

Continuing the Legacy of Participatory Planning in Climate Change Adaptation Planning Initiatives in the Caribbean.

Prepared by: Leslie John Walling

A series of separate but strategically related initiatives have served to rapidly advance the climate change adaptation agenda in the Caribbean, and to stimulate policy responses to address the anticipated impacts of Global Climate Change.

The successes that have been archived in the implementation of three successive climate change adaptation projects (Box 1: CPACC, ACCC, and MACC) and the establishment of the Caribbean Community Climate Change Centre (CCCCC) have resulted from a combination of factors being brought to bear to achieve the stated objectives of each project and the CCCCC. The success factors are not unique to climate change adaptation planning and capacity building. However the intensity and impact of these factors speaks to the high level of experience, commitment, and vision of those responsible for, the design, inception, and implementation of the initiatives.

Box 1: A Chronology of Caribbean Adaptation Initiatives

1. In 1994 the Caribbean embarked upon a course of action to prepare for the adverse effects of GCC through adaptation planning. Over the next thirteen years, the Caribbean demonstrated its commitment to adaptation planning by undertaking a series of independent, but strategically related initiatives designed to; build capacity, assesses vulnerability, and mainstream adaptation planning into the decision-making and planning processes at the national and regional levels.
2. The milestones in this process were and are:
 - a. 1994: The 1994 UN SIDS Conference on Sustainable and the identification of GCC as one of the 15 priority areas in the Barbados Programme of Action to be addressed in order to ensure the sustainable development of SIDS. Development in SIDS
 - b. 1994 – 1997: The decision to design and seek funding for a climate change adaptation project, and the eventual approval of funding for the project.
 - c. 1997 – 2001: The implementation of the CPACC Project.
 - d. 2001: The decision by the CARICOM Heads of Government to establish the CCCCC
 - e. 2001 – 2003: The ACCC project
 - f. 2003 - 2008 The MACC Project
 - g. 2005: The Establishment of the CCCCC

As the region continues to advance its climate change adaptation agenda it is important that the lessons learned from the contribution of these success factors to the positive policy outcomes achieved to date be acknowledged and incorporated into future plans.

There are a number of parallels between the approaches that have given rise to successes in climate change adaptation planning and the experiences in the promotion of participatory planning in support of sustainable natural resources management (NRM).

This is significant in a number of respects.

(1) A considerable amount of progress has been made in building technical capacity at the individual and institutional levels, vulnerability assessment, adaptation planning, the development of the tools and methodologies, and policy formulation.

These critical and strategic advances have been achieved through the building of consensus, team building, and learning by doing. This progress has, of necessity, taken place at the institutional level among governmental and intergovernmental organizations, and project implementation units.

However, adaptation, resilience building, and vulnerability reduction must take place at the local level with the support and participation of individuals, communities, and stakeholder groups.

The dynamics of the group politics, self-interest and livelihoods strategies, customs, and value systems will be different amongst the members of communities as compared to those that maintain among the technical and governance institutions that have advanced the adaptation process to date.

There is a need to prepare communities and, ourselves, for the imminent implementation of climate change adaptation plans and policies. To a great extent the success of the CPACC project was due to the genuine and extensive processes of participatory planning that took place over a two year period, culminating in the formulation of a consensus driven project design, and the subsequent approval of the project by the GEF.

The participatory planning process from which the CPACC Project developed was successful because it involved stakeholders in defining the priorities, objectives, rules and structures of the project, and the implementation process, and the subsequent organizational structures that fostered and facilitated stakeholder involvement in management and implementation of the project, and the formulation of resulting policies. The National Focal Points that coordinated and lead the implementation process at the national level, were already involved in the UNFCCC process as representatives of their respective governments, and therefore came to the project as well-informed participants, with high levels of expertise, and commitment to the wider process and the projects specific outcomes.

To ensure effective adaptation at the local level the participatory process must now be extended to the communities that will be involved in the adaptation process. The steps in a participatory process are similar to conventional approaches to planning, and include problem identification, definition of goals and objectives, collection and analysis of information, identification of options, formulation of plans and decisions, implementation, and monitoring and evaluation.

As with the design of the CPACC Project, the participatory process will ensure that all stakeholders are involved in most of the steps, using participatory methods. However, in the case of community-level adaptation planning the stakeholders will be the members of the community. *Negotiation among stakeholders is a key element in the identification of options and formulation of decisions.* Also, **participatory processes always begin with the identification and analysis of stakeholders.** These two steps aim at providing a basic understanding of the social and institutional context (CANARI, 2004).

