and risk assessments. Requirements will be stringent if seeking international public finance.
- **Approving projects** – Project ideas are then submitted to appropriate authorities. For international climate finance requests, this means submission to the multilateral or bilateral source. For projects with a national budget component, this may (also) mean inclusion in the budget process.
- **Implementing projects** – Projects that are approved are then implemented by the relevant entities and/or accredited intermediaries and executing entities.
- **Monitoring and evaluating project implementation** – Once projects are in the implementation phase, their progress and impact will be monitored and reported on. Saint Lucia's NAP Monitoring and Evaluation plan (GoSL, 2018) provides a framework for reviewing the implementation of the NAP process.

These steps are presented as a cycle to represent the iterative nature of the process. However, **while lessons learned from each step of the cycle should inform the next iteration, financing of the next set of NAP priorities should not wait for the completion of the approved projects**.

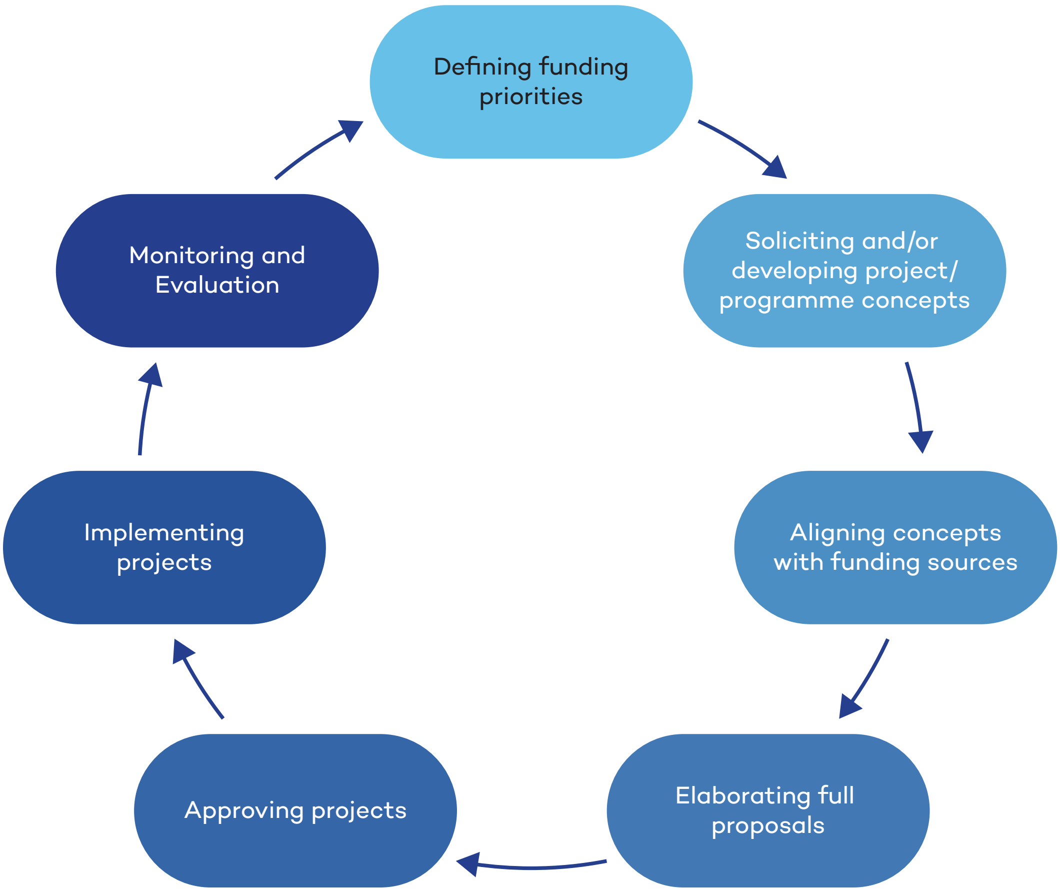
In addition to the cyclical series of activities identified above, there are several other activities that the GoSL will take to enhance the effectiveness of its effort to finance the NAP process. These will occur on an ongoing basis, and include the following:

- **Engagement with the private sector** – Guided by the Private Sector Engagement Strategy, engagement with private sector entities as partners in NAP implementation and financing processes will be critical and ongoing.
- **Strengthening relationships with accredited entities, implementers and other relevant entities** – Accessing international climate finance requires engagement with key entities who are well-placed to implement the types of activities identified in the NAP. This will mean developing and/or strengthening relationships with a wide variety of actors.
- **Enhancing Accredited Entities' capacity for project origination, development and management, in particular for National Direct Access/Implementing Entities** – Related to the previous point, the GoSL will continue to work with their domestic Accredited Entities to the GCF to help improve their capacity to access funds for Saint Lucia.
- **Improving capacity to track and monitor public expenditure on climate resilience** – Saint Lucia currently lacks a broader approach for tracking public investment in climate change adaptation. Tracking such expenditures can be useful in raising awareness and understanding of climate change, mobilising resources (by demonstrating national commitments to adaptation), and improving monitoring and reporting of climate change policy and progress.
- **Training relevant actors to effectively solicit and use climate finance** – As per NAP measure #40, the National Climate Change Committee (NCCC), through the Department of Sustainable Development (DSD) and in collaboration with the Department of Economic Development, Transport and Civil Aviation (DEDTCA), will deliver hands-on climate finance

trainings to relevant actors periodically, throughout the implementation of the NAP process.

- **Further development of SASAPs** – GoSL will work to secure resources to complete SASAPs for all relevant sectors identified within the NAP. This will provide greater information on the types of activities to be undertaken, as well as involving the development of additional Concept Notes which can be used to seek national and/or international financing.
- **Further engagement and coordination with existing bilateral donors** – The GoSL will continue to engage with the various donors that have provided support in the past for resilience and adaptation activities, and further cultivate these relationships in the context of NAP implementation, through the communication of priority projects and participation in selected fora and events.
- **Identification of a full set of financial resources required for NAP implementation** – Identifying costs of NAP implementation will be a long-term iterative process. However, over time, the GoSL will work toward developing an understanding of the full cost of NAP implementation. This will support implementation planning and updating of the document.

Figure ES3. NAP financing process



Source: Author diagram.

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Acronyms

ASAP	Adaptation for Small Agriculture Programme
AF	Adaptation Fund
AFD	Agence française de développement (French Development Agency)
CCCCC	Caribbean Community Climate Change Centre
CDB	Caribbean Development Bank
CDM	Clean Development Mechanism
CAFF	Climate Adaptation Financing Facility
CA	Climate Analytics
CIFs	Climate Investment Funds
CBD	Convention on Biological Diversity
DEDTCA	Department of Economic Development, Transport and Civil Aviation
DSD	Department of Sustainable Development
DAE	Direct Access Entity
EbA	Ecosystem-based Adaptation
EC	European Commission
EIB	European Investment Bank
EU	European Union
FAO	Food and Agriculture Organisation
FP	Focal Point (to the Green Climate Fund)
BMU	German Federal Ministry for Environment, Nature Conservation and Nuclear Safety
BMZ	German Ministry for Economic Cooperation and Development
GCCA+	Global Climate Change Alliance+
GCF	Green Climate Fund
GoSL	Government of Saint Lucia
GEF	Global Environment Facility
GDP	Gross Domestic Product
IDB	Inter-American Development Bank
IKI	International Climate Initiative
IFAD	International Fund for Agricultural Development
IMF	International Monetary Fund
JICA	Japan International Cooperation Agency
LDC	Least Developed Country
LDCF	Least Developed Countries Fund
MIE	Multilateral Implementing Entity (to the Adaptation Fund)
NAP	National Adaptation Plan

NCCC	National Climate Change Committee
NDA	National Designated Authority (to the Green Climate Fund)
NIE	National Implementing Entity (to the Adaptation Fund)
NAMA	Nationally Appropriate Mitigation Action
NORAD	Norwegian Agency for Development Cooperation
OECD	Organisation for Economic Co-operation and Development
PPCR	Pilot Programme for Climate Resilience
RIE	Regional Implementing Entity (to the Adaptation Fund)
SASAP	Sectoral Adaptation Strategy and Action Plan
SMEs	Small and medium enterprises
SIDS	Small Island Developing State
SCCF	Special Climate Change Fund
SEI	Stockholm Environment Institute
SDED	Sustainable Development and Environment Division
SLM	Sustainable Land Management
SIDA	Swedish International Development Agency
STAR	System for Transparent Allocation of Resources (of the Global Environment Facility)
UK	United Kingdom
UNCCD	United Nations Convention to Combat Desertification
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme (now UN Environment)
UNFCCC	United Nations Framework Convention on Climate Change
UNDRR (formerly UNISDR)	United Nations Office for Disaster Risk Reduction (formerly United Nations International Strategy for Disaster Reduction)
WMO	World Meteorological Organisation

1.0 Introduction

Access to finance is a key barrier to the implementation of climate change adaptation actions throughout developing countries. As a small island developing state (SIDS), Saint Lucia is particularly vulnerable to the impacts of climate change and is expected to need to mobilise relatively substantial international technical and financial resources to address climate change and its impacts. These resources will come in a variety of forms and sources: financial and non-financial; public and private; national and international.

Saint Lucia's National Adaptation Plan (NAP) document notes that the implementation of the adaptation measures presented will "depend on funding, policy, and other opportunities opening up" during the 10-year NAP implementation period. Furthermore, the NAP notes that "the execution of most actions included in the NAP relies on the assumption that further to national budgetary efforts that are commensurate with national circumstances, the level of international support that Saint Lucia has received for development and climate change projects and programmes will be maintained and that additional climate finance for adaptation in the prioritised sector will be attracted, for example, through the Green Climate Fund (GCF), Adaptation Fund, and multilateral and bilateral arrangements" (GoSL, 2018b, p. 46).

The present document contains the elements of a strategy to access finance and ensure that the resources available to Saint Lucia for the achievement of its NAP objectives are appropriate and commensurate to its needs.

2.0 Review of Potential Funding Sources for NAP Implementation

Access to climate finance for adaptation is competitive and can be onerous; notwithstanding, climate finance comes from a wide range of funding sources. According to the 2016 Adaptation Finance Gap Report developed by UN Environment, adaptation costs could be between USD 140 billion and USD 300 billion by 2030 and from USD 280 billion to USD 500 billion by 2050 (UN Environment Programme [UNEP], 2018).

Adaptation can be—and often has been—funded through a country's own resources, both public and private. In many cases, this occurs without necessarily being recognised as investment in climate change adaptation. There is growing recognition of the critical importance of adaptation and resilience building among multilateral and bilateral providers of public finance. The Green Climate Fund (GCF), for example, has a unique mandate to ensure that half of its funding is directed toward climate change adaptation. A range of funders also provide resources bilaterally for a variety of adaptation and resilience-related activities.

National public sector actors are likewise critical in mobilising resources for climate change adaptation efforts. This comes through investment of budget funds in projects that improve resilience, even where not considered "climate change adaptation." National governments in developing countries also often provide co-financing for international projects, whether through fiscal contributions or in-kind contributions such as staff time. These contributions can likewise be affected through incorporating climate resilience as part of the consideration of planned investments, and ensuring that new work undertaken is done in a way that enhances the country's resilience, rather than increasing its vulnerability.

There is growing interest in—and body of literature on—private sector financing of climate change adaptation. International finance institutions such as the World Bank have begun to experiment with ways to mobilise private resources to adapt to climate change. For example, the Bank's Climate Investment Funds (CIF) manage the Pilot Programme for Climate Resilience (PPCR), which is active in Saint Lucia (among other countries) and offers highly concessional loans to attract private sector and civil society investments in resilience. Private enterprises are taking the lead to improve resilience in their own operations or their supply chains, to ensure business continuity, and to manage operational and reputational risks (Crawford & Church, 2019). The public and private sectors can further engage in public–private partnerships (PPPs) where appropriate, to undertake adaptation-related actions.

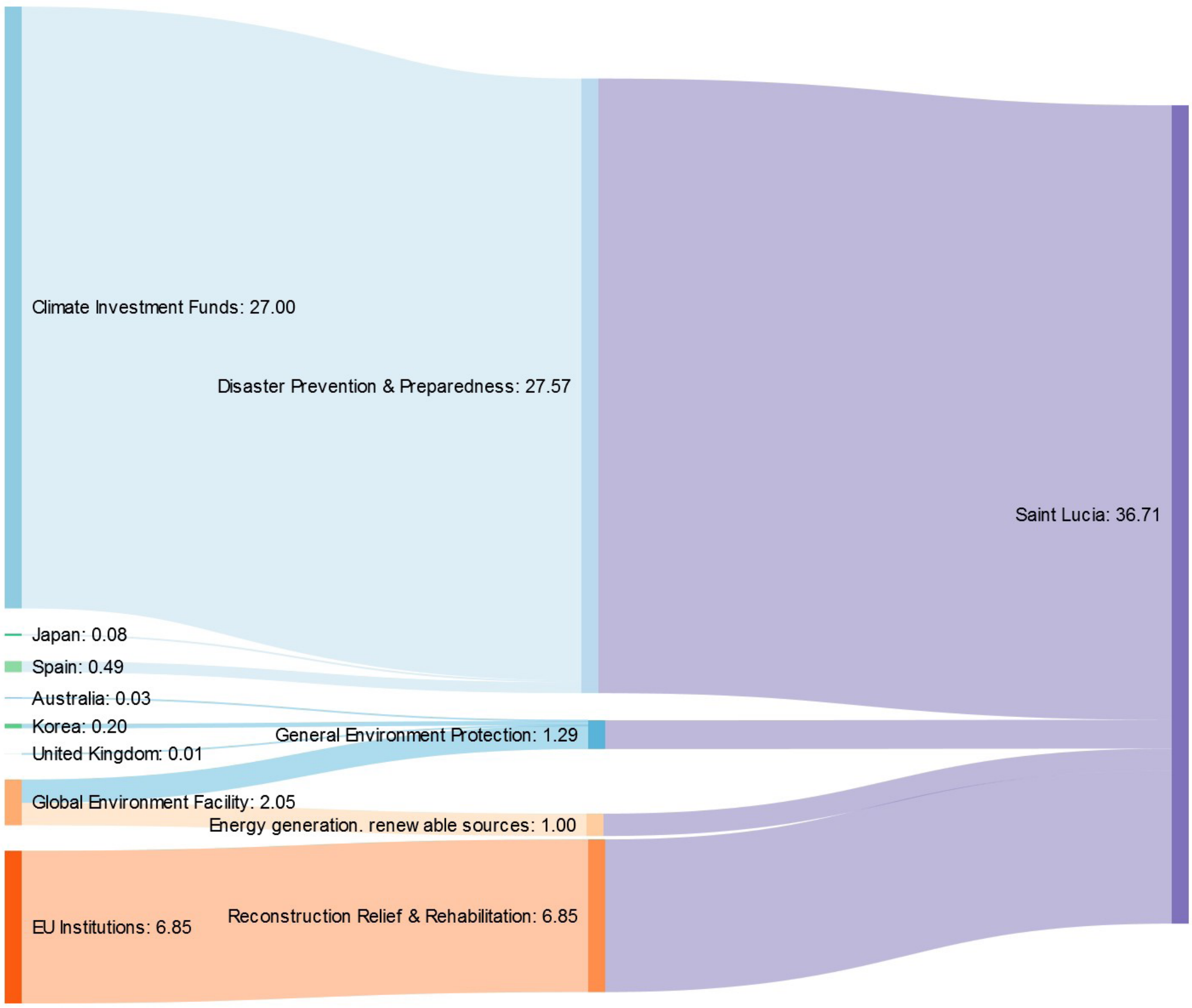
The following sections provide a preliminary exploration of some of the more promising funding sources that the GoSL might access to support their NAP. First, an overview of recent flows of international climate finance in Saint Lucia is provided (Section 2.1). Then, a range of potential sources of climate finance is presented, from international multilateral and bilateral public finance, to public national funds and budgetary support, to private sector finance (Section 2.2). This is followed by a brief review and analysis of the types of elements included in the concept notes embedded in the country's sectoral adaptation strategies and action plans (SASAPs), which have been developed for key vulnerable sectors: water, tourism, agriculture, fisheries and ecosystems

(Section 3). This will help to assess the types of financing that might be most appropriate for the proposed activities. This is followed by a discussion of the key actors and roles in the process of NAP financing (Section 4), as well as the steps to be taken in advancing the financing of Saint Lucia's NAP (Section 5).

