



# Organisation of Eastern Caribbean States



## Stakeholder Engagement Strategy for Civil Society and Private Sectors

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Leadership has been shown by the Organisation of Eastern Caribbean States (OECS) Council of Ministers of Environmental Sustainability (COMES) which mandated development of a Stakeholder Engagement Strategy to support delivery of its commitment to a whole of society approach to environmental management in the OECS that addresses the needs of citizens and leverages the talents of all sectors.

The OECS Commission received technical assistance from the Caribbean Natural Resources Institute (CANARI) to develop this Stakeholder Engagement Strategy (SES). This collaboration directly supported implementation of the Memorandum of Understanding (MOU) between the OECS Commission and CANARI, which provides a framework for specific operational agreements for cooperation and collaboration in key areas, including development of this SES, over the period 2019-2022.

Development of the SES was supported under the OECS Biodiversity Support Programme in ACP Coastal Environments (BioSPACE) project (OECS/BioSPACE/2021/SER\_o2) funded by the European Union.

The policy framework for the SES is drawn from key OECS policies, strategies and plans (see References) and grounded in the practical experience of the OECS Commission, OECS Governments, civil society, private sector and others in the region.

The theoretical framework and methodology used in development of this SES draws very heavily on existing toolkits developed by CANARI on facilitating participatory natural resource management in the Caribbean (CANARI, 2011), a chapter on stakeholder engagement in a toolkit for Caribbean civil society (CANARI, 2021), and other stakeholder communication and participation strategies which have been developed by CANARI (see References) over the Institute's more than 30 years of experience facilitating stakeholder engagement across the OECS and beyond.

The OECS Commission and CANARI would like to extend sincere thanks to the many stakeholders from OECS Governments, civil society, private sector and others who shared their experiences, lessons, recommendations and ambitions which helped to shape this Strategy. In particular, **add specific OECS Committees and stakeholders who contributed to the SES here.**

## Acronyms and abbreviations

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<b>BioSPACE</b>	Biodiversity Support Programme in ACP Coastal Environments
<b>CANARI</b>	Caribbean Natural Resources Institute
<b>CARDI</b>	Caribbean Agricultural Research and Development Institute
<b>CARICOM</b>	Caribbean Community
<b>CDB</b>	Caribbean Development Bank
<b>CERMES</b>	Centre for Resource Management and Environmental Studies
<b>CROP Project</b>	Caribbean Regional Oceanscape Project
<b>CSO</b>	Civil Society Organisation
<b>COMES</b>	Council of Ministers of Environmental Sustainability
<b>CNFO</b>	Caribbean Network of Fisherfolk Organisations
<b>CRFM</b>	Caribbean Regional Fisheries Mechanism
<b>EARID</b>	Economic Affairs and Regional Integration Division
<b>EIA</b>	Environmental Impact Assessment
<b>GDP</b>	Gross Domestic Product
<b>GEF</b>	Global Environment Facility
<b>IICA</b>	Inter-American Institute for Cooperation on Agriculture
<b>MOU</b>	Memorandum of Understanding
<b>MSME</b>	Micro, Small and Medium Enterprise
<b>OECS</b>	Organisation of Eastern Caribbean States
<b>SES</b>	Stakeholder Engagement Strategy
<b>TOR</b>	Terms of Reference
<b>UNDP</b>	United Nations Development Programme
<b>UNEP</b>	United Nations Environment Programme
<b>UNESCO</b>	United Nations Educational, Scientific and Cultural Organization
<b>UN FAO</b>	United Nations Food and Agriculture Organization
<b>UWI</b>	University of the West Indies

# Executive Summary

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The Organisation of Eastern Caribbean States (OECS) Stakeholder Engagement Strategy (SES) will guide its engagement of key stakeholders in civil society and the private sector to contribute to efforts aimed at the management and sustainable use of marine and terrestrial biodiversity in the region. The SES developed will fulfil a mandate from the OECS Council of Ministers for Environmental Sustainability (COMES). The SES will focus on guidelines for engagement of civil society (including national and community-based groups) and private sector stakeholders (including resource users, user associations and micro, small and medium enterprises [MSMEs]).

Effective engagement of stakeholders in environmental governance and management is enshrined as a core principle in global, regional and national policies. Stakeholder participation facilitates sharing of different perspectives and builds buy-in and support for decisions. The process seeks to build consensus and manage any conflicts. Stakeholders engaged contribute additional knowledge, skills and resources to the process. The process builds their commitment and capacity. Stakeholder engagement ensures quality, credibility and usefulness of decisions and results and sustainability of outcomes. Moreover, the *right* of stakeholders to engage is recognised as a key part of good governance and environmental justice. Although the benefits of stakeholder engagement are well understood, effectively facilitating participatory processes is sometimes a challenge.

The SES will serve as a regional standard and that contains key steps and guiding principles to undertake strategic, meaningful and effective stakeholder engagement activities in the region. The users of the SES will be primarily staff of the OECS Commission, technical personnel and middle management from OECS government agencies responsible for or impacting on environmental management, as well as contractors, consultants and development partners developing/ implementing projects and initiatives relevant to environmental management in the OECS region.

The SES therefore includes:

- the rationale, purpose, objectives and principles for effective engagement of civil society and private sector in environmental management in the OECS;
- key definitions and concepts;
- the policy framework for engagement of civil society and private sector in environmental management in the OECS;
- previous OECS experiences and emerging lessons and recommendations for enhancing stakeholder engagement;
- a framework for identification and analysis of the key primary and secondary civil society and private stakeholders with interests, rights and responsibilities in environmental management in the OECS;
- tools and tactics to facilitate effective engagement of targeted stakeholders;
- guidelines for design and implementation of a stakeholder engagement process; and
- considerations for implementation of the SES, monitoring, evaluation and learning.

Implementation of the SES will be adapted and refined in response to specific contexts and changing information, needs and experiences.

# SECTION A

## SETTING THE CONTEXT

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# 1. Background

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## Mandate

Effective engagement of stakeholders in environmental governance and management is enshrined as a core principle in global, regional and national policies. Stakeholder participation facilitates sharing of different perspectives and builds buy-in and support for decisions. The process seeks to build consensus and manage any conflicts. Stakeholders engaged contribute additional knowledge, skills and resources to the process. The process builds their commitment and capacity. Stakeholder engagement ensures quality, credibility and usefulness of decisions and results and sustainability of outcomes. Moreover, the *right* of stakeholders to engage is recognised as a key part of good governance and environmental justice. Although the benefits of stakeholder engagement are well understood, effectively facilitating participatory processes is sometimes a challenge.

Stakeholder engagement in environmental management is very important in the Eastern Caribbean, not only for improving management and sustainable use, but also directly to improve food security and the livelihoods of the various civil society and private sector stakeholder groups interacting and competing for the use of resources in coastal and marine areas.

In recognition of this, the OECS Council of Ministers for Environmental Sustainability (COMES) mandated the OECS Commission to complete a Civil Society Engagement Strategy, with assistance from the working group and appropriate technical assistance, for presentation and endorsement by the COMES and other relevant administrative and governance structures of the Organisation. The OECS Stakeholder Engagement Strategy (SES) will fulfil this mandate and serve to guide engagement of civil society (including national and community-based groups) and private sector stakeholders (including resource users, user associations and micro, small and medium enterprises [MSMEs]).

Several OECS projects have been implemented in the past with components to engage stakeholders and this is normally done on a project-by-project basis. Engaging stakeholders in broader environmental management activities requires an overall guide and framework with key steps and guiding principles to ensure that stakeholder engagement is being undertaken in a strategic manner. The OECS Commission currently did not have in place a regional stakeholder engagement strategy that can be followed and adapted to the Eastern Caribbean context. This was therefore critical to ensure a methodical approach is undertaken that meets the required standards of engaging stakeholders and sustaining the engagement even after activities end. A regional guide to engaging stakeholders, both the civil society and private sectors, will enable and justify more impactful use of resources targeted towards engaging stakeholders in the region, which can then contribute to determining priorities and effective decision making.

## Challenges and opportunities

There are real challenges to facilitating effective stakeholder engagement in environmental management in the OECS which need to be addressed (see Box 1). Many challenges are related to capacity of those who need to facilitate processes and their acceptance and readiness to engage stakeholders, previous experience, skills and knowledge in designing engagement processes and using tools, and the availability of resources to support engagement activities. Facilitation of effective stakeholder engagement requires an investment of time and resources and there may be a perception that the benefits gained are not commensurate with this investment. Targeted engagement processes need to be designed that are focused on effectively and efficiently delivering the desired results.

Additionally, while the concept of stakeholder engagement and participation is increasingly being enshrined in policy and legislation, specific enabling policies, laws, regulations and structures for creation of engagement mechanisms are not always present and legal mandates are not always being implemented.

**Box 1: Constraints and challenges to stakeholder engagement in Caribbean fisheries governance** (excerpt from CRFM, 2012, p. 11)

- **Inadequate resources:** Several stakeholders have inadequate funds, time and equipment needed to effectively participate in management and governance of the fishery.
- **Limited knowledge and understanding of how to implement the ecosystem approach to fisheries management (EAF) at different governance levels:** Although adaptive cultures exist in organisations in the region, EAF has not been internalised and implemented at all levels of the fishery. The concept seems to be more readily known and accepted at the regional level than at the national level where many of the measures will be implemented. More guidance is needed on how to move theory into practice at all levels of governance.
- **Inconsistent messages about EAF:** Key stakeholders in the fishery do not share consistent messages about EAF with other stakeholders resulting in confusion about the concept and subsequent non-implementation.
- **Short history of successfully employing participatory approaches to fisheries management within the region:** Many of the countries surveyed have not used participatory processes in management of the resource. EAF requires participatory processes. Uptake will therefore require a paradigm shift for EAF to be successful.
- **Legal and legislative environment for the management of fisheries does not enable participatory approaches:** Fisheries legislation and policies in many countries do not allow stakeholder participation in the policy cycle. In most countries, full stakeholder participation is confined to 'data and information', 'analysis and advice' and 'implementation'. For example in Barbados, as in many of the other Caribbean countries, there is provision for a Fisheries Advisory Committee that makes policy recommendations to the Minister responsible for the fishery.
- **Secondary stakeholders do not see themselves as stakeholders:** Many stakeholders, in sectors such as tourism and agriculture, do not always see themselves as having a stake or interest in the fishery. Improving these stakeholders' understanding of their roles and responsibilities in the governance and management of the resource will be critical for the uptake of EAF at the regional level.
- **Insufficient importance attached to communication:** Specific messages on the governance of the fishery need to be translated to target audiences to enhance the understanding of their role and function in effecting good governance of the fishery. Regional management organisations, like the CRFM, have vacancies for Communication Specialists that are not filled, affecting the efficacy of their communication while other regional management organisations have communication strategies that are not being implemented."