Considerable experience has been developed in these areas over the past twenty-five years through initiatives designed to promote and enhance community participation and support for the sustainable use of natural resources. This represents a body of knowledge and experience that can be directed to assisting the climate change adaptation process in the sensitization, and development of capacity in the communities.

(2) Participatory approaches to NRM have direct relevance to the process of adaptation planning. They promote practices and behaviors that reduce vulnerability and build resilience by conserving natural resource endowments and the natural systems and processes that provision, and regulate and moderate.

(3) There are parallels between the challenges of communicating information on climate change and the need for commitment to adaptation on the one hand and environmental degradation and the need for sustainable natural resource management on the other.

- Both fields deal with abstract, technical concepts that must be interpreted and personalized for effective communication and persuasion.
- The concepts and information can be difficult to understand and sometimes contradictory
- The benefits to compliance are not always intuitively apparent to members of the public.
- There is an element of uncertainty about the scale and intensity of the projected impacts and consequences of specific policy options.

The Caribbean Planning for Adaptation to Climate Change (CPACC) Project Conception¹

In response to the Barbados Programme of Action, Caribbean governments approached the Organisation of American States (OAS) to request support for the development of regional projects aimed at building capacity to adapt to climate change. The OAS and CARICOM jointly organised a series of national and regional workshops to facilitate maximum stakeholder consultation on climate change issues. Over the three years following the SIDS Conference the national and regional developed consensus was developed on the objectives, priorities, and activities of the project.

Implementation

The Caribbean Planning for Adaptation to Global Climate Change (CPACC) Project was a project developed for twelve CARICOM countries and funded by the GEF.

The project's overall objective was to support Caribbean countries in preparing to cope with the adverse effects of global climate change (GCC) particularly sea level rise in coastal and marine areas through vulnerability assessment, adaptation planning and capacity building linked to adaptation planning (CPACC Project Document, 1997).

Project activities focused on planning for adaptation to GCC in vulnerable areas, including regional sea/climate data collection and management, impact and vulnerability studies, and the assessment of policy options.

Achievements

- Establishment of a sea level and climate monitoring system – A total of 18 monitoring systems, along with the related data management and information networks, were installed in 12 countries.
- Improved access and availability of data – An integrated database for the monitoring of climate change effects was established through the Inventory for Coastal Resources and the institutionalization of coral reef monitoring.
- ***Increased appreciation of climate change issues at the policy-making level – CPACC enabled more unification among regional parties and better articulation of regional positions for negotiations under the United Nations Framework Convention on Climate Change (UNFCCC) and the Kyoto Protocol.***
- Meeting country needs for expanded vulnerability assessment – Pilot vulnerability studies were carried out in Grenada, Guyana, and Barbados.
- Establishment of coral reef monitoring protocols – This resulted in a significant increase in monitoring and early warning capabilities.

¹ <http://www.caricom.org/jsp/projects/macc%20project/cpacc.jsp>

- Articulation of national climate change adaptation policies and implementation plans – Such policies and plans were formulated in 11 participating countries.
- Creation of a network for regional harmonization – CPACC developed initial collaborative efforts with a number of existing regional agencies. Partners include PetroTrin of Trinidad and Tobago, as well as key players in the insurance and banking sectors.

BOX 2: CPACC Project -Success factors.

- The CPACC Project was designed through an extensive process of conceptualisation and consultation. The process led to a high level of consensus and ownership. The resulting project design allowed countries to choose component activities that addressed national priorities.
- The coordination of in-country implementation was led by National Implementation Coordination Units headed by talented and highly knowledgeable individuals, many of whom were national representatives in the UNFCCC negotiating process.
- Exceptional support from the Implementing Agency, the World Bank, and the Executing Agency, the Special Projects Unit of the Organization of American States.
- Visionary leadership of the Project Implementation Unit with strong support from National Governments and national government agencies.
- Success as a catalyst for further support at the national, regional, and donor agency levels.

The Adaptation to Climate Change in the Caribbean (ACCC) Project² Implementation

This project was designed to sustain activities initiated under CPACC and to address issues of adaptation and capacity building not undertaken by CPACC, thus further built capacity for climate change adaptation in the Caribbean region. ACCC also facilitated the transformation of the Regional Project Implementation Unit (RPIU) originally established through CPACC into a legal regional entity for climate change (the Centre). It did so by providing the resources to develop a comprehensive business plan for the Centre and a strategy to ensure its financial sustainability (as noted below).

ACCC had nine components. They were:

1. Project design and business plan development for a regional climate change centre;
2. Public education and outreach;
3. Integration of climate change into a physical planning process using a risk management approach to adaptation to climate change;

² <http://www.caricom.org/jsp/projects/macc%20project/accc.jsp>

4. Strengthening of regional technical capacity, in partnership with the Caribbean Institute for Meteorology and Hydrology (CIMH), the University of the West Indies (Scenario Projection and Establishment of Climate Change Master's Programme), and the Caribbean Environmental Health Institute, in order to enhance association between Caribbean and South Pacific small island States;
5. Integration of adaptation planning in environmental assessments for national and regional development projects;
6. Implementation strategies for adaptation in the water sector;
7. Formulation of adaptation strategies to protect human health;
8. Adaptation strategies for agriculture and food; and
9. Fostering of collaboration/cooperation with non-CARICOM countries.

Achievements

- Development and distribution of risk management guidelines for climate change adaptation decision making; Political endorsement (by CARICOM) of the business plan and establishment of the basis of financial self-sustainability for the Caribbean Community Climate Change Centre (CCCCC);
- Development of a guide to assist environmental impact assessment (EIA) practitioners in CARICOM countries to integrate climate change in the EIA process;
- A draft regional public education and outreach (PEO) strategy;
- Development and handover to MACC (see below) of the organization's website;
- Successful launch of a Master's Programme in climate change (the first set of graduates, in 2003, included eight students);
- Statistically downscaled climate scenarios development for Jamaica, Trinidad and Tobago, and Barbados;
- Staff training and development at the Caribbean Institute for Meteorology and Hydrology (CIMH) in climate trend analysis in order to strengthen climate change capacity;
- Dialogue established with the South Pacific Regional Environment Programme (SPREP) and the Pacific Islands Climate Change Assistance Programme (PICCAP) for collaboration on issues related to climate change; and
- Implementation of pilot projects on adaptation studies in the water health and agricultural sectors.

Box 3: ACCC Project Successes Factors

- A clearly recognized benefit among stakeholders to:
 - maintaining the momentum developed under the CPACC Project and providing a link to CPACC's successor project the GEF funded MACC Project,
 - continuing activities
 - maintaining and sustaining technical capacity developed under the CPACC project
- Tremendous support from the CIDA
- Continued support and collaboration with the World Bank and the OAS
- Continuing strong in country capacity and support through National Focal Point individuals and organizations and National Implementation Coordinating Units.
- The development of wider awareness and interest through the consultative processes that were initiated in support of the
 - Development of national climate change adaptation policies
 - The development of risk management approaches.

The Mainstreaming Adaptation to Climate Change (MACC) Project³

To identify and quantify climate change vulnerability and risk through building regional capacity to collect and analyse data, and expanding the overall knowledge base on climate change impacts and associated physical and economic vulnerabilities.

Implementation

- Climate and sea-level monitoring infrastructure upgraded with additional hardware and software;
- Training provided to Meteorological and Survey Offices to maintain the upgraded stations and manage use of collected data;
- Coral reef analyses and monitoring carried out in eight additional CARICOM countries;
- Global climate change models downscaled with resolution adequate for national level application (statistical and dynamic);
- Climate change impact models reviewed and selected;
- Experts trained in the utilisation of climate projection and impact models;
- Workshop conducted for V&A approaches, and a refined and harmonised approach for assessing climate change vulnerability and adaptation policy-

³ <http://www.caricom.org/jsp/projects/macc%20project/macc.jsp?menu=projects>

- making developed. Stakeholders trained in applying V&A approaches in country and sector settings; and
- Country-level sectoral vulnerability and risk assessment studies completed.

Box 4: MACC Project Successes Factors

- The development of capacity to down scale global climate change models and to provide sector specific data has catalyzed the active participation of sectoral interests in vulnerability assessment for adaptation planning.
- Further mainstreaming of climate change adaptation through a widening circle of stakeholder collaboration and awareness through the engagement of stakeholders from major economic sectors (agriculture, tourism, water) in the development of sector-specific outputs from downscaled climate change models.
- The lessons-learned, best practices, partnerships and synergies from the CPACC and ACCC projects have been carried forward to inform and facilitate the implementation of the MACC Project.

The Caribbean Community Climate Change Centre

The mission of the CCCCC is to support the people of the Caribbean as they address the impact of climate variability and change on all aspects of economic development through the provision of timely forecasts and analyses of potentially hazardous impacts of both natural and man-induced climatic changes on the environment, and the development of special programmes with create opportunities for sustainable development.

Box 5: CCCCC Success Factors

- Visionary leadership.
- The commitment and ability to be financially self sufficient and independent of funding from CARICOM governments.
- The decision to function as an articulated network, drawing on the expertise in centers of excellence across the Caribbean, has ensured that the regional builds upon existing capacities and expertise, rather than duplicating these assets. This approach builds partnerships and synergies, and reduces competition, and costs.