2.1 Overview of Existing International Climate Finance in Saint Lucia

According to the Stockholm Environment Institute (SEI), Saint Lucia received USD 36.71 million in multilateral and bilateral public climate finance from 2010 to 2015—third in the Caribbean region in terms of per capita climate finance received (USD 200). The vast majority of this was for adaptation projects. The largest single contributor was the CIF, focused on disaster prevention and preparedness (Atteridge, Canales, & Savvidou, 2017). See **Figure 1** for more details.

Figure 1. Sources of climate finance and sectoral distribution, Saint Lucia

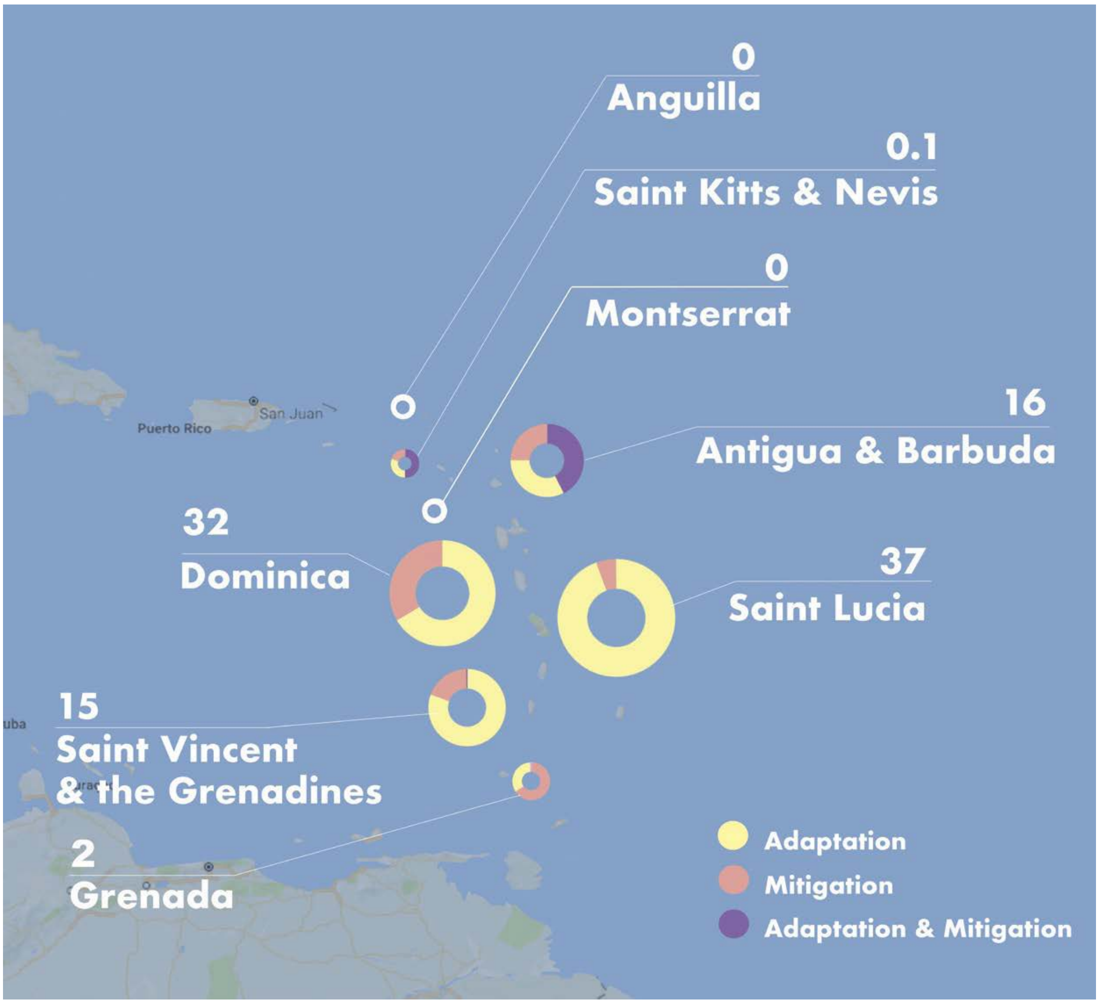


Source: Atteridge, Canales, & Savvidou, 2017.

SEI also conducted a review of climate finance in the Eastern Caribbean's small island states (Atteridge, 2017b) and found that Saint Lucia was the largest recipient of climate finance among OECS member states. Saint Lucia was followed by Dominica (USD 31.9 million), Antigua and Barbuda (USD 15.7 million), and Saint Vincent and the Grenadines (USD 15.2 million), before trailing off significantly with Grenada (USD 1.7 million) and Saint Kitts and Nevis (USD 0.1 million).

Furthermore, while most of the funding throughout the region was allocated for adaptation, including disaster prevention and preparedness, this is particularly the case in Saint Lucia (see **Figure 2**).

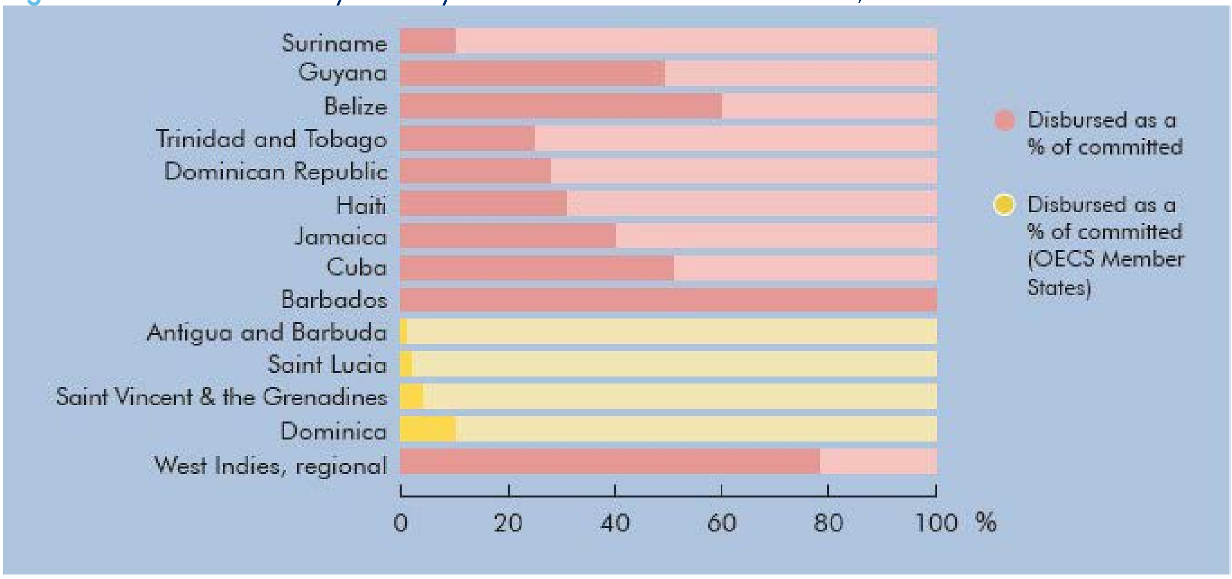
Figure 2. Climate finance commitments to OECS member countries, 2010–2015 (USD million) and balance between adaptation and mitigation



Source: Atteridge, 2017b.

However, it should be noted that Saint Lucia, and the entire region in general, while being recipients of a fair amount of climate finance *commitments*, did not receive substantial *disbursements* of climate finance during the same period. This so-called *disbursement ratio* is quite low for the region relative to the broader Caribbean region (see **Figure 3)**. Furthermore, figures across the Caribbean SIDS region show that disbursements for climate finance are lower than for other development aid, suggesting a challenge in the region related to implementing climate projects. While the data does not indicate why this is this case, it does indicate that there are challenges to actually accessing the climate finance that has been promised. This suggests the possibility that capacity to advance projects from the proposal phase to the implementation phase could benefit from further development (Atteridge, 2017b).

Figure 3. Disbursements by country relative to committed amounts, 2010–2015



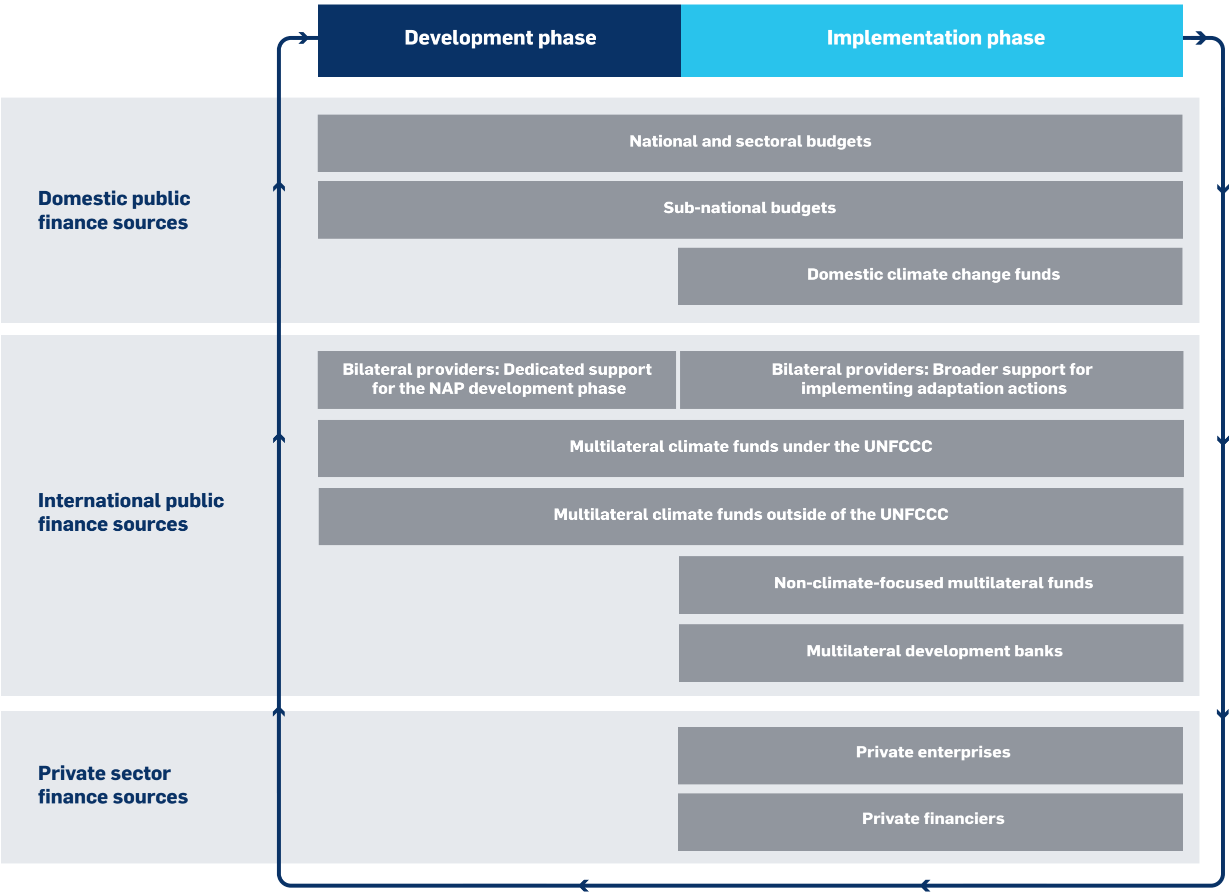
Source: Atteridge, 2017b.

There are many different sources of financing of climate change adaptation, from multilateral and bilateral public finance to national public finance and private finance. This range of sources can be useful in a variety of aspects of development and implementation of the NAP process (see **Figure 4**).

In Sections 2.2.1 to 2.2.3, a number of these funds are considered, and information relevant to their approach to funding is provided, including: the areas that they focus on; types of projects; and the financing instruments used. These sections are intended to act as a reference and an input into Section 3, in which the funding of the SASAP concept notes is considered.

The assessment focuses on those sources of funding identified as integral to NAP planning and implementation. **A schematic of the overall architecture of climate finance can be found in Annex 1. Assessment of Strategic Objectives and Select International Climate Funds.**

Figure 4. Potential sources of finance for the NAP process



Source: Parry et al., 2017.

2.2.1 International Public Funds

The term "climate finance" is often used to mean public international climate finance. This includes both multilateral funds—such as the GCF, the Global Environment Facility (GEF), the Adaptation Fund (AF), and the World Bank—as well as bilateral support provided by individual countries or groups of countries like the European Union.

2.2.1.1 MULTILATERAL CLIMATE FINANCING

A number of multilateral institutions support climate change adaptation. While these funds would each ideally occupy their own niches, in reality, there is significant overlap among them, as new funds have come into existence without old funds being phased out.

Since the entry into force of the Paris Agreement in 2016, the international climate finance architecture has evolved. The funds serving the Paris Agreement have begun a process of strategic engagement with the objective of improving fund complementarity and collaboration. In light of the recent developments—the ongoing GCF replenishment process, discussions around the extension of the CIFs, as well as any potential relationship between the AF and the new market-based mechanisms under Article 6 of the Paris Agreement[3]—it is expected that the mandates and modalities of the various funds will continue to be adjusted.

2.2.1.1 Green Climate Fund (GCF)

The GCF was founded to support developing countries in responding to the challenge of climate change. The Fund seeks to "promote a paradigm shift in low-emission and climate-resilient development" (GCF, n.d.a)

GCF operations are guided by a number of overlapping and complementary priorities. These include its identified impact areas, its investment framework (and associated investment criteria), its scale of projects, and its broader interests and goals.

The GCF makes investments in eight impact areas—four in Mitigation, and four in Adaptation (GCF, 2019). They are:

Shifting to low-emission sustainable development pathways (mitigation) through:

- Low-emission energy access and power generation
- Low-emission transport
- Energy-efficient buildings, cities and industries
- Sustainable land use and forest management.

Increasing climate-resilient sustainable development (adaptation) for:

- Enhanced livelihoods of the most vulnerable people, communities and regions
- Increased health and well-being, and food and water security
- Resilient infrastructure and built environment to climate change threats
- Resilient ecosystems.

In evaluating projects for funding, the **GCF utilises six investment criteria** (GCF, 2019):

- Impact potential
- Paradigm shift potential
- Sustainable development potential
- Needs of the recipient
- Country ownership
- Efficiency and effectiveness.

These criteria are described in further detail in the fund's investment framework (GCF, n.d.b).

The GCF funds projects at a variety of scales: micro (less than USD 10 million), small (USD 10 million to 50 million), medium (USD 50 million to 250 million), and large (greater than USD 250 million). While this range is expansive, it demonstrates that the fund is most interested in making investments of significant scale and impact. As such, smaller "soft" projects, such as technical and planning studies, are often more appropriately directed to either the GCF Readiness Programme

[3] Article 6 of the Paris Agreement addresses "cooperative approaches," including "Internationally Transferred Mitigation Outcomes (ITMOs)" and is often considered the "Carbon Market" article. Under the previous major binding international climate treaty, the Kyoto Protocol, a market/emissions trading mechanism, the Clean Development Mechanism (CDM) was established, and a portion of the proceeds from sales of emissions reductions was allocated to the Adaptation Fund. No such arrangement has been established to date for the market-related mechanisms of the Paris Agreement, the operating modalities of which are still being developed.

or other sources of funding, such as the GEF and/or bilateral donors, or may be appropriate as components of larger GCF or other projects.

The GCF has a number of broader priorities as well. It is tasked with aiming for a 50/50 allocation between mitigation and adaptation over time, and 50% of the adaptation funding should go to least developed countries (LDCs), small island developing states (SIDS), and African countries. The fund is also charged with supporting the goals of the Paris Agreement.

One area that is likely to be important to GCF consideration of projects going forward is the justification of the *climate rationale* of projects. The climate rationale "provides the scientific underpinning for evidence-based climate decision making" (WMO, 2018). In 2018, the Secretariat and Independent Technical Advisory Panel of the GCF found that 55 out of 76 assessed approved funding proposals had insufficient climate evidence/rationale, lack of attribution to vulnerabilities, generic information, and/or gaps in climate data and baselines (GCF, 2018b). At the request of the board, the Secretariat began to develop a process to enhance the climate rationale of GCF-supported activities (GCF, 2018d). Highlighting how such projects are appropriate candidates for climate rather than development funding will be important in both mitigation and adaptation, though defining the climate rationale for adaptation projects can be more challenging than doing so for mitigation projects.