It is also critical to look from the perspective of civil society and private sector stakeholders to understand and directly address the assumptions behind stakeholder engagement (CANARI, 2021), including that:

- Stakeholders are willing and available to participate in activities, knowledge mobilisation and exchange processes.
- Key stakeholders must have a say in the process to ensure quality, credibility and usefulness of decisions and results and sustainability of outcomes.
- Stakeholder engagement includes the promise that their contribution will influence the final outputs and outcomes.
- Stakeholder engagement will build buy-in, commitment and capacity to achieve the desired results.

Despite the challenges faced, there are significant opportunities and advantages to engaging civil society and private sector in environmental management, including to:

- build buy-in and support for environmental management;
- proactively identify and manage conflicts;
- benefit from local and technical knowledge and diverse perspectives to help shape the design of plans and policies;
- access additional human resource capacity with skills, knowledge and experiences to enhance

- implementation;
- explore potential co-management arrangements for conservation and sustainable use of natural resources;
- leverage partnerships and networks to access technical and financial resources; and
- contribute to the empowerment of individuals and organisations.

This SES aims to provide a framework which will support the OECS Commission, OECS Governments and their partners working in the Eastern Caribbean to design and deliver effective engagement processes which will bring civil society and the private sector in as partners in environmental management to deliver a 'whole of society' approach.

### **Process for development**

Development of the SES was informed by desk review of key policies, strategies, plans and reports relevant to stakeholder engagement in the OECS region. Stakeholder input was elicited via:

- Initial meetings with staff across the OECS Commission's Environmental Sustainability, Human and Social Development, and Economic Affairs and Regional Integration Division (EARDI)
- Interviews with selected OECS Government agencies
- Focus groups and interviews with selected key civil society organisations (CSOs), fisherfolk organisations and private sector organisations
- Open invitation for OECS civil society and private sector participation in an online survey
- A webinar with the COMES senior technical officers representing OECS Governments to review the draft SES
- Circulation of the draft SES via direct emails, regional listservs and social media and inviting stakeholder feedback
- Facilitation of a regional stakeholder webinar

Add specific details on process as needed.

## 2. Purpose and scope

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### Purpose

The overall purpose of the SES is to serve as a regional standard with key steps and guiding principles to undertake strategic, meaningful and effective stakeholder engagement activities across the OECS region.

### Target stakeholders to engage

The Strategy will focus on guidelines for engagement of **civil society** (including national and community-based groups) and **private sector** stakeholders (including resource users, associations and MSMEs).

### Target users of the SES

Target users of the Strategy will be primarily:

- staff of the OECS Commission's Environmental Sustainability Division and other Divisions working in areas where there are synergies with environmental management and a coordinated approach is needed
- technical personnel and middle management from OECS government agencies responsible for or impacting on environmental management
- contractors, consultants and development partners developing/ implementing projects and initiatives relevant to environmental management in the OECS region

### Sectoral scope

Stakeholder engagement in environmental management is very important in the OECS for directly improving management, sustainable use and protection of ecological resources.

Environmental management also indirectly impacts on several additional sectors, for example:

- supporting activity in key economic sectors dependent on natural resources such as tourism, agriculture and fisheries, and therefore also relevant for central Ministries responsible for economic development, finance and planning as well as labour, business development and trade;
- supporting livelihoods of local communities, especially rural communities dependent on natural resources for subsistence and enterprises, and therefore relevant to sectors such as rural development, community development and poverty alleviation;
- contributing to the health and well-being of citizens, for example through ensuring healthy water supplies and natural spaces for mental health, so relevant to the health and social development sectors;
- protecting natural heritage and therefore important for sectors related to culture and heritage;
- providing critical ecosystem services which protect physical infrastructure and therefore relevant to sectors such as transport and infrastructure; and
- linking with environmental education activities conducted by the education sector.

Therefore, an integrated and coordinated approach is needed in engaging stakeholders in environmental management, recognising linkages with other sectors, to achieve sustainable development in the OECS.

## Geographic scope

The **geographic area** to be covered is the OECS Region/Eastern Caribbean. The SES will therefore support the needs of all OECS members: Anguilla, Antigua and Barbuda, the British Virgin Islands, Commonwealth of Dominica, Grenada, Guadeloupe, Martinique, Montserrat, Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines.

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### 3. Definitions and concepts

#### Stakeholder

Stakeholders for the SES are those who have rights to, responsibilities for and interests in environmental management in the OECS region (see Box 2).

There are some common misconceptions applied in the casual use of the word 'stakeholder', so the SES recognises that stakeholders are:

- not only local people, but also include the government agencies, policymakers, the private sector, CSOs, academic and research institution, media, etc.;
- found not only at the local level, but there may also be national, and even regional or international stakeholders, for example regional or international bodies and agencies;
- not only organisations or formal groups but may be individuals, communities and informal networks;
- not only people with legal rights, responsibilities and interests, but may include people undertaking illegal activities (e.g., illegal fishing);
- not only people directly using or managing an environmental resource but are also people indirectly impacting on or using a resource, for example people benefiting from the ecological services (e.g., coastal protection provided by coral reefs, mangroves and seagrass beds) or people whose activities are impacting on the ecosystem (e.g., waste from residents and businesses in a watershed impacts on downstream, coastal and marine ecosystems) (CANARI 2011).

#### Box 2: Defining who is a stakeholder

Stakeholders are, "The individuals, groups and organisations that are involved in or may be affected by a change in the conditions governing the management and use of a resource, space or sector" (Geoghegan et al 2004).

#### Civil society

The concept of civil society has evolved from the traditional views of the non-governmental or non-profit sector to a broader understanding of this 'third sector' of society as any collective of citizens operating outside of the public (governmental) or private (business) sector. It therefore includes a wide range of organised and organic or informal groups of different forms, sizes and functions, including coalitions, networks, activists and social movements. A key characteristic is sharing some common vision, values, mission, purpose, commitment or collaboration to achieve specific shared goals (VanDyck 2017).

In the Eastern Caribbean, civil society therefore includes diverse types of organisations and individuals (see Box 3), although commonly it is only the first two which are considered.

CSOs can operate at the local level (e.g., registered community-based organisations or informal community groups), national level, regional level, or international level. There are several important regional and international non-

#### Box 3: Examples of civil society types

- Non-profit organisations that are registered and have a clear structure and mission
- Informal groups, which are largely voluntary but come together around a common purpose
- Professional associations (e.g., association of environmental professionals, engineers, etc.)
- Trade and labour unions representing workers
- Charities and foundations
- Faith-based, sports and cultural organisations
- Cooperatives
- Consumer organisations
- Social movements, including online communities with common interest, which can be organised or may be without formal structures
- Citizen activists
- Media
- Academia (schools and universities) and non-profit research institutes

profit technical organisations working in environmental management in the OECS.

**Add specific profile on civil society in OECS if available.**

A recent survey (Crawford et al., 2021) found that CSOs in countries of the Caribbean Community (CARICOM) vary in size, mandate, and geographic focus. They note that the majority operate at the national and community levels and are small, with staff of less than 10 and annual budget less than US\$250,000. This is likely to hold true in the OECS. CANARI's database includes nearly 400 CSOs operating in the OECS, including community groups, non-profit organisations focused on a specific issue, resource user associations and cooperatives, national non-profit organisations with a broad focus on environmental management, and non-profit organisations focused on broader development issues relevant to environmental management (e.g., community development, youth, disaster management). Extensive stakeholder mapping conducted under the Caribbean Regional Oceanscape Project (CROP) project (Renard, 2020) for stakeholders involved in ocean governance in five OECS Members (Dominica, Grenada, St. Kitts and Nevis, Saint Lucia, St. Vincent and the Grenadines) and at the regional level could be used to validate, refine and expand this database.

CSOs can and do play multiple roles in environmental management. As innovators and solution providers, Eastern Caribbean CSOs have piloted new and innovative approaches for biodiversity conservation, climate change adaptation and mitigation and sustainable livelihoods. CSOs also play a role as trusted partners for implementation building on their close work with local communities, enterprises and resource users over many years. They have an in-depth understanding of local context, how to build local capacity and effectively engage local communities and resources, including the most vulnerable and marginalised, to ensure initiatives are well-designed and effectively delivered to meet local needs and have concrete impacts on the ground. Some CSOs also have direct co-management responsibilities over significant areas of national territories and can deliver solutions in these areas. CSOs are also advocates for sound environmental management and hold governments and the private sector accountable to deliver benefits to citizens. CSOs also mobilise resources, for example from international grant-making agencies and foundations, that enable effective action on environmental management in the OECS.

In this way, civil society is the third sector which adds value to and complements the work of the public and private sectors for a 'whole of society' approach.

### **Private sector**

The private sector is not homogenous, and ranges from informal and micro-enterprises, through small- and medium-sized businesses to vast multinational companies. Although data is not available for the OECS region, MSMEs are the backbone of Caribbean economies, making up between 70% to 80% of businesses, contributing between 60% and 70% of Gross Domestic Product (GDP) and accounting for approximately 50% of employment (CDB, 2016).

**Add specific profile on private sector in OECS if available.**

Private sector chambers or associations exist in most, if not all, of the OECS Members. Some are specifically focused on the tourism sector and others are broader. CANARI's database includes almost 100 chambers, associations and individual businesses which it has engaged in its work on environmental management and governance in the OECS. Certainly, there are many more whose businesses directly depend on the use of natural resources, for example in the tourism, agriculture and fisheries sectors). Like elsewhere in the Caribbean, many of these will be micro- and small-enterprises and informal enterprises which are not well documented. As noted above, the stakeholder mapping conducted under the CROP project (Renard, 2020) could be useful here.

The increased understanding of the need to engage private sector in development is one of the major paradigm shifts in the last 10 years and a major focus in the 2030 Sustainable Development Agenda and other policies. Businesses have a significant environmental footprint across supply chains in terms of use of energy, water and other natural resources as well as production of waste. Businesses can also have or promote positive impacts on environmental sustainability for example through innovating and delivering technologies to address environmental issues (e.g., renewable energy), ensuring sustainable use and protection of biodiversity, compensating for significant environmental impacts, or investing in conservation. Business must comply with environmental regulations and standards and some companies are adopting voluntary standards and principles that support a stronger commitment to environmental sustainability and social responsibility than may be legally required. Purpose driven social enterprises or green enterprises are a small but growing movement. Some leading large companies are moving beyond the concept of 'corporate social responsibility' (i.e., doing no harm or philanthropy) towards an agenda of 'shared value' or 'purpose-led' business (Stibbe and Prescott, 2020).

While the private sector is clearly focused on generating profit, their interest in engaging in environmental management is strong where there is a clear business case (i.e., new business opportunities, increased profits, or protecting their earning potential) as well as environmental or social benefits.

## Engagement

Stakeholder engagement can be understood as simply the process of communicating and collaborating with stakeholders to get their buy-in, input into or involvement in a decision or action. It involves building and maintaining relationships and is critical for a 'whole of society' approach to environmental management. Engagement should occur from the start of and throughout a process.

Engagement involves several elements:

- Identifying and analysing who are relevant stakeholders who should be engaged
- Planning the methods that will be used to communicate and collaborate with them
- Mobilising resources, building capacity and creating mechanisms for engagement
- Undertaking the communication and collaboration activities
- Ongoing monitoring, evaluating, learning, and improving the process

CANARI (2011) notes that the level of stakeholder participation in decision-making can be used as a measure of the depth of the engagement process (see Figure 1). In this continuum by Borrini-Feyerabend (1996), the extreme left represents the top-down decision-making model, which has been the traditional practice and norm in Caribbean islands. The extreme right represents the complete transfer of management delegation from the government agency to another entity, for example when management of a protected area is delegated to a CSO. Between these two extremes are situations also found in the OECS.

The different levels of engagement, and communication and relationship-building approaches used, will produce different types of engagement (see Figure 2). Therefore, if a high level of engagement is desired (e.g., empowerment or collaboration), the communication used will need to be diverse, the level of effort will need to be high, and investment in building long-term capacity and relationships will need to be made.

Figure 1: A continuum of participation in natural resource management (Borrini-Feyerabend, 1996 in CANARI, 2011)

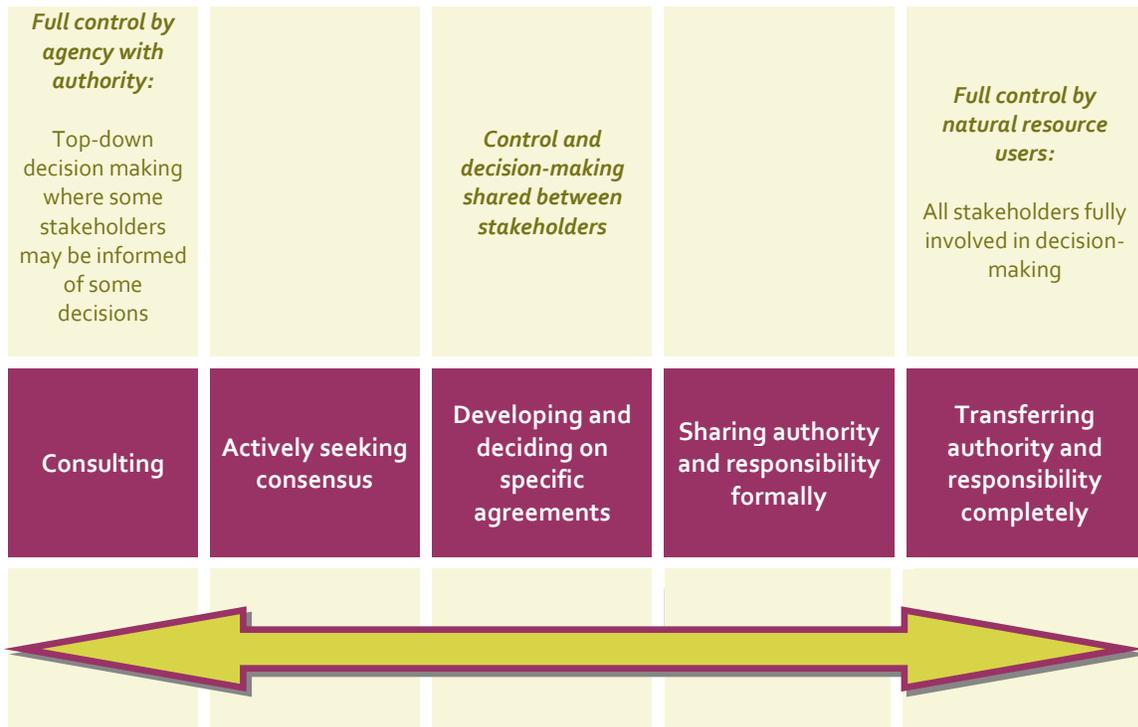
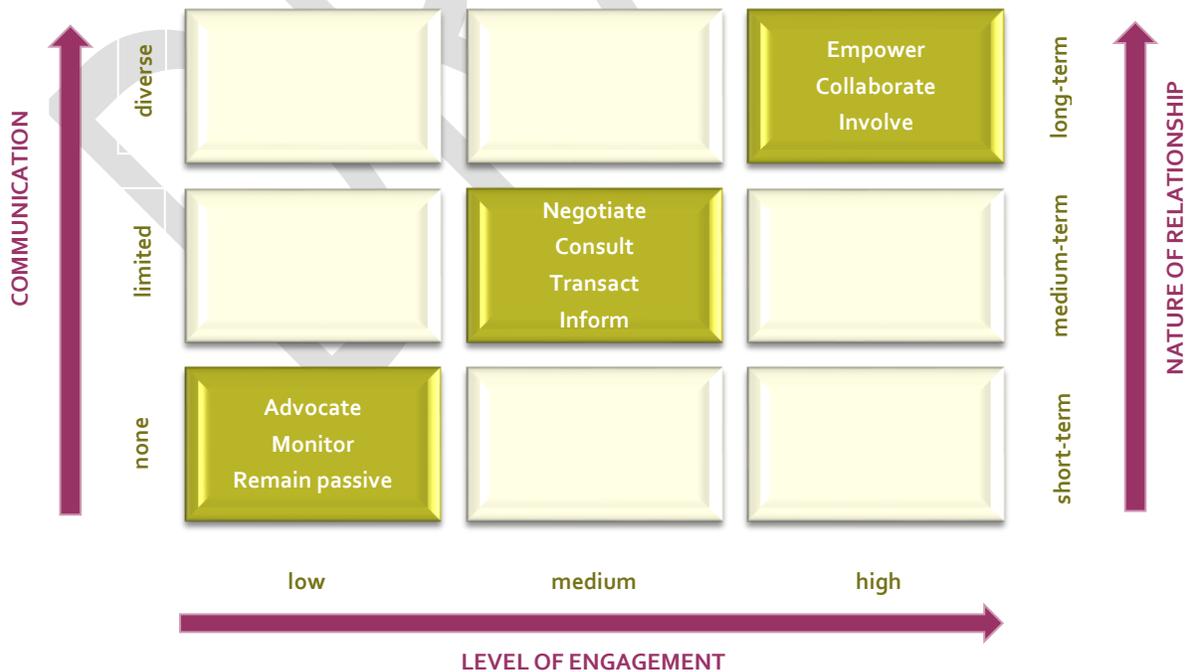


Figure 2: Different levels and approaches to engagement (AccountAbility, 2015)



## 4. Policy framework

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Engaging stakeholders in environmental management has become expected, and is commonly reflected in policy at the global, regional and national levels.

### Global and Caribbean levels

At the global level the commitment to and requirement for engagement of civil society and private sector is reflected for example in the 2030 Sustainable Development Agenda and multi-lateral environmental agreements on biodiversity, climate change, pollution, etc. At the regional level for example are the Regional Strategy and Action Plan for the Valuation, Protection and/or Restoration of Key Marine Habitats in the Wider Caribbean 2021-2030 (2020) and the Caribbean Community (CARICOM) Biodiversity and Ecosystem Management Framework (draft 2018). Of great relevance is the Regional Agreement on Access to Information, Public Participation and Justice in Environmental Matters in Latin America and the Caribbean (the Escazu Agreement), which has been signed<sup>1</sup> by six OECS Members – Antigua and Barbuda, Dominica, Grenada, Saint Lucia, St. Kitts and Nevis, St. Vincent and the Grenadines.

### OECS region

In the OECS region, the St George's Declaration of Principles for Environmental Sustainability in the OECS (2007) lays out in Goal 2 the need to incorporate the objectives, perspectives and talents of all society in environmental management. Principles 4 and 5 are to ensure meaningful participation in decision-making by civil society and the private sector respectively. The Declaration speaks to the creation of policy, legal and institutional mechanisms to ensure and facilitate public participation, flow of information and transparency, and accountability.

The OECS Growth and Development Strategy - Environment 2017-2027 (OECS, 2020) Pillar 3 is clear on stakeholder ownership of, participation in, and benefit from environmental management (see Box 4). Citizens, civil society and private sector (including small and micro-enterprises, fishers, farmers) are specifically mentioned among stakeholders which need to collaborate to achieve the outcomes of the Strategy. Pillar 1 focuses on generating economic growth, including via supporting the private sector. Pillar 2 on promoting human and social well-being is also relevant and notes the use of public-private partnerships and empowering communities to take great control of aspects of environmental health management. Engagement mechanisms identified include education and media campaigns, collaboration, partnerships, social compacts and capacity building. Pillar 3 focuses on sustainable use of natural endowments, including via the following:

- Increasing public consciousness: Raising awareness on citizen participation and engagement in environmental management, the maintenance of ecosystem integrity and the mainstreaming of these in sustainable development
- Promoting the development of environmentally friendly sustainable livelihood activities within local

#### Box 4: OECS Growth and Development Strategy 2017-2027 (OECS, 2020)

Pillar 3: Secure environmental integrity and ensure resilience and adaptive capacity. Pillar 3 is founded on a vision of inclusive and sustainable socio-economic growth that supports the livelihoods and aspirations of present and future generations of OECS citizens. It seeks to promote and maintain environmental integrity while supporting enhanced growth, productivity, social equity, resilience and adaptive capacity. The focus of intervention will be on integrating environmental sustainability into social and economic development and realizing fuller stakeholder ownership of, and participation in, environmental management.

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<sup>1</sup> As of September 10, 2021

communities

- Coordinating provision of appropriate training and technical assistance to civil society to enhance their capacity for promoting initiatives to change consumer behaviour patterns etc.
- Developing strategic sustainable energy interventions that take account of new and emerging opportunities for energy that address, inter alia: gender (particularly women) empowerment, social development, private sector engagement and energy for climate change adaptation
- Facilitating community-based disaster risk management and climate resilience
- Building collaborative partnerships with the private sector for the implementation of a regional integrated waste and chemical management plan
- Supporting implementation of community-based interventions aimed at reducing sources of pollution using a ridge to reef approach

The OECS Development Strategy Report 2019-2028 (2020) recommends the establishment and/or formalisation of national tripartite based consultative committees (comprising representatives from labour, private employers and government), public-private partnerships and steering committees as stakeholder engagement mechanisms.

Many OECS policies, strategies and plans also reflect this commitment to engagement of civil society and private sector, for example:

- The **Eastern Caribbean Regional Oceans Policy** (OECS, 2013) recommends integrated governance by all ocean uses, and Policy 5 promotes public awareness, transparency, participation and accountability.
- The **Eastern Caribbean Regional Climate Change Implementation Plan** (Brunet et al., 2018) presents the involvement of the private sector in trial initiatives as an option to attract private sector investment and increase the likelihood of trials (for electric vehicles) outlasting individual projects to help to leverage other sources of funding.
- The vision and principles in the **OECS Green-Blue Economy Strategy and Action Plan** (CANARI, 2020b) reflect a commitment to participatory governance. Engaging the private sector and civil society are seek as key for buy-in and implementation of the Strategy. Pillar 1 focusing on communication and engagement, and activities include public education and sensitisation for behaviour change, use of social media to build social movements for change, and identifying champions/influencers to assist in the transformation process. It recommends development of targeted communication and stakeholder engagement strategies at the regional/national levels to guide focused and coordinated action. Partnerships with private sector and civil society are recommended for greening of key sectors under Pillar 4. Focus on MSMEs is noted as important to ensure economic inclusion.
- The **Community Disaster Risk Reduction Framework** (Ford, 2012) emphasises the importance of engaging civil society and community groups in vulnerability assessments and proposes creation of local community development/disaster management committees and awareness and engagement programmes at the local level.
- The **Regional Strategic Environment and Social Assessment** (Jessamy, 2018) conducted under the CROP project recommended use of stakeholder fora ensure that to the concerns and interests of 'weak and vulnerable' stakeholders can influence the decision-making processes and fostering increased accountability for policymakers. It recommended development of a well-funded, comprehensive communications strategy that engages all stakeholders, and utilises diverse media outlets (e.g., web, public lectures, and stakeholder meetings) to reach the public.
- The **Covid-19 and Beyond: Impact Assessments and Responses** (Economic Affairs and Regional Integration Division, 2020) assessment report draws attention to civil society and the private sector (including start-ups and MSMEs in the tourism, manufacturing and agriculture sectors) and recommends improved communication platforms to encourage best practices, dissemination of relevant information, and direct lines of communication with all critical stakeholders.
- To add other examples

However, other regional policies and plans are less explicit in attention to engagement of private sector and civil society, for example:

- The **Eastern Caribbean Regional Climate Change Implementation Plan** (Brunet, 2018) does not specify the need for engagement of private sector and civil society, although it does note that involvement of the private sector in trial initiatives is presented as an option to attract private sector investment.

## OECS national and local levels

At the national level, there is similar commitment to engagement of civil society and the private sector in recently developed policies, laws, regulations, strategies, plans and programmes although this is highly variable across countries. These state specific commitment to engagement of civil society and the private sector, and include a wide range of approaches and mechanisms, for example:

- The **Revised Forest Policy for Grenada, Carriacou and Petit Martinique** (CANARI, 2018) emphasises participatory approaches for decision making and policy implementation engaging all stakeholders, including civil society organisations and local community resource users, and particularly underscores co-management of forest resources.
- France's **Feuille de route gouvernementale pour la transition écologique -conférence environnementale** (MMEM, 2016), which applies to Guadeloupe and Martinique, calls for development of a "Public Participation Charter" to support engagement of all citizens and stakeholders in the transition to a sustainable growth model.
- Martinique's **Stratégie locale pour la biodiversité** (Direction régionale de l'environnement, 2010) focuses on communication for awareness, and recommends posters, brochures, flyers, production of a film to be shown in airplanes and airports on good behaviour to adopt, etc.
- The **Indigenous Peoples Planning Framework Kalinago Territory Dominica** (Jessamy, 2018) includes a framework for Free, Prior and Informed Consultations with specific mechanisms for engagement and communication
- **To add other examples**

A few countries have also developed specific frameworks to guide implementation of stakeholder engagement, for example:

- **Saint Lucia's Private Sector Engagement Strategy** (Government of Saint Lucia, 2020) lays out the reasons for engaging the private sector in climate adaptation. It includes a focus both on effectively communicating information to the private sector as well as encouraging their involvement in climate adaptation strategies and public-private partnerships. Specific mechanisms are recommended, including bilateral meetings, business breakfasts, a secondment programme, and use of the weekly All Biz Media's Caribbean Business Report. It also notes the potential roles of the corporate sector and civil society (see Box 5).
- The **Participation Strategy of the Department of Environment in Montserrat** (CANARI, 2008) has a goal to effectively and equitably engage stakeholders (from the public, private and civil society sectors both in Montserrat and overseas) in its work by facilitating effective two-way communication, developing partnerships, ensuring coordination, and promoting collaboration. The Strategy provides a framework and specific tools to guide implementation.

### Box 5: Potential roles in the national adaptation plan in Saint Lucia

**Corporate sector:** Investing in new, innovative products; financing NAP implementation initiatives; instituting best practices such as corporate social responsibility and PPPs; capacity building; climate-proofing supply chains; identifying climate risks.

**Civil society:** Spreading the message and sensitisation generally and among members/associates; providing checks and balances.

**Community-based organisations:** Information-sharing and providing community-based leadership and representation in engagement activities.

Clearly there is already a strong policy framework, and growing demand for and commitment to, engagement of civil society and private sector in environmental management in the OECS. This creates a mandate for action by the OECS Commission and OECS Governments and supports the need for specific guidelines and tools for development and implementation of practical mechanisms which this SES aims to provide.

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## 5. Learning from experiences

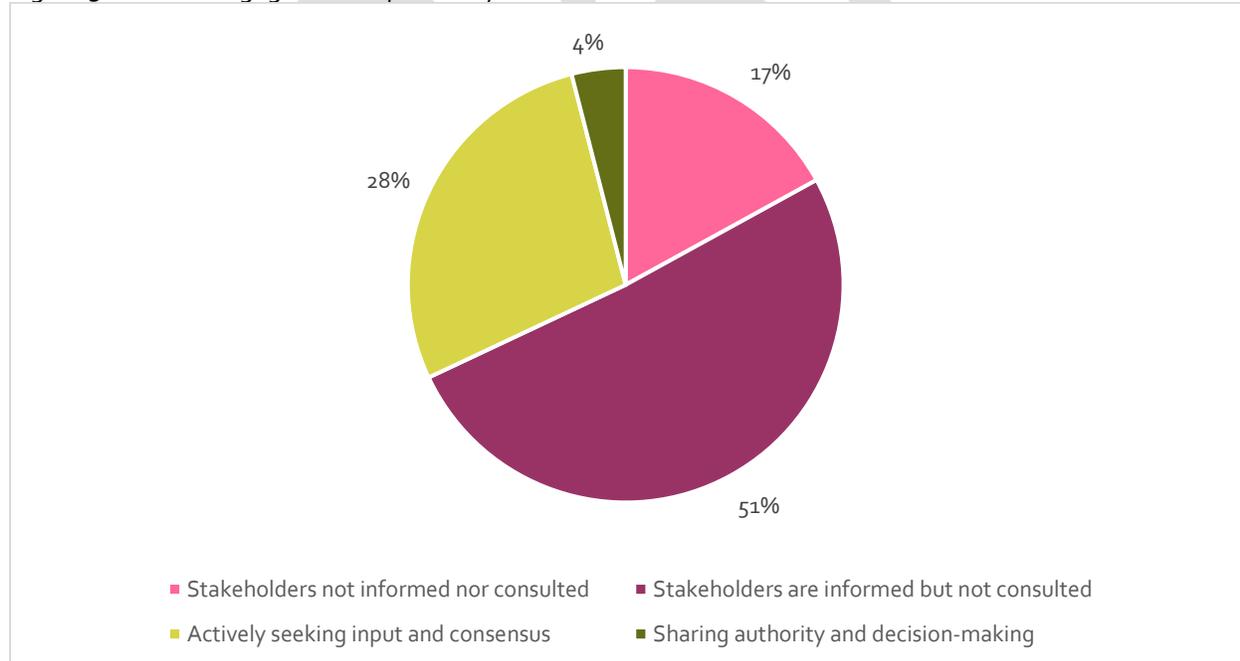
Interviews, focus groups and surveys with civil society, private sector, OECS Government agencies, and the OECS Commission revealed useful good practices, lessons and recommendations which are considered in the SES.

### Overview

Both Government agencies and civil society and private sector stakeholders surveyed reported that they are engaging, although there is significant diversity in how and to what extent stakeholders are engaged across the OECS.

Civil society and private sector stakeholders reported that they are consulted by Government monthly, every few months, or ad hoc/ as needed. Very few are consulted frequently or regularly (e.g., weekly). Civil society and private sector stakeholders participating in the survey assessed the level of engagement (see Figure 3). Some (17%) reported that Government agencies make decisions and take actions and stakeholders are not consulted nor informed. Most (51%) reported that government agencies make decisions and take actions and stakeholders are informed but not consulted. A significant number (28%) felt that Government agencies seek input and consensus from stakeholders before making decisions and taking actions. Very few (4%) felt that Government agencies and stakeholders formally share authority and responsibility for making decisions and taking actions. None (0%) of those surveyed felt that authority and responsibility to make decisions and take actions have been formally transferred to stakeholders.

Figure 3: Level of engagement reported by stakeholders



Stakeholder engagement plans are commonly developed under projects in the OECS to fulfil funder requirements (e.g., Torgusson, 2020; CCRIF, 2020). In a CARICOM-wide desk study, Crawford et al. (2021) identified several wider mechanisms for stakeholder engagement in the OECS (see Table 1). This study found that stakeholder dialogues and forums were the most common method of engaging stakeholders

outside of project-specific engagement, followed by technical committees, project steering committees, online platforms, and workshops/consultations. Many of the engagement mechanisms identified through the desk research were found to be either inconsistently applied or inactive, with some employed only on a temporary or ad hoc basis for specific project activities. While in-person mechanisms were more common, virtual engagement rapidly increased due to the impact of the COVID-19 pandemic since March 2020 and is likely to remain an important strategy.

Table 1: Mechanisms for civil society engagement in the OECS (excerpt from Crawford et al., 2021)

Country/Region	National/Regional	Mechanism title	Mechanism type/format	Type of engagement	CSO involvement
Antigua and Barbuda	National	National Coordinating Mechanism	National dialogue/forum	In person	
Antigua and Barbuda	National	Technical Advisory Committee	Technical committee	In person	Yes
Grenada	National	National Climate Change Committee	Technical committee	In person	By invitation
Grenada	National	Sustainable Development Council	National dialogue/forum	In person	Yes
Regional – OECS	Regional	Civil Society Symposium	Regional dialogue/forum		Yes
Saint Lucia	National	Stakeholder Engagement Strategy	Consultation		Yes
Saint Lucia	National	National Climate Change Committee	Technical committee	In person	Yes
St. Kitts and Nevis	National	Stakeholder Review & Input	Project specific	In person	Yes

CSOs working on environmental management in the OECS already engage with a very wide range of public sector agencies in sectors such as: gender, environment, planning, coastal management, climate change, forestry, agriculture, finance, education, community development, fisheries, disaster management, human and social services, solid waste, local government (town/village councils), investment, heritage, cooperatives, youth, energy, tourism, infrastructure, sustainable development, maritime administration, finance and economic planning, natural resources, ocean management, gender affairs, statistics, surveys, information and broadcasting services, health and wellness and equity. They also work with embassies of other governments and many regional and international organisations e.g., the OECS Commission, Caribbean Development Bank (CDB) Basic Needs Trust Fund, Caribbean Agricultural Research and Development Institute (CARDI), CANARI, University of the West Indies (UWI), Inter-American Institute for Cooperation on Agriculture (IICA), United Nations Environment Programme (UNEP), United Nations Development Programme (UNDP), United Nations Educational, Scientific and Cultural Organization (UNESCO), and the Global Environment Facility (GEF).

Fisherfolk organisations most frequently work with fisheries agencies, cooperatives departments and ministries of agriculture. They also work closely with the Caribbean Regional Fisheries Mechanism (CRFM) and the United Nations Food and Agriculture Organization (UN FAO).

Private sector works with multiple Government agencies with roles and responsibilities relevant to their businesses, for example in the areas of forestry, fisheries, land management, solid waste management, and environmental conservation and are consulted on economic and trade issues.

## **Government engagement of civil society and private sector**

Governments use a combination of methods to commonly engage civil society and private sector stakeholders, which are all felt to be equally effective, including telephone calls, emails, face to face meetings, virtual meetings, WhatsApp, social media, membership on committees, workshops and conferences, and national consultations.

CSOs felt that good practices included where they are serving as members of project steering committees, national technical advisory committees or Boards (e.g., national trust funds), where they have a strong ability to input. However, CSOs usually have one or a few seats in these committees and boards so inclusivity is an issue, especially where a national CSO coalition does not exist. Dominica established Civil Society and Private Sector Technical Working Groups to input into development of the country's Low Carbon Climate Resilience Strategy. Antigua and Barbuda has perhaps gone the furthest with developing collaborative mechanisms, with a national CSO serving as an implementing partner on projects where Government accesses the funds. In a few countries (e.g., Dominica, Saint Lucia), CSOs are formally delegated responsibility for managing protected areas or sites. Some fisherfolk organisations are delegated management of landing sites or facilities under lease agreements, which are long-term and rent free in some instances. In some cases, CSOs reported that Government comes to them when they want to access funding for specific initiatives. Some CSOs are regularly engaged to provide technical information and ideas. Some individuals who are perceived to be experts in their field are engaged separate to their CSO. CSOs reported that engagement by technocrats is more frequent and meaningful than at the formal policy level. Governments also sometimes support CSOs with subventions, give them duty free concessions, and direct them to any available funding opportunities. In some cases, politicians have mechanisms for engagement with their constituencies, such as constituency councils in Saint Lucia.

Crawford et al. (2021) found that Government engagement with CSOs across the Caribbean is also often unstructured and ad hoc, drawing more on personal connections than established structures for consultation and cooperation. While there are some established engagement mechanisms in the OECS, the importance of strong inter-personal relationships between Government personnel and CSO leaders should not be underestimated.

Private sector community micro-enterprises felt that they had good rapport and used multiple communication channels to engage, including telephone calls and face-to-face meetings. In some cases, there is daily interaction (e.g., with fisheries data collection staff) but for some interaction is only when there is an infraction of the law and agencies visit to investigate (e.g., illegal dumping in the mangrove). Community micro-enterprises are consulted under projects, usually during project implementation as part of a requirement under the project. Information is put out via emails, social media, radio, drive through loudspeakers and calls to selected leaders. Consultations are via face-to-face meetings in the community. Some are also beneficiaries of projects and receive capacity building and funding to strengthen their businesses.

Private sector chambers and associations noted that in some cases Governments engaged individual businesses (including to sit on boards) or their preferred groups, rather than seeking representatives from larger national associations. They felt that political motivations were sometimes behind circumventing of mechanisms established by the private sector and blacklisting of chambers/ associations. The credibility and legitimacy of chambers/ associations were challenged when businesses have direct access to politicians and chambers/ associations were not being used to represent their membership. Civil society and private sector shared several lessons and recommendations for how engagement could be improved.

Overall, CSOs would like to have a comprehensive mechanism to support more consistent, systematic, strategic and comprehensive engagement of CSOs, not just a few leading CSOs engaged periodically. They recommended that Governments should dedicate time and space for engagement with civil society and this should be regular and programmed (e.g., monthly to follow up on an agreed work programme, a quarterly forum with fisherfolk). They recommended that focal points to work with civil society be identified by Governments and the OECS Commission and that they employ professionals with the appropriate skill sets to facilitate engagement. They suggested that an information bank could be created with partners' and stakeholders' contact and other relevant information. MOUs with action plans for engagement could be used. CSOs felt that should be involved at the project design phase, not just sitting on committees during project implementation. They want to be engaged in critical decision-making around proposed physical development i.e., before developers are engaged and not just at the stage of Environmental Impact Assessments (EIAs).

Stakeholders noted that regulations are needed to ensure implementation of engagement provisions in legislation (e.g., regarding EIAs).

Private sector chambers and associations interviewed strongly recommended that engagement processes should respect and use these platforms and channels which are already established by businesses themselves. They recommended that Government could use established meetings of chambers or associations or call special meetings. Regular meetings (e.g., quarterly) could be held. They noted that more notice should be given for consultations and the hefty documentation sent for review in short timeframes was not appropriate.

Stakeholders recommended that co-management models should be more widely explored, learning from existing experiences across the OECS and applying the principle of subsidiarity to ensure that management occurs as close to the resource as possible. For example, this should include shared management of fishing facilities by fisherfolk organisations under legal agreements which would allow them to collect fees and better manage the facilities. Government would play an oversight role. Fisherfolk organisations also felt that having legal/ formal stakeholder engagement mechanisms was good but noted that in some countries these were mandated but were not being used. Ad hoc informal committees and groups were collaborating in some cases, but this was not ideal.

Community micro-enterprises interviewed also wanted to see a relationship where Government works alongside community groups to institute projects, using a shared or co-management approach. They saw this as important to build buy-in and support, as well as leverage resources which exist in the community which Government may not have. They recommended that private sector should play a leadership role in environmental management and have a responsibility to maintain and manage the environment, especially those using natural resources for their businesses. Community micro-enterprises reported that they undertake environmental education to help contribute to conservation of the resources upon which they depend. Working with private sector in a co-management approach would provide continuity as Governments change every few years and political agendas also change. Increased collaboration across

private sector and with civil society was seen as important to making this happen. Enhancing capacity to use technology would enhance communication across islands to learn about what is working, what is not, and what projects other islands can try.

Private sector chambers and associations also noted that for them to be players in environmental management they would need to do projects and be able to access financing, which currently is channelled via Governments. They noted the capacity challenges facing chambers and associations, with many members not paying subscriptions and some have lost their ability to have a secretariat and office. They are interested in building their organisations and would welcome assistance with this.

CSOs also reported that capacity building for them was important to support their effective engagement. CSOs have limited resources and find it difficult to make long-term commitments without provision of support for their long-term strategic engagement. Currently higher capacity CSOs advocate on behalf of local communities and lower capacity CSOs; investment in capacity building of the sector is needed. CSOs noted that although membership on committees is a very effective mode of engagement, this requires that the CSO has capacity to spend the time required, the resources to pay for this time, and the skills and knowledge to engage in technical discussions, which many CSOs do not have. Some CSOs recognised that the mode of capacity building by Government needs to be supportive, but not controlling, and recommended a mentoring approach be used.

Community micro-enterprises recommended the use of open consultations to allow everyone to air their views, rather than consultations by invitation.

Recommendations were also made for more effective communication. Stakeholders suggested that in addition to the engagement methods already used, Governments could engage CSOs via training, more sharing of studies and relevant information, the use of drama and visual arts, and following CSOs work on social media. Visual media (e.g., videos, flyers, billboards) which simplify information were recommended so that persons can understand especially where there were literacy challenges. Face-to-face meetings in the community was essential where resource users were illiterate. Communicating in Creole was seen as important for Creole-speaking countries and communities. Stakeholders also suggested using multiple methods of two-way communication at the same time, for example sending emails and following up using Zoom meetings and or telephone/WhatsApp calls. They also felt that there should be more timely issuing of information by Government, and more timely responses from Government. Government needs to better break down technical information in its communications so that stakeholders can understand, and summarise long reports (e.g., for EIAs) and use layman's language (with no technical jargon) so that people can understand. Face-to-face and one-on-one interaction was preferred by some. They recommended building stakeholder capacity to use ICTs (including emails, cell phones) to enhance communication.

Stakeholders noted that engagement and consultation on projects are significant, but this sometimes feels like it is just 'checking a box' as a requirement from the funder. Similarly, private sector chambers and associations say they are sometimes consulted but they don't see the results of their input in decisions or initiatives. Government needs to ensure that stakeholders who engage see how their time and energy was useful and used to influence the decision or action.

Issues were also discussed related to trust, conflicts and marginalisation. Stakeholders wanted to see more transparency, more political will, the will to listen and hear, more trust, and less political influence in engaging them. They reported on tensions and conflicts when there are perceptions that CSOs have a political agenda need to be addressed; this has resulted in some CSOs losing subventions or being removed from committees and technocrats have been warned not to engage with them. Some CSOs are also

perceived to be politically affiliated. Some CSOs are seen as 'favourites' and other CSOs may be marginalised as a result. There is a perception that Governments think that voluntary organisations are not to be taken seriously. Similar issues around political agendas were reported by private sector chambers and associations, who feel that social compacts are on paper but not working effectively.

Despite all of this, CSOs noted that they do not always want to be brought into Government structures as they value their independence which allows them to be critical and conduct advocacy. Crawford et al. (2021) noted that CSOs raised the need for safe spaces for dialogue and discussion, where CSOs can advocate without fear of reprisal from Governments.

Capacity building and support to civil society and private sector individual organisations, associations and coalitions was seen to be central to effective engagement. National coalitions are difficult to resource and sustain and are rarely found in the Caribbean. The Saint Lucia Coalition of Civil Society Organisations<sup>2</sup> and Grenada's Inter-Agency Group of Development Organisations<sup>3</sup> are existing initiatives which could be explored as potential models. Support should also extend to strengthening collaboration between civil society and private sector, which is already taking place in specific areas, but more could be done.

### **Civil society engagement of government**

Recognising that engagement means a two-way relationship, understanding is also needed what are the lessons and recommendations for enhancing how civil society and the private sector engage OECS Governments and the OECS Commission.

Some CSOs invite Government representatives to sit on their project committees, or have Government representatives on their Boards or Councils, in some cases with no voting rights. Government agencies play a role in evaluating some CSO projects. CSOs invite Government agencies to give technical presentations and/ or provide training to CSO staff and members. Some CSOs are directly targeting policy makers (politicians and political hopefuls) on an individual basis as ambassadors who can support on key issues; CSOs take them on field tours to help them to gain an appreciation of the issues. However, CSOs recognised that they need to beware of political agendas that can be brought into their processes.

CSOs noted that where they don't have a direct 'seat at the table' they collaborate with other CSOs who do and influence through them. CSOs can build coalitions to support each other and collectively advocate.

### **Private sector engagement of government**

Fisherfolk organisations may sit on national committees (e.g., Fisheries Advisory Councils) and be part of decision-making processes there. They also use social media, radio talk shows, newspapers, and briefing notes for Ministers to raise issues of concern to them. Some have approached opposition politicians to ask questions in Parliament for fisherfolk to get information from the Minister. The role of the Caribbean Network of Fisherfolk Organisations (CNFO) as a regional network supporting its members with specific issues in countries was also noted. In some instances, however, fisherfolk organisations expressed that they felt that decisions are coming from the top and there is a 'hand down' engagement style, with engagement for publicity during public events.

Community micro-enterprises also engage relevant ministries and other agencies and share information

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<sup>2</sup> <https://www.facebook.com/slucsocoalition>

<sup>3</sup> An umbrella grouping of indigenous, non-governmental, development organisations – see <https://iagdo.org/>

about their initiatives and invite government personnel to visit and provide feedback. Or they report environmental infractions or issues and seek assistance. Where there are user conflicts, a government agency is sometimes called on to mediate. They contact the government using email, telephone calls and face-to-face visits. Active networking was conducted with agencies who they feel need the information and knowledge of those working in and with environmental resources. Strong inter-personal relationships and rapport built with some Government personnel were seen to be effective and there was some hesitancy to move to more formal mechanisms which they felt may not work as well.

Private sector chambers and associations have clear priorities that they are advocating on, for example on issues related to trade, taxation, ease of doing business, COVID-19 recovery, etc. It was not clear whether issues related to environmental management were seen as a priority.

### **OECS Commission engagement of civil society and private sector**

Stakeholders reported that their engagement by the OECS Commission is rare and restricted to projects. The OECS Commission reported that it usually works with stakeholders via OECS Governments, and efforts have been made to engage stakeholders through governance committees such as the Biodiversity and Ecosystems Management Committee, the Regional Ocean Governance Team and National Ocean Governance Committees, Climate Change Plus Working Group and the Energy Policy Implementation Committee.

Stakeholders based in Saint Lucia reported on direct communication and a good relationship with the OECS Commission, and rapport with individual personnel. Community micro-enterprises noted frequent communication when they were engaged under a project but felt there was no need to interact outside of projects. The engagement seemed to be very different with stakeholders located outside of Saint Lucia.

Civil society and private sector stakeholders felt that engagement by the OECS Commission under projects is limited, compared to how they are engaged by Government, and they perceived this to be only to meet a funder requirement. Some CSOs reported that they do not have any engagement with the OECS Commission; they say that communication on activities is done too late or involves webinars that span several hours. They would prefer to have shorter meetings with engaging presenters.

Fisherfolk organisations felt that the OECS Commission has moved away from dealing with fisheries issues and engaging with fisherfolk with the shift to focus on ocean governance policy. The OECS Commission has been actively promoting establishment of National Ocean Governance Committees, which embrace the whole of government and other stakeholders. However, fisherfolk organisations wanted to see the OECS Commission focus more on fisheries, for example by re-establishing the fisheries desk that they had in the 1980s. The CNFO noted the role it is already playing as a regional network facilitating fisherfolk engagement in regional and international issues. This can be leveraged by the OECS Commission. National and local fisherfolk organisations reported that they had no to minimal contact, and this was only project focused.

The OECS Commission engages the private sector most strongly via the Economic Affairs and Regional Integration Division (EARID), which can share their experiences with the Environmental Sustainability Unit. The EARID reported that it engages the private sector directly, both collectively via national associations/ networks and individually. They have established the OECS Business Council, which acts at the regional level to represent national business associations/ networks across the OECS. National private sector associations/ networks are stronger in some OECS Members than others, but the EARID is working to strengthen these, including inclusion of small- and micro-enterprises.

Private sector is engaged on key issues such as trade, where the EARID has defined meeting schedules and calendared periods when meetings are held with the trade negotiating groups and private sector groups. Groups are convened through Government via national consultations and meetings, as well as private sector led meetings, technical working group meetings and through the regional mechanism by the Caribbean Community (CARICOM). Different OECS Governments participate at different levels; some are more participatory than others. Similarly, in the tourism sector, engagement of the many sub-sectors (e.g., transportation, food and beverage, accommodation, creative industry) takes place. The OECS Commission works via the tourism authorities and tourist boards to reach national associations.

The OECS Business Council is focused on overall business development and has not yet been engaged within the environmental space. Given opportunities for green business development and sustainability issues, there is potential for using this mechanism and national associations/ networks to engage private sector on environmental management and a green business policy agenda, including greening of key sectors.

Regarding MSMEs, the EARID noted that there was a challenge with national data collection so information on MSME contribution to economic development and other development issues was not known. Making this sector more visible would encourage enhanced engagement and support.

Civil society and private sector stakeholders put forward a few specific recommendations for how local and national CSOs could be engaged at the regional level. Private sector chambers and associations noted that collaboration across the region is needed and the OECS Business Council was not really functioning now but could be reinvigorated. The model used to establish the OECS Business Council could also be adopted for civil society to enable engagement at the regional level. Periodic (e.g., annual) OECS civil society assemblies and private sector summits could be held to discuss strategic environmental management and development issues. Mechanisms could also be explored for stakeholders to engage in established OECS regional bodies currently restricted to only Government, for example the OECS Assembly, COMES, the Ocean Governance Team and other Councils or Committees as observers or members as appropriate. The CNFO is an official observer on the CARICOM Fisheries Council, and this provides a model that could be explored.

Mechanisms for engagement of civil society and private sector at the regional level are limited. But informal networks and social movements (e.g., the 1.5 to Stay Alive campaign on climate action led by Panos Caribbean) suggest the potential of these in supporting stakeholder engagement.

## 6. Vision, goal and objectives

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### Vision

Exploring what the OECS Commission, Governments, civil society and private sector stakeholders see as effective stakeholder engagement is a prerequisite to defining a common vision that will guide the SES. The level of engagement (Figure 1) desired by the different stakeholders will need to be considered.

During the process of development of this SES, dialogue with civil society and private sector stakeholders in the OECS revealed that for them, meaningful and effective engagement means ideally governments formally sharing authority and responsibility for making decisions and taking actions and at least governments seeking their input and consensus before making decisions and taking actions.

To add what level(s) of engagement OECS Governments would like to achieve.

To add what level(s) of engagement OECS Commission would like to achieve.

### Goal

The goal of the SES is to support an effective and strategic approach to engagement of civil society and private sector in environmental management in the OECS.

To be refined with stakeholder input.

### Objectives

The objectives of the SES are to:

1. Provide an overview of key concepts, principles, tools and key steps for stakeholder engagement processes which can be used to guide OECS Governments, the OECS Commission and their partners in engaging civil society and private sector in environmental management in the region
2. Serve as a regional standard for strategic, meaningful and effective stakeholder engagement in the region

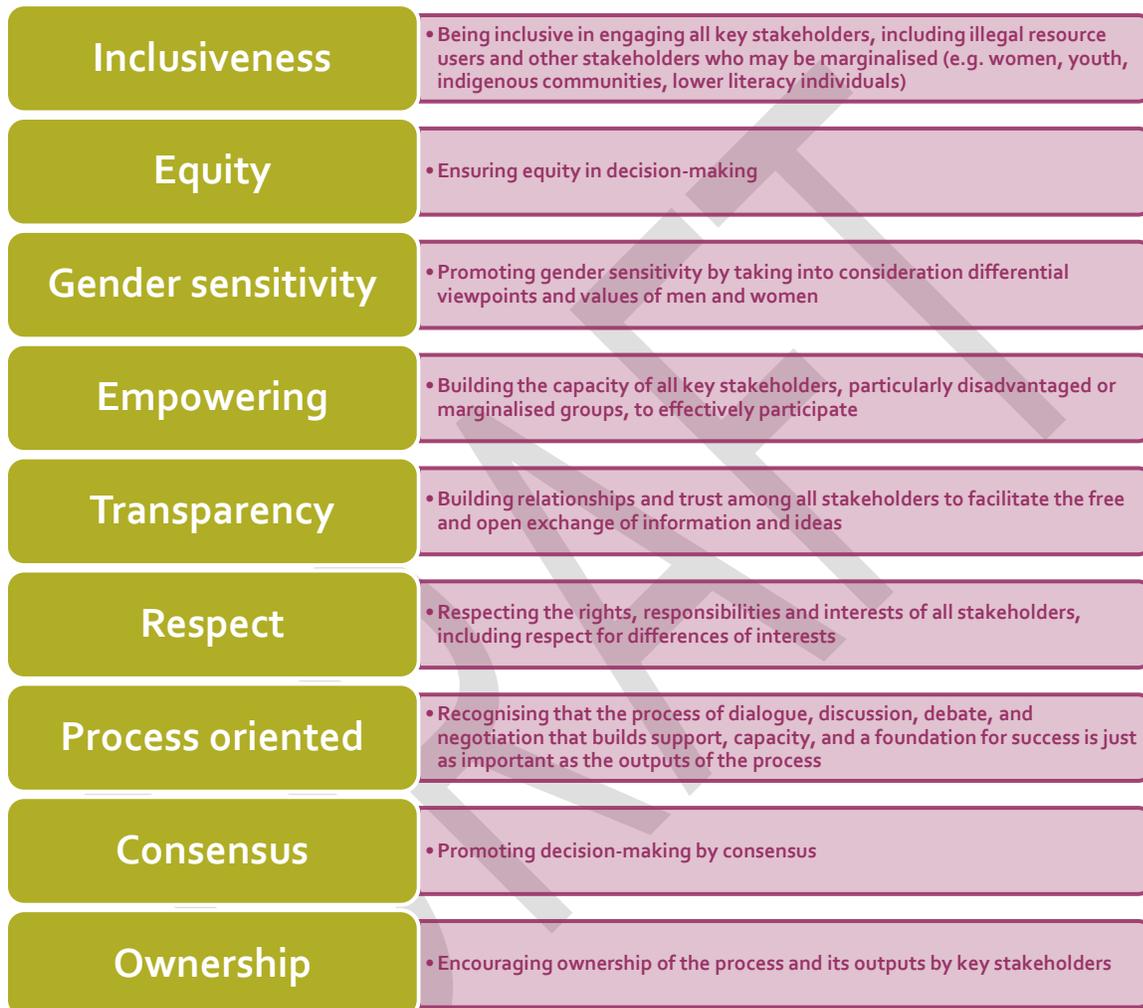
To be refined with stakeholder input.

## 7. Principles

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Implementation of the SES will be grounded in nine principles for effective stakeholder engagement (Figure 4) (CANARI, 2020).

Figure 4: Principles for effective stakeholder engagement (excerpt from CANARI, 2020)



# SECTION B

# TARGET STAKEHOLDERS

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## 8. Identifying the stakeholders to engage

### Identifying stakeholders

Identifying who are the stakeholders to engage will draw on the definition of stakeholders and understanding of the diversity across the civil society and private sectors (see Section 3). It is important to think of all the different types of stakeholders with rights, responsibilities and interests in environmental management in the OECS, across sectors (e.g., agriculture, tourism, manufacturing, finance, etc.) and at different levels (local, national, regional and global). Remember that stakeholders can be individuals, informal groups or formal organisations, legal or illegal users, and formal or informal managers.

The identification process should not forget the less powerful stakeholders, who may otherwise be marginalised in the process (e.g., informal resource users, poor and excluded community residents), as well as the most powerful stakeholders (e.g., large businesses) who may not feel a need to engage if they feel they can influence high-level decision-makers directly.

It is useful to take a structured approach to stakeholder identification, for example thinking systematically about various stakeholder types in turn. For example, you can brainstorm who is involved at the local, national, regional and international levels. Or you can look at each sector. You can think about which are the stakeholders that are visibly involved, which may have high interests but marginalised, and which are powerful but not often seen in the process. Possible questions to stimulate thinking are in Box 6.

The stakeholder list should be organised into groups depending on what makes sense in the specific context.

Involving others in the stakeholder identification process is useful and remember that additional stakeholders may be identified over time as the initiative evolves.

#### Box 6: Questions to help with identifying stakeholders (excerpt from CANARI, 2011)

- Who has responsibilities for management of the environment?
- Who uses the environmental resources?
- Who benefits (or potentially benefits) from the use of the environmental resources?
- Who wishes to benefit from the environmental resources but is unable to do so?
- Who impacts on the environmental resources positively or negatively?
- Who would be affected by a change in management status?
- Who makes decisions that affect the use and status of the environmental resources?
- Who is interested in how the environmental resources are managed, even if they are not directly using or managing it?

### Assessing who are key target stakeholders

Given the limited resources and time available, it is not practically feasible to engage all civil society and private sector stakeholders in environmental management in the OECS. The focus, therefore, is on identifying who are the most relevant individuals, groups and organisations that should be engaged. CANARI (2011) suggests a set of criteria and questions which can guide identification of which stakeholders are most relevant (see Figure 5).

Two categories of stakeholders may be distinguished:

**Primary stakeholders** are those civil society and private sector stakeholders who should be directly engaged in decisions and activities related to environmental management in the OECS. Their input is essential for decision-making due to their responsibilities and roles; they are important as potential implementors of decisions and actions. Or they have a right to be involved as they will be

the most impacted by the decision as direct beneficiaries or as bearers of the cost (e.g., financial, regulatory requirements).

**Secondary stakeholders** are those that those civil society and private sector stakeholders with less direct interests, rights or responsibilities in environmental management in the OECS. For example, they may be CSOs working broadly on gender equity, but not necessarily with a focus on gender issues specific to environmental management. Or they may have broad interests across the Caribbean or internationally i.e., not exclusively focused on the OECS.

Figure 5: Criteria to assess who are key stakeholders (excerpt from CANARI 2011)

What is their purpose/ interest/ mission?	What is their level of power/ authority/ influence?	What is the size of their stake?	What is the scope of their involvement?	What is thier capacity to be involved?
<ul style="list-style-type: none"> <li>How closely does the primary focus of the stakeholders relate to their use, management and governance of environmental resources in the target countries?</li> </ul>	<ul style="list-style-type: none"> <li>What political, social and economic power and legal mandate do the stakeholders have relevant to their use, management and governance of environmental resources in the target countries?</li> </ul>	<ul style="list-style-type: none"> <li>What is the level of responsibility of and benefits to be gained by the stakeholders from their use, management and governance of environmental resources in the target countries?</li> </ul>	<ul style="list-style-type: none"> <li>What is their level of benefit, impact, responsibility? What is their level of dependency on the resource for their livelihood? What is the level of their vulnerability to a change in environmental management and governance in the target countries?</li> </ul>	<ul style="list-style-type: none"> <li>Does the stakeholder have capacities that can be contributed to environmental management and governance in the target countries? Can they provide special or unique skills or knowledge?</li> </ul>

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## 9. Stakeholder analysis

### Types of analysis

Once relevant stakeholders have been identified, a stakeholder analysis exercise should be done to deepen understanding about the stakeholders to help determine how they should be engaged. There are many different areas that can be examined in a stakeholder analysis (see Box 7), such as:

1. Interests, rights and responsibilities
2. How stakeholders can contribute to the initiative
3. Capacity, potential conflicts and challenges with engagement
4. General known preferences of the stakeholder for communication and engagement
5. Analysis of degree of power (or influence) and interest

**Box 7: Questions to help understand stakeholders** (excerpt from CANARI, 2011)

- **Interests:** what are the current and future interests of stakeholders in the use and management of the resources? What do they need and want? What benefits do they currently or potentially derive?
- **Power:** does the stakeholder have formal rights and responsibilities? Legal power? Political influence? Economic power? Or a combination of these?
- **Relationships:** what are the relationships between stakeholders? Are there formal structures and/or informal networks and mechanisms?
- **Impacts on the resource:** what impacts are stakeholders having on the resource, both positive and negative?
- **Conflict:** what are the areas of existing or potential conflict? What are the areas of agreement and shared interest upon which consensus and collaboration can be negotiated?
- **Capacity:** are stakeholders willing to participate in planning or management? What capacities do they have to contribute? What capacities do they need to be able to effectively contribute (and are there resources to build these)?

To ensure a systematic approach is taken to the analysis and documenting the results, a table can be used with as many columns as needed added (for example, see Table 2). Stakeholders can be individually listed, but it usually makes sense to group them in whatever level of specificity makes sense in the specific context (e.g., large hotels, all members of the Hotel and Tourism Association). This information can be included in a database of stakeholders, which includes additional information (see Section 11). Whatever analysis is done, this should be updated regularly as new information emerges about the stakeholders.

Table 2: Template for stakeholder analysis table

Primary stakeholder	Interests, rights and responsibilities	Power and influence	Capacity	Existing or potential conflicts	Stakeholder communication and engagement preferences	Recommended engagement tactics/ methods to be used
Stakeholder 1						
Stakeholder 2						
Stakeholder 3						

The following sections examine specific areas of stakeholder analysis.

## Interests, rights and responsibilities

Table 3 can be used to guide assessment of the interests, rights and responsibilities of stakeholders. Some of this information may be clear and known, for example as described in laws or mission statements or other documents publicly available. Some of this may be deduced or assumed based on the statements and actions of the stakeholder. Interviews with stakeholders can also be used to directly request the information.

Often as the engagement process unfolds, a deeper understanding is gained and the rights, responsibilities and interests will need to be updated to reflect this.

Table 3: Analysis of rights, responsibilities and interests of stakeholders in a resource (excerpt from CANARI, 2011)

Stakeholders have <u>rights</u> to a resource if they:	Stakeholders have <u>responsibility</u> for a resource if they:	Stakeholders have <u>interest</u> in a resource if they:
<ul style="list-style-type: none"> <li>• have a traditional link to it (e.g., people who traditionally harvest medicinal plants from the forest)</li> <li>• depend on it for their livelihood (e.g., timber harvesters)</li> <li>• own the land or access to it (e.g., a group of craft makers who are allowed to go and harvest materials from the forest)</li> <li>• have been conferred rights via some legal mandate (e.g., forestry departments, private landowners)</li> </ul>	<ul style="list-style-type: none"> <li>• undertake actions that change the nature of it (e.g., marijuana farmers, people who set fires in or near the forest, people helping with reforestation)</li> <li>• derive economic benefits or well-being from it (e.g., tour guides who make a living from ecotours into scenic natural areas)</li> <li>• are formally or informally managing it (e.g., forestry departments are formal managers, but timber harvesters also informally manage their extraction)</li> <li>• have a statutory responsibility (e.g., state land and planning agencies)</li> </ul>	<ul style="list-style-type: none"> <li>• have a cultural attachment to it (e.g., Rastafarians)</li> <li>• derive some enjoyment from it (e.g., local and foreign hikers and birdwatchers)</li> <li>• are actively involved in its conservation (e.g., environmental CSOs)</li> <li>• have an intellectual association with it (e.g., researchers)</li> </ul>

## Power and influence

Analysis of the influence (power) and interests of stakeholders is also useful to identify strategies that should be used for engagement (e.g., Hovland, 2005; CANARI, 2020). Stakeholders with high influence and high interest (e.g., leading advocates and champions, CSOs with co-management roles) need to be managed closely. Securing buy-in of stakeholders with high influence (e.g., business leaders and large companies) is critical, noting that they may have lower interest. Special attention will need to be paid to stakeholders with high interest but low influence (e.g., individual fisherfolk and local community resource users), who may need support to be able to engage effectively and communication products to make information accessible. An analysis of the influence (power) and interests of stakeholders helps to identify different groups of stakeholders to guide the different engagement approaches used for each (see Figure 6).

Figure 6: Example of a power-interest analysis matrix of civil society and private sector stakeholders in the OECS fisheries sector (adapted from CANARI, 2020a)

<b>KEEP SATISFIED</b>	Private sector and civil society representatives on National Intersectoral Coordinating Mechanisms (NICs)	<b>MANAGE CLOSELY</b>	Academic and research institutes	<b>HIGH</b>	<b>POWER</b>
	Regional fisherfolk organisations		Local (or primary) and national fisherfolk organisations		
<b>MONITOR (MINIMUM EFFORT)</b>	Regional and international CSOs with interests in marine and coastal ecosystems and socio-economic development relevant to fisheries governance and management	<b>KEEP INFORMED</b>	Medium and large commercial operators and associations	<b>LOW</b>	
			Local and national CSOs working with the fisheries sector		
			Individual fisherfolk		
	Small-scale aquaculture or mariculture producers				
Local community residents and non-fishery CSOs	Small scale vendors	Primary and secondary processors	Recreational sportfishing individuals, companies and associations		
	<b>LOW</b>	<b>HIGH</b>			
					<b>INTEREST</b>

### Capacity

CANARI (2011) identified seven capacity areas needed to facilitate and engage in participatory processes (see Table 4). In doing the stakeholder analysis, each of these capacity areas should be assessed. This will help to identify what capacities that a stakeholder has that can contribute to an initiative (e.g., knowledge and material resources) but very importantly will identify where there are capacity gaps that will need to be addressed before or during the engagement process (see Section 11).

Table 4: Capacities needed to facilitate and engage in participatory processes (excerpt from CANARI, 2011)

Capacity	Requirements
<b>World view/ philosophy</b>	A coherent philosophy must exist with values, attitudes, principles and beliefs of respect and value for all people and the contribution that they can make. There must be trust and openness to allow other people to play an equitable role in decision-making. This vision must place people at the centre of development and address issues of equity and sustainability. A commitment is needed to participatory processes that effectively and equitably engage stakeholders in decision making for livelihoods and conservation benefits.
<b>Culture</b>	There must be a willingness to work with other stakeholders towards shared objectives and a belief that this can be effective. Within an organisation this is expressed through procedures

Capacity	Requirements
	and processes guiding how the organisation does things.
<b>Structure</b>	Structures need to be in place to facilitate open and clear communications internally within the organisation and with partners. Communication channels must exist to receive input, share information, and facilitate discussion, debate and negotiation. Structures must have a clear definition of roles, functions, lines of communication and mechanisms for accountability.
<b>Adaptive culture and strategies</b>	The importance of continuous adaptive management as a result of active learning must be recognised. Internal structures and mechanisms need to be flexible to adapt to changes in the natural resource being managed, the patterns of use of this resource, and the needs, interests, roles and responsibilities of all of the stakeholders involved. A learning organisation will have policies and practices that support systematic monitoring and evaluation and ensure that lessons learnt are put into practice for continuous improvement.
<b>Linkages</b>	An ability to develop and manage relationships between individuals, groups and organisations is needed. Multi-disciplinary and inter-sectoral approaches are needed that bring together different government agencies and the full range of stakeholders, e.g., academia, private sector, NGOs, CBOs, communities and individuals.
<b>Skills, knowledge, abilities (competencies)</b>	Technical skills and knowledge relevant to the specific management area are required. These may include, for example, knowledge about the ecosystem, management issues, management approaches (e.g., protected area, sustainable extraction) and livelihood aspects. Skills might include for example research, map reading, data interpretation and analysis, use of technology, etc. Skills and knowledge in how to effectively facilitate or engage in participatory processes is also needed. Examples include communication and interpersonal skills, ability to negotiate, ability to speak clearly and communicate effectively in front of a large group.
<b>Material resources</b>	Technology, equipment, materials and finance must be in place to support the effective implementation of the participatory process. There must be flexibility in allocation of these resources to respond to changing needs. Equitable allocation to stakeholders is also important.

## Existing and potential conflicts among stakeholders

Environmental resources support economic sectors, well-being and livelihoods of people in the OECS and there is often fierce competition among multiple and sometimes incompatible uses. Development activities also impact on the environment, sometimes negatively, which can also cause conflict among stakeholders. Power imbalances underlie many conflicts. Conflicts are usually complex and involve multiple stakeholders and inter-relationships. There are obvious signs of conflict which are called disputes, but there may also be underlying tensions which if not properly managed can turn into disputes. Conflict management is a preferred term rather than conflict resolution, given that it can be viewed as a dynamic process of balancing interests. Stakeholder engagement can help to reveal and manage underlying tensions as well as active disputes (Krishnarayan, 2005).

*"A combination of dense population, fierce competition for the use of natural resources and a history of struggle and resistance has meant that conflict has been a recurrent theme in the planning and management of the Caribbean's environment." – Krishnarayan (2005)*

Understanding where stakeholders may be a part of existing or potential conflicts is important so that these can be managed as part of the engagement process. The stakeholder analysis can reveal underlying needs,

hidden agendas and what are the areas of potential agreement and conflict among stakeholders. There may be several sources of conflicts (see Table 5 and Box 8) and understanding if and how these exist in the specific context is essential to facilitate effective stakeholder engagement. Independently facilitated negotiation may be needed, where levelling the playing field is important to ensure that marginalised voices are heard. The aim is to avoid a conflict escalating into separate action (e.g., individuals acting outside of the law by squatting or illegal resource use, leveraging individual power to exert influence and corrupt a process) acting or third-party action (e.g., arbitration, adjudication).

Table 5: Reasons why natural resource disputes arise (excerpt from Krishnarayan, 2005)

Category of reasons why disputes arose	Specific reasons cited by managers for natural resource disputes in the Caribbean
Economic and Social/cultural reasons	<ul style="list-style-type: none"> <li>• Macro-economic trends, including globalisation and regional responses (e.g., Caribbean Single Market and Economy)</li> <li>• Perception of state land and fisheries as free for all</li> <li>• Market conditions (e.g., for agricultural, forest and fish products)</li> <li>• Unemployment (particularly among rural populations)</li> <li>• Increased demand for housing</li> </ul>
Policy reasons	<ul style="list-style-type: none"> <li>• Lack of formal policy to guide management and clarify objectives</li> <li>• Lack of formal policy in sectors that impact on natural resource management (e.g., land use)</li> <li>• Policy undermined by political interference</li> <li>• Policy processes exclude key stakeholders</li> </ul>
Institutional reasons	<ul style="list-style-type: none"> <li>• Overlap between agencies involved in natural management</li> <li>• Poor communications between stakeholders</li> <li>• Institutions exclude key stakeholders</li> </ul>
Organisational reasons	<ul style="list-style-type: none"> <li>• Lack of clarity regarding the role of natural resource agencies</li> <li>• Poor communications within natural resource agencies</li> <li>• Capacity needs of partners (e.g., resource users and their advocates) in natural resource management not addressed</li> <li>• Lack of capacity (e.g., personnel and equipment) in state agencies to fulfil management mandates</li> </ul>

**Box 8: Possible conflicts among OECS fisheries stakeholders** (excerpt from CