# Strengthening access and benefit-sharing (ABS) policies and institutional frameworks through demonstrable models in Saint Lucia

## Part I: Project Information

**GEF ID**

**Project Type**
MSP

**Type of Trust Fund**
GET

**CBIT/NGI**
CBIT **No**
NGI **No**

**Project Title**
Strengthening access and benefit-sharing (ABS) policies and institutional frameworks through demonstrable models in Saint Lucia

**Countries**
St. Lucia

**Agency(ies)**
UNEP

**Other Executing Partner(s)**
IUCN

**Executing Partner Type**
GEF Agency

**GEF Focal Area**
Biodiversity

**Taxonomy**
Focal Areas, Biodiversity, Supplementary Protocol to the CBD, Acess to Genetic Resources Benefit Sharing, Mainstreaming, Agriculture and agrobiodiversity, Protected Areas and Landscapes, Community Based Natural Resource Mngt, Species, Animal Genetic Resources, Plant Genetic Resources, Influencing models, Strengthen institutional capacity and decision-making, Transform policy and regulatory environments, Deploy innovative financial instruments, Demonstrate innovative approache, Stakeholders, Type of Engagement, Information Dissemination, Consultation, Participation, Partnership, Beneficiaries, Private Sector,

Individuals/Entrepreneurs, SMEs, Civil Society, Academia, Non-Governmental Organization, Community Based Organization, Local Communities, Communications, Education, Behavior change, Public Campaigns, Awareness Raising, Gender Equality, Gender Mainstreaming, Women groups, Sex-disaggregated indicators, Gender-sensitive indicators, Gender results areas, Access and control over natural resources, Capacity Development, Knowledge Generation and Exchange, Capacity, Knowledge and Research, Innovation, Learning, Knowledge Generation, Knowledge Exchange

**Rio Markers**

**Climate Change Mitigation**

Climate Change Mitigation 0

**Climate Change Adaptation**

Climate Change Adaptation 0

**Duration**

48 In Months

**Agency Fee($)**

151,414.00

**Submission Date**

7/29/2021

**A. Indicative Focal/Non-Focal Area Elements**

| Programming Directions | Trust Fund | GEF Amount($) | Co-Fin Amount($) |
|---|---|---|---|
| BD-3-9 | GET | 1,593,836.00 | 7,150,000.00 |
| | **Total Project Cost ($)** | **1,593,836.00** | **7,150,000.00** |

**B. Indicative Project description summary**

**Project Objective**

To enhance the enabling environment to effectively implement the provisions of, and advance accession to the Nagoya Protocol within a harmonized institutional and intersectoral approach, and demonstration of replicable models for equitable access and benefit sharing (ABS)

| Project Component | Financing Type | Project Outcomes | Project Outputs | Trust Fund | GEF Amount($) | Co-Fin Amount($) |
|---|---|---|---|---|---|---|

| Project Component | Financing Type | Project Outcomes | Project Outputs | Trust Fund | GEF Amount($) | Co-Fin Amount($) |
|---|---|---|---|---|---|---|
| Component 1: Strengthen the national policy and legislative institutional framework for operationalization of the Nagoya Protocol for access and benefit sharing (ABS) | Technical Assistance | **1.1** Competent National Au1\thorities and stakeholders ***adopt a policy and legislative framework*** for the fair and equitable sharing of benefits arising from the utilization of genetic resources.<br><br>*Indicators:*<br><br>? *Revised BCSU Bill endorsed by stakeholders and presented to Cabinet for endorsement*<br><br>? *Cabinet endorsement of accession to the Nagoya Protocol*<br><br>? *Instrument of Nagoya Protocol accession* | **1.1.1** *Dossier for submission to the Depository of the CBD Secretariat for Nagoya Protocol accession* prepared<br><br>**1.1.2** *Draft Biodiversity Conservation and Sustainable Use Bill upgraded to include relevant ABS clauses and regulations* to facilitate accession to and operationalization of the Nagoya Protocol for consideration by stakeholders and adoption by Cabinet. | GET | 217,342.00 | 1,000,000.00 |
| | | **1.2** Competent National Authorities and stakeholders ***adopt an administrative framework*** to efficiently operationalize ABS protocols nationally.<br><br>*Indicators:*<br><br>? *Adopted and actioned joint* | **1.2.1** *Agency operational framework and management recommendations* prepared for administration of the ABS framework within scope of BCSU Bill for integration by | | | |

| Project Component | Financing Type | Project Outcomes | Project Outputs | Trust Fund | GEF Amount($) | Co-Fin Amount($) |
|---|---|---|---|---|---|---|
| Component 2: Develop an effective permitting and monitoring framework for ABS protocols in accordance with provisions of the Nagoya Protocol | Technical Assistance | **2.1** ***Strengthened institutional capacities among CNAs to effectively operationalize provisions of the Nagoya Protocol.***<br><br>*Indicators:*<br><br>? *Monitoring and permitting system for ABS adopted by CNAs and stakeholders.*<br><br>? *Institutional capacity of at least 50 staff of CNAs, and other government institutions enhanced in applying ABS regulatory protocols.*<br><br>**2.2** ***National Environmental Information System provides functional capacity to serve CHM requirements for ABS*** *protocols for use by CNAs and stakeholders.*<br><br>*Indicator:*<br><br>? *NEIS fully* | **2.1.1** *Administrative protocol for ABS Agreements (with PIC, MATs, templates for applications/ contracts, manual), monitoring and permitting system* developed for research and bioprospecting activities available for use by CNAs and stakeholders.<br><br>**2.1.2** *Suite of capacity building tools and resources* developed on administration of the national ABS frameworks for use by at least 50 professionals from CNAs and key stakeholders.<br><br>**2.2.1** *Upgraded National Environmental Information System that includes an ABS CHM platform* developed for use by CNAs and stakeholders. | GET | 434,682.00 | 2,000,000.00 |

| Project Component | Financing Type | Project Outcomes | Project Outputs | Trust Fund | GEF Amount($) | Co-Fin Amount($) |
|---|---|---|---|---|---|---|
| Component 3 Establish demonstrable commodity pilots to test operationalization of ABS protocols toward sustainable management and equitable benefits of genetic resources and scale-up in future commercial application | Technical Assistance | **3.1** Formal ***ABS agreement between the GOSL and partner for contributes to sustainable commercial use of the Saint Lucia Viper venom and demonstrated as a model*** for replication for other ABS applications.<br><br>*Indicators:*<br><br>? *At least 1 formalized partnership between the GOSL and a research development entity to grow opportunities for commercial and non-commercial bioprospecting.*<br><br>? *At least 1 Prior Informed Consent (PIC), Material Transfer Agreement and/or Mutually Agreed Terms (MAT) signed for trials and commodity development.*<br><br>? *At least 10 professionals with capacity for DNA fingerprinting, handling and processing venom.* | **3.1.1** *Memorandum of Agreement on technical collaboration between the GOSL and Kentucky Reptile Zoo and PIC and MAT agreements* prepared on collaborative research and capacity building for bio-prospecting and institutional support related to use of venom of the Saint Lucia Viper.<br><br>**3.1.2** *Updated population assessment of the St Lucia Viper* delivered to inform management approaches by the Forestry Department to facilitate sustainable resource use and enhance public safety.<br><br>**3.1.3** *Handling protocols, DNA fingerprinting methodologies and training resources for St Lucia Viper venom extraction and processing* | GET | 507,130.00 | 2,300,000.00 |

| Project Component | Financing Type | Project Outcomes | Project Outputs | Trust Fund | GEF Amount($) | Co-Fin Amount($) |
|---|---|---|---|---|---|---|
| Component 4: Enhance knowledge management on ABS to support decision making, stakeholder engagement and buy-in | Technical Assistance | **4.1** ***Heightened awareness among policy and technical stakeholders on the provisions of the Nagoya Protocol***, and the associated national institutional and regulatory frameworks.<br><br>*Indicator:*<br><br>? *Increase in the level of awareness among target beneficiaries measured through gender-disaggregated survey.* | **4.1.1** *Communications and outreach strategy* prepared on ABS for adoption and integration within work of CNAs.<br><br>**4.1.2** *Suite of at least 20 knowledge products* and *public education material* developed and distributed to relevant authorities, targeted audiences and the general public.<br><br>**4.1.3** *Series of at least 10 knowledge sharing events* convened for exchanging lessons learned, information dissemination and networking organized and facilitated for gender-balanced participation among policy and technical support professionals, practitioners and other beneficiaries. | GET | 289,788.00 | 1,150,000.00 |

| Project Component | Financing Type | Project Outcomes | Project Outputs | Trust Fund | GEF Amount($) | Co-Fin Amount($) |
|---|---|---|---|---|---|---|
| | | | | **Sub Total ($)** | **1,448,942.00** | **6,450,000.00** |
| **Project Management Cost (PMC)** | | | | | | |
| | GET | | 144,894.00 | | 700,000.00 | |
| | **Sub Total($)** | | **144,894.00** | | **700,000.00** | |
| | **Total Project Cost($)** | | **1,593,836.00** | | **7,150,000.00** | |

**C. Indicative sources of Co-financing for the Project by name and by type**

| Sources of Co-financing | Name of Co-financier | Type of Co-financing | Investment Mobilized | Amount($) |
|---|---|---|---|---|
| Recipient Country Government | Ministry of Education, Gender, Innovation and Sustainable Development | Grant | Recurrent expenditures | 500,000.00 |
| Recipient Country Government | Ministry of Education, Gender, Innovation and Sustainable Development | In-kind | Recurrent expenditures | 2,000,000.00 |
| Recipient Country Government | Ministry of Agriculture, Fisheries, Physical Planning, Natural Resources and Co-operatives | Grant | Recurrent expenditures | 500,000.00 |
| Recipient Country Government | Ministry of Agriculture, Fisheries, Physical Planning, Natural Resources and Co-operatives | In-kind | Recurrent expenditures | 2,500,000.00 |
| Recipient Country Government | Saint Lucia Bureau of Standards | In-kind | Recurrent expenditures | 250,000.00 |
| Other | Organization of Eastern Caribbean States | In-kind | Recurrent expenditures | 100,000.00 |
| GEF Agency | International Union for the Conservation of Natrure, Regional Office for Mexico, Central American and the Caribbean | In-kind | Recurrent expenditures | 400,000.00 |
| Other | Kentucky Reptile Zoo | In-kind | Recurrent expenditures | 500,000.00 |
| Other | Clodomiro Picado Research Institute of Costa Rica | In-kind | Recurrent expenditures | 300,000.00 |
| Other | Fauna & Flora International | In-kind | Recurrent expenditures | 100,000.00 |
| | | | **Total Project Cost($)** | **7,150,000.00** |

**Describe how any "Investment Mobilized" was identified**

Not Applicable

**D. Indicative Trust Fund Resources Requested by Agency(ies), Country(ies), Focal Area and the Programming of Funds**

| Agency | Trust Fund | Country | Focal Area | Programming of Funds | Amount($) | Fee($) | Total($) |
|---|---|---|---|---|---|---|---|
| UNEP | GET | St. Lucia | Biodiversity | BD STAR Allocation | 1,593,836 | 151,414 | 1,745,250.00 |
| | | | **Total GEF Resources($)** | | **1,593,836.00** | **151,414.00** | **1,745,250.00** |

**E. Project Preparation Grant (PPG)**

PPG Required **true**

**PPG Amount ($)**

50,000

**PPG Agency Fee ($)**

4,750

| Agency | Trust Fund | Country | Focal Area | Programming of Funds | Amount($) | Fee($) | Total($) |
|---|---|---|---|---|---|---|---|
| UNEP | GET | St. Lucia | Biodiversity | BD STAR Allocation | 50,000 | 4,750 | **54,750.00** |
| | | | | **Total Project Costs($)** | **50,000.00** | **4,750.00** | **54,750.00** |

## Core Indicators

**Indicator 11 Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment**

| | Number (Expected at PIF) | Number (Expected at CEO Endorsement) | Number (Achieved at MTR) | Number (Achieved at TE) |
|---|---|---|---|---|
| **Female** | 600 | | | |
| **Male** | 500 | | | |
| **Total** | 1100 | 0 | 0 | 0 |

Provide additional explanation on targets, other methodologies used, and other focal area specifics (i.e., Aichi targets in BD) including justification where core indicator targets are not provided

Under Aichi Biodiversity target 16, the intention was that by 2015, countries will have operationalized the the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization, consistent with national legislation, backed up by the international regime on ABS that entered into force in 2010. The Zero Draft of the post 2020 Global Biodiversity Framework considers four long-term goals for 2050 of which Goal (c) seeks that the benefits, from the utilization of genetic resources are shared fairly and equitably. The Framework lays out eight milestones against progress will be assessed in 2030 towards the 2050 goals. The milestone associated with this goal is that access and benefit-sharing mechanisms are established in all countries; the % increase in benefits shared as the metric is to be defined however. In support of the Framework are Action Targets where Target 12 proposes that by 2030, increase by [X] benefits shared for the conservation and sustainable use of biodiversity through ensuring access to and the fair and equitable sharing of benefits arising from utilization of genetic resources and associated traditional knowledge.

## Part II. Project Justification

### 1a. Project Description

Saint Lucia is a tropical oceanic island located in the Eastern Caribbean island chain and is 616 km2 in area. The island has rich and diverse terrestrial and aquatic biodiversity, documented to have 1,730 plant species 8 of which are endemic. Over four hundred and sixty-nine (469) plant species are used as food or ornamentals. There are recorded 160 birds, an estimated 250 reef fish and 50 coral species on the island itself and within its territorial waters. In terms or terrestrial faunal biodiversity, the island possesses high endemism, with some 14 endemic wildlife species including one of the rarest birds in the world, St. Lucia Amazon (*Amazona versicolor*). This is typical of many small oceanic islands where their biodiversity evolves in relative isolation due to the physical barrier of the ocean, which results in islands often having highly adaptive species that are within a narrow genetic diversity, however with reduced competitive ability, small populations and narrow distribution range relative to continental systems[1][1]. Island ecosystems are inherently vulnerable given the relatively close geographic proximities within small land spaces that can allow negative impacts of human disturbances to quickly propagate into and degrade ecosystems over space and time.

Saint Lucia has undergone extensive landscape modification over its history of colonization and development, with the establishment and exploitation of monoculture plantations in flat arable areas, along with conversion of other lands for settlement and other commercial activities. Between 1977 and 1989, 22.5% of the island?s forest was lost and it is estimated that 40% of the once thriving mangroves have been lost. In addition, over 12% of Saint Lucia?s beach resource is being mined for sand and 50% of the wetlands have been converted for cultivation, urban and commercial development. During the decades from the 1960s to the early 1990s, banana cultivation was responsible for conversion of large tracts of primary forest in the interior elevations to agricultural use, but with the downturn in the industry in the 1990s, many of these areas have been abandoned and are reverting to secondary woodland or otherwise converted to urban use. In addition to the direct pressure from land use change, invasive alien species, such as the green iguana (*Iguana iguana*), Giant African Snail (*Achatina fulica*) and fungal pathogens affecting agricultural biodiversity have also had significant impacts on biodiversity[2][2]. Pollution is another major challenge that has had untold impacts on terrestrial, aquatic and marine biodiversity[3][3].

According to the Revised Second National Biodiversity Strategy and Action Plan (NBSAP) 2018-2025 for Saint Lucia, human influences have placed stress on several nationally endemic and regionally

endemic species. In addition to the St. Lucia Amazon, the Saint Lucia Iguana (*Iguana cf iguana*), White-breasted Thrasher (*Ramphocinclus brachyurus*), Rufous Nightjar (*Caprimulgus rufus otiosus*), St. Lucia Oriole (*Icterus laudabilis*) and St. Lucia Black Finch (*Melanospiza richardsoni*) are vulnerable due to habitat fragmentation and low population numbers. Of high concern are the critically endangered St. Lucia Whiptail (*Cnemidophorus vanzoi*) and St. Lucia Racer (*Erythrolamprus ornatus*) that inhabit few of the offshore islands and nowhere else in the world, that could easily come to the brink of extinction under potentially catastrophic human impacts. There at least ten plant species that are endemic to Saint Lucia, some of them rare with restrictive ranges. Floral population trends are not as well studied, however species such as Lowy? kann?l (*Aniba ramageana*), Lansan (*Protium attenuatum*), Gonmy? (*Dacryodes excelsa*), Small-leaved Mahogany (*Swietenia mahagoni*), Balata (*Manilkara bidentata*), Balata chyen (*Pouteria pallida*), Pencil cedar (*Juniperus barbadensis*), Latanny? (*Coccothrinax barbadensis*), Akoma (*Sideroxylon foetidissimum*) and Arkokwa (*Zanthoxylum flavum*) are of concern given that exploitation, land use change and forest conversions have reduced their numbers and distribution across the island. Some of the marine species restricted to the Caribbean that are known to be at risk include the Staghorn Coral (*Acropora cervicornis*), Elkhorn Coral (*Acropora palmata*), Atlantic Goliath Grouper (*Epinephelus itajara*), Fire Coral (*Millepora striata*), Boulder Star Coral (*Montastraea annularis*) and Mountainous Star Coral (*Montastraea faveolate*).

***Threats:***

The multiple threats from climate change are becoming better understood in terms of impacts on biodiversity. Changes in temperature and moisture regimes will impact biochemical processes such as nutrient cycling, carbon sequestration and macrofaunal biological cycling, heighten fire risk, alter flowering and fruiting patterns in natural vegetation in turn altering food chains and affecting reproductive cycles, and heighten proliferation of invasive species. All these impacts can generate ripple effects through ecosystems at all levels, that can in turn significantly compromise productivity and maintenance of flow of services and benefits. Climate change impacts in the marine environment is manifested in coral bleaching, more aggressive proliferation of harmful algal blooms and other chemical processes associated with warmer temperatures. Increasing acidity of the ocean impairs coral growth and negatively impacts crustaceans. Wider spatial changes in ocean currents and salinity exerts additional impacts on marine biodiversity. These compounding threats have been documented in the Second NBSAP that calls for response measures to mitigate these risks.

The compounding impacts of direct human disturbance on the natural environment, combined with the background threats of climate change will heighten vulnerability of the country?s biodiversity, particularly those species that are threatened or rare. In recent years it has been recognized that loss of ecosystems services as a result of degradation and climate change impacts will have long range detriment not only in terms of loss of direct ecosystem service provisioning, but also in terms of loss of

potential economic opportunity from use of biological resources in respect to development of derivatives and intellectual products based on traditional knowledge associated with the use of these resources.

Saint Lucia, as with many of its Caribbean neighbors, continues to face a myriad of challenges in respect to safeguarding biodiversity and ensuring appropriate protocols exist to facilitate and regulate sustainable access and equitable benefit sharing of its biological resources. The extent of bioprospecting without formal access and benefit-sharing (ABS) arrangements between the resource extractors and the resource custodians in the Caribbean and by extension in Saint Lucia, remains mostly unchecked. This means the enabling conditions and opportunities to repatriate benefits gained from successful ex-situ development of commercial derivatives from indigenous biodiversity (therapeutics, nutraceuticals and other medical products to treat human ailments, along with other products) are non-existent, with little recourse available to local biodiversity custodians to access benefits accrued from use of the resources.

The true extent of historical removals of genetic resources from the country is unknown. There are flora and faunal specimens in noteworthy collections in the Smithsonian Institution, Kew Gardens, the University of Rio Pedras, Puerto Rico, some that date back from the colonial days in previous centuries gathered from visiting scientific expeditions. In more recent times there have been authorized removals of native flora and fauna for research and conservation purposes, most notably under collaborations with the Durrell Wildlife Conservation Trust and the Association for the Conservation of Threatened Parrots for the St. Lucia Amazon, and with the Kentucky Reptile Zoo for the St. Lucia Viper. There have been scientific exchanges with the University of Rio Pedras, Puerto Rico[4][4] in respect to identification and cataloguing of native flora, and the National Herbarium housed at the Forestry Department contains 5,482 accessions specimens representing some 1,400 species. Although not tracked systematically, in recent years there has been a noted increase in formal requests for the extraction of genetic resources from the country. For example, in 2017, the Department of Sustainable Development received requests from research and commercial interests requesting permits to access species of algae and bacteria that are found in extreme ecosystems particularly the high-temperature volcanic fumaroles of the Soufriere volcano. More recently, the Forestry Department has received requests to study the Johnstone Whistling Frog (*Eleutherodactylus johnstonei*) from the Senckenberg Natural History Collections in Dresden, Germany, the results of this research intended to strengthen the knowledge base for ongoing work on invasive alien species management. The approvals for recent requests for extractions have not been actioned given that necessary ABS mechanisms for negotiating and engaging these prospective resource users are not in place.

The most notable example of active ex-situ use of a biological resource from Saint Lucia is that of the endemic St. Lucia Viper (*Bothrops caribbaeus*) which has drawn medical research attention based on active research on other *Bothrops* species[5][5] given the chemical composition of its venom that may have applications in first aid and emergency care. Under an arrangement between the Saint Lucia Forestry Department and the Kentucky Reptile Zoo (KRZ) since 2000, the KRZ is running a research and breeding program for the St. Lucia Viper. A number of individuals have been bred overseas through this initiative and efforts are underway to develop anti-venom from their venom. Based on a 2009 assessment by Daltry[6][6] the estimated population is in declining trend and has been classified as endangered according to the IUCN Red List[7][7]. The threats posed to the population includes habitat modification, impacts from invasive alien species and direct human-wildlife conflict.

The potential economic value of extracts from indigenous floral species has been attracting interest from external parties for commercial use. One of these is a rainforest tree *Protium attenuatum* known locally as ?lansan?[8][8], which has a very restricted global range, being endemic to five islands in the Eastern Caribbean including Saint Lucia. It is classified as endangered according to the IUCN Red List[9][9]. The resin of the lansan tree has been traditionally tapped in a local artisanal industry for use as incense for local religious ceremonies, and the dried resin extracts has had a longstanding export market in neighboring Martinique. The chemical and aromatic properties of the resin have been attracting recent external commercial interest for applications in the development of other value-added products particularly in the production of body creams and insect repellents. It is of interest that a closely related species *Protium heptaphyllum* that occurs in South America has been recognized to have useful medical applications as an analgesic and anti-inflammatory agent as presented in the scientific article by de Lima et al (2016) published by Pharmacognosy Magazine[10][10].

The long-range problem is that the country has not developed the required policy enabling environment and the associated on-ground management responses to safeguard and possibly sustainably scale-up potential economic benefits from the use of the St. Lucia Viper and the Lansan tree, two endangered species of global significance that may be used to test models for ABS application, that can provide additional ecosystem service value underpinnings to ongoing conservation management measures already in place in the country.

Saint Lucia has taken important steps to strengthen the enabling policy environments and capacity to gain alignment with the provisions of the Nagoya Protocol on access and benefit sharing to further safeguard its biological resources and ecosystems. These efforts have been supported under the recently concluded regional UNEP GEF-funded initiative, *Advancing the Nagoya protocol in countries of the Caribbean Region* in partnership with IUCN. Saint Lucia is not yet a party to the Nagoya Protocol on Access and Benefit-sharing, however, there have been efforts toward accession to the Protocol through stakeholder awareness and policy development assisted under the regional GEF ABS project. These efforts resulted in the development of a draft ABS policy along with draft legislative provisions. Draft agreement templates have been developed to facilitate terms and conditions of access to genetic resources. Notwithstanding the progress Saint Lucia has made in advancing development of an ABS framework at the national level, significant work still needs to be undertaken to realize appropriate policy alignment and management requirements in respect of the provisions of the Nagoya Protocol.

**Barriers:** The project seeks to address the problem of loss of key globally threatened biodiversity in the country and consequent loss of potential economic benefits to custodian communities, and the nation at the broader level. This will be achieved through the creation of a sound enabling environment to facilitate equitable access of benefits derived from use of native genetic resources, through the introduction of policy and management responses including fostering entrepreneurial opportunities that can benefit from ABS arrangements. As a small island developing state, the country is resource-constrained in terms of human, institutional and financial resource availability, hence an effective harmonized inter-sectoral approach in implementing the provisions of the Nagoya Protocol that draws on opportunities for organizational and stakeholder engagement efficiency is critical. In this regard the following four key barriers need to be addressed:

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*Barrier 1: Inadequate national policy and legislative institutional framework for operationalization of the provisions of the Nagoya Protocol for access and benefit sharing.* Unlike the Cartagena Protocol (which was ratified in 2005), the country has yet to accede to the Nagoya Protocol. Without accession to the Protocol, the potential result is non-committal of stakeholder investment that is necessary to move the process forward. The country has nonetheless adopted an approach to ensure that the enabling policy, regulatory and institutional response mechanisms are sufficiently evolved to meet envisaged responsibilities upon accession to the Nagoya Protocol. The main challenge that underpins advancement of the Nagoya Protocol is that the country has not fully developed the appropriate enabling environment, that includes functional regulatory and operative systems that integrate existing policies and laws that will facilitate provisions of the Protocol. In 2008 a draft Biodiversity Conservation and Sustainable Use Bill was prepared to enhance implementation of national obligations under the Convention on Biological Diversity in realization of the country?s biodiversity conservation goals. The Bill includes clauses on access and benefit sharing, however there is need for further enhancement of the Bill to improve operational and regulatory synergies to ensure effectiveness of implementation of this draft legislation.

Saint Lucia, like most small island developing states remains challenged by its relatively limited institutional capacity to service national commitments and obligations made at the global level to conserve biodiversity, amidst all other national development imperatives, which constitutes a significant barrier. This challenge applies similarly to implementation of the provisions associated with the Nagoya Protocol. Although the country has made gains in enhancing operational efficiency and inter-agency coordination in decision making and taking relevant action related to commitments, further guidance is needed to assist competent national authorities (CNAs) internalize required processes and establish operational protocols that will not result in additional administrative burden. Ultimately, the lack of well-defined administrative protocols to build effective coordination among agencies for review and consideration of permit requests for use of genetic resources presents a constraint in facilitating investment by prospective collaborators in developing opportunities in the context of benefit sharing.

*Barrier 2: Absence of a permitting and monitoring framework for ABS in accordance with provisions of the Nagoya Protocol.* This constitutes a critical barrier to the readiness of the country to implement the framework of the Protocol. While there is base technical capacity within the agencies that will serve the role of CNAs, this needs to be augmented by specialist knowledge and information on the specific technical requirements. Under the regional ABS project, agencies were introduced to the data collection requirements and monitoring protocols, but these were not fully developed to be operationalized at the national level.

There is no mechanism to monitor ongoing research and development using native genetic resources and associated traditional knowledge, or commercialization of derivatives. There have been past collaborations with research entities in use of the country?s genetic resources, but the arrangements have been substantially informal, without specific terms of agreement to secure a pathway for sustainable repatriation of benefits to the country. Although under the regional ABS Project stakeholders gained some level of exposure to the concepts of prior informed consent (PIC) and mutually agreed terms (MAT) as part of ABS agreement negotiation, there remains limited capacity to negotiate such agreements with prospective resource users. There is currently no protection of traditional knowledge associated with use of native genetic resources by local communities in Saint Lucia who are custodians of traditional knowledge. The cumulative result is that there are no national protocols for submitting applications, reporting and enforcing compliance with benefit-sharing agreements within the context of PIC and inclusive of MAT for transfer of genetic resource.