Box 6: The Process of Community Participation

Participation is a necessary strategy for fostering sustainable development, but effective participatory planning requires methods and skills to accompany the rhetoric.

Sustainable development is a process of social and economic advancement that allows for the improvement of the quality of life for all while maintaining and enhancing the natural resources upon which life depends. Because problems of unsustainable resource use often require complex negotiations and trade-offs, processes that include the full participation of stakeholders tend to have the best and most enduring results.

Participation can improve management by:

- incorporating stakeholder knowledge, skills, perspectives, and opinions;
- increasing compliance and support through stakeholder involvement in decision-making;
- providing a forum for identifying and negotiating conflicts; and
- contributing to local empowerment, especially when the sharing of management responsibility is involved.

However, perceptions of what participation entails vary widely, and official resistance remains widespread. While it is up to planners and managers to determine what form is most appropriate for any given situation, basic characteristics of effective participatory processes include:

- the early, active and continual involvement of all stakeholders;
- the incorporation of the views and opinions of individuals as well as stakeholder groups;
- provision of information to allow stakeholders to form opinions and make decisions;
- accommodation for the inequities in power among stakeholders;
- respect for the process and the decisions that are reached.

Participatory planning is only successful when it involves stakeholders in ***defining the objectives, rules and structures for the process***. Other prerequisites include *organizational structures that foster stakeholder involvement in management; supportive policy frameworks; and well-informed participants*, who are committed to the process, agree with its design, and accept its outcomes.

The steps in a participatory process are similar to conventional approaches to planning, and include problem identification, definition of goals and objectives, collection and analysis of information, identification of options, formulation of plans and decisions, implementation, and monitoring and evaluation.

The main difference is that stakeholders are involved in most of the steps, using participatory methods. *Negotiation among stakeholders is a key element in the identification of options and formulation of decisions*. Another difference is that *participatory processes are not linear*. Action can take place at any stage of the process, as one of its purposes is to provoke change. Also, ***participatory processes always begin with the identification and analysis of stakeholders***. These two steps aim at providing a basic understanding of the social and institutional context.

CANARI (2004)

The Way Forward: Research Needs.

1. **Research and documentation on examples of community adaptation in post-disaster circumstances.** For example, it would be interesting to analyse how those dependent on nutmeg cultivation and processing have fared post-Ivan.
2. **The impact of global climate change on sustainable livelihoods strategies and options.** Traditionally rural livelihoods have revolved around some combination of farming, fishing, non-timber forest product harvesting and processing, all of which can lead to resource depletion if not adequately managed. Community-based tourism is the only solution that most Caribbean islands have come up with as alternatives or complements to these activities. Climate change is likely to threaten the tourism attractions on which this depends.
3. **Research on the process of building consensus to climate change adaptation project and policy options.** This type of research would facilitate joint learning and consensus building among parties about policy responses in specific contexts for the purpose of developing practical policy options (Belle and Bramwell, 2005) understood and supported by the participating communities. Adaptation is as much about changing attitudes and behaviours as finding technical solutions.

Consequently, the most relevant examples are cases of community adaptation to natural resource depletion in ways that continue to support livelihoods (e.g. SMMA⁴, Mankote⁵, Laborie⁶, BEAT⁷, El Limon Waterfall⁸) or to enforced changes in livelihoods (e.g. the overall decline in the banana industry catalysing Winward Island Fair Trade Association [WINFA])⁹. This means that planning for adaptation needs to focus as much on the process of building consensus on the most appropriate plan as on seeking technical solutions.

4. The development of adaptation planning processes and best-practices that are context specific. The development of the tools and methods that create opportunities for participation and support the building of consensus that include:
 - rigorous stakeholder identification and analysis;
 - analysis of the institutional framework including the opportunities for participation offered by existing policy, legislation and practice;
 - resource and livelihood assessments;
 - participatory problem analysis and building consensus on strategies for addressing the problems;

⁴ See <http://www.canari.org/285smma.pdf>

⁵ Case study available.

⁶ <http://www.canari.org/seaweedcultivation.pdf>;

⁷ See www.canari.org/Beat.htm

⁸ See <http://www.canari.org/limon.pdf>

⁹ As far as I know nobody has undertaken a comprehensive case study.

- participatory mapping (including simple GIS based on MapMaker software) as a tool for both planning and assessment/evaluation.
- capacity assessments and capacity building (note: a weakness of many traditional technical approaches to planning and project implementation is to focus only on capacity gaps and to overlook community capacity strengths such as traditional knowledge of the resources and multiple livelihood skills/strategies).
- conflict management, including the negotiation of trade-offs