Despite being responsible for more than a quarter of the concept notes in the GCF funding pipeline, the adaptation projects submitted to that pipeline for the Latin America and Caribbean region account for only about 4% of the total beneficiaries. In contrast, the region's projects represent approximately 23% of the pipeline's total estimated emissions reduction (GCF, 2018c), suggesting that the region has been more successful in securing support for impactful mitigation projects than adaptation projects.

In June 2018, the GCF Secretariat also released a report that identified how targeted GCF investments could have the most impact. Among other findings, the report welcomed the **growing share of projects in the pipeline (expected to be submitted in the near future) that are cross-cutting, such as those focused on the nexus between energy, water, and waste management** (GCF, 2018b). Where possible, Saint Lucia may wish to consider prioritizing such cross-cutting projects. In some cases, such as water, it appears that there is already interest in developing projects with cross-cutting impacts, in which case it may simply be a question of designing the relevant interventions and associated concept notes and proposals with this point in mind.

Countries can also access the GCF Readiness and Preparatory Support Programme ("Readiness Programme") to strengthen the institutional capacities of National Designated Authorities (NDAs) or focal points and Direct Access Entities[4] (DAEs) to engage efficiently with the GCF. The Readiness Programme can also support the development of strategic frameworks, such as the formulation of national adaptation plans and/or other adaptation planning processes, Country Programmes and concept notes, and is useful for developing promising ideas into GCF Concept Notes. Readiness support can play a key role in further developing the concept notes identified within Saint Lucia's SASAPs into more comprehensive GCF concept notes or can be used to develop concept notes based on the measures identified within the NAP and SASAPs (GCF, 2018a).

[4] Direct access entities are subnational, national or regional organisations nominated by developing country NDAs.

The GCF also has a **Project Preparation Facility (PPF), which supports accredited entities (AEs) in preparing projects and programmes**. PPF funding is commensurate to the scale of the funding proposal being developed, and each request is subject to a cap of USD 1.5 million. While all AEs can access project preparation funds for any project, the programme is focused on supporting DAEs and micro-to-small-sized category projects. Support is provided in the form of grants or repayable grants.[5] Funding proposals should be submitted to the GCF within two years of approval of a PPF request (GCF, 2019b).

Saint Lucia's NDA to the GCF is the Permanent Secretary of the Department of Economic Development, Transport and Civil Aviation (DEDTCA). The GCF focal point is the Chief Economist of the Department. Saint Lucia has accessed the GCF for readiness support to strengthen the capacity of its NDA and develop a Country Programme. Saint Lucia submitted its Country Programme to the GCF in April 2020 [bold from Saint Lucia to 2020]. To date, as part of its GCF pipeline, one project concept note (*Enhancing the Climate Resilience of the **Water** Sector in Saint Lucia*) has been submitted, with a further four at various stages of development, as follows:

- *Enhancing **Fisheries** and Protecting the Livelihoods of Fisherfolk in the Face of a Changing Climate*
- *Creating a Greener and More Resilient **Health** Sector in Saint Lucia*
- *Green Affordable **Housing** for All*
- *Castries Vision 2030 – Low-Carbon Castries Downtown (Focus on the **City**)*

In addition, readiness support has been prioritised to strengthen information gaps and facilitate the advancement of these concept notes towards final submission.

While ***Electric Mobility*** and *Green Schools Nationally Appropriate Mitigation Actions* are also in the pipeline—and were recognised as important areas during the Country Programme review process and stakeholder consultations—these concept notes are not yet advanced through the GCF process.

Saint Lucia is already in consultation with the GCF on another readiness support initiative and further intends to develop a multi-year readiness programme, through a multistakeholder structured dialogue process, that will respond to the needs of longer-term climate strategies, plans, information gaps and challenges, including those identified in Saint Lucia's revised Nationally Determined Contribution (NDC) and NAP processes, among others. Indeed, the country intends to access readiness support for the enhancement of the NAP through the development of additional SASAPs and support towards capacity building and awareness-raising initiatives.

Saint Lucia is also in consultation with Accredited Entities regarding the development of several regional projects/programmes that are currently at different stages of advancement.

In October 2019, DEDTCA, in partnership with GCF and the World Meteorological Organisation (WMO), held a national workshop on the development of a strong climate rationale or climate science basis. It included key sectors/themes from the sectors of focus in the NAP: water, agriculture, fisheries and resilient ecosystems: coastal management and forestry.

The GCF recently undertook the replenishment of available funding to ensure that it will be able to continue to finance projects and programmes. During this process, several developed countries

[5] A repayable grant is a grant that requires repayment in the event of certain contingencies, e.g., if the project is successful and generates financial returns. The contingencies will be determined on a case-by-case basis. In addition, all GCF grants are understood to be repayable if the recipient breaches their contractual obligations.

made pledges for this second round of resource mobilisation. New pledges were announced at the conference in October 2019 totalling USD 9.8 billion.

2.2.1.1.2 Adaptation Fund

The Adaptation Fund (AF) became operational in 2009. Originally developed to serve the Kyoto Protocol, the fund now serves the Paris Agreement as well. It can be accessed by countries that are particularly vulnerable to the adverse effects of climate change, including low-lying coastal and small island countries, countries with fragile mountainous ecosystems, arid and semi-arid areas, and areas susceptible to floods, drought and desertification.

Initially funded through a dedicated share of the proceeds from the Clean Development Mechanism (CDM), the AF identified other sources of financing when the CDM market collapsed. In 2018, the fund broke its single-year resource mobilisation record with nearly USD 129 million in new pledges from Germany, France, Italy, Sweden, the Walloon region of Belgium, the European Commission, and New Zealand (Adaptation Fund, 2018).

The AF pioneered the Direct Access modality that is now being adopted and expanded by the GCF. Funding is disbursed through National Implementing Entities (NIEs), Regional Implementing Entities (RIEs) and Multilateral Implementing Entities (MIEs), though the latter are subject to a 50% funding cap, meaning that at least half of the total funding approved by the AF on a cumulative basis should come from NIEs or RIEs (Adaptation Fund Board, 2019b). **There is a USD 10 million funding cap per country, though regional projects can be undertaken, which do not affect the country cap** (Adaptation Fund Board, 2018c). Funding is provided on a full adaptation cost basis. According to the Adaptation Fund Board (2018), the "full cost of adaptation means the costs associated with implementing concrete adaptation activities that address the adverse effects of climate change."

AF decisions take into account:

- The country's level of vulnerability
- The level of urgency and risks arising from delay
- Ensuring access to the fund in a balanced and equitable manner
- Lessons learned in project and programme design and implementation to be captured
- Securing regional co-benefits to the extent possible, where applicable
- Maximizing multi-sectoral or cross-sectoral benefits
- Adaptive capacity to the adverse effects of climate change.

The AF also offers readiness grants for South–South cooperation,[6] technical assistance, and project formulation.

Saint Lucia's Designated National Authority (DNA) for the AF is the Department of Sustainable Development (DSD). Saint Lucia's first submitted project was approved by the AF in 2019. This project is focused on the agricultural sector and aggregates a number of the initiatives proposed in the SASAPs, including Agriculture SASAP measures 20, 29, 30 and 41, among others (Caribbean Development Bank, 2018). The total amount of the project is close to USD 10 million (USD 9,858,571) (AF, 2019a). As such, while the USD 10 million country cap remains in place, in the near term, Saint Lucia should focus on other sources of finance to achieve the rest of its NAP objectives.

[6] In readiness grants for South–South cooperation, accredited NIEs support entities seeking accreditation in other countries to navigate the process. For more information, see: https://www.adaptation-fund.org/readiness/readiness-grants/south-south-cooperation-grants/

2.2.1.1.3 The World Bank

The World Bank's Climate Change Action Plan 2016–2020 is at the core of its strategy for addressing climate change. **One of the five strategic shifts in this plan is to put a greater focus on adaptation and resilience**.

The Bank has already highlighted a number of successes in improving resilience. It puts a particular focus on greater investment in transportation resilience: it claimed USD 373 million in adaptation co-benefits for its global investments in transportation over the fiscal year (FY) 2011–15 period. The Bank is targeting USD 2 billion in lending for adaptation in the transport sector over the period FY16–FY20. It also intends to focus more on capacity building for adaptation.

The Bank is also focused on resilient and sustainable cities. To this effect, it has supported several urbanization reviews in developing countries. The Bank has helped the Philippines, for example, in the development of a Metro Manila Flood Master Plan and will support the plan's implementation. The World Bank Group will develop and pilot a city-based resilience approach in 15 cities by 2020.

The Bank is also focused on climate-smart land use, including ecosystem-based adaptation and coastal area management projects. It aims to ensure that 50% of adaptation projects include ecosystem-based adaptation measures by 2020. It also aims to climate-proof fisheries, aiming to pilot in 10 regionally diverse but heavily fisheries-dependent countries by 2020 (World Bank Group, 2016).

The World Bank is also home to the Climate Investment Funds (CIFs), consisting of the Clean Technology Fund (CTF)—which focuses on projects and programmes that contribute to the demonstration, deployment and transfer of low-carbon technologies—and the Strategic Climate Fund (SCF), which is broader in scope, and includes such funds as the Pilot Programmeme for Climate Resilience (PPCR) and the Scaling-up Renewable Energy Programme (SREP).

Prior to the establishment of the GCF, the CIFs were the largest climate funds in existence. However, the CIFs were originally intended to wind down operations upon the development of an effective financial architecture under the UNFCCC, i.e., the operationalization of the GCF. As a result, their future is currently uncertain. Discussions on the sunset and strategic future of the CIFs, including their potential complementarity with the GCF, began in January 2019 and are ongoing. In advance of these discussions, the CIF released a new paper entitled *Strategic Directions for the CIF* that highlights the lessons learned and the value of the funds' business model (Climate Investment Funds, 2019).

Saint Lucia has received support from the World Bank for adaptation and resilience, most prominently through the Disaster Vulnerability Reduction Project (DVRP), initiated in 2014. The project seeks to reduce the island's vulnerability to natural hazards and the adverse impacts of climate change by strengthening critical infrastructure and improving domestic capacities to rehabilitate this infrastructure. **The DVRP involves four key programme areas** (GoSL, 2017):

- Risk reduction and adaptation measures focused on structural and non-structural flood and landslide risk reduction interventions and climate adaptation.
- Technical assistance for improved assessment and application of climate risk information in decision making, including data that will provide the basis for assessing flood and landslide risk management schemes.
- Establishment of the Climate Adaptation Financing Facility (CAFF), which promotes increased climate resilience through retail loans to households and businesses to finance climate adaptation.

- Contingency emergency response, triggered in the event of a natural disaster to support emergency recovery and reconstruction.

The Pilot Programme for Climate Resilience (PPCR), part of the CIFs and managed by the World Bank, is working to secure private investment in adaptation using highly concessional loans to fund certain adaptation projects. The CAFF, referenced under the DVRP above, is receiving support from the PPCR. The PPCR: Caribbean Regional Track aims to improve geospatial data and management for adaptation planning, sea level rise, and storm surge impact analysis (GoSL, 2017).

2.2.1.1.4 Global Environment Facility Special Climate Change Fund

The GEF was established in advance of the 1992 Rio Earth Summit. It aims to address a wide range of environmental challenges, including climate change mitigation and adaptation. The GEF acts as the financial mechanism, or part of the financial mechanism, of several international environmental agreements, including the Convention on Biological Diversity (CBD), the United Nations Framework Convention on Climate Change (UNFCCC), the Stockholm Convention on Persistent Organic Pollutants, the United Nations Convention to Combat Desertification (UNCCD) and the Minamata Convention on Mercury. The GEF has provided over USD 19 billion for more than 4,700 projects in 170 countries since its founding (GEF, 2019).

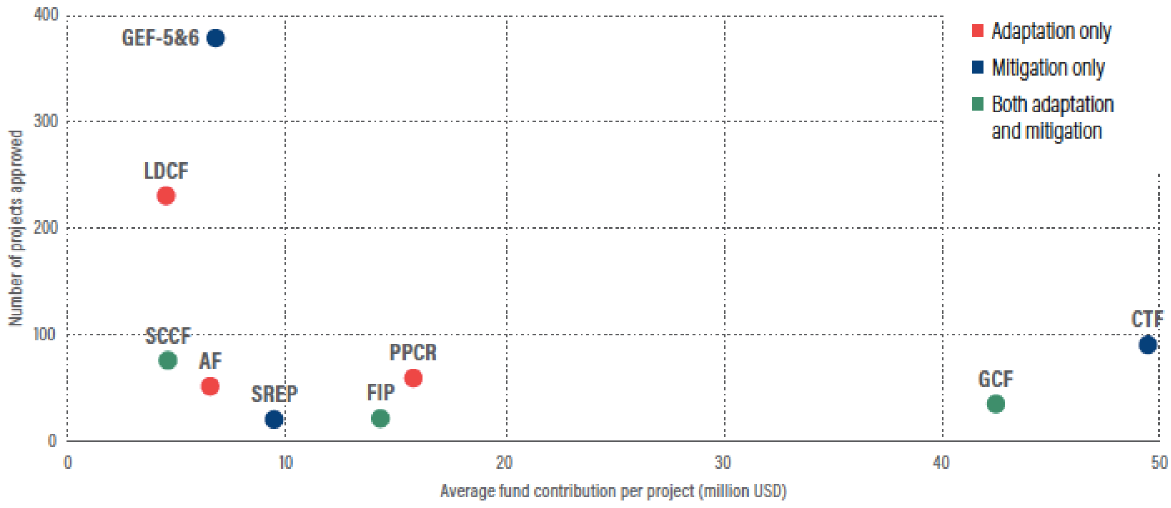
The GEF uses the System for Transparent Allocation of Resources (STAR) to allocate resources to countries during replenishment periods (GEF, 2010). In the GEF's sixth replenishment period (GEF-6), Saint Lucia was allocated—and utilised—USD 4,998,818 (GEF, 2019).

The **GEF Trust Fund's climate focus is primarily mitigation**. Its work on mitigation focuses on three main objectives: transfer innovation and technology; demonstrate mitigation options with

systemic impacts; and foster enabling conditions for mainstreaming mitigation concerns into sustainable development strategies.

The GEF also works on adaptation, however, and Saint Lucia is able to access funds for adaptation through their Special Climate Change Fund (SCCF). Created alongside the Least Developed Countries Fund (LDCF) at Conference of the Parties (COP) 7 in 2001, the SCCF was specifically created to serve the UNFCCC and is focused on adaptation and technology transfer. As can be seen in **Figure 5**, the SCCF has supported relatively few projects, and these have been on the smaller end of the spectrum in terms of scale.

Figure 5. Multilateral climate funds: Funding, projects and thematic focus



Note: AF, Adaptation Fund; CTF, Clean Technology Fund; FIP, Forest Investment Program; GCF, Green Climate Fund; GEF, Global Environment Facility; LDCF, Least Developed Countries Fund; PPCR, Pilot Program for Climate Resilience; SCCF, Special Climate Change Fund; SCF, Strategic Climate Fund; SREP, Scaling-Up Renewable Energy Program.

Sources: Compiled by authors, based on data from GEF 2016c, 2016f; AF 2016a; CIFs 2015a; GCF 2016b.

Source: Amerasinghe, Thwaites, Larsen, & Ballesteros, 2017.

The **Adaptation Strategy for the seventh funding round of the GEF (GEF-7) identifies three objectives** for the LDCF and the **SCCF**:[7]

- **Objective 1: Reduce vulnerability and increase resilience through innovation and technology transfer for climate change adaptation.**
- **Objective 2: Mainstream climate change adaptation and resilience for systemic impact.**
- **Objective 3: Foster enabling conditions for effective and integrated climate change adaptation.**

The SCCF has been funded on an ad hoc basis by developed country contributors. At the most recent pledge session, the only SCCF pledge was USD 3.3 million from Switzerland (GEF, 2018b). Given these considerations, **while the SCCF continues to operate, it is under-funded and not likely to be a major player in climate finance**. The SCCF mandate overlaps significantly with other funds, and some observers have suggested that the most efficient approach in coming years could be to either close the fund or refocus it on its technology transfer component (Amerasinghe et al., 2017).

[7] As mentioned earlier, Saint Lucia is not a Least Developed Country, and therefore not eligible for the LDCF. However, the GEF considers strategies of these two funds jointly, and as such strategy documents on objectives address both funds.

Saint Lucia has previously engaged the GEF for supporting climate change adaptation. The GEF Small Grants Programme supports the development of mitigation and adaptation projects by civil society; many of these projects are pilots. In Saint Lucia, the adaptation projects supported include: 1) Climate-smart agriculture; 2) Bouton rainwater harvesting; 3) Impacts of rainfall runoff on the Laborie village; 4) Farmers with disabilities from Choiseul (GoSL, 2017); and 5) Support for provision of a solar water desalination facility (UNDP, 2019b).

2.1.1.5 Adaptation for Smallholder Agriculture Programme

The Adaptation for Smallholder Agriculture Programme (ASAP) is a project of the International Fund for Agricultural Development (IFAD), an international financial institution and specialised United Nations agency. The programme has received USD 300 million in contributions to date, and it is estimated to have benefited approximately 8 million people across 43 countries. The ASAP project funds activities in the following areas: policy engagement; climate risk assessment; women's empowerment; private sector engagement; climate services; natural resource management and governance; and knowledge management (IFAD, 2019). The second phase of the programme was announced in 2017, with funding from the Norwegian Agency for Development Cooperation (NORAD) and the Swedish International Development Agency (SIDA). This phase will run until 2025, with a goal of benefitting 10 million smallholder farmers (IFAD, 2017).

ASAP may represent a future opportunity for Saint Lucia's farmers. However, because IFAD engages with government ministries—and a significant current focus of adaptation efforts in agriculture is the implementation of Saint Lucia's Adaptation Fund project (see Section 2.2.1.1.2)—the GoSL should work to ensure that sectoral capacity is available to effectively engage with this fund and provide appropriate oversight prior to seeking such assistance.

2.2.1.1.6 Additional Multilateral and Regional Sources of Finance

Saint Lucia is already engaged with a number of regional and multilateral sources of funding in projects that seek to enhance the country's resilience to the impacts of climate change. Some of these relationships may be useful going forward, either for direct support or for engagement as intermediaries with larger multilateral funds that require them, such as the GCF and the AF.

- Since 2014, the **Caribbean Development Bank** has been funding the project "Building Capacity in the Public Sector to Facilitate Evidence-Based Decision- Making Towards the Reduction of Climate Change and Environmental Risks" (USD 92,262), which aims to equip policy-makers with relevant information to mainstream climate change into national development planning, facilitate training in Vulnerability Capacity Assessment, and enable national reporting under the UNFCCC (GoSL, 2017).
- The CCCCC Climate Change Adaptation Programme is a joint effort of the **U.S. Agency for International Development (USAID)** and the **Caribbean Community Climate Change Centre (CCCCC)** to address some of the climate change and climate variability challenges in the region through a USD 10 million investment from 2016 to 2020. The goal is to reduce risks to human and natural assets and create a more secure and prosperous Caribbean community through adaptation. It seeks to strengthen an integrated system for the implementation and financing of sustainable adaptation approaches in the Eastern and Southern Caribbean (GoSL, 2017). A data node has already been established in Saint Lucia, giving the country access to support the Regional Clearinghouse Mechanism, which provides a searchable database of Caribbean climate change information (CCCCC, 2019).

The Water, Climate and Development Programme is being collaboratively implemented by **Global Water Partnership Caribbean** and the CCCCC. It aims to promote water security and climate resilience through the implementation of better water policies, strategies, programmes, and adaptation actions within the region (GoSL, 2017).

- The Strengthening Public Investment in Disaster Risk Reduction and Climate Change Adaptation in the Eastern Caribbean project is an initiative to strengthen governments' capacity to systematically account for disaster loss, identify hazards and develop risk assessments, and to use this information to strengthen public investment in disaster risk reduction. It is supported by the **World Bank Global Fund for Disaster Risk Reduction**, and the UN Office for Disaster Risk Reduction (formerly UNISDR) (GoSL, 2017).
- The Partnership Initiative for Sustainable Land Management for Caribbean SIDS is a project led by United Nations Environment (UNEP), partnering with the **Caribbean Community (CARICOM) Secretariat**, the **Food and Agriculture Organisation (FAO), and the United Nations Development Programme (UNDP)**. It focuses on capacity building and mainstreaming of sustainable land management (SLM), creating synergy with other conventions and multilateral environmental agreements, risk and disaster mitigation, sustainable flood systems and integrated SLM projects (GoSL, 2017).

2.2.1.2 BILATERAL PUBLIC FINANCE

As noted in Section 2.1, **Saint Lucia has existing relationships with a number of bilateral donors**. Not all are listed here, but Saint Lucia has received adaptation support from Japan, Spain, Australia, the Republic of Korea and the United Kingdom for disaster prevention and preparedness as well as general environmental protection (Atteridge, Canales, & Savvidou, 2017).

Table 1 shows the top providers of adaptation-related climate finance to developing countries, according to the Organisation for Economic Co-operation and Development (OECD). Of these, Saint Lucia has received support from Japan, the United Kingdom and the European Union for adaptation-related work. Going forward, Saint Lucia may wish to enhance its engagement with these existing funders and work to engage with additional ones. This analysis concentrates on the top bilateral providers of international climate finance.

Table 1. Bilateral Adaptation-related climate finance to developing countries (USD 1,000)

Institution	2016	2015
EU institutions (excluding European Investment Bank [EIB])	4,040,568	3,530,827
Germany	2,404,816	4,968,964
Japan	1,810,963	5,592,594
France	1,080,857	2,203,100
United Kingdom	1,077,505	2,168,022

Source: OECD, 2019.

2.2.1.2.1 European Union

The EU is among the largest providers of adaptation finance. The European Commission has committed to contributing at least EUR 14 billion to support climate action in developing countries over the 2014–2020 period. One of the principal channels for this support is the Global Climate Change Alliance+ (GCCA+), which supports policy dialogue and cooperation on climate change between the EU and developing countries. It has invested close to EUR 450 million since 2008 in 60 country and regional actions, focusing on LDCs and SIDS, with 81% of GCCA/GCCA+ funding going to adaptation (GCCA+, 2018). The GCCA focuses on mainstreaming climate change into national development strategies, increasing resilience and supporting the formulation of mitigation and adaptation strategies (European Commission, 2019).

2.2.1.2.2 Germany

Germany provides climate finance for adaptation through a variety of channels. The country tends to channel significant amounts of climate finance through bilateral development cooperation. This channel represented 84% of Germany's climate finance in 2017 (Ministry for Economic Cooperation and Development [BMZ], 2019). Germany is also the largest contributor to the AF.

While most of Germany's climate finance is channelled through Germany's Ministry for Economic Cooperation and Development (BMZ), a portion is channelled through the International Climate Initiative (IKI) of the Federal Ministry for the Environment, Nature Conservation and Nuclear Safety (BMU). Adaptation is listed as the second of IKI's four priority areas, and the initiative is particularly focused on ecosystem-based adaptation (EbA). IKI periodically has both thematic and country-specific calls for proposals (IKI, 2019).[8]

Saint Lucia is also involved in several IKI regional projects for adaptation, including an ecosystem-based adaptation (EbA) facility, Climate Risk Adaptation and Insurance in the Caribbean (CRAIC), and a previous project to expand insurance related to medium-level weather extremes (BMU, 2019). BMZ is also a contributor to the Nationally Determined Contribution (NDC) Partnership, which is supporting Saint Lucia in the achievement of its climate goals.

2.2.1.2.3 Japan

Japan supports action in developing countries through the Japanese embassies and offices of the Japan International Cooperation Agency (JICA) stationed throughout the world. Japan reported USD 22.3 billion of total international climate finance as of December 2016, of which only USD 1.9 billion was for adaptation. The money focused on: improving capabilities to cope with extreme events caused by climate change; flood control measures; irrigation; and water supply planning. Japan has also provided USD 537 million in support for cross-cutting efforts that address both mitigation and adaptation (Government of Japan, 2017).

The Japan–Caribbean Climate Change Partnership was launched in 2015. Implemented in collaboration with UNDP, it supports interventions across the region to build countries' capacities to cope with climate change. It aims to support the development of Nationally Appropriate Mitigation Actions (NAMAs) and NAPs, facilitate technology transfer, and development of knowledge networks (GoSL, 2017). Support from the UNDP–JCCCP was crucial to the development of Saint Lucia's NAP document, as well as its SASAP for the water sector. The project also supported the *Stocktaking, Climate Risk and Vulnerability Assessment Report*; the Roadmap and Capacity Development Plan; the Monitoring and Evaluation Plan; and the *Climate Change Baseline Assessment Report*. The programme closed in 2019.

[8] At the time of writing, there was an open call for programme outlines for India (https://www.international-climate-initiative.com/en/project-funding/information-for-applicants/country-specific-selection-procedure/).

2.2.1.2.4 France

Climate change is a significant issue for France's current leadership, and the country has committed significant amounts to the GCF and other multilateral funding sources. In terms of bilateral efforts, in 2016 the country contributed the equivalent of USD 3.5 billion in support for mitigation, adaptation and cross-cutting projects, across a variety of instruments. The adaptation support was largely channelled through the Agence Française de Développement (AFD), France's development agency, and was made up of a combination of grants and concessional loans (Ministere de la Transition Ecologique et Solidaire, 2017).

A key channel for France's support for adaptation is through AFD's Adapt'Action Facility. This initiative is based on three areas of operation: support for capacity building for the consolidation, implementation and supervision of the NDCs; support for integration of NDC commitments at sectoral policy levels, in particular with regard to adaptation elements; and support for preparation of structural programmes in the area of adaptation (AFD, 2019).

SIDS are only one area of focus for AFD, and much of its support has gone to other regions, including Africa. In 2017, the Dominican Republic was the focus of one of the Adapt'Action project's initial identification missions (AFD, 2019).

2.2.1.2.5 United Kingdom

The United Kingdom has committed to spending at least GBP 5.8 billion on international climate finance between 2016 and 2021. The **UK's International Climate Finance portfolio of investments aims to: eradicate poverty; manage risk; adapt to climate change and build resilience; promote low-carbon development; support the sustainable management of natural resources; and reduce deforestation**. According to the United Kingdom, these efforts have supported 57 million people in dealing with the effects of climate change since 2012 and aim to support a cumulative 79 million people by 2020 (UK Government, 2019).

The vast majority of the country's funding goes to multilateral funds, although some goes to bilateral efforts. Much of this goes to African nations, while some has gone to Haiti and Montserrat (CarbonBrief, 2017). The United Kingdom has also pledged to direct these funds equally between mitigation and adaptation, and has largely succeeded in doing so.

The United Kingdom and Canada are jointly funding a UNDP-led regional project for the Caribbean known as EnGenDer. This project focuses on disaster risk financing and gender analysis in adaptation (UNDP, 2019a).

2.2.1.2.6 United States

In addition to the top five providers of climate finance identified above, **the United States has been a supporter of climate efforts in the region and the NAP process in particular**. The 2019 US budget includes USD 776 million in bilateral allocations for environmental programmes, though it is unclear how much of this will go to climate-related assistance, as the United States has not yet submitted its third biennial report to the UNFCCC (Thwaites, 2019). This is in addition to USD 140 million for the GEF and 1.3 billion for multilateral development banks (Thwaites, 2019). The United States' international climate support is principally channelled through the State Department and the US Agency for International Development (USAID).

The United States In-Country NAP Support Programme provides long-term technical support that helps countries advance their NAP processes. Saint Lucia has been among the beneficiary countries, and the support has included (NAP GN, 2019):

- Developing sectoral adaptation strategies and action plans (SASAPs) and corresponding investment plans for sectors that are particularly vulnerable to climate change, including those for agriculture, fisheries and resilient ecosystems.
- Building a bankable pipeline of adaptation projects for these sectors, with a corresponding financing strategy.
- Developing a strategy for better engaging the private sector in adaptation action.
- Monitoring and evaluating progress on the NAP.
- Increasing the awareness of the NAP process among Saint Lucians and coordinating donors who are active in the region through strategic communications, a NAP Assembly and a donor symposium.
- Developing a policy and strategy for climate research in multiple sectors.
- Developing a set of guidelines for the development of SASAPs for other sectors, building on Saint Lucia's experience to date.

2.2.1.2.7 Canada

Canada is another key provider of climate finance. In November 2015, it made a pledge of CAN 2.65 billion through 2020 to support developing countries in climate mitigation and adaptation (Government of Canada, 2017). In addition to support for multilateral institutions, **Canada's climate finance has included a series of bilateral efforts for the implementation of NAPs and NDCs, and to "contribute to developing countries" transition to clean and resilient economies"** (Government of Canada, 2017).

2.2.2 Public National Funds

According to the International Monetary Fund (IMF), in 2016–2017, Saint Lucia's national budget included investments of XCD 325.9 million (USD 120.3 million), of which XCD 83.8 million (USD 31 million) was directed toward adaptation-related projects.

This comes out to approximately 2% of GDP. At the same time, only 50–60% of the capital budget is executed in a given year, suggesting adaptation spending of approximately 1% of GDP.

Maintaining or increasing current levels of domestic investment in adaptation would allow the country to make substantial advances in building resilience. There is also likely a growth dividend from resilience building, which, though difficult to quantify, would make maintaining levels of domestic financing more feasible (IMF, 2018).

Ongoing tracking of adaptation budgetary spending, as well as training for budget officers, would support efforts to mainstream climate change adaptation into ministerial budgets and improve budget officers' ability to incorporate adaptation spending into their ministries' budget justifications.

2.2.3 Private Finance

Private financiers and enterprises can make an important contribution to climate change adaptation if adequately engaged by the government—and if adequately incentivised to invest in adaptation from both a business and a corporate social responsibility perspective.

There is limited information available on existing investment in climate adaptation by Saint Lucia's private sector: most of the information gained thus far is anecdotal. For example, engaging the private sector has been one of the key objectives of the World Bank's PPCR programme, and the resulting CAFF initiative has made some initial strides in this direction through provision of loans to enhance resilience. The CIF's Evaluation and Learning Initiative has found that these have so far underperformed relative to expectations, noting the need for greater effort in designing context-specific mechanisms for the provision of finance to micro, small and medium enterprises (MSMEs). More will need to be done in terms of private sector engagement in order to leverage the potential of these entities to support a more resilient Saint Lucia.

The Government of Saint Lucia has prepared a Private Sector Engagement Strategy under its national adaptation planning process (GoSL, 2020). The mapping of private sector actors within Saint Lucia will prove a valuable input into the broader development of a NAP Financing Strategy for Saint Lucia.

3.0 Alignment of Funding Sources and Instruments With Saint Lucia's National Adaptation Plan and Sectoral Adaptation Strategies & Action Plans

3.1 Assessing Identified Financing Needs and Gaps in Information

The full costs of the measures within the NAP have not been evaluated as part of the broader NAP process. So far, indicative costing has been conducted on an as-needed basis for the development of specific concept notes for the achievement of the NAP objectives. These are included in the country's SASAPs, developed in support of the NAP process. **This concept note development process is continuous and ongoing. It is also worth noting that the NAP will not be financed in one effort, and so an iterative process needs to be maintained for developing funding priorities**.

The approximate total cost to implement the concept notes thus far developed is estimated at USD 35.4 million. This includes the concept notes that have been developed for the Water, Fisheries and Agriculture SASAPs. There are 38 costed concept notes considered so far, which excludes one concept note whose costs are variable depending on the scale of implementation (water SASAP concept #8) and one with costs that still require further assessment (fisheries SASAP concept #7).

Developing the SASAP concept notes was undertaken on the basis of availability of internal resources, such as availability of the relevant staff, and as such do not inherently represent the top priorities for funding within the NAP. Furthermore, in the course of stakeholder engagement for the development of the NAP Financing Strategy, i**t was noted that the costs indicated represent a "best-case scenario," and should thus be considered a floor rather than a ceiling for financing needs. The full scale of need is expected to be significantly higher than the figure quoted above but will require ongoing efforts to further estimate the full cost of implementation**.

3.2 Review and Matching of Concepts Identified in SASAPs With Potential Sources

3.2.1 Review of Concept Notes in SASAPs

Saint Lucia's current SASAPs in Water, Agriculture and Fisheries contain 40[9] concept notes describing potential projects in need of funding. Through this work and the previously conducted literature review, the concept notes were reviewed and classified using the typology established by Biagini et al. (2014). Concept notes were also considered in terms of scale.

[9] As noted above, one concept note does not include costing information and was thus excluded from the previous consideration, hence the discrepancy with the earlier figure.

It is recognised that the concept notes thus far developed do not represent the full range of measures to be considered within the NAP and SASAP context. However, they do provide a relatively comprehensive indication of the types of measures that are included within the NAP and SASAPs, including projects that cover the major categories of adaptation action. Focus on the concept notes was also undertaken here because of the important role that scale of investment plays in the consideration of funding sources, information that is not available for the SASAP measures.

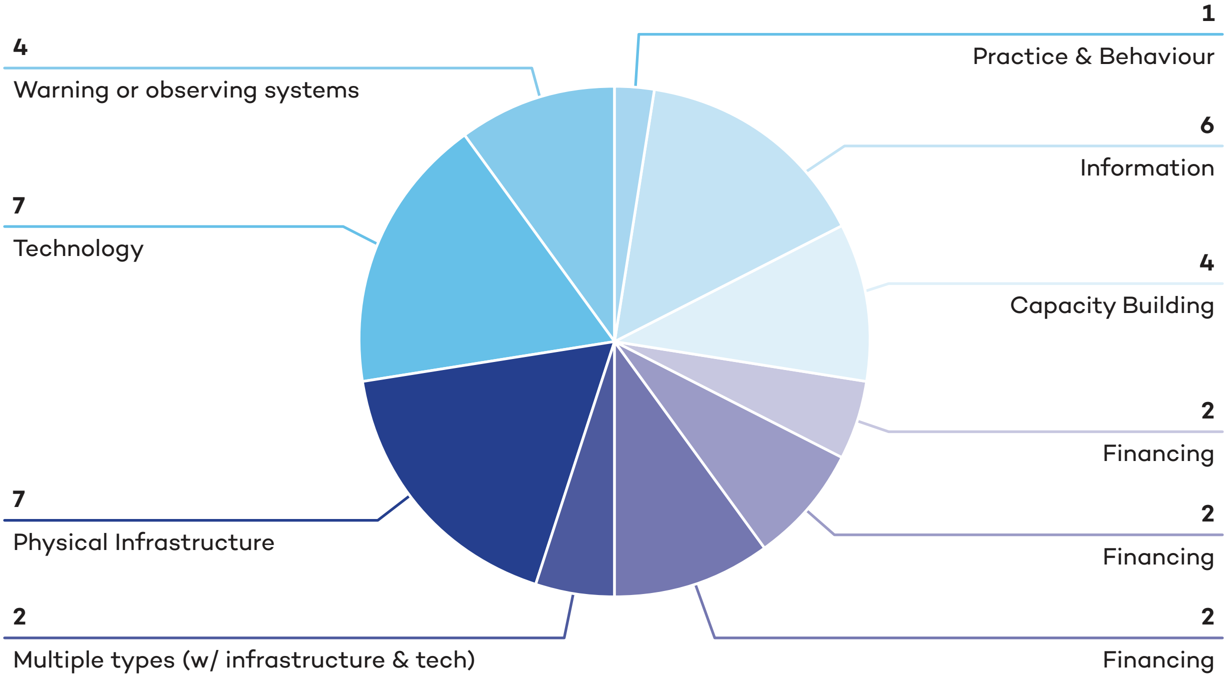
3.2.1.1 TYPE

Just under half of the concept notes considered include "hard" investments such as efforts to promote the adoption of new technology, build out early warning systems, or construct physical infrastructure. These types of projects can be interesting to any number of donors or institutions and will tend to be the types of projects to be supported by the GCF. Following their demonstration, some of the technology pilots, such as "Pilot Testing Climate-Resilient and Fuel-Efficient Fishing Fleets" (fisheries SASAP concept note #8), may have the potential to demonstrate a strong business case and might be able to attract private financing, particularly if the private finance sector has been effectively engaged in the NAP process and is an active partner in efforts to make Saint Lucia more resilient.

The concepts that are not "hard" investments are nevertheless extremely critical components of the NAP. However, these aspects—including studies, development of new policy initiatives, elaboration of action plans, information and education—may be less attractive on their own to some of the larger funds. Some of these funds do have windows for these types of assistance: there are components like this in the DVRP that Saint Lucia is already undertaking with the World Bank. Additionally, there are several bilateral donors that support these types of projects. The European Commission's Global Climate Change Alliance+ (GCCA+) may be a good source of funding for these categories of projects. There is likely less opportunity for private sector engagement in these types of projects.

The types of concepts notes are illustrated in **Figure 6**.

Figure 6. 39 SASAP concept notes by type



3.2.1.2 Scale

Table 2 shows the distribution of the concept notes by indicative scale of funding required.[10] The first element to note is that all but one of the concepts have a total indicative cost of less than USD 10 million (the only project exceeding that threshold is Water Concept Note #12: Land Acquisition and Public–Private Partnerships for Watershed Management, Protection and Infrastructure Upgrade in a Changing Climate). The concept notes are therefore relatively small from a climate finance perspective. USD 10 million is the threshold for the GCF's "micro" project category and is also the upper limit for the requests to the GCF under the Simplified Approval Process.

Additionally, it is worth noting that a significant majority of the concept notes with indicative costs (32 out of 39) have projected costs of less than USD 1 million. The relatively small scale of the projects being put forward may make it difficult to attract the interest of larger funds or their accredited intermediaries. The mean project scale for the AF, for example, is USD 6.5 million,[11] while the smallest project the fund has approved was for just under USD 670,000 (AF, 2019). In light of this, depending on funding source and value, **relevant actors should continue to look for opportunities to consolidate the smaller small-scale projects into larger programmes and include them in larger concepts that include "hard" investments in order to achieve scale. In fact, when the project concepts were developed, it was always the intention that there be flexibility for merging within and between SASAP thematic areas, depending on the source and scale of funding available.**

[10] The total is 39 rather than 40 because one concept note did not include an indicative cost.

[11] Calculated from Amerasinghe, Thwaites, Larsen, & Ballesteros, 2017.

Table 2. Distribution of concepts notes by indicative Cost

Indicative Cost Range (USD)	Count
0–100,000	8
100,001–250,000	8
250,001–1,000,000	16
1,000,001–10,000,000	6
10,000,001+	1

3.2.2 Multi-Criteria Analysis of Project concepts

As part of the development of a GCF Country Programme, the Department of Economic Development, Transport and Civil Aviation (DEDTCA) organised a series of district consultations throughout Saint Lucia. During these consultations, stakeholders were presented with a selection of 16 SASAP concept notes from across the water, fisheries and agriculture sectors. These had been chosen based on an assessment of their paradigm shift potential, expected sustainable development co-benefits and well-articulated alignment with the needs of the recipient. These 16 projects were in turn assessed by participants on the basis of:

- Ease of implementation
- Relevance for the region
- Urgency of implementation
- Potential to leverage additional resources.

The average scores by criterion were assessed, and all projects were given overall scores on the basis of the weighting enumerated in **Table 3**.

Table 3. District consultation scoring weights

Weights	
Ease of implementation	1
Relevance for region	2
Urgency of implementation	1
Potential to leverage additional resources	1

Based on this weighting, an initial prioritisation was put forward. The results of this assessment can be found in **Table 4**. **There is a clear focus on the prioritisation of water-related initiatives among the NAP activities, as was further reflected in participants' comments. In particular, there were multiple and repeated comments on the need for the expansion of rainwater harvesting**

beyond the agricultural sector. In addition to the water efforts, there was significant focus on agricultural efforts, as well as efforts to enhance the fisheries sector.

Table 4. Results of district consultations

Title	Weighted score (out of 25)
Public sensitsation toward improving the management, conservation and protection of water resources under a changing climate	21.48
Increasing water availability during dry periods: Pilot project for rainwater harvesting (RWH) systems for farms (poultry farms, small crop farm holdings)	20.89
Improving energy efficiency within the water sector in Saint Lucia through the introduction of renewable energy technologies into the operations of the Water and Sewerage Company Inc.	20.16
Climate-Resilient Agriculture Demonstration Centre (CRADE)	19.73
Climate-Resilient Agriculture (CRA) Demonstration Farms	18.99
Production and marketing of alternative and biological pesticides for the scaling up of climate-resilient agriculture in Saint Lucia	18.93
Development and implementation of a National Coral Reef and Seagrass Bed Management and Enhancement Policy and Action Plan to reduce the impacts of climate change	18.91
Establishment of the Beausejour Agriculture Station as National Centre of Excellence for Climate-Resilient Livestock Production	18.85
Alternative water solutions for building climate resilience in vulnerable groups dependent on rain-fed farming	18.75
Improving climate observations and monitoring systems to inform adaptation planning and strengthen early warning systems	18.61
Coastal Adaptation Blueprint for Saint Lucia	18.57
Piloting a financial system to build the capacity of fishers to adapt to climate change	18.14
Pilot testing climate-resilient and fuel-efficient fishing fleets in Saint Lucia	17.47
Land acquisition and public–private partnerships (PPPs) for watershed management, protection and infrastructure upgrade in a changing climate	17.25
Strengthening freshwater aquaculture and marine aquaculture through diversification and business opportunities	16.62
Piloting water and feed-efficient aquaculture systems to increase production, profitability, employment and climate resilience in the sector	16.36

3.2.3 Combining Concepts into Programmes

Taking a programmatic approach to climate finance has a number of benefits, and is being advanced across a variety of funds as the best approach for using funds to catalyse broader transformations. In the case of Saint Lucia, organizing the proposed project concepts into broader programmes has the added benefit of creating funding proposals on a scale that is interesting to potential funders.

Based on feedback from stakeholders, additional assessments and ongoing funding applications, three broader funding programmes have been identified, coinciding with the SASAPs that have thus far been developed.[12]

- In **Agriculture**, a multi-component programme was developed and submitted to the AF, and approved in 2019. This programme includes three components: building resilience and sustainability of farming systems through interventions for water security, soil conservation and management; integration of renewable and other energy-efficient practices in intensive agriculture value chains; and knowledge management and transfer to improve adaptive capacities. In the AF proposal, there is significant overlap with several of the concept notes developed for the SASAP, including: strengthening the capacity of agriculture extension officers (SASAP concept note #2); climate-resilient agriculture demonstration centre (CRADE) (#3); Alternative water solutions for building climate resilience in vulnerable groups dependent on rain-fed farming, including; rainwater harvesting systems (RWHS) (#4); public sensitsation toward improving management, conservation, and protection of water resources (#5); climate-resilient agriculture demonstration farms (#7); and agricultural diversification and agro-processing (#11).
- In **Fisheries**, a GCF programme concept is currently being developed. This would involve increasing capacity of fishers to manage climate risks (#3); strengthening freshwater aquaculture and marine aquaculture (#5); pilot testing climate-resilient and fuel-efficient fishing fleets (#8); and piloting water and feed-efficient aquaculture systems (#10), among other elements. Collaboration on these efforts is underway with the FAO.
- A **water sector GCF programme** concept was developed in coordination with the Caribbean Development Bank (CDB) and has been submitted to the GCF. This project includes energy efficiency & renewable energy integration in the water sector; a revolving fund for adaptation; efforts to enhance the resilience of water supply; and efforts to build the adaptive capacity of the WASCO and its consumers.

[12] This refers to the Water, Fisheries, and Agriculture SASAPs. At the time of writing, a Resilient Ecosystems Adaptation Strategy and Action Plan is under development. The tourism action plan, prepared in 2015, does not contain finance-ready concept notes. Steps are being taken to rectify this.

3.3 Further Analysis of NAP Measures and Alignment with Funding Sources

The NAP is organised into six cross-sectoral and 26 sectoral outcomes. Each of these outcomes has one or more strategic objectives, which in turn are envisioned as being achieved through a variety of measures.

An assessment of the strategic objectives and their possible alignment with select international climate funds can be found in Table A1 in Annex 1. This list is far from exhaustive and is focused on international climate funds, on the assumption that there is potential for national funds to be directed toward areas where international financing is unavailable.

Most funding sources focus on specific types of activities for support, such as national capacity building, integration of climate change into policy processes, technical assistance or concrete project investment. Some sources also have a specific sectoral focus: for example, IFAD's ASAP initiative is focused on adaptation for smallholder farmers, as well as having particular areas of activity that they concentrate on. These aspects of international funding sources are addressed in further detail in Section 2.2.

Decisions on which funding source to approach for a project will need to occur on a case-by-case basis, depending on the sector, type of activity, scale of the project, desired implementation arrangements and other relevant factors as appropriate. However, there are a number of commonalities between the strategic objectives:

- Several of the sectoral outcomes have strategic objectives focused on improving the **national legal and regulatory framework** to facilitate adaptation action in the relevant sector (generally Strategic Objective 1). These will presumably involve smaller-scale, grant-based support modalities. This type of work is often supported by bilateral donors, but may also be supported by entities such as the GCCA+, as well as through national budget allocations.
- Large investments, such as those focused on **infrastructure**, may be appropriate for the GCF or the AF. However, it is important to be able to make a strong case for the climate rationale of the project, tying the investment directly to how it will help the country cope with the existing and projected impacts of climate change. Such infrastructure investments may also be strong candidates for engaging the private sector through public–private partnerships.
- There are a number of **"soft" investments identified within the water sector** that involve changing behaviour to enhance the conservation of limited water resources. These types of investments may be appropriate for bilateral donors or the GEF small grants programme. Such actions may also provide opportunities for private sector enterprises to partner, for example, as part of corporate social responsibility or national budgetary efforts.
- Though the GCF and AF are primarily focused on funding concrete projects, each of them has **programmes that can help countries enhance their capacity or develop projects**. The GCF Readiness Programme, for example, can help with engagement of civil society and the private sector (Cross-Sectoral Outcome 3, Strategic Objective 2), and can help improve the country's capacity to access adaptation finance (Strategic Cross-Sectoral Outcome 6, Strategic Objective 1). Such efforts are also often strong candidates for bilateral cooperation.

4.0 Mapping Key Actors and Roles in Accessing Finance

An important component of the NAP Financing Strategy involves identifying the roles and responsibilities of the different actors involved. Key stakeholders in financing the NAP process include ministries, departments and agencies (MDAs), intermediaries and AEs to the GCF and AF, civil society and the private sector.

4.1 Ministries, Departments and Agencies

Government ministries, departments and agencies (MDAs) play a variety of roles in securing the financial and non-financial resources necessary for the development, implementation and monitoring and evaluation of the NAP. **Key roles for MDAs** include:

- **Generating and soliciting project ideas**
- **Providing project contributions and as appropriate, integrating adaptation into MDA budgets**
- **Approving funding proposals**
- **Liaising with international funders, civil society and the private sector**

Each of these roles is discussed in greater detail below.

4.1.1 Generating and Soliciting Project Ideas

MDAs can play a central role in the development of ideas that will be built into funding proposals to be presented to bilateral and international donors—they have already developed the project concept notes attached to the SASAPs. These project ideas can be conceptualised for solicitation of international financing, or as part of a request for budget allocation. The development of project concepts for funding will primarily be led by line ministries, who have the strongest understanding of the technical aspects of adaptation projects in their respective sectors.

DSD, in coordination with the DEDTCA, will solicit project concepts for the implementation of the NAP and will support the development of funding proposal concept notes through ongoing engagement and capacity-building efforts with key MDAs. These efforts will help ensure that line ministry staff have the knowledge and ability to develop high-quality project concepts that align both with national priorities and funder requirements. **It should also be noted that, while a collection of SASAPs and accompanying concept notes has been developed to date, this is by no means an exhaustive list, and the DSD intends to facilitate the development of further SASAPs and concept notes for priority sectors (in collaboration with appropriate MDAs) going forward.**

4.1.2 Providing Project Contributions (Financial and Non-Financial)

The NAP notes that "the execution of the NAP will … require the proactive engagement and time of [Government of Saint Lucia (GoSL)] staff and potentially, the allocation of new public resources."[13] While the implementation of the NAP anticipates the maintenance and scaling up of international support, many international funding sources seek projects where there is a financial or in-kind contribution by the Government or other stakeholders. Furthermore, as identified in Section 2.2.2, GoSL currently allocates significant resources to ongoing adaptation projects. As current adaptation-related projects conclude, it is appropriate that this budgetary capacity be reinvested in achieving Saint Lucia's adaptation priorities, as appropriate and in alignment with national priorities.

Further to efforts to date, more focused investments will be needed in building the capacity of budget officers from across Government ministries to understand adaptation and integrate it into their operating budgets. Furthermore, additional efforts are being made to track this spending on an ongoing basis through the centralised mandate of DEDTCA, working in collaboration with DSD, Ministry of Finance and others. This is also expected to include requisite engagement and training with budget officers.

Projects that originate within or outside the GoSL will involve the identification of project co-financing. Line ministries will provide estimates of the GoSL contribution to projects, whether financial or through in-kind contributions, such as the provision of staff time and/or equipment.

As per the NAP, for some prioritised sectors, it is anticipated that revenue may be generated from regulatory functions that may be directed to operations to supplement other support received.

4.1.3 Approving Funding Proposals

Government entities will play a key role in approving project proposals, whether to be financed through national budget, international donor funding, or a combination of both.

The **DSD, in its own capacity as the Department responsible for sustainable development and the Climate Change Focal Point, should be consulted by project proponents during the development process**. The DSD will provide guidance on the alignment of projects with the NAP objectives. The DSD is also the DNA for the AF.

Saint Lucia's National Climate Change Committee (NCCC) has responsibility for overseeing the implementation of the NAP. The NCCC's technical sub-committee will have several roles in the approval of projects. Adaptation project concepts that are submitted to DEDTCA (NDA for the GCF) and/or DSD (DNA for the AF) will be brought before the NCCC for review. Where appropriate, the NCCC will provide recommendations on approval or rejection, and on improvements to the project prior to consideration by DEDTCA and /or DSD.

All climate change adaptation projects[14] are expected to be considered by DEDTCA through the Public Sector Investment Programme (PSIP). DEDTCA is currently developing documentation for Saint Lucia's PSIP for the review, appraisal and approval of concept notes and full projects. In doing so, it will work toward the incorporation of climate change considerations, among other national priorities.

[13] NAP Section 4.7.1

[14] Mitigation projects are to be considered as well.

As the NDA to the GCF, DEDTCA is also responsible for providing a no-objection letter to AEs as a prerequisite for submission of projects to the GCF. These letters will be granted in accordance with the no-objection procedure that was developed under the GCF Readiness Programme, in 2019.

4.1.4 Liaising With International Funders and the Private Sector

Currently, a wide variety of line ministries work directly with international funders to access development assistance. However, policy guidance has been issued to bring about more coordination seeking international finance. **Going forward, engagement with international funders will be centrally managed by DEDTCA, working in collaboration with other MDAs**.

Though these are all to be centrally managed by DEDTCA, the points of contact for different international funders remain diverse. As noted above, the Permanent Secretary of DEDTCA functions as the NDA for the GCF and the focal point is the Chief Economist of the Department. The NDA is the formal interface and key point of contact between Saint Lucia and the GCF. Conversely, **DSD is the DNA for the AF, as well as the National Focal Point for the Climate Technology Centre and Network (CTCN). Coordination is therefore paramount**.

The private sector must be a strong ally in the achievement of the goals of the NAP. However, several common barriers to private sector involvement exist. These include: climate change awareness and information barriers; a lack of capacity; regulatory and policy barriers; and financing (Crawford & Church, 2019). As the entity responsible for NAP implementation, the NCCC is broadly responsible for private sector engagement. The DSD, as the Secretariat of the NCCC and the entity with operational responsibility for climate change, will coordinate the execution of selected approaches. **Line ministries are expected to be engaged to help open up lines of communication and must be involved in private sector engagement**. Approaches to private sector engagement are being further elaborated in a separate private sector engagement strategy under the NAP process.

4.2 Intermediaries/ AEs to the GCF & AF

Access to the GCF and to the AF is operationalised through intermediaries. For the GCF, these are known as National Direct, Regional Direct or International AEs, while the AF uses Regional, National and MIEs. These intermediaries are responsible for bringing project ideas forward to the GCF and AF Secretariat and Board, and play a key role from project origination to full development and implementation. It is worth noting that entities already accredited to the AF can use a fast-track accreditation process with the GCF. Saint Lucia is in the process of identifying national entities for accreditation to the GCF, with current discussions underway with the Saint Lucia Development Bank (SLDB). A list of AEs relevant to Saint Lucia is provided in **Table 5**.

In the case of the GCF, these entities also put forward their own Entity Work Programmes. Continued engagement between these entities and GoSL is a priority to ensure alignment between the entities' agendas and national priorities. Once projects are approved, AEs are then responsible for the implementation and monitoring and evaluation of these projects and programmes, whether they do so themselves, or they subcontract to other executing entities within the country.

Table 5. GCF Accredited Entities (AEs) relevant for Saint Lucia

Agence Française de Développement (AFD)
Caribbean Community Climate Change Centre (CCCCC)
Caribbean Development Bank (CDB)
Conservation International Foundation (CI)
Credit Agricole Corporate and Investment Bank (CIB)
Department of Environment of Antigua and Barbuda (DoE)
Deutsche Bank (DB)
Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ)
European Bank for Reconstruction and Development (EBRD)
European Investment Bank (EIB)
Food and Agriculture Organisation (FAO)
Inter-American Development Bank (IDB)
International Bank for Reconstruction and Development and International Development Association (World Bank)
International Finance Corporation (IFC)
International Fund for Agricultural Development (IFAD)
International Union for Conservation of Nature (IUCN)
Japan International Cooperation Agency (JICA)
Kreditanstalt für Wiederaufbau (KfW)
United Nations Development Programme (UNDP)
United Nations Environment Programme (UNEP)
World Food Programme (WFP)
World Meteorological Organisation (WMO)
World Wildlife Fund, Inc. (WWF)

Saint Lucia does not have any National Implementing Entities (NIEs) to the AF, but the CDB is accredited as a Regional Implementing Entity (RIE). Saint Lucia also has established relationships with several Multilateral Implementing Entities (MIEs) such as the World Bank, the Inter-American Development Bank (IDB), UNDP and UN Environment.

4.3 Civil Society

Civil society plays a key role in the prioritisation of adaptation projects in Saint Lucia. Civil society organisations can also identify needs and opportunities and play a key role in project origination, development and implementation. Civil society organisations can provide important technical input, and through their local knowledge can also strongly feed into impact studies and other preparatory documents.

Civil society organisations also play a **critical role in facilitating and ensuring that meaningful and inclusive consultations are held** in the development of projects, in particular at the community level. They also are **instrumental in the success of project implementation and in sustaining the results** beyond the lifespan of projects.

The Coalition of Civil Society Organisations maintains a directory of civil society organisations throughout Saint Lucia; DSD will continue to coordinate their NAP process with this coalition.

4.4 Private Sector

As previously noted, **private enterprises and financiers can play a number of important roles in the design and implementation of the NAP. Private enterprises can invest in enhancing the resilience of their own operations and thus improve the resilience of Saint Lucia's overall economy. Enterprises can also supply the products and services that can help build climate resilience to support NAP priorities** (Crawford & Church, 2019)

Private financiers—such as commercial banks, microfinance institutions, insurance companies, institutional investors, private equity, venture capital, private foundations and charities—can provide direct financing to enterprises for adaptation action, and can support Government interventions in a variety of ways, including through public–private partnerships. In certain cases, private financiers can access international climate finance or can act as channels for the distribution of this finance to end users.

Saint Lucia has a number of business membership organisations (BMOs), such as the Saint Lucia Chamber of Commerce, Industry and Agriculture; the Saint Lucia Hospitality and Tourism Association; the Manufacturers and Small Business Associations; and the Employers Federation and Coalition of Service Providers. These organisations may prove pivotal to private sector engagement in NAP financing.

4.5 Roles for Different Actors in NAP Financing

Based on the above discussion of the different actors in the NAP financing process, **the following roles can be identified**:

- **Generating project ideas**
- **Enhancing project development capacity/supporting project development**
- **Contributing resources to projects**
- **Approving projects**
- **Engaging donors/submitting proposals**
- **Engaging the private sector**
- **Implementing projects, monitoring & evaluation.**

Table 6 summarises these expected roles in the NAP process and the actors who are expected to take on these roles.

Table 6. Roles of key actors in NAP financing

Organisation/ entity	Generating project ideas	Enhancing project development capacity/ Support project development	Contributing resources to Projects	Approving projects	Engaging donors/ submitting proposals	Engaging the private sector	Implementing projects	Monitoring and evaluation
Department of Sustainable Development	●	●	●	● (in select cases)	● (in select cases)	●	●	●
National Climate Change Committee	●	●		●[15]		●		●
Department of Economic Development		●		●[16]	●			●
Line ministries	●	●	●		●	●	●	●
Accredited entities	●		●		●	●	●	●
Civil society	●	●	●				●	●
Private sector	●		●			●	●	●

[15] Preliminary selection/approval.

[16] Final approval through PSIP (and no-objection procedure, as appropriate).

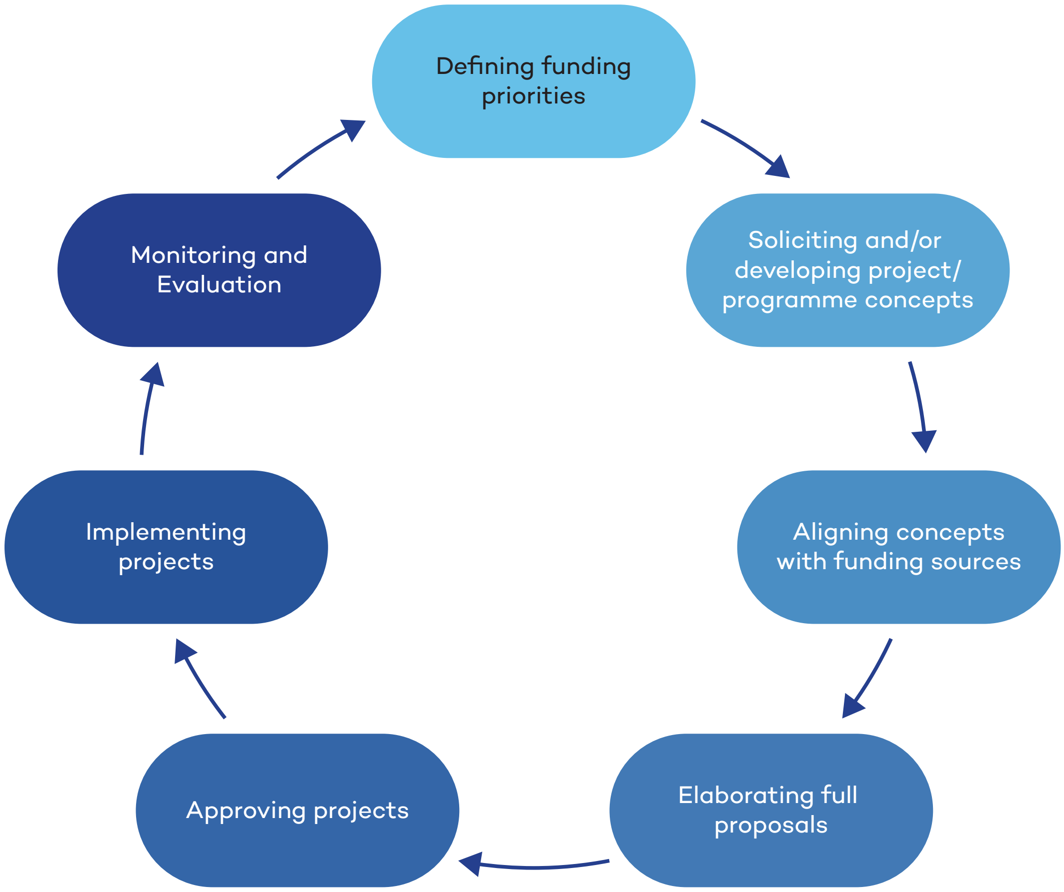
5.0 Financing the NAP

5.1 Cycle of NAP Finance

Financing the NAP process will be an ongoing iterative process (see Figure 10). It involves:

- **Defining funding priorities**
- **Soliciting and/or developing project/programme concepts**
- **Aligning concepts with funding sources**
- **Elaborating full proposals**
- **Approving projects**
- **Implementing projects**
- **Monitoring and evaluating project implementation.**

Figure 7. NAP financing process



5.1.1 Defining Funding Priorities

The NAP will not be financed all at once. It is, therefore, necessary for GoSL to maintain an iterative process of developing funding priorities. This should also be considered in the context of additional ongoing projects, such as the programme development cycles related to a variety of funding sources, including the GCF, the GEF Small Grants Programme and other relevant processes.

Priorities have been defined within the NAP, and activities are defined by whether they are to begin in the short term (2018–2021), medium term (2021–2024), or long term (2024–2028), based on the degree of urgency. The monitoring of the implementation of the NAP will be facilitated through the DSD, with support from the NCCC (GoSL, 2018). **According to the NAP, the NCCC is expected to "lead the process of monitoring and periodic review of NAP implementation progress, collecting best practices and steering the process to incorporate activities to solve unforeseen problems and gaps that jeopardise the NAP from achieving its goals; or activities to tap into emerging funding opportunities." The NAP also indicates that "to promote ownership and the progressive integration of climate adaptation considerations into sectoral development activities, the formulation and execution of SASAPs and the implementation of adaptation measures outlined in the NAP for the priority sectors will be the responsibility of the line ministries and agencies with the mandate for managing those sectors."**

5.1.2 Soliciting/Developing Project Concepts

Once funding priorities have been defined, a process will be undertaken to convert these into project concepts. The nature of the process will depend on the type of project—for projects that should clearly be led by the public sector, the NCCC may request that a particular line ministry take the lead on the development of a project concept. Alternatively, the NCCC may wish to solicit project or programme ideas for the priority areas from the private sector, project implementers and/or GCF AEs.

Appropriate templates for initial consideration may be determined on an as-needed basis. It is expected that these initial solicitations will maintain a low burden of entry, so as to encourage participation from qualified entities. Further details may be developed within the following phase.

5.1.3 Aligning Concepts With Funding Sources

Project concepts will be aligned with appropriate sources of funding. This will involve:

- Review of nationally available resources, including national and sectoral budgets, subnational budgets, relevant domestic public funds (such as dedicated funds of the SLDB), and potential domestic fiscal instruments that may be used to generate revenues from/for the relevant activities (taxes, licensing fees, bonds, etc.).
- Identification of available sources of international finance that are appropriate for the sector and types of activities being put forward (as appropriate).
- Consideration of the appropriateness and availability of private sector investment (such as through a joint venture or PPP).

These efforts may require more information than was additionally solicited in the previous phase. Project proponents may be asked to utilise the PSIP template and/or the GCF concept note template, as appropriate. The latter template provides a relatively comprehensive overview of a project concept and may be useful even if other funding sources are selected.

In keeping with its efforts to have a central climate finance tracking system, DEDTCA will work with DSD and line ministries, in conjunction with the NCCC, to coordinate these efforts. During this stage, projects should also be submitted to the PSIP process for review.

If it is determined that the GCF is a potential targeted funding source for the project or programme in question, an accredited entity should be identified (if this has not already been done). Certain funds, such as the GCF, allow the submission of concept notes for review prior to the development of full proposals for the purpose of receiving feedback; this process can be pursued to ensure that proposals are strong and have a higher chance of approval.

It should be noted that both the landscape of potential sources of funding, and the priorities of individual sources of funding, are constantly evolving, and as such DEDTCA, as the domestic entity with responsibility for managing development finance, should ensure that these developments are tracked and pertinent information is relayed to relevant MDAs and other national partners.

5.1.4 Elaborating Full Proposals

Once funding sources have been identified, concepts will be developed into full proposals tailored to the appropriate funding source(s). Development of a full project proposal will require substantial additional resources; in-depth elements such as feasibility studies and risk assessments will need to be completed. In the case of GCF projects or programmes, this step will be completed by, or in close collaboration with, the AE. As such, project proponents and DEDTCA may, at this point, wish to solicit funds from an appropriate source to support the proposal development process, such as the GCF PPF.

PPPs for adaptation priorities will be solicited in alignment with the processes established by the Government's PPP policy. As such, the proposal components will depend on the particular requirements of that process.

5.1.5 Approving Projects

Once projects have been elaborated, they are submitted to the appropriate funding sources for consideration. For projects (or components of projects) that are to be funded through budget appropriations, this means going through the national budgetary process. For multilateral funders, this typically involves assessment by a technical body with a recommendation for approval by a board or other governing body at a board meeting. For bilateral donors, this generally involves consideration by the relevant ministry or authority, according to their funding and budget cycles. In situations where proposals are solicited from private sector actors, such as PPPs, the appropriate authorities as established in the policy's implementation will approve or reject the proposal in line with the PPP policy.

5.1.6 Implementing Projects

Approved projects are then implemented by the relevant entities and/or accredited intermediaries and executing entities. The implementing entities are also in charge of evaluation and monitoring of the results of the projects and reporting to the GoSL and to the funder.

5.1.7 Monitoring and Evaluation of Project Implementation

Once projects are in the implementation phase, their progress and impact will be monitored and reported on. Saint Lucia's NAP Monitoring and Evaluation plan (GoSL, 2018) provides a framework for reviewing the implementation of the NAP process. This will involve the completion of questionnaires by line ministries as well as in-person reports via NCCC meetings and other elements. Costs of monitoring and evaluation of the overall NAP may be expected to be covered by the national budget allocations for DSD's operations and/or ongoing support received to enhance the capacity of DSD.

Funding for monitoring and evaluation of individual projects will depend on the type of project undertaken. For internationally financed projects, a monitoring and evaluation plan is generally required at the proposal stage. For private sector projects with public sector participation, such as PPPs, it is important that monitoring and evaluation be considered in the funding arrangements. For a project undertaken entirely with domestic budget, funding should be allocated to assess progress and impact.

These steps are presented as a cycle to represent the iterative nature of the process. However, while lessons learned from each step of the cycle should inform the next iteration, financing of the next set of NAP priorities should not wait for the completion of the approved projects.

5.2 Ongoing and Additional NAP Financing Activities

Enhancing the effectiveness of Saint Lucia's efforts to finance its NAP process and ensuring the efficiency and maximum impact of the invested resources will require continuous work. A number of additional activities will have to occur on an ongoing basis. These include:

- **Engagement with the private sector**
- **Strengthening relationships with AEs, implementers and other relevant entities**
- **Enhancing national AEs' capacity for project origination, development and management**
- **Improving capacity to track and monitor public expenditure on climate resilience**
- **Training relevant actors to effectively solicit and use climate finance**
- **Further development of SASAPs**
- **Further engagement and coordination with existing bilateral donors.**

5.2.1 Engaging With the Private Sector

The private sector can play a key role in the implementation of the NAP. All Ministries with the mandate and authority for implementing the NAP and SASAPs are expected to engage the private sector at all stages of the national adaptation planning process. DSD will continue to support this process where practical and appropriate. **Specific approaches for private sector engagement are further elaborated in the Private Sector Engagement Strategy as part of Saint Lucia's NAP process**.

5.2.2 Strengthening Relationships With Accredited Entities, Implementers and Other Relevant Entities

Projects are submitted to the GCF through AEs and to the AF through national, regional or MIEs. Several entities are accredited to both. It is the responsibility of DEDTCA, as the NDA to the

GCF and as the entity with responsibility for managing development and climate finance, to cultivate, maintain, and strengthen relationships with these entities, and to ensure that Saint Lucia has access to a pool of AEs and implementing entities with a mix of proven track records, capabilities, experiences and resources aligned with the country's adaptation priorities.

It is further the responsibility of DSD, as its DNA, to maintain relationships with the AF, and that of line ministries to maintain and strengthen relationships with other international organisations with whom they have existing relationships.

5.2.3 Enhancing National Accredited Entities' Capacity for Project Origination and Management

The most important function of GCF AEs is to develop project and programme proposals along with managing and monitoring implementation of those projects and programmes. As the NDA, DEDTCA is responsible for the nomination of national AEs and can potentially access additional resources to improve the capacities of these AEs. DEDTCA, working with the DSD and in conjunction with the NCCC, will nominate entities for accreditation, as appropriate, and will work with them to improve their capacity to originate projects that align with national priorities.

5.2.4 Tracking Public Expenditures on Climate Adaptation

Saint Lucia spent an estimated XCD 80 to XCD 90 million (USD 29.6 to 33.3 million) on adaptation activities in 2016–2017, according to the IMF. However, the country lacks a broader approach for tracking public investment in climate change adaptation. **If Saint Lucia does not track its climate-related expenditures, it will forego a number of the benefits that emerge from this practice** (Bain, Nguyen, & Baboyan, 2019):

- **Raising awareness and understanding of climate change** – Some country governments, such as Nepal, have effectively used climate budget tagging to assess the scale of effort of their line ministries and motivate further action.
- **Mobilising resources for climate change** – By demonstrating the amount that the country is spending, Saint Lucia can show a national commitment to addressing climate change and its impacts. Furthermore, it can show more concretely where gaps in adaptation and mitigation financing exist.
- **Improved monitoring and reporting of climate change policy and progress** – Countries are expected to provide regular updates to the international climate change convention on their progress toward meeting their NDCs as well as on progress toward the SDGs. Routine collection of climate expenditure data can support these efforts.

DEDTCA will engage with DSD, Ministry of Finance, the NCCC and others to consider the feasibility of potential approaches for tracking adaptation spending by the GoSL, such as the Climate Public Expenditures and Institutional Review, developed by UNDP or the Adaptation Finance Accountability Initiative.

Tracking domestic adaptation spending can also be a component of a broader climate finance tracking system for transparency purposes, including under the Paris Agreement and to inform upcoming Adaptation Communications.

These efforts will build on existing experience, in particular the lessons learned from the UN Environment/UNDP/WRI GCF Readiness Programme (UN Environment/UNDP/WRI, 2019). This work has shown the importance of engaging with local governments in tracking relevant expenditure, as well as the importance (and challenges) of developing definitions of what counts as relevant expenditures.

5.2.5 Training Relevant Actors to Effectively Solicit and Use Climate Finance

As per NAP measure #40, **the NCCC, through the DSD and in collaboration with DEDTCA, will deliver hands-on climate finance trainings to relevant actors periodically throughout the implementation of the NAP process**. These include both public sector actors, such as line ministries and their budget officers, as well as private sector actors from whom proposals and/or PPP ideas may be solicited.

Some of these have already taken place under the national adaptation planning process, as well as through related climate finance efforts, including the GCF Readiness Programme.

5.2.6 Further Development of SASAPs

The **GoSL will work to secure resources to complete SASAPs for all relevant sectors identified within the NAP**. This will provide greater information on the types of activities to be undertaken, and involve the development of additional concept notes that can be used to seek national and/or international financing. The GCF's Readiness Programme has a window dedicated to adaptation planning that can be accessed for this purpose.

5.2.7 Further Engagement With Existing Bilateral Donors

The **GoSL will continue to engage with the various donors that have provided support in the past for resilience and adaptation activities—and further cultivate these relationships in the context of NAP implementation**—through the communication of priority projects and participation in selected fora and events.

5.2.8 Identification of a Full Set of Financial Resources Required for NAP Implementation

To date, the SASAPs are semi-costed—there are cost estimates associated with the SASAP concept notes, but understandably, not the broader measures, for which scope and scale (and therefore cost) would emerge only when elaborated via concept note. In recognition of the fact that the NAP and SASAPs are meant to be living instruments, over time, the relevant MDAs should work toward the elaboration of concept notes that are reflective of the full scale of adaptation measures and subsequently the development of a full accounting of the expected adaptation costs associated with their relevant SASAPs. This will allow for the effective strategic planning of financial needs over time and the assessment of appropriate sources of finance—national and international, public and private. This information will further support the communication of needs for effective country programming with respect to various climate-related funds and can help determine where support can be most impactful. Indicative bottom-up costing efforts should thus continue on an ongoing basis, in alignment with urgency (as indicated in through the inclusion of the implementation periods in the SASAP documents).

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Annexes

Annex 1. Assessment of Strategic Objectives and Select International Climate Funds

As part of the process of developing this climate financing strategy, an assessment of the strategic objectives of the NAP was undertaken by Climate Analytics, who were contracted to support DSD in the development of this strategy. This exercise primarily focused on the types of actions anticipated to be undertaken as a result of the strategic objective. Assessments were primarily made on the basis of how well the types of activities that would be undertaken are likely to align with the priorities of the fund in question, including focus on specific sectors or activity types.

Table A1. Strategic Objectives and Select Climate Funds

Strategic objective	GCF	AF	WB	GEF	ASAP	GCF readiness	GCCA
CROSS-SECTORAL PRIORITIES							
Outcome 1: Improved national, legal, and regulatory framework to facilitate climate adaptation across sectors							
Strategic objective 1. Accelerate policy, legislative and regulatory processes indispensable for adaptation planning and implementation across sectors							•
Outcome 2: Increased generation and use of climate information in national and sectoral decision making							
Strategic objective 1. Improve access and use of climate, socioeconomic and environmental information relevant to adaptation			•	•			
Strategic objective 2. Generate climate, environmental and socioeconomic data and science-based information critical to adaptation across sectors			•				
Strategic objective 3. Enhance Research and Systematic Observation (RSO) in themes that are critical to climate change adaptation			•				
Strategic objective 4. Strengthen public communication and outreach efforts on adaptation			•				•
Outcome 3: Increase capacities to design and implement climate adaptation projects across sectors							
Strategic objective 1. Strengthen institutional capacities to undertake results-based management			•				•
Strategic objective 2. Strengthen institutional capacities to engage civil society and the private sector in adaptation efforts			•			•	•
Outcome 4: Strengthen national capacities for integrating climate adaptation considerations into national development agendas, programmes, and projects							
Strategic objective 1. Identify and utilise opportunities for climate change adaptation integration at the policy and action level			•				•
Strategic objective 2. Strengthen skills required for adaptation integration at all levels of government			•				•
Strategic objective 3. Strengthen coordination of adaptation planning and action							•

Strategic objective	GCF	AF	WB	GEF	ASAP	GCF readiness	GCCA
Outcome 5: Strengthened preparedness to climate variability and extremes at the sectoral and national levels							
Strategic objective 1. Increase national human capacity to assess and address climate-related vulnerability and risk			•	•			•
Outcome 6: Increased funding for climate adaptation action							
Strategic objective 1. Increase national capacity to secure funding for adaptation			•			•	
WATER							
Outcome 1: Enhanced enabling environment and improved behaviour for water-related climate adaptation action							
Strategic objective 1. Improve the national policy, legal and regulatory framework to facilitate climate adaptation in the water and water-dependent sectors			•				•
Strategic objective 2. Scale up national human capacity for the design and implementation of water-related climate adaptation projects			•				•
Strategic objective 3. Increase public awareness of integrated water resource management				•			•
Outcome 2: Increased water access, availability, and quality							
Strategic objective 1. Strengthen Integrated Watershed Management to build climate resilience				•			•
Strategic objective 2. Promote the sustainable use of alternative water sources to ensure water availability under a changing climate				•			
Strategic objective 3. Improve wastewater management to reduce pollution and increase water availability under a changing climate				•			
Strategic objective 4. Set and scale up water quality and pollution control in a changing climate			•				
Outcome 3: Increased water efficiency and conservation							
Strategic objective 1. Improve water infrastructure to build climate resilience	•	•					
Strategic objective 2. Encourage water efficiency under a changing climate by improving water pricing, water utility revenue and water conservation incentives			•	•			
Strategic objective 3. Promote climate-smart agriculture	•	•		•			•
Outcome 4: Strengthened preparedness to climate variability and extremes							
Strategic objective 1. Improve hydrometeorological monitoring, emergency planning and decision making	•		•				
Strategic objective 2. Minimise water-related climate change risks by adopting ecosystem-based adaptation solutions			•				
Strategic objective 3. Promote climate-resilient business development			•				
AGRICULTURE							
Outcome 1: Enhanced enabling environment for climate adaptation action in the agriculture sector							
Strategic objective 1. Improve the national legal, regulatory and institutional framework to facilitate climate adaptation in the agriculture sector					•		•

Strategic objective	GCF	AF	WB	GEF	ASAP	GCF readiness	GCCA
Strategic objective 2. Strengthen research and development in climate-resilient agriculture to improve access to climate-resilient varieties and local inputs (organic fertiliser and natural pesticides)				•	•		•
Strategic objective 3. Enhance human and institutional capacity for the design, implementation, monitoring and evaluation of agriculture-related climate adaptation projects			•	•			•
Outcome 2: Enhanced nutrition, food availability, quality, and security through adaptation in the agriculture sector							
Strategic Objective 4. Promote climate-resilient crop production	•	•		•	•		•
Strategic Objective 5. Promote climate-resilient livestock production	•	•		•	•		•
Strategic Objective 6. Strengthen resilience and ecosystem services through Integrated Sustainable Land and Watershed Management	•	•	•	•	•		•
Strategic Objective 7. Advance water supply-side management by improving rainwater harvesting and water storage infrastructure		•		•			
Strategic Objective 8. Scale up water demand-side management by improving water and soil conservation best practices					•		
Strategic Objective 9. Promote Sustainable Wastewater Management by reducing, reusing and recycling of agro-waste resources					•		
Outcome 3: Strengthened partnerships for scaling up climate-resilient agriculture							
Strategic Objective 10. Forge a strong public–private partnership to scale up climate-resilient agriculture best practices and businesses			•		•	•	•
Strategic Objective 11. Leverage private sector resources by improving access to resilient financial and business supports and best practices for scaling up crop and livestock production			•		•		
Outcome 4: Strengthened preparedness to climate variability and extremes in the agriculture sector							
Strategic Objective 12. Improve agro-meteorological data monitoring, emergency planning and informed decision making	•		•		•		•
Strategic Objective 13. Minimise agriculture-related climate change risks by adopting ecosystem-based adaptation solutions	•	•	•	•	•		•
Strategic Objective 14. Scale up climate-resilient agricultural infrastructure to reduce climate risks	•	•			•		•
FISHERIES							
Outcome 1: Enhanced enabling environment for climate adaptation action in the fisheries sector							
Strategic objective 1. Improve the national policy, legal, regulatory and institutional framework to facilitate climate adaptation in the fisheries sector			•				•
Strategic objective 2. Enhance human and institutional capacities for the design, implementation, monitoring and evaluation of fisheries-related climate adaptation projects			•	•			•

Strategic objective	GCF	AF	WB	GEF	ASAP	GCF readiness	GCCA
Outcome 2: Enhanced nutrition, food availability, quality and security through adaptation in the fisheries sector							
Strategic objective 1. Improve productivity through climate-resilient fisheries management systems				•			•
Strategic objective 2. Promote climate-resilient aquaculture production in response to a changing climate		•		•			•
Strategic objective 3. Promote alternative livelihoods creation and development and strengthen climate resilience in fishery-dependent businesses		•		•			
Outcome 3: Strengthened partnerships for building sustainable and resilient fisheries in a changing climate							
Strategic Objective 1. Improve access to financial and business support for leveraging private sector investment into the fisheries sector			•			•	
Outcome 4: Strengthened preparedness to climate variability and extremes in the fisheries sector							
Strategic objective 1. Strengthen climate monitoring and communication for emergency planning and informed decision making	•	•					
Strategic objective 2. Scale up climate-resilient fisheries infrastructure to reduce climate risks	•	•	•				
INFRASTRUCTURE AND SPATIAL PLANNING							
Outcome 1: Enhanced enabling environment for climate adaptation in infrastructure and spatial planning							
Strategic objective 1. Accelerate policy, legislative and regulatory processes indispensable for adaptation planning and implementation			•				
Outcome 2: Strengthened infrastructure to withstand climate impacts							
Strategic objective 1. Retrofit existing and build climate resilience of new infrastructure	•	•	•				
Outcome 3: Enhanced infrastructure-based climate adaptation							
Strategic objective 1. Promote infrastructural upgrades for climate adaptation	•	•	•				
Strategic objective 2. Enhance port operations and safety under a changing climate	•	•	•				•
Outcome 4: Strengthened preparedness to climate variability and extremes							
Strategic objective 1. Increase emergency response capacity				•			•
Strategic objective 2. Increase national capacity to assess and address climate-related vulnerability and risk			•	•			•
NATURAL RESOURCE MANAGEMENT							
Outcome 1: Enhanced enabling environment for ecosystem-based adaptation and natural resource management under a changing climate							
Strategic objective 1. Improve the national legal and regulatory framework to facilitate natural resource management and ecosystem-based adaptation under a changing climate			•				•
Strategic objective 2. Set up and enhance existing environmental monitoring systems	•	•	•				
Outcome 2: Increased ecosystem quality and coverage							
Strategic objective 1. Increase coverage of sustainably managed and protected ecosystems			•				•
Strategic objective 2. Reduce the impact of ecosystem degradation factors							•

Strategic objective	GCF	AF	WB	GEF	ASAP	GCF readiness	GCCA
Outcome 3: Strengthened ecosystem-based adaptation							
Strategic objective 1. Enhance ecosystem services to reduce climate risks			•				•
EDUCATION							
Outcome 1: Enhanced enabling environment for climate adaptation education							
Strategic objective 1. Facilitate climate adaptation learning							•
Outcome 2: Improved and expanded climate change education as the basis for effective adaptation							
Strategic objective 1. Facilitate climate change teaching							•
Strategic objective 2. Increase public awareness on climate change and adaptation options				•			•
Outcome 3: Professional capacities built for leading future climate adaptation planning implementation							
Strategic objective 1. Build in-country specialised professional capacities for climate change adaptation planning and implementation			•				
Outcome 4: Strengthening preparedness to climate variability and extremes							
Strategic objective 1. Improve infrastructure for education continuity under a changing climate	•	•					
HEALTH							
Outcome 1: Enhanced enabling environment for health-related climate adaptation action							
Strategic objective 1. Improve the national legal and regulatory framework to facilitate adaptation in the health sector			•				
Strategic objective 2. Generate climate, environmental and socioeconomic data and science-based information critical to adaptation in the health sector			•				
Outcome 2: Improved public health under a changing climate							
Strategic objective 1. Reduce the risk of climate-sensitive vector-borne disease outbreaks and improve outbreak management				•			
Strategic objective 2. Reduce health risks during heat waves				•			
Strategic objective 3. Improve health surveillance systems				•			
Strategic objective 4. Improve health care and information for vulnerable groups				•			
Outcome 3: Strengthened preparedness to climate variability and extremes							
Strategic objective 1. Strengthened health system emergency planning and response				•			
TOURISM							
Outcome 1: Viable and productive tourism sector through direct intervention and collaboration and synergies with all other sectors							
No strategic objectives identified							

Annex 2. List of Participants in Stakeholder Sessions and Contributors to Saint Lucia's Climate Financing Strategy

DEPARTMENT OF SUSTAINABLE DEVELOPMENT
Saint Lucia's National Adaptation Plan (NAP) Process
Private Sector Engagement and Climate Financing Strategies Consultations
Palmville Conference Room, Coco Resorts, Rodney Bay, Gros-Islet
Monday, February 11, 2019

ATTENDANCE REGISTER

	NAME OF ORGANISATION	DESIGNATION	NAME
	OFFICE OF THE PRIME MINISTER		
1	National Emergency Management Organisation (NEMO)	Programme Development Officer – Training and Public Awareness	Andrew George
	MINISTRY OF AGRICULTURE, FISHERIES, PHYSICAL PLANNING, NATURAL RESOURCES AND COOPERATIVES		
	Department of Agriculture, Fisheries, Natural Resources and Cooperatives		
2	Department of Agriculture	Chief Extension Officer	Kemuel Jn. Baptiste
3		Crop Protection Officer	Cletus Joseph
4	Forests and Land Resources Department	Assistant Forestry Officer	Rebecca Rock
5	Water Resources Management Agency (WRMA)	Acting Director	Jason Ernest
6	Veterinary and Livestock Division (VET)	Animal Assessment Officer	Daryl Best
7	Department of Physical Planning	Senior Cartographer	Suzanna Aurelien
8		Civil Engineer	Jeanelle Fevrier-Popo
	MINISTRY OF ECONOMIC DEVELOPMENT, HOUSING, URBAN RENEWAL, TRANSPORT AND CIVIL AVIATION		
9	Department of Economic Development, Transport and Civil Aviation	Economist	Charlin Louisy-Regis
10	Department of Housing	Chief Housing Officer	Jenny Daniel
11		Physical Planning Officer	Kahlil Glasgow
	MINISTRY OF FINANCE, ECONOMIC GROWTH, JOB CREATION, EXTERNAL AFFAIRS AND PUBLIC SERVICE		
12	Research and Policy	Economist	Nalisa Marieatte
13	Budget Office	Budget Analyst	Regina Andrew

	NAME OF ORGANISATION	DESIGNATION	NAME
14	Accountant General's Office	Accountant	Melissa Tenna-Joseph
	MINISTRY OF TOURISM, INFORMATION AND BROADCASTING		
15	Department of Tourism	Tourism Officer	Deepa Girdari
	MINISTRY OF HEALTH AND WELLNESS		
16	Department of Health	Social Planner	Jackie Joseph-Mills
17	Department of Environmental Health	Assistant Chief Environmental Health Officer	Cheryl St. Romain
	MINISTRY OF INFRASTRUCTURE, PORTS, ENERGY AND LABOUR		
18	Department of Infrastructure	Meteorological Officer	Vigil Saltibus
19		Meteorological Officer	Andre Joyeux
20	Renewable Energy Division	Energy Officer	Benise Joseph
	MINISTRY OF EDUCATION, INNOVATION, GENDER RELATIONS AND SUSTAINABLE DEVELOPMENT		
21	Gender Relations Division	Gender Relations Officer	Rohn Peter
	Department of Sustainable Development (DSD)-Lead Agency		
22	Department of Sustainable Development (Policy and Planning)	Acting Permanent Secretary	Caroline Eugene
23		Acting Deputy Permanent Secretary	Silka Tobias
24		Chief Technical Officer	Samanthia Justin
25	Accounts Division	Senior Accountant	Desmond James
26		Chief Sustainable Development and Environment Officer	Annette Rattigan-Leo
27	Sustainable Development and Environment Division (SDED)	Deputy Chief Sustainable Development & Environment Officer	Dawn Pierre-Nathoniel
28		Sustainable Development & Environment Officer	Maier Sifflet
29		DVRP/PPCR Communications Officer (Climate Change)	Lucius Doxerie
30		DVRP/PPCR Administrative Assistant	Marcia Sharon Charles
31		Sustainable Development and Environment Officer	Jeanel Volney
32		Professional Cadet	Snaliah Mahal
33		MEA Project Manager	Teshia Jn. Baptiste
34	Protected Areas Management (PAM)	Manager	Augustine Dominque
35	Saint Lucia Air and Seaports Authority (SLASPA)	Maritime Assistant	Thecla Joseph
36	Saint Lucia Electricity Services (LUCELEC)	Distribution Planning Technician	Mugabe Alexander
37		Education and Public Information Manager	Emlyn Jean
38	Soufriere Marine Management Association (SMMA)	General Manager	Michael Bobb

	NAME OF ORGANISATION	DESIGNATION	NAME
39	Sir Arthur Lewis Community College (SALCC)	Institutional Development Specialist	Cathy James-Springer
40	Caribbean Youth Environment Network (CYEN)	Member	Sophie Klein
41		Member	Vitanee Blasse
42	National Skills Development Centre (NSDC)	Deputy Manager	Barry Paul
43	Caribbean Public Health Agency (CARPHA)	Technical Officer	Kim Newton-James
44	Caribbean Water and Sewerage Association Inc. (CAWASA)	Executive Director	Ignatius Jean
45	Caribbean Electric Utilities Services Corp (CARILEC)	Technical Services Manager	Andrew Thorington
46	Invest Saint Lucia (ISL)	Manager	David Desir
47	Banana Industry Trust (BIT)	Executive Director	Bertram Clarke
48	National Housing Corporation (NHC)	Engineer	Marvin Williams
49	St. Lucia Manufacturers Association (SLMA)	Vice president	Nicholas Barnard
50	Saint Lucia Development Bank (SLDB)	Managing Director	Vincent Boland
51	Saint Lucia Industrial Small Business Association (SLISBA)	Senior Programme Officer	Nissa Henry
52	RAC Masters	Administrative Assistant	Anika Armstrong
53	GK Insurance (EC)	Business Development Manager	Roger Hare
54	Royalton Saint Lucia	Environmental Coordinator	Casey Andrew
55	Saint Lucia Employers Federation	Membership Services Officer	Arlene Renee
56	Sol-Lucian Inc.	Renewable Manager	Ricardo James
57	Climate Analytics	Policy Advisor	Paolo Cozzi
58		Consultant	Mc Hale Andrew

DEPARTMENT OF SUSTAINABLE DEVELOPMENT
Saint Lucia's National Adaptation Plan (NAP) Process
Accessing Climate Finance Workshop
Golden Palm Conference Centre, Rodney Bay, Gros-Islet
July 17–18, 2019

ATTENDANCE REGISTER

	NAME OF ORGANISATION	DESIGNATION	NAME
	MINISTRY OF FINANCE, ECONOMIC GROWTH, JOB CREATION, EXTERNAL AFFAIRS AND THE PUBLIC SERVICE		
1	Department of Finance	Economist	Jilayne Clery-King
	MINISTRY OF ECONOMIC DEVELOPMENT, HOUSING, URBAN RENEWAL, TRANSPORT AND CIVIL AVIATION		
2	Department of Economic Development	Chief Economist	Tommy Descartes
3		Economist	Donette Charlery
	MINISTRY OF AGRICULTURE, FISHERIES, PHYSICAL PLANNING, NATURAL RESOURCES AND COOPERATIVES		
4	Department of Agriculture	Crop Protection Officer	Cletus Alexander
5		Chief Extension Officer	Kemuel Jn. Baptiste
6	Department of Fisheries	Fisheries Officer	Allena Joseph
7	Veterinary and Livestock Services (Vet)	Animal Husbandry Officer	Darryl Best
8	Forests and Land Resources Department	Assistant Chief Forestry Officer	Rebecca Rock
9		Forestry Officer	Donatian Gustave
10	Water Resources Management Agency	Acting Director	Jason Ernest
11		Water Resource Specialist	Miguel Montoute
	MINISTRY OF EDUCATION, INNOVATION, GENDER RELATIONS AND SUSTAINABLE DEVELOPMENT		
12	Department of Gender Relations	Gender Relations Officer	Rohn Peter
13	Department of Sustainable Development (DSD)-Lead Agency	Chief Technical Officer	Samanthia Justin
14		Senior Accountant	Desmond James

	NAME OF ORGANISATION	DESIGNATION	NAME
15	Sustainable Development and Environment Division (SDED)	Deputy Chief Sustainable Development and Environment Officer	Dawn Pierre-Nathoniel
16		Sustainable Development and Environment Officer	Shanna Emmanuel
17		Sustainable Development and Environment Officer	Jannel Gbariel
18		Sustainable Development and Environment Officer	Kasha Jn. Baptiste
19		Science and Technology Officer	Bethia Thomas
20		Secretary	Sansha Mathurin
21		Professional Cadet	Snaliah Mahal
22		Iyanola Project Coordinator	Francillia Solomon
23		Climate Finance Advisor	Ruth Phillip Itty
MINISTRY OF HEALTH AND WELLNESS			
24	Department of Environmental Health	Deputy Chief Environmental Health Officer	Cheryl Eugene-St. Romain
MINISTRY OF COMMERCE, INDUSTRY, INVESTMENT, ENTERPRISE DEVELOPMENT AND CONSUMER AFFAIRS			
25	Small Enterprise Development Unit (SEDU)	Business Development Officer	Clebert Hyacinth
26		Business Development Officer	Nalia Sule
27	Sir Arthur Lewis Community College (SALCC)	Quality Assurance Specialist	Cathy James-Springer
28	National Utilities Regulatory Commission (NURC)	Regulatory Economist	Skeeta Carasco
29	Saint Lucia Development Bank (SLDB)	Business Development and Marketing Manager	Philbert Francis
30	Saint Lucia Solid Waste Management Authority (SLSWMA)	Accountant	Atkinson Alcide
31	Saint Lucia Air and Seaport Authority (SLASPA)	Ship Surveyor	Valence Victor
32	National Conservation Authority (NCA)	HR Manager	James Perineau
33	Saint Lucia Electricity Services Ltd. (LUCELEC)	Distribution and Planning Technician	Mugabe Alexander
34	Water and Sewerage Authority (WASCO)	Training Manager	Mandila Alcee

	NAME OF ORGANISATION	DESIGNATION	NAME
35	Caribbean Water and Sewerage Association Inc. (CAWASA)	Executive Director	Ignatius Jean
36	National Skills Development Centre (NSDC)	Accountant	Myran Henry
37	Caribbean Public Health Agency (CARPHA)	Technical Officer-Solid Waste and Chemical Management	Kim Newton-James
38	Caribbean Youth Environment Network (CYEN)	Member	Gail Claxton
39	Banana Industry Trust (BIT)	Director	Bertram Clarke
40	Invest Saint Lucia (ISL)	Investment Officer	Marie Grace-Walcott
41	Export Saint Lucia	Market Research Officer	Kelvin Jn. Baptiste
42	The Design House	Director	Jamal Francis
43	Organisation of Eastern Caribbean States Commission (OECS-C)	Programme Officer-Climate Change	Crispin d'Auvergne
44		Programme Officer-	Norma Cherry-Fevrier
45	Rainforest Seafoods Inc.	General Manager	Ian Duncan
46	Tropical Shipping	Sales Representative	Janelle Sargusingh
47	Sol-Lucian Inc.	Sales Officer	Randall Joseph
48		Business Development Executive	Ricardo James
49	Castries Fishermen's Co-operative	Member	Emiliana Nedd
50	Saint Lucia Coalition of Services	Research Assistant	Marvin Satney
51	Coalition of Civil Society Organisations	President	Kingsley St. Hill
52	Saint Lucia Employers' Federation	Membership Services Officer	Arlene Rene
53	Southern Business Association	Chairperson	Sabina Valmont
54	Japan–Caribbean Climate Change Partnership Project (JCCCP)	National Focal Point	Kurt Prospere
55	Climate Analytics	Consultant	McHale Andrew
56		Consultant	Paolo Cozzi

DEPARTMENT OF SUSTAINABLE DEVELOPMENT
Saint Lucia's National Adaptation Plan (NAP) Process
Climate Financing and Private Sector Engagement Strategies Consultations
Golden Palm Conference Centre, Rodney Bay, Gros-Islet
July 19, 2019

ATTENDANCE REGISTER

	NAME OF ORGANISATION	DESIGNATION	NAME
	MINISTRY OF FINANCE, ECONOMIC GROWTH, JOB CREATION, EXTERNAL AFFAIRS AND THE PUBLIC SERVICE		
	Office of the Prime Minister		
1	National Emergency Management Organisation (NEMO)	Maintenance Officer	Malcolm Job
	MINISTRY OF AGRICULTURE, FISHERIES, PHYSICAL PLANNING, NATURAL RESOURCES AND COOPERATIVES		
2	Department of Agriculture	Chief Extension Officer	Kemuel Jn. Baptiste
3		Crop Protection Officer	Cletus Alexander
4	Forests and Land Resources Department	Assistant Chief Forestry Officer	Rebecca Rock
5	Water Resources Management Agency (WRMA)	Acting Director	Jason Ernest
6		Water Resource Specialist	Miguel Montoute
	MINISTRY OF COMMERCE, INDUSTRY, INVESTMENT, ENTERPRISE DEEVELOPMENT AND CONSUMER AFFAIRS		
7	Department of Commerce (Small Enterprise Development Unit-SEDU)	Business Development Officer	Nalia Sule
	MINISTRY OF EDUCATION, INNOVATION, GENDER RELATIONS AND SUSTAINABLE DEVELOPMENT		
8	Gender Relations Division	Gender Relations Officer	Rohn Peter
9	Department of Sustainable Development (DSD)-Lead Agency	Chief Technical Officer	Samanthia Justin
10	Sustainable Development and Environment Division (SDED)	Deputy Chief Sustainable Development and Environment Officer	Dawn Pierre-Nathoniel
11		Sustainable Development and Environment Officer	Shanna Emmanuel
12		Science and Technology Officer	Bethia Thomas
13		Secretary	Sansha Mathurin
14		Disaster Vulnerability Reduction Project (DVRP) Coordinator	Angela Burnett
15		Iyanola Project Coordinator	Francillia Solomon
16		Climate Finance Advisor	Ruth Phillip Itty

	NAME OF ORGANISATION	DESIGNATION	NAME
	MINISTRY OF HEALTH AND WELLNESS		
17	Department of Environmental Health	Deputy Chief Environmental Health Officer	Cheryl Eugene-St. Romain
8	National Skills Development Centre (NSDC)	Accountant	Myran Henry
19	National Conservation Authority (NCA)	H R Manager	James Perineau
20	Caribbean Youth Environment Network (CYEN)	Member	Gail Claxton
21	Saint Lucia Development Bank (SLDB)	Business Development and Marketing Manager	Philbert Francis
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35	Coalition of Civil Society Organisations	President	Kingsley St. Hill
36	Saint Lucia Employers' Federation	Membership Services Officer	Arlene Rene
37	Climate Analytics	Consultant	McHale Andrew
38		Consultant	Paolo Cozzi

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