Core to effective management of the ABS framework is continued investment in capacity building of personnel within designated CNAs in implementation of decision-making systems, monitoring and data collection and negotiation for PIC and MAT. The regional GEF ABS project targeted a broad range of relevant stakeholders within a series of capacity building activities in which they were exposed to standard processes, tools and methodologies in accordance with best international practice. Another challenge that needs to be addressed is the availability of requisite data, relevant templates, and other administrative information to facilitate permitting, and monitoring processes associated with both frameworks, within easily accessible data clearinghouse mechanisms. At the moment, information is

not easily available to inform decision making to support negotiations in respect of access to genetic resources. The ABS information clearinghouse mechanism (CHM) needs to be further developed from the initial contribution from the regional project, to be hosted within the National Environmental Information System (NEIS) that will serve as the central hub or gateway for the ABS CHM.

*Barrier 3: Lack of demonstrable commodity pilots to test operationalization of ABS protocols toward sustainable management of indigenous genetic resources and scale-up in future commercial application.* Saint Lucia has limited capability at this point to effectively negotiate ABS agreements and otherwise ensure that research and development processes by commercial and research interests toward commercialized use of the country?s genetic resources are being done in a manner that return equitable benefits to the country. No national system exists to monitor ongoing research and development with Saint Lucian genetic resources and associated traditional knowledge or commercialization of developed products. This need has been accepted to be necessary given the fact that there is already use of native genetic resources that has entered commercial application. Of note is the use of the venom from the St. Lucia Viper through a breeding loan agreement between the Forestry Department and the Kentucky Reptile Zoo. However, this agreement is deficient in ABS considerations that builds in transparent agreed terms related to long term benefit-sharing through defined PIC and MAT. There are potentially other genetic resources that are already being bio-prospected that hold potential for consideration under ABS regimes.

With respect to bio-prospecting and sustainable use of genetic resources, cost-benefits are poorly understood and researched, creating a barrier to efforts to explore, tap into or develop potential local enterprises around local biodiversity that could otherwise be supported by the development of locally based financial incentives and locally based research and development. The result of this limitation will be loss of potential economic opportunities that could be accrued from ABS arrangements by beneficiary communities and stakeholders who serve roles of custodians and users of the resource. This in turn means that there will be limited business development support to provide stimulus to private enterprise development with ABS considerations given that there has not been the means to analyze and develop appropriate business models that can be applied. Under the regional ABS Project one of the outputs was the *Development of a Business Model for ABS in the Caribbean Region*[11][11], which outlined the process for formulation of business models for commodities with favorable development potential. The publication featured two case scenarios based on commodities in Jamaica and St. Kitts & Nevis, along with profiles for the countries under the scope of the project. Traditional knowledge on use of local biodiversity is extensive but that has not been tapped to its full potential particularly for food security and medicinal purposes and other functional use, to yield the full economic opportunity. A profile of ABS commercial opportunities is yet to be developed for Saint Lucia, hence there is no portfolio available that may provide the basis for development of potential opportunities and guide investments.

While there is recognized potential to enhance development of commercial applications in use of the St. Lucia Viper venom and that some degree of enterprise development may be done in Saint Lucia,

there is a lack of technical capacity of professionals in technical topics such as DNA fingerprinting, chemical analyses and protocols for venom extraction. Needed guidelines are not available and expertise resides externally. The country will need to strengthen collaboration with external partners to facilitate knowledge transfer to local professionals.

There is a lack of ability within communities (and organizations that represent them), who are considered custodians of biodiversity and associated genetic resources, to adequately ensure safeguards and transfer of benefits associated with use of traditional knowledge are accorded to these communities. Related, there is a gap in terms of access to small-scale funding by local communities and small enterprises to apply traditional knowledge in use of genetic resources to scaled, sustainable commercial applications, facilitated by demonstrable ABS models. The GEF Small Grants Programme has made some investments in sustainable livelihood ventures such as apiculture, eco-tourism and green product development and there are good prospects to engage the Saint Lucia National Conservation Fund (SLUNCF) in addressing this gap. The framework to integrate ABS within prospective community-based enterprises currently does not exist.

*Barrier 4: Weak state of knowledge on ABS to support decision making, stakeholder engagement and buy-in.* The regional GEF ABS project contributed to raising awareness among designated CNAs and stakeholders, but these efforts need to be expanded to help movement toward operationalization of the framework. There remains a general lack of awareness across all levels of the governance spectrum, from policy makers to communities, on the potential advantage to be gained by application of ABS protocols. This also applies to recognizing the importance of safeguarding of traditional knowledge in securing economic returns to communities that possess custodian responsibilities of genetic resources. This in turn limits the ability to respond in an informed manner to requests from research and commercial partners for access to genetic resources and traditional knowledge, including their rights and responsibilities that may be potentially beneficial. The accession process to the Nagoya Protocol by Saint Lucia will benefit from expanding the awareness raising effort commenced under the regional project. There is no clear integrated strategy and communications plan to pull together ABS strategic directions and as such, gaining an appreciation for the value of a holistic approach in managing the ABS framework within the wider national biodiversity management environment is not apparent among stakeholders. The complexities of the subject matter and the need for buy-in requires that appropriate messaging is crafted and delivered to respective audiences.

**2) Baseline scenario and any associated baseline projects**

Under the baseline scenario the frontline agencies with responsibility for biodiversity management, the Forestry and Fisheries Department will maintain on-ground resource management as specified in their respective legal mandates, the Forest, Soil and Water Conservation Act (1946, amended 2008), the

Wildlife Protection Act (1980), the Fisheries Act (1984) and Regulations. In accordance with the provisions of the laws and regulations, for ?non-agricultural? biological resources, the Fisheries Department and the Forestry Departments are responsible for handling requests and issuing permits to access, study, use or transport biological and genetic resources from marine and terrestrial environments although under the baseline it can be expected that the protocols will remain poorly defined in the context of ensuring that ABS considerations are adequately taken into account. Related, both Forestry and Fisheries Departments are CITES management authorities with responsibility for regulation of movement of biodiversity that falls within the designated schedules under the Convention. The International Trade in Wild Fauna & Flora Act (2007) has been developed but remains in draft while regulations to support implementation of the Act are being developed.

In the monitoring and regulation of movement of genetic resources into and out of the country, the above-mentioned frontline agencies work along with other agencies namely the Customs and Excise Department, the Saint Lucia Air and Sea Ports Authority, the Ministry of Health, the Saint Lucia Bureau of Standards among others, in regulatory, policy and advisory contexts. The Department of Sustainable Department serves in a policy coordinating role on biodiversity and has key responsibility in guiding stakeholder engagement in the realization of the NBSAP as an overall guiding policy instrument for the country. This role will remain a prominent one that will continue under the baseline scenario under whose mandate the integration of ABS considerations will remain as part of the DSD work programme, although without the GEF contributions, the process may remain low keyed and likely delayed.

Under the baseline scenario the Saint Lucia National Trust will continue to play a key role in raising public awareness on biodiversity assets and support and engage with partner organizations in advancing conservation oriented toward empowerment of communities and the public. The Folk Research Centre has played a critical role in documenting national cultural heritage, some of these which has included traditional knowledge associated with use of natural assets, a role that will continue under the baseline scenario, with the Department of Social Equity playing a potential support role.

There is some degree of institutional overlap and conflict as well as gaps in policy and technical execution among relevant agencies. To address these challenges, with recognition of the need for greater synergy and coherence in policy and implementation, there has been an attempt to coordinate the biodiversity management agenda to enhance planning and decision-making and realizing effectiveness in execution of mandates. In this regard, a National Biodiversity Steering Committee has been convened to address coordination across the agencies. In a further step, the country has sought to deepen integration across multiple sectors within a legislative setting through the formulation of a draft ***Biodiversity Conservation and Sustainable Use Bill (BCSB, 2009)*** which is intended to be an ?omnibus? measure to cover the entire range of biodiversity issues including those identified within the CBD and its associated Protocols. The Bill is awaiting a final review which will incorporate the

institutional and considerations of ABS into the provisions of the legislation after which it will be submitted for Parliamentary consideration.

Saint Lucia is not a Party to the Nagoya Protocol. However, there have been ongoing efforts toward stakeholder awareness and policy development under a series of initiatives, most recently the regional UNEP GEF-funded *Advancing the Nagoya Protocol in countries of the Caribbean Region*. To date, a draft ABS policy has been formulated along with draft legislative provisions, supported by a Memorandum to Cabinet outlining a request for accession to the Nagoya Protocol. The draft ABS legislation prepared under the Regional ABS Project provides the administrative framework for managing access to genetic resources through permitting based on the definition of mutually agreed terms for use, prior informed consent to affected stakeholders, and taking into account preservation of benefits associated with any use of traditional knowledge. The legislation designated the Department of Sustainable Development (DSD) as the Competent National Authority, however with a mandate to appoint Permitting Authorities. Policy and technical matters associated with consideration of applications and permitting is the role of a proposed ABS Committee whose work is to be coordinated by the DSD. Provisions are made for stakeholders and the public to access applications via an Applications Registry to allow for query and ensure transparency in transactions. The Registry is to be part of an ABS Clearinghouse for dissemination of information. The legislation makes provisions for an ABS Funding Window under the Saint Lucia National Conservation Fund. Templates have been designed so research parties can request permission to access genetic resources, and agreement templates have been developed to clarify the terms of the permission. These templates remain in draft and need to be agreed upon and finalized. National execution of the project was accompanied by extensive national awareness-raising. The project contributed to the development of the website at http://www.abscaribbean.com/about/nagoya-protocol that included national pages; Saint Lucia?s page is at http://www.abscaribbean.com/about/partner-countries/saint-lucia with the intention of being linked to the National Environmental Information System. The regional project also introduced the need for a monitoring framework that would enable notification to CNAs when genetic resources from the Caribbean were referenced in studies, entered in catalogues/museums or used in commercial development. Significant work remains to flesh out operational modalities under the proposed act before it may be tabled to the Cabinet of Ministers for adoption and for final legal drafting. Figure 1 illustrates the proposed institutional framework for administration of ABS in the country based on the draft legislative provisions developed under the national component of the regional ABS project.

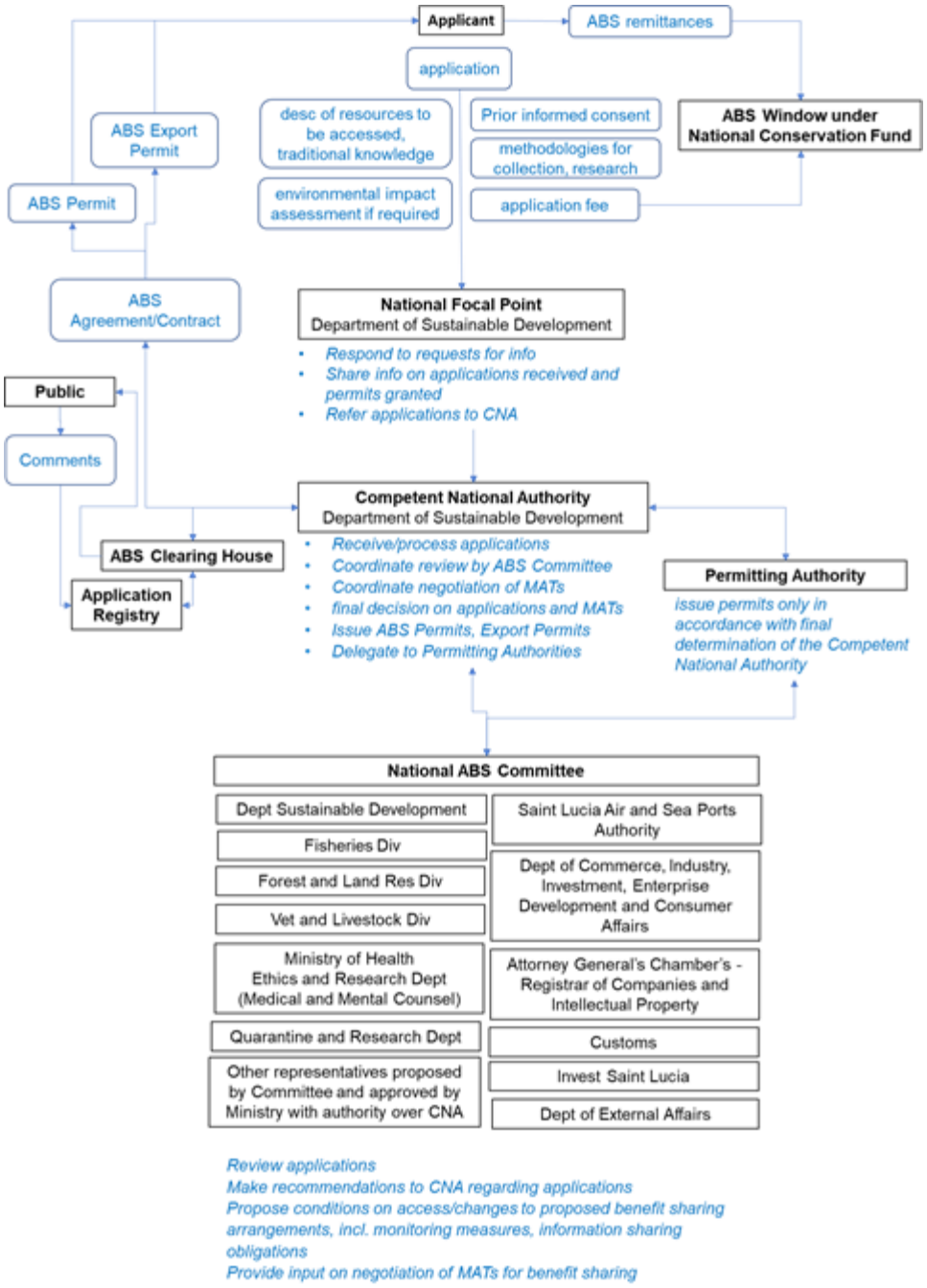


Figure 1. Key elements of the proposed national ABS management framework in accordance with the draft ABS legislation

Under independent research and partially supported under CBD Biodiversity Enabling Activities (2005) and the European Union Special Framework of Assistance (SFA) 2003[12][12] allocation,

Graveson has assembled a comprehensive online database of the Plants of Saint Lucia accessible at http://saintlucianplants.com/ which for all intents and purposes represents the most comprehensive online database of the plant genetic resources of the country. In the early to mid-1990s with the support of the Canadian Government through the Canadian International Development Agency (CIDA) under the *Forest Management Project*, the Forestry Department developed and maintained a herbarium within its headquarters, which remains a viable source of genetic research used by secondary and tertiary school students, local and regional researchers. Under the European Union SFA 2003 grant to the *National Forest Demarcation and Bio-Physical Resource Inventory Project* the Forestry Department carried out assessments of mammals by Clarke[13][13] and reptiles and amphibians carried by Daltry[14][14]. The Forestry Department maintains an active programme of surveillance and monitoring of the state of forest resources within government forest reserves that extends to extraction of biological resources under the provisions of the Forest, Soils and Water Conservation Act. However, it has limited jurisdiction over private lands in terms of enforcement powers related to removal of biological resources granted under the Act. The Wildlife Protection Act provides a more comprehensive degree of enforcement authority to management of fauna over both State and non-State lands. Under the Fisheries Act there are regulatory controls over extraction of marine biodiversity. The primary mechanism for monitoring are the fish landing assessments that are carried out at the various fish landing locations across the island.

The *Program of Applied Research to Popular Medicine in the Caribbean (TRAMIL)*[15][15] is a community of researchers, ethnobotanists, biologists, traditional medicine practitioners and medical experts in the Caribbean that bring together knowledge from across the region gathered from ethnopharmacological surveys of native plants into medical applications. From investigations compiled in the regional pharmacopoeia there is strong interest among experts involved in the community to explore the possibility of securing ABS frameworks for species with potential for commercial use within the Caribbean, including in Saint Lucia.

Since 2010 *Fauna and Flora International (FFI) has been assisting the Forestry Department in provision of technical and financial support to address destructive tapping practices to harvest resin from the regionally endemic and locally threatened forest tree Protium attenuatum*, known locally as lansan, which causes their premature death. The collaboration, along with Durrell Wildlife Conservation Trust has led to a more sustainable method for tapping that not only minimises damage to the tree but also yields more resin. Resin tappers are now being trained in the new, safe extraction method and licensed to harvest the resin from areas designated by the Forestry Department. Under a more sustainable management regime there is potential to create more jobs from this renewable resource by marketing Saint Lucian frankincense candles, toiletries and other products. Based on the

use value of the resin through its various derivatives and potential applications in the nutraceutical and pharmaceutical industries, the species is of active interest by the GOSL to make subject to ABS regime that will assure greater benefit derived from value-added enterprise development to local communities.

Based on recurrent annual estimates the Government of Saint Lucia invests approximately US$220,000 annually that may be considered direct contribution to the baseline related to the enabling environment to support ABS under the Nagoya Protocol. This will include support to ongoing recurrent activities within the Forestry Department related to monitoring and patrolling forest reserves and adjacent forest areas to mitigate unsustainable incense harvesting and forest degradation and monitoring St. Lucia Viper occurrence and assisting communities with reducing adverse human-wildlife interactions, along with investments in ongoing conservation education programme. These resources will support the efforts of the Department of Sustainable Development to coordinate and host multi-stakeholder dialogue in support for implementation of the NBSAP related to ABS considerations. Under the recurrent budget programme, agencies including the Department of Agriculture and the Ministry of Commerce will continue to support beneficiary communities in development of capacity for invest alternative livelihood options.

**3) Proposed alternative scenario with a brief description of expected outcomes and components of the project;**

***Project Overview:*** The GEF?s incremental funding and co-financing resources will be used to overcome the identified barriers to creation of the needed enabling environment to pave the way for Saint Lucia?s accession to the Nagoya Protocol and create the avenues for effective stakeholder participation in decision making and realization of economic benefits, particularly associated with the value-added commercial applications from the use native genetic resources. Saint Lucia is in a relatively advanced stage of preparedness for accession to the Nagoya Protocol where the country has demonstrated strong commitment to safeguarding its vulnerable biological and genetic resources. There still however remains critical work to be done to bring the efforts started under the recent regional GEF ABS initiative to fruition in establishing robust policy and operational environments to execute the provisions of the protocol. The project?s theory of change is illustrated in Annex D.

Investment under **Component 1** will realize the outcome of a strengthened national policy and legislative institutional framework for operationalization of the Nagoya Protocol for access and benefit sharing (ABS). Investment under **Component 2** will realize an effective permitting and monitoring framework and strengthened capacities for ABS regulatory operationalization in accordance with

provisions of the Nagoya Protocol. This will be supported by an interactive data support platform for use by CNAs and clients that is part of an existing data management system that will provide functional capacity to serve clearinghouse mechanism (CHM) requirements for the ABS framework. Investment under **Component 3** will contribute to commodity pilots to test operationalization of ABS protocols toward sustainable management of two indigenous genetic resources and scale-up for future commercial application. The two pilots will be based on (1) use of the venom of the endemic Saint Lucia Viper (*Bothrops caribbaeus*) for medical applications and (2) use of resinous extracts of the regionally endemic Lansan tree (*Protium attenuatum*) in the nutraceutical industry. This will be based on the formalization of ABS agreements with research and commercial entities that are developing value-added product applications from these biodiversity resources. Capacity enhancement and enterprise opportunities for local professional and local communities will be enhanced based on these cooperative ABS agreements with partners that will serve as demonstration models for replication. Investment under **Component 4** will enhance overall knowledge management to support decision making, stakeholder engagement and buy-in to recognition of the potential opportunities for sustainable management and use of native genetic resources, and the need to ensure that benefits accrued are repatriated to the country and communities. The project will take advantage of the opportunity to demonstrate options for green recovery and building back better in the wake of the COVID19 pandemic, particularly in the context of socio-economic opportunities in development of commodities derived from native biodiversity that are underpinned by safeguards afforded by ABS agreements with partners that have the means to scale to larger enterprise levels, and where the benefits can be equitably repatriated to local communities.

The components are described in more detail below.

**Component 1: Strengthen the national policy and legislative institutional framework for operationalization of the Nagoya Protocol for access and benefit sharing (ABS).** This component focuses on the enhancing the policy and legislative institutional framework for harmonized operationalization of the Nagoya Protocol for access and benefit sharing (ABS) through **Outcome 1.1** *Competent National Authorities and stakeholders adopt a policy and legislative framework for the fair and equitable sharing of benefits arising from the utilization of genetic resources;* **Outcome 1.2** *Competent National Authorities and stakeholders adopt an administrative framework to efficiently operationalize ABS protocols nationally.*

The project will assemble a *dossier for accession to the Nagoya Protocol for submission to the Depositary (for the CBD and its protocols)* that will be tabled to stakeholders and the Cabinet for endorsement. The dossier will articulate the benefits of accession underpinned by the conservation priorities outlined in the National Biodiversity Strategy and Action Plan, supported by potential socio-economic benefits that can be accrued associated with its operationalization. High-level policy buy-in to accession to the Nagoya Protocol will be facilitated through demonstration of economic derivatives under Component 3 in collaboration with research entities and private sector.

The project will contribute to the policy and regulatory processes to facilitate accession to the Nagoya Protocol. Under the recently concluded regional GEF Access and Benefit-Sharing Project, draft ABS

legislation provisions were prepared. Under the project these will receive further final review supported by stakeholder buy-in and endorsement for incorporation into an *upgraded Draft Biodiversity Conservation and Sustainable Bill* (BCSB). The upgraded (BCSB) will include ABS clauses and regulations dealing with *inter-alia,* dispute resolution, protection of traditional knowledge, agreements for transfer of genetic and biological materials. The upgraded BCSB Bill will be presented for adoption by the Cabinet of Ministers. Part of the process will include recommendations for amendments of existing national pieces of legislation and associated regulations, with particular focus on the forestry and fisheries acts that deal with terrestrial and marine biodiversity so that there is regulatory coverage and appropriate institutional mandates that are complementary in execution. Gender mainstreaming considerations based on guidance adopted by the Parties to the Convention on Biological Diversity will be taken into account[16][16].

To build greater integration among regulatory agencies and CNAs and gain efficiencies based on common decision making and administrative processes, modalities for technical cooperation between agencies around the policy frameworks and the proposed legislative and regulatory architecture will be defined. The project will help to clarify the roles and responsibilities of the designated CNAs under existing relevant biodiversity management frameworks and the required ABS protocols through national consultative processes, based on the proposed ABS policy and legislative reforms and the already existing legislative, administrative and policy provisions that guide the mandates of relevant agencies. This will include the formulation of terms of reference, appropriate memoranda of understanding and other inter-agency cooperation agreements within an *agency operational framework and management recommendations for administration of the ABS framework.* The operational framework is envisaged to fall under the broader purview of the National Biodiversity Committee that is a mechanism for ensuring relevant agencies[17][17] remain effectively engaged in discharge of their mandates in the implementation of the ABS framework.

**Component 2: Develop an effective permitting and monitoring framework for ABS protocols in accordance with provisions of the Nagoya Protocol.** This component focuses on building the capacity of the designated component national authorities to effectively exercise their regulatory policy and technical advisory mandates to clients and stakeholders in executing the provisions of the ABS framework. This will be realized through **Outcome 2.1** *Strengthened institutional capacities among CNAs effectively operationalize provisions of the Nagoya Protocol;* **Outcome 2.2** *National Environmental Information System provides functional capacity to serve CHM requirements for ABS protocols for use by CNAs and stakeholders.*

The regional GEF ABS Project contributed to initiation of development of administrative processes for the operationalization of the Nagoya Protocol, however this had been confined substantially to sensitization of stakeholders on the general framework, hence this project will build on this initial contribution that results in the development of an *administrative protocol for ABS Agreements (with PIC, MATs, templates for applications/contracts, manual), monitoring and permitting system for research and bioprospecting activities available for use by CNAs and stakeholders*. Specifically, the administrative protocols for ABS Agreements to facilitate prior informed consent (PIC) and the formulation of mutually agreed terms (MAT) for use of genetic resources, along with other mechanisms to ensure benefit sharing on use of traditional knowledge will be further elaborated through continued stakeholder inputs and validation toward the finalization of ABS templates for applications and contracts. This will be integrated within a permitting system that facilitates easy application for permits and efficiently allows government authorities to review and approve applications, monitor compliance and report on the access, benefit-sharing, compliance and reporting provisions of the Nagoya Protocol. The permitting system will issue appropriate notifications to relevant authorities to inform them of the need for actions associated with applications and provide applicants current information on the progress of applications and issue notifications at stages in the process where approvals have been met or where additional information is required on issues requiring resolution. A *suite of capacity building tools and resources on administration of the national ABS frameworks for use by at least 50 professionals from CNAs and key stakeholders* will be developed. Core topics to be covered by the training material will include *inter-alia*, introduction to the Nagoya ABS protocol, triggers to designation of ABS cases when access to genetic resource require ABS agreements, elements of ABS agreements, case studies, and factors to consider, overall administration of the permitting and management system, Saint Lucia?s ABS legislation and the role of local agencies.

To support the required ABS permitting system, an effective knowledge management platform is needed that will serve as an information clearinghouse in keeping with the Protocol guidelines. The project will build on the contributions of the Regional ABS Project toward the establishment of a national information management system to support compliance in the implementation of the Protocol. Under the ABS Project a dedicated regional website[18][18] was developed that contained information links for use by government personnel, students and researchers, however the project was not sufficiently resourced to develop a fully enabled national ABS portal. Under a recently concluded UNEP-GEF project ***Increase St. Lucia's Capacity to Monitor MEA Implementation and Sustainable Development*** a National Environmental Management System[19][19] (NEIS) was developed, intended as a comprehensive knowledge hub to service the reporting requirements to the multilateral environmental agreements, specifically the UNCBD, the UNFCCC and the UNCCD. In consideration of the approach by the Government in integrated management of environmental data, the project will embed the national clearinghouse mechanism for the ABS framework within the NEIS, thereby upgrading the *Environmental Information System that includes a separate ABS CHM platform for use by CNAs and stakeholders*. At the core of the system upgrade will be development of the permitting component that

facilitates easy review and approval of applications, monitors compliance and reports on the access, benefit-sharing, compliance and reporting provisions of the Nagoya Protocol. The project intends to complete the design and establishment of the digital architecture to encode monitoring data, build the database with linkages to relevant external databases and facilitate interactive online query and submission of applications. The portal will serve as a capacity building and awareness raising tool for officials, commercial interests, researchers and local communities and provide guidance in management and monitoring of utilization of genetic resources by policy makers, regulators and checkpoints in Saint Lucia. The process will draw on the consultations and recommendations among stakeholders (maintaining gender-balanced context) in refinement of the operational processes in the development of the system. The project will facilitate technical exchanges and work with the OECS Commission in contribution to regionalization and sharing best practice in conjunction with work already underway with the Commission that is being carried out in partnership with the GIZ. The knowledge hub will be managed by the Department of Sustainable Development.

**Component 3 Establish demonstrable commodity pilots to test operationalization of ABS protocols toward sustainable management and equitable benefits of genetic resources and scale-up in future commercial application**. This component focuses on exclusively on testing application of and operationalization of the ABS framework with case examples of two indigenous genetic resources, the venom from the endemic St. Lucia Viper and the resin from regionally endemic lansan tree that have already been yielding commercial application in value-added derivatives. The project will contribute to exploration of additional potential commercial opportunities from local biodiversity that will benefit from ensuring ABS protocols are put in place. Capacity enhancement and enterprise opportunities for local professional and local communities will be enhanced based on these cooperative ABS agreements with partners that will serve as demonstration models for replication. This will be done through the realization of two outcomes; **Outcome 3.1** *Formal ABS agreement between the GOSL and partner for contributes to sustainable commercial use of the Saint Lucia Viper venom and demonstrated as a model for replication for other ABS applications*; **Outcome 3.2** *Enhanced business capacity for screening and commercialisation of genetic and bio-chemical compounds of biodiversity in Saint Lucia, in compliance with NP on sustainable utilisation of genetic resources.*

Since 2000 the Kentucky Reptile Zoo (KRZ) has been engaged with the Department of Forestry conducting research and building capacity to manage the St Lucia Viper. A small collection of the snakes was removed from the country and are being captive bred at its facility in Slade, Kentucky, USA[20][20]. Over the years the KRZ has successfully reared the snake in captivity and has made venom extract available on the commercial market. There is research on the chemical properties of the venom of *Bothrops* species including that of the St. Lucia Viper in development of more effective antivenom and in evaluation of venom derivatives for medical applications in treatment of heart disease, stroke

and other disorders[21][21]. More recently, the KRZ partnered on a capacity building initiative for staff of the Forestry Department and the Saint Lucia National Trust in safe snake handling practice. The existing cooperation agreement between the two entities needs to be updated so that the provisions of access and benefit sharing can be successfully applied as a ?test case? for Saint Lucia. Under an updated agreement the PIC and MAT templates developed under Component 2 will be readied for signature between the KRZ and the GOSL. The KRZ will continue its work with the Department of Forestry in training of local specialists in safe venom harvesting protocols and establish a mechanism with the KRZ for local conservation efforts in Saint Lucia with focus on herpetofauna. The principal output will be a *memorandum of agreement including a benefit sharing proposal (with PIC and MAT provisions) that defines collaboration between the GOSL and Kentucky Reptile Zoo on research and capacity building related to use of the venom of the Saint Lucia Viper, among others*. The conclusion of the agreement within the scope of the project in accordance with the Nagoya Protocol will be the first ABS agreement established for Saint Lucia and will be used as the model for establishing future agreements on the use of the country?s genetic resources. The investment in the conservation of the St. Lucia Viper in consideration of the potential widened commercial application of its venom extract requires stepped-up management of the species in the field which will require as a base, an *updated population assessment to inform management approaches by the Forestry Department to facilitate sustainable resource use and enhance public safety*. The last surveys were carried out in 2009[22][22] that estimated the general range of the species across the island and included key recommendations for management intervention. The proposed population assessment under this project will assist to understand the how the threats to the species such as human persecution, alien invasive predators and loss of forest habitat may be contributing to its changing population and distribution. The assessment will also lend to enhancing public safety measures in respect to reducing the possibility of snake bites, and snakes meeting their demise due to human encounters. The assessment will inform wider forest and wildlife management measures to reduce human-wildlife conflict and assist residents in communities located in closer proximity to favored habitats in taking precautional safety measures.

The GOSL is seeking to enter a south-south collaboration arrangement with the Clodomiro Picado Research Institute in Costa Rica. The Institute specializes in research on biotechnological applications for the veterinary sector with wide global collaboration with over 115 agencies. This collaboration with the GOSL will help build local capacity to study the genetic profile of the St. Lucia Viper and contribute to development of an antivenom that is specific to this species, as the current anti-venom used to treat snake bite is derived from a polyvariant formulation (not specifically designed for the venom of the St. Lucia Viper). The Institute has already developed a polyvariant antivenom which includes venom from the St Lucia Viper. However, since the source material (venom) is not available in Costa Rica, it is necessary to establish a routine regime whereby snakes are captured, venom extracted and then made available to developers in Costa Rica under an ABS agreement. The project will support *capacity building for at least ten local professionals (equitable gender balance) by the*

*Institute in developing skills in use of genetic analysis equipment and techniques* (e.g., PCR[23][23] profile analysis) to better understand the chemical properties of the venom, develop skills in venom extraction and processing of antivenom. Currently this expertise is not available locally. Based on findings of chemical analyses, there may be opportunity for further capacity building in development of derivatives for pharmaceutical products or therapeutic treatments. The project will also facilitate the adaptation of these training programmes to be delivered in-country via certified trainers who will have benefited from the formalized training. Opportunities will be explored through collaboration with the Sir Arthur Lewis Community College, the Ministry of Agriculture, University of the West Indies, the Caribbean Doctors Association and the Medical and Dental Board, roles that will be defined during detailed project design phase under the PPG phase. The result of the capacity building programme within this project component is the development of *handling protocols and training resources for St Lucia Viper venom extraction and processing for use by wildlife management professionals and medical practitioners*. Overall, the collaboration with both KRZ and the Clodomiro Picado Research Institute will enhance the ability of the country to better secure the genetic profile of this indigenous resource, reaffirm the country?s sovereign rights over its management and contribute toward improved understanding of the species and its potential uses. An enhanced appreciation of the species will also build citizen confidence in local ability to manage the species and ultimately reduce adverse human-snake interactions.

The project will support a business profiling of a shortlist of commodities derived from indigenous biological resources in development of a bio-livelihoods *portfolio of blue/green economic opportunities with inter-alia, nutraceutical, pharmaceutical, agricultural, food/beverage, personal care applications* that have high potential economic value, that can benefit from expanded benefit sharing within an ABS framework. This will entail a gender-sensitive assessment of stakeholders who are involved in the collection of, and processing of native biological resources into value-added products to gain an understanding of local demand and external market potential, commodity value, challenges in accessing raw materials and value-added product development, along with financial, production and market access challenges. The study will look at production costs for product transformation and needed investments for scaling up product development. The study will include a proposal for the development of a specific financing window under the National Conservation Fund (NCF) that can be used to support indigenous enterprises that benefit from utilization of biological resources. Under Component 1 the project is to consider harmonized administration of the ABS frameworks which includes financial management and sustainability; the recommendations from this study will contribute to this aspect.

Since 2009 Fauna and Flora International (FFI) has been working with the Forestry Department on conservation of the lansan tree that has been traditionally exploited for its aromatic resin but has been under threat of degradation of the stock due to poor and unsustainable harvesting practices. The tree

ranges within the lower montane rainforest but it is suspected that its spatial distribution may be contracting due to poor harvesting practices that makes the tree more prone to disease and mortality in more accessible areas where that tree was once more common. The resin has traditionally been used to produce incense used in ritual and religious ceremonies, however recently local entrepreneurs have started to convert the resin into other value-added products that include aromatherapy treatments and essential oils. There are markets for lansan resin extract in neighboring islands of Dominica, Guadeloupe and Martinique with potential markets in Canada and the UK. There is at least one local entrepreneur already processing resin extract into perfume. In 2017 the Forestry Department and FFI published the findings of the *Sustainable Harvesting of Lansan Project* that contained key recommendations that included the development of regional geographic indicators among the countries where the specie is found, linked to product development, establishment of regulation governing export of the raw product and derivatives, and the possibility of listing the specie on Appendix 3 of the Convention on Trade in Endangered Species (CITES) to regulate trade on account of its vulnerability. In view of the potential to develop lansan-based derivatives for commercial application, the project will support *phytochemical screening and testing on Protium attenuatum resin extracts to ascertain the character of active ingredients including cosmetic, pharmaceutical and medicinally active substances* to explore the potential product applications that will help in the development of sustainable livelihood opportunities and inform the justification for further policy and management investments around conservation of *P. attenuatum*.

The project will support contribution of a seed amount of funding through a *grant mechanism that will be used to support business start-ups* that use native biodiversity that will benefit from ABS arrangements. A further screening will be done during the PPG phase to ascertain these enterprises and will be further informed by the portfolio of blue/green economic opportunities. These resources will augment resources that may be available from the GEF Small Grants Programme and the National Conservation Fund (NCF) that are both targeting small community enterprise development in sustainable use of natural resources. An overall grant allocation of US$100,000 in funding from the project will be made available in at least 5 small grant packages to eligible applicants. The criteria and operational framework to include gender considerations for the grant mechanism will be informed through further project development in the PPG phase and defined from the portfolio study and the grants will be made available through established credit agencies to include development banks, credit unions and micro-credit lending agencies.

The project will support the *establishment of local network of medicinal germplasm banks to curate indigenous flora* to supply germplasm for multiplication to conserve particularly rare species and those that have known and potential medicinal, food security and commercial applications that may also present best candidates for ABS application based on research and private sector interest. These germplasm banks (gardens) will be established within existing plant propagations facilities in the island such as those of the Ministry of Agriculture in provision of planting material to communities. Germplasm banks will be also established at health care and/or educational institutions with capacity to direct appropriate use for treatment of ailments to beneficiary communities, to document use and

effects, and otherwise utilize as educational tools. Feasibility of establishment proposed utilization will be evaluated during the PPG phase.

**Component 4 Enhance knowledge management on ABS to support decision making, stakeholder engagement and buy-in**. This component will enhance overall knowledge management on ABS to support decision making, stakeholder engagement and buy-in to the importance of mainstreaming policy and technical approaches to effectively capitalize on potential opportunities for sustainable use of native genetic resources, and the need to ensure that benefits accrued are repatriated to the country and communities. Efforts to raise the knowledge base of stakeholders was undertaken under the regional ABS Project but these were limited to general sensitization. With the more focused effort on operationalization of the ABS framework within the national enabling environment, particularly with enterprise development supported by ABS considerations through case examples, knowledge management will greatly enhance recognition of stakeholder relevance toward uptake and buy-in. This will be done through the realization of **Outcome 4.1** *Heightened awareness among policy and technical stakeholders on the provisions of the Nagoya Protocol, and the associated national institutional and regulatory frameworks.*

To deepen perception of relevance of the issues of access and benefit sharing and how stakeholders may better understand direct benefits and avenues for effective participation across all levels in the process, a *communications and outreach strategy on ABS for adoption and integration within work of CNAs* will be prepared. The focus will be on conservation of wild landscapes and protected areas and protection of endangered and species of high value, and need to conserve traditional knowledge associated with uses of genetic resources. Of particular importance will be inclusion of gender-sensitive considerations and enhancing gender-based economic opportunities around the use of genetic resources. During the PPG phase the avenues for explicit engagement of women and men will be elaborated, as will be carried through the other project components. This communications and outreach strategy will craft clear gender-sensitive audience-tailored messaging, drawing on awareness resources already developed by the Convention Secretariat and under the contributions of the regional ABS Project. The communications and outreach strategy will also define how all the project outputs and learning from implementation will be captured and organized so that they are easily accessible by beneficiaries and users, and will include measurable targets and gender-sensitive indicators to assess uptake and receptivity with audiences. The strategy will detail recommendations for sustainability and replication of results for follow-on and related initiatives. As with other components of the project, the strategy will also need to take into account how the onset of the COVID19 pandemic has impacted business processes and livelihood opportunities and how messaging will resonate in a positive way to solicit participation and buy-in among stakeholders. The project will build its profile through the strategy, in alignment with global agendas, notably the Sustainable Development Goals, the Post-2020 Global Biodiversity Framework and the UN Decade for Ecosystem Restoration.

Based on the directions and recommendations of the strategy and stakeholder inputs, the project will contribute to the development of a *suite of at least 20 knowledge products and public education material distributed to relevant authorities, targeted audiences and the general public*. The number and diversity of the products will be defined during the PPG phase. It is anticipated that resources will be made available in all commonly used formats ranging from conventional printed materials such as booklets, leaflets, fliers and posters to electronic media products distributed via social media channels. The ABS CHM will serve as a core repository for resources. The project will facilitate the design and hosting of a *series of at least 10 knowledge sharing events for exchanging lessons learned, information dissemination and networking among policy and technical support professionals, practitioners and other beneficiaries.* These events will be hosted alongside key commemorative days notably World Environment Day, International Day for Biological Diversity, International, Forest Day, World Food Day, World Intellectual Property Day and World Consumer Rights Day among others. The events will be designed so that virtual platforms, that have been upgraded in the wake of COVID19-induced alternatives to physical travel, can be taken full advantage to webcast these events to regional and international audiences.

A *project monitoring and evaluation system* will be put in place to ensure continual assessment of progress in meeting project outcome and output targets.

**4) alignment with GEF focal area and/or Impact Program strategies;**

*Biodiversity focal area:* ***BD-3-9*** *Further development of biodiversity policy and institutional frameworks through the Implementation of the Nagoya Protocol on Access and benefit sharing.* The project is in alignment with the Objective 3 of the GEF-7 biodiversity focal area strategy that seeks to strengthen biodiversity policy and institutional frameworks and in this regard, it will contribute to advancement of Saint Lucia?s commitment under the CBD in mainstreaming the provisions of the Nagoya Protocol within national frameworks. This will be in alignment of the Second National Biodiversity Strategy and Action Plan (2018-2025) where the ambition is to safeguard genetic diversity, and that biodiversity benefits are generated for all citizens through the fair and equitable sharing of benefits arising from utilization of genetic resources.

**5) incremental/additional cost reasoning and expected contributions from the baseline, the GEFTF, LDCF, SCCF, and co-financing;**

| Baseline | Incremental Cost |
| --- | --- |
| Under the baseline scenario Saint Lucia?s capacity to implement and operate an effective and transparent national framework for enhancing access and benefit sharing on utilization of genetic resources will remain low. In the absence of the proposed project, progression toward accession to the Nagoya Protocol will likely remain a low priority and advancement of the draft ABS policy and legislation will remain stymied. Under a business-as-usual scenario the organizational approach to operationalizing the ABS framework may not be sufficiently mainstreamed and harmonized with existing national frameworks to realize management effectiveness and cost efficiency gains in decision making where there are areas for joint cooperation among CNAs. There will likely remain a fragmented approach among the national agencies without sufficient regulatory ability to facilitate coordinated responses to ensure that genetic resources, where being used particularly for commercial purpose, are subject to adequate permitting, tracking of use and repatriation of benefits. | With the GEF investment there will be a further strengthened capability across all levels within national competent authorities. This will build on the existing baseline that has been developed through the country?s participation in the regional ABS project in which policy and regulatory frameworks were developed following generalized regional models with tailoring to national circumstance. The country however needs to operationalize and validate the framework that will serve to maximize on synergies in decision making, streamline administrative processes and reduce burden on CNAs that are otherwise constrained by limited capacities. The project will facilitate the upgrade to the draft Biodiversity Conservation and Sustainable Use Bill that includes relevant ABS clauses and regulations. The project will contribute to accession to the Nagoya Protocol via a consultative process among stakeholders, for consideration and adoption by the Cabinet of Ministers. |

| Baseline | Incremental Cost |
| --- | --- |
| Under a business-as-usual scenario relative to the ability to realize the operational protocol associated required for implement provisions of the Nagoya Protocol, the country will remain without a mechanism to effectively monitor ongoing research and development with native genetic resources and associated traditional knowledge, or commercialization of developed products. While there have been past collaborations with research entities in use of the country?s genetic resources, the arrangements have been substantially informal, without specific terms of agreement to secure a pathway for sustainable repatriation of benefits to the country. This challenge will persist without further investment in formalization of the administrative protocols for ABS agreements in terms of finalization of PIC and MATs protocols, along with the templates for applications, and guidance tools to administer, including the needed information systems for monitoring and permitting. The country has gained some exposure to the management requirements of the ABS framework through capacity building and knowledge exchange via prior project interventions, but level of capacity still falls short of what is required. Aspects such as ability to undertake cost-benefit analyses associated with bioprospecting and use of genetic resources remain poorly understood, with limited ability to apply in policy development that may support local enterprise development around local biodiversity. The country has been making investments in enhancing consolidation of national data and information systems that will serve reporting needs to the MEA conventions. The NEIS provides a platform upon which an ABS CHM to support implementation of the Nagoya Protocol can be built. Further upgrades and modifications will be required to make the NEIS adequately function as a CHM, which will not likely happen without additional investment. | The GEF investment will contribute to an effective permitting and monitoring framework for research and bioprospecting permits associated with the ABS framework along with associated protocols. The project will advance the implementation of the provisions of the Nagoya Protocol through the provision of administrative protocols for ABS Agreements that includes templates for PIC and MATs associated with applications/contracts within operational manuals. The project will generate a suite of capacity building tools and resources on administration of the national ABS framework and deliver associated training, to professionals from the CNAs and stakeholders within key support and beneficiary organizations. Under advancement of the Nagoya Protocol, the project will partner through south-south cooperation with research institutions in the region and further afield to boost local capacity in applications such as genetic profiling, resource extraction and processing technologies as relevant to the resources targeted under the project. The project will contribute to the further development of the national clearinghouse mechanism needed for operationalization of the ABS framework. The basic elements were created under the regional GEF ABS initiative, however with the commissioning of the National Environmental Information System by the GOSL to serve as a common hub for environmental information for reporting to the MEAs, opportunity will be taken under the proposed GEF project to making the NEIS a common platform to host the CHM via appropriate upgrade to the system along with associated operational protocols. |

| Baseline | Incremental Cost |
|---|---|
| Under the business-as-usual scenario the country will likely not translate existing and prospective research and commercial collaborations and applications presented by partners in the use of genetic resources into agreements that return equitable benefits to the country. The current agreement between the Forestry Department and the Kentucky Reptile Zoo in use of the venom of the St. Lucia Viper has immediate potential to be transformed to an ABS-compliant agreement, however it is likely that without further investment, focused support to continue the negotiation process with all parties to realize MAT, with a clear basis for long-term collaboration will remain sub-optimal. Without taking advantage of this demonstrable model, the crafting of new and prospective ABS templates for other genetic resources that are already being bio-prospected, will be disadvantaged without the benefit of using a case example that will provide a model and needed experience. Among the potentially derived benefits from the collaboration with research and commercial partners under an ABS framework in respect to the use of the St. Lucia Viper, will be enhancement of skills to carry out processes such as DNA fingerprinting including extracting and processing of the venom locally. This skill does not reside locally, and without it the country will not be able to build the national capacity to transform this potential resource into more direct local economic benefit. Saint Lucia lacks specific analyses and profiles of potential enterprises that could potentially benefit from ABS applications that can enhance economic opportunities particularly at the community level. Without this information, development of business opportunities secured by ABS agreements that may have benefits at the community level will be limited and that traditional knowledge associated with the use of local biodiversity will not yield economic opportunity. Organizations that represent community stakeholders will remain without the tools and capacity to support enterprise development based on secured ABS arrangements. Finally, there is no experience in the country in designing and creating fiscal incentives to stimulate entrepreneurs to invest in commodities and/or value chains that utilize ABS agreements and this will persist without investment by the project. | The project will build the cost-benefit case for investments in a strengthened regulatory framework for ABS through economic models that demonstrate how measures to conserve biodiversity can be transformed into sustainable present and future revenue generation streams. The project will support the development of a pilot business model for contribution to return of benefits associated with the use of genetic resources and enhancement of sustainable livelihoods connected with the resource use, with a strong emphasis on community-based SME capacity development. A key outcome will be new agreement on technical collaboration between the GOSL and Kentucky Reptile Zoo and PIC and MAT agreements on collaborative research and capacity building for bio-prospecting and institutional support related to use of venom of the Saint Lucia Viper. The negotiation process and the agreement will provide the means to test and validate the national ABS framework that may be applied in future partnerships. The project will support additional collaboration among partners in management approaches to facilitate sustainable resource use, handling protocols, genetic fingerprinting methodologies and deliver training resources for use by wildlife management professionals and medical practitioners. The project will contribute to incentivizing small business enterprises in sustainable use of biological resources through the analysis of potential economic opportunities from present and future biodiversity use that may benefit from expanded economic growth through ABS arrangements. In this regard, a portfolio blue/green economic opportunities initiatives based on use of local biological resources (with *inter-alia* nutraceutical, pharmaceutical, agricultural, food/beverage, personal care applications) will be developed for consideration by national stakeholders to help guide investment policy and provision of needed support measures for enterprise development, with emphasis on community-based initiatives. The project will contribute to a small grant mechanism to community-based groups via the National Conservation Fund and augmented by the GEF Small Grants Programme to incentivize enterprise development around ABS applications. |

| Baseline | Incremental Cost |
|---|---|
| Without the project intervention, awareness-raising among policy makers and stakeholders in advancement of the ABS operational framework will be negatively impacted; that includes accession to the Nagoya Protocol and the extent to which commitments will be actioned to implement the needed institutional and regulatory reforms. Under the business-as-usual scenario, the degree to which stakeholders and beneficiaries can be engaged and mobilized will be marginal, as they will not appreciate the benefits that may be accrued in the context of biodiversity safeguards and conservation, and the possibilities of development of opportunities for enhanced livelihood opportunities. | The proposed project will support a coordinated approach in building awareness on ABS in line with the overall project design, informed by a communications and outreach strategy. This communications and outreach strategy will help to define the critical messaging that will resonate with stakeholders in terms of the rationale why the country should move toward better recognition of the importance of ABS in management of genetic resources. The enhanced awareness will facilitate the adoption of the legislative and regulatory means to operationalize the Nagoya Protocol. Informed by the communications and outreach strategy the project will contribute to the development and uptake of various knowledge products and public education material targeted at relevant authorities, key recipient audiences including the private sector and the general public. The awareness raising efforts will include a series of special knowledge sharing events for exchanging lessons learned, information dissemination and networking for participation among policy and technical support professionals, practitioners and other beneficiaries. |

**6) Global environmental benefits (GEFTF) and/or adaptation benefits (LDCF/SCCF);**

Building strong national capacity and management frameworks for adoption of the ABS mechanism in keeping with the Convention on Biological Diversity?s Nagoya Protocol in the conservation and sustainable use genetic resources will contribute global level benefits particularly in the case of Saint Lucia, that has a relatively high level of endemism for a small island developing state. The country harbours 9 species of endemic flora with another 99 species that are endemic to the Lesser Antilles[24][24] and 14 species of fauna that endemic to the island and are found only within in the Lesser Antillean region. Efficient protocols that allow for community and stakeholder participation in drawing sustainable benefits from sustainable use of genetic resources will provide further impetus for conservation at the grass-root level, and ensure that biodiversity that is being utilized, or have the potential to be, will not be unduly or further threatened. Setting in place appropriate ABS regulatory measures will contribute to fostering sustainable value chain development of local commodities that

have potential for economic development, which is particularly the case for investments in derivatives from plants that hold potential medicinal value. This can foster value-added production with local processing and manufacturers that could result in greater revenue generation possibilities associated with the use of traditional knowledge to create unique location-branded commodities. The project will contribute to collective of expertise not only in Saint Lucia but in the Caribbean region that will help with widening the sustainable management of genetic resources and safeguarding environmental benefits within the region.

**7) innovation, sustainability and potential for scaling up.**

Through the project investment, Saint Lucia will test a ?SIDS-appropriate? approach in establishing a harmonized framework for ABS that draws on the operational synergies among the agencies that are designed with CNA responsibility. This is important in the context of small island developing states like Saint Lucia that are resource-constrained. Sustainability of the project results will be ensured through the continued strengthening of the national enabling environment which includes legally constituted and functional cross-sectoral policy and technical decision-making architecture for ABS matters. The project will continue to build the national protocols and the associated institutional capacities within the relevant competent authorities with robust systems for monitoring of use of genetic resources for research and commercial purpose. The project will strengthen the capacity of competent national authorities and define the modalities for cooperation and coordination and enhance awareness to support decision making at the policy level and expanding stakeholder engagement. These measures will be across key sectors including agriculture, animal and human health, fisheries, food safety, resource management, transportation and trade. A critical underpinning for sustainability will be the enhancement of scientific capabilities in genetic, phytochemical chemical analyses and other methods that will expand needed skills locally and help provide more readily accessible technical support to stakeholders and investors.

The project will result in the creation of an ABS clearinghouse that will facilitate exchange of data and support national implementation of the Nagoya Protocol. Sustainability of management the CHM will be ensured as it will be embedded within the National Environmental Information System (NEIS) that will serve as an integrated biodiversity information resource gateway for the country. The design requirements of the data management system will be further evaluated in the PPG phase.

The project will enable the country to apply innovation in development of appropriate financial mechanisms that can ensure that monetized ABS benefits, are translated to maintenance of the

regulatory systems to support conservation and sustainable use of biodiversity, including genetic resources. Lessons learned from the national interventions under the regional ABS project will be applied in deepening stakeholder engagement and importantly, in establishing the basis for expansion of business opportunity and livelihood investments through innovative approaches, to better gain economic benefits from resource use. It should be noted that the work in Saint Lucia will draw on the experiences from other Caribbean countries such as The Bahamas, to bolster the national regulatory and institutional framework associated with bio-prospecting and research efforts, with the integration of PIC and MAT, at the national level. This will constitute continued scaling up of the foundational works under the regional ABS project and contribute to the strengthening of the regional frameworks in general.

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[16] Decision adopted by the Conference of The Parties to the Convention on Biological Diversity, XII/7. Mainstreaming gender considerations, 2014 https://www.cbd.int/doc/decisions/cop-12/cop-12-dec-07-en.pdf

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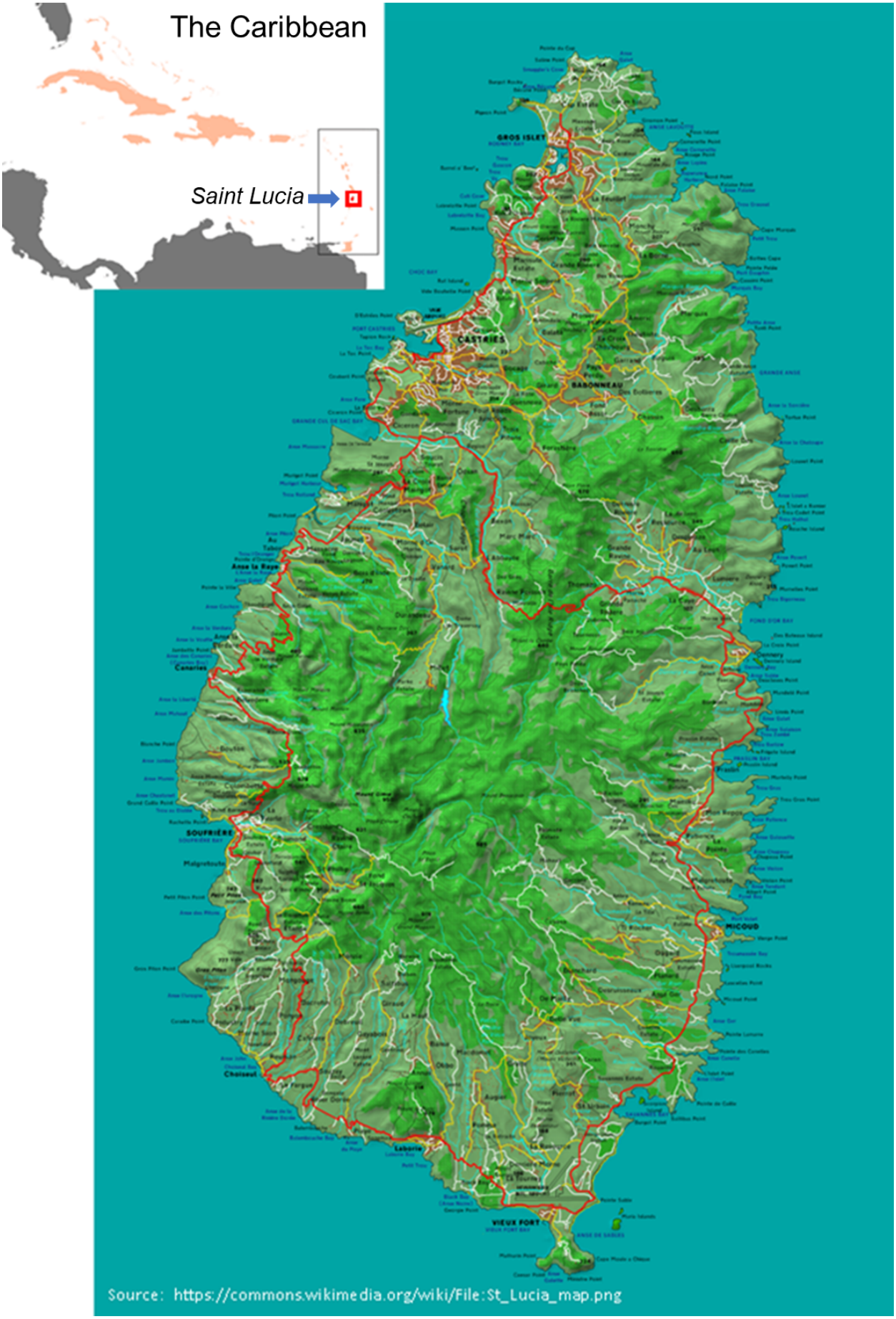
**1b. Project Map and Coordinates**

**Please provide geo-referenced information and map where the project interventions will take place.**


The Caribbean
Saint Lucia
GROS ISLET
CASTRIES
GABONNEAU
Anse la Raye
Canaries
SOUFRIÈRE
Choiseul
Laborie
VIEUX FORT
MICOUD
Source: https://commons.wikimedia.org/wiki/File:St_Lucia_map.png

**2. Stakeholders**

**Select the stakeholders that have participated in consultations during the project identification phase:**

**Indigenous Peoples and Local Communities** Yes

**Civil Society Organizations** Yes

**Private Sector Entities** Yes

**If none of the above, please explain why:**

**In addition, provide indicative information on how stakeholders, including civil society and indigenous peoples, will be engaged in the project preparation, and their respective roles and means of engagement**

| Stakeholders | Roles in Project Preparation |
|---|---|
| Sustainable Development Department | Supervise the overall project development process, provide policy, technical and other and contextual guidance in proposal formulation. The DSD will lead coordination of and direction of stakeholder inputs in the development process. |
| Forestry Department | Contribute to design of project activities in conservation of the forest and wildlife resources and sustainable management of terrestrial biodiversity. |
| Fisheries Department | Contribute to design of project activities of relevance to sustainable management and use of marine biodiversity and implementation of relevant blue economy initiatives. |
| Department of Agriculture | Contribute to design of project activities that enhance policy formulation and technical delivery related to potential utilization of biodiversity to support agri-based livelihood options. |
| Ministry of Commerce | Consultative inputs in project design related to investment, trade and industry competitiveness. |
| Ministry of Health | Consultative inputs in project design in human health protection. |
| Division of Gender Relations | Consultative inputs in project design in ensuring gender considerations are appropriately captured and suitable metrics developed |
| Attorney General?s Chambers | Consultative inputs in project design related to legislative enhancement. |
| Saint Lucia National Trust | Consultative inputs in project design related to stakeholder engagement and advocacy on natural resource conservation |
| Saint Lucia Bureau of Standards | Consultative inputs on project design on related to standards in goods, services and practices in protection of the health and safety of consumers and the environment. |

| Stakeholders | Roles in Project Preparation |
|---|---|
| Lansan harvesters and incense processors | Consultative inputs on project design related to beneficiary requirements in terms of capacity building and micro-business development and safeguarding traditional knowledge. |
| Desbarra, Au Leon, Millet, Anse la Raye communities | Consultative inputs in project design related to expanding potential economic livelihood opportunity from venom extract of the St. Lucia Viper, species conservation, reducing human-wildlife conflict and safety. |
| Saint Lucia Medical & Dental Association | Consultative inputs on project design related to development of local capacity for medical applications of St Lucia Viper venom extracts. |
| National Conservation Fund (NCF) | Consultative inputs to the project design related to financing access for small enterprise development on use of genetic resources and development of an appropriate financing window under the national fund. |
| St Lucia Chamber of Commerce, Industry & Agriculture | Private sector inputs to project design related to options for small business development stimulation and provision of guidance on avenues for heightened advocacy and awareness raising among private sector interests. |
| St. Lucia Industrial and Small Business Association (SLISBA) | |
| St. Lucia Manufacturers Association (SMA) | |
| Organisation of Eastern Caribbean States (OECS Commission) | Consultative inputs in project design related to promotion of regional integration on sustainable biodiversity management. The Commission is collaborating with the GIZ on advancing the ABS agenda in the OECS Sub-region. |
| International Union for Conservation of Nature; Regional Office for Mexico, Central America and the Caribbean (IUCN-ORMACC) | Consultative inputs in project design related to experiences from the Regional GEF-ABS Project, policy design, ABS protocols development, capacity building and training. IUCN-ORMACC has been identified to lead the development of the project proposal under the PPG phase (and further designated by the GOSL as the project executing agency once approved). |
| Clodomiro Picado Research Institute | Contribute project design inputs on activities to boost local capacity to research and document (fingerprint) genetic resources, train professionals in researching the medicinal use of the venom of the St. Lucia Viper. |

| Stakeholders | Roles in Project Preparation |
|---|---|
| Kentucky Reptile Zoo (KRZ) | Consultative partner during the project design process related to researching the medicinal use of the venom of the St. Lucia Viper and ABS protocol development. |
| GIZ | Consultative inputs on project design related to ABS regionalization linked to cooperation with the OECS Commission in the OECS sub-region. |
| Fauna and Flora International (FFI) | Consultative inputs on design of the enterprise development aspects around commercial extraction and use of the lansan tree resin extract. |
| | |

**3. Gender Equality and Women's Empowerment**

**Briefly include below any gender dimensions relevant to the project, and any plans to address gender in project design (e.g. gender analysis).**

The project will ensure gender equality, and during the project PPG phase there will be assurance that there is balanced engagement of women and men to provide inputs on potential activities and priorities to be addressed under the project, that will continue through into implementation. The project will utilize gender and sex-disaggregated indicators to track equitable participation at both policy and technical levels and track the degree to which there are equitable accrual of benefits to stakeholders. This will be particularly relevant to the livelihood support elements of the project, particularly under Component 3 where emphasis will be on putting in place and operationalizing procedures around the Prior Informed Consent and Mutually Agreed Terms that safeguards holders of traditional knowledge and ensuring that communities derive benefits, with key focus on marginalized segments of the community. In this regard the PPG phase of project development will take into account risks and limitations in respect to achieving gender balance that will need to be addressed not only during the course of project implementation, but also in realizing long term sustainability. The PPG phase will engage the services of a gender specialist to ensure necessary gender considerations are appropriately built into the project. Saint Lucia does not have an overarching gender equity policy but in 2019 commenced the process with the engagement of UN Economic Commission for Latin America and the Caribbean (ECLAC) through the provision of technical expertise. It is anticipated that this work will have been sufficiently advanced such that this project may uptake key guidance and approaches in enhancing gender equity.

**Does the project expect to include any gender-responsive measures to address gender gaps or promote gender equality and women empowerment?** Yes

**closing gender gaps in access to and control over natural resources;**

**improving women's participation and decision-making; and/or** Yes

**generating socio-economic benefits or services for women.** Yes

**Will the project?s results framework or logical framework include gender-sensitive indicators?**

Yes

**4. Private sector engagement**

**Will there be private sector engagement in the project?**

Yes

**Please briefly explain the rationale behind your answer.**

Engagement of the private sector will be key in the design of the project through to implementation. At the global level, private sector engagement with the Nagoya implementation process varies both across and within sectors, and many companies lack a basic understanding of the issue and how the obligations under the Protocol may influence business processes and opportunities[25]. The same applies in the case of Saint Lucia. While there have been recognized avenues for opportunity associated with the potential commercialization of derivatives from the venom of the local St. Lucia Viper in medical applications for example, there is not a clear path toward building opportunity in association with the local private sector, and how a process can be put in place to bring the benefits down to the community level in conservation of the species. The private sector, mainly through the St Lucia Chamber of Commerce, Industry & Agriculture, the St. Lucia Industrial and Small Business Association and the St. Lucia Manufacturers Association will be consulted during the PPG phase particularly in how Component 3 will be structured.

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[25] business.2020, Nov 2015 Vol 10 ? Issue 1, CBD Secretariat
https://www.cbd.int/doc/newsletters/news-biz-2015-11-en.pdf

**5. Risks to Achieving Project Objectives**

**Indicate risks, including climate change, potential social and environmental risks that might prevent the Project objectives from being achieved, and, if possible, propose measures that address these risks to be further developed during the Project design (table format acceptable)**

| Risk | Risk level | Mitigation Measures |
|---|---|---|

| | | |
|---|---|---|
| Uncertainty due to government shifts in priorities and policy changes; inadequate political-level buy-in | Medium | The project will seek to gain commitment through expanded awareness among stakeholders including decision makers, institutions, private sector and communities in recognition of the potential for livelihood opportunities through ABS arrangements in the interest of safeguarding and conservation of biodiversity while contributing to enhanced economic benefits. |
| Limited institutional and community capacity and interest in ABS issues | Medium | The project will strengthen capacity of stakeholders through provision of access to tools and demonstrations on application of such tools and resources to support decision making and facilitate ease of execution of mandates |
| Occurrence of natural and climate change-induced hazards (particularly hurricanes) | Medium-High | The project will include hazard risk management approaches in design and execution that will be otherwise mainstreamed in developed national frameworks. During the PPG phase these risks and mitigation measures will be better defined. |
| Stakeholder apathy | Low-Medium | The project will ensure inclusion of a comprehensive stakeholder education programme based on messaging that underscores benefits for participation and investment. The design and implementation of the communications and outreach strategy will be core to raising awareness and creating buy-in. |
| Lack of private sector participation | Medium | The project will establish working relationships with private sector groups and cooperatives to gain inputs in the project design and to maintain buy-in and active participation over the course of the project. |
| Imposition of COVID19 transmission mitigation measures (if crisis situation persists) and associated disruptions; challenges potentially related to post-pandemic economic recovery in terms of changing policy and priorities, personnel and material deployment | To be determined | The full extent of the impact of the COVID19 Pandemic is not yet known nor is the influence it may have in the coming period when the project is expected to be implemented. The international travel restrictions may have implications for moving human resources/expertise that are required to support project implementation. The pandemic has had implications for resource deployments at the government level, along with the other project partners in response to the economic fallout, that could have prolonged impacts in terms of implementation and co-financing commitments. The project design phase will need to consider how the course of the pandemic unfolds in the country and at the global level. The GEF COVID19 guidance on project design will be followed in assessing and designing to account for critical issues including *inter-alia*, possible re-instatement of COVID-19 containment measures, change in capacity of stakeholders, changes in the baseline, change in conditions of beneficiaries and processes for stakeholder engagement. |
| | | |

**6. Coordination**

**Outline the institutional structure of the project including monitoring and evaluation coordination at the project level. Describe possible coordination with other relevant GEF-financed projects and other initiatives.**

Institutional project structure, monitoring, evaluation and coordination: The project will be carried out under the overall direction of the Sustainable Development Department (DSD) within the Ministry of Education, Gender, Innovation and Sustainable Development. The DSD has designed IUCN?s Regional Office for Mexico, Central America and the Caribbean (IUCN-ORMACC) the Executing Agency for the project. A Project Cooperation Agreement (PCA) will be issued by UNEP to IUCN-ORMACC to establish this executing function, with provision of financial resources. A Project Management Unit (PMU) will be established by IUCN-ORMACC under the supervision of the Sustainable Development Department, to undertake day-to-day management of the project and be responsible for all technical and financial reporting. The project will be directed by a National Coordinating Committee (NCC) comprised of core agencies that serve as national competent authorities, *inter-alia* the Ministry of Agriculture, Department of Forestry, Department of Fisheries, Department of Cooperatives, Division of Gender Relations along with other support agencies including the Ministry of Health, the Saint Lucia Bureau of Standards, Saint Lucia National Trust, the Attorney General?s Chambers, and the Saint Lucia Manufacturers Association. The NCC will establish working groups as needed to provide technical guidance on thematic areas in accordance with defined terms of reference. These technical working groups will be constituted in as far as possible within existing institutional arrangements to ensure mainstreaming. The NCC will convene on a quarterly basis to review workplan execution and reporting outputs, decide on project directions and integration within national frameworks. UNEP in capacity as Implementing Agency will have a seat on the PSC and be recipient of substantive technical reports (half-year, and annual Project Implementation Review reports) and quarterly financial reports. The work of the NCC will be disseminated through the national public awareness programme associated with the project with opportunity for stakeholder and community consultation. The PMU will ensure annual financial audits of expenditure conducted and contribute to the conduct of a mid-term review and terminal evaluation, with engagement of the PMU and beneficiary stakeholders.

Coordination with other relevant GEF-financed projects and other initiatives: **(1)** GEF *Increase St. Lucia's Capacity to Monitor MEA Implementation and Sustainable Development a National Environmental Management System (NEIS)* is intended to strengthen institutional capacity for the implementation and monitoring of international conventions as a follow-up to the National Capacity Self-Assessment (NCSA) of Saint Lucia and to better integrate environmental concerns, and the value of ecosystems, into its broader development frameworks. The project developed a data management platform to generate, access and use information and knowledge for both policy development and planning and for monitoring and evaluating environmental impacts and trends. It provided national institutions and stakeholders tools and methodologies to better coordinate existing knowledge and to generate new information on the state of the environment, such as indicators for sustainable development, and to track and monitor environmental trends and changes, to improve environmental management. The project contributed to strengthening stakeholder capacities for management and implementation on convention guidelines. **(2)** The GEF-World Bank *Caribbean Regional Ocean Scape Project (CROP)* aims to move countries of the Eastern Caribbean towards a blue economy. The project, funded in 2017, was formulated out of the Eastern Caribbean Regional Ocean Policy (ECROP) and its associated strategic action plan (ECROP SAP) that was endorsed by the OECS Heads of

Government in 2013. The ECROP guides the future use of the region?s marine waters and provides a basis for enhanced coordination and management of ocean resources within the Eastern Caribbean. Component 2 of the GEF-CROP that focuses on Innovative Ocean Wealth Tools, Institutional Strengthening and Capacity Building to support better decision-making over transitions to a blue economy, has potential alignment under sub-component 4 to ABS and enhancing biosafety in Saint Lucia as pertains to blue economy opportunities in use of biodiversity resources in the marine environment.

**7. Consistency with National Priorities**

**Is the Project consistent with the National Strategies and plans or reports and assesments under relevant conventions?**

Yes

**If yes, which ones and how: NAPAs, NAPs, ASGM NAPs, MIAs, NBSAPs, NCs, TNAs, NCSAs, NIPs, PRSPs, NPFE, BURs, INDCs, etc**

The country has in place policy and regulatory provisions for protection and sustainable use of its biodiversity. These are enshrined in various laws, associated regulations and the institutions that have been charged with the mandate for policy execution and legal/regulatory compliance. Since 2005 Saint Lucia has been a Party to the Cartagena Protocol on Biosafety to the Convention on Biological Diversity and as a result the issues of biosafety and ensuring access and equitable benefit sharing have become more prominent in implementation of the National Biodiversity Strategy and Action Plan (NBSAP). This increasing prominence has been associated with recognition of the threats to indigenous biodiversity that may be posed with introduction of living modified organisms, invasive alien species and the recognition that policy and regulatory responses in these contexts are weak. Utilization of biodiversity and traditional knowledge particularly by external commercial interests has been gradually drawing attention in terms of how benefits accrued can be repatriated back to the country and communities that otherwise bear responsibility for protection of these resources. Biodiversity management currently underscores five of the seven objectives of the *National Environmental Policy and National Environmental Management Strategy (NEP/NEMS)* of 2004 and it is featured in the draft National Policy and Strategic Plan for the Agriculture Sector and the draft policy on Science and Technology for Development.

The *National Biodiversity Strategy and Action Plan (NBSAP)* that was initially adopted by the government in 2001 and revised most recently in 2018[26], features the following objectives: (i) conserve the country?s diversity; (ii) promote sustainable use of these resources; (iii) encourage the equitable distribution of benefits derived from the use of biodiversity; and (iv) facilitate the participation of people and institutions in the management of biodiversity. The revised national strategic goals and targets for biodiversity management based on the revised 2nd NBSAP lists the following goals and targets of relevance to ABS:

? Goal 1: To internalize and integrate biodiversity values into decision making and national accounting to stimulate/advance national development; *Target 1.5: Traditional knowledge, innovations and practices of local communities relevant for the conservation and sustainable use of biodiversity are integrated into relevant decision-making processes such as national and sectoral plans, programmes, policies with full and effective participation of local communities at all relevant levels.*

? Goal 2: To generate benefits for all citizens from biodiversity and ecosystem services for improved human well being; *Target 2.3: By 2015, appropriate systems to make the Nagoya Protocol on Access to Genetic Resources operational and the Fair and Equitable Sharing of Benefits Arising from their Utilization, for all citizens, especially for women, youth and other vulnerable groups are established and functional.*

? Goal 3: To encourage and effect sustainable management and use of biodiversity and genetic resources; *Target 3.5: Agriculture, fisheries including aquaculture and forestry biological resources are conserved, restored and sustainably managed and the GMOs/Living Modified Organisms (LMOs) are effectively managed to minimize genetic erosion and safeguard genetic diversity*.

? Goal 4: To engender behavioural change through knowledge management and capacity building for sustained implementation; *Target 4.3: The National Clearing House Mechanism (CHM) is made operational and functional as the means for development of systems for policy, scientific and technological knowledge sharing, transfer, and application for effective management of biodiversity; Target 4.4: Appropriate systems and measures for the documentation and protection of traditional knowledge, practices and innovations related to biological resources are in place and subject to national legislation for societal use*.

Saint Lucia, along with countries of Latin American and Caribbean region adopted the *Regional Agreement on Access to Information, Public Participation and Justice in Environmental Matters in Latin America and the Caribbean or the ?Escaz? Agreement?* in 2018. The Agreement seeks to ensure rights associated to access to information, citizen participation and access to justice in environmental matters based on Principle 10 of the 1992 Rio Declaration on Environment and Development. The Agreement develops these three rights and aims to promote better governance of natural resources in the region and lends further strength to the national enabling framework for ensuring access and benefit sharing particularly in the context of deepening civil society engagement in related matters of governance in safeguarding biological resources and societal benefits. Saint ratified the agreement in December 2020.

[26] Revised Second National Biodiversity Strategy and Action Plan (NBSAP) (2018 ? 2025) For Saint Lucia https://www.cbd.int/doc/world/lc/lc-nbsap-v2-en.pdf

**8. Knowledge Management**

**Outline the knowledge management approach for the Project, including, if any, plans for the Project to learn from other relevant Projects and initiatives, to assess and document in a user-friendly form, and share these experiences and expertise with relevant stakeholders.**

The proposed project will be guided by a public education and knowledge management strategy that will be central to implementation of the activities on enhancing management of information associated with the operational requirements of the Nagoya Protocol. The project will build out from the knowledge management approaches and contributions of the regional ABS Project and will entail the range of capacity building activities associated with the project, in addition to the suite of protocols that have been developed and are to be developed toward implementing the ABS framework in the country. The project will adopt a learning by doing approach through face-to-face and virtual means (taking into account evolution of COVID-19 management protocols) facilitated by a network of capacity building collaborators nationally, regionally and internationally. The project will contribute to the development of an ABS information portal/clearinghouse that will serve as a repository for data to support regulatory functions and compliance, in addition to continued capacity building and dissemination of knowledge products for stakeholders. The CHM will be integrated within the National Environmental Management System that was developed under the GEF-funded project *Increase St. Lucia's Capacity to Monitor MEA Implementation and Sustainable Development*. This knowledge hub will be operated by the Ministry of Sustainable Development. During the PPG phase the architecture of the knowledge hub and the modalities for bringing the ABS elements together in a coherent management tool will be detailed under the substantive activities under Component 4.

**9. Environmental and Social Safeguard (ESS) Risks**

Provide information on the identified environmental and social risks and potential impacts associated with the project/program based on your organization's ESS systems and procedures

**Overall Project/Program Risk Classification***

| PIF | CEO Endorsement/Approval | MTR | TE |
|---|---|---|---|

| PIF | CEO Endorsement/Approval | MTR | TE |
|---|---|---|---|

**Medium/Moderate**

**Measures to address identified risks and impacts**

Provide preliminary information on the types and levels of risk classifications/ratings of any identified environmental and social risks and potential impacts associated with the project (considering the GEF ESS Minimum Standards) and describe measures to address these risks during the project design.

This project is likely to be in the moderate risk category. As it involves the design of the approach of the BSCU bill and testing of the bill, close involvement of the local communities will be critical. Due to high population density and threatened biodiversity in St. Lucia, there may be strong resistance by subpopulation groups. It is recommended that stakeholder consultation meetings during the PPG pay attention to identify diverse and relevant right holders (local communities and the most vulnerable people) and take the human rights-based approach throughout the entire project cycle based on the agreed stakeholder engagement plan.

When financing the 5 or more small grant packages, each proposed approach should be reviewed from the safeguard perspectives, especially on fairs especially on fairness, labour and working conditions, and respect for cultural heritage among others.

**Supporting Documents**

Upload available ESS supporting documents.

| Title | Submitted |
|---|---|
| **CRC SRIF St Lucia ABS_clean** | |

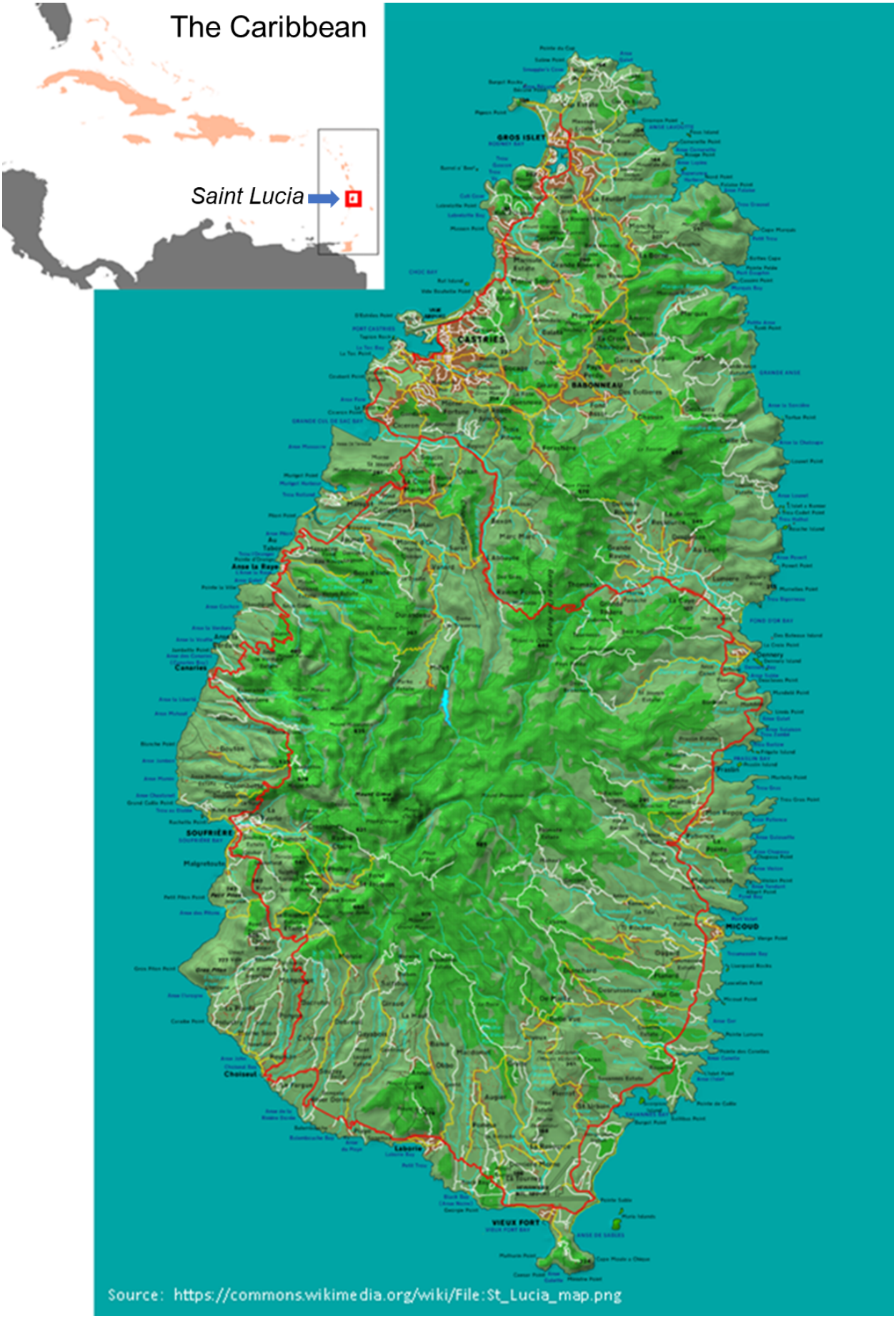
## Part III: Approval/Endorsement By GEF Operational Focal Point(S) And GEF Agency(ies)

**A. RECORD OF ENDORSEMENT OF GEF OPERATIONAL FOCAL POINT (S) ON BEHALF OF THE GOVERNMENT(S): (Please attach the Operational Focal Point endorsement letter with this template).**

| Name | Position | Ministry | Date |
|---|---|---|---|
| Samanthia Justin | Chief Technical Officer/ GEF Operational Focal Point | Ministry of Education, Innovation, Gender Relations and Sustainable Development | 6/16/2021 |

**ANNEX A: Project Map and Geographic Coordinates**

Please provide geo-referenced information and map where the project intervention takes place


The Caribbean
Saint Lucia
GROS ISLET
CASTRIES
GABONNEAU
Anse la Raye
Canaries
SOUFRIÈRE
Choiseul
Laborie
VIEUX FORT
MICOUD
Source: https://commons.wikimedia.org/wiki/File:St_Lucia_map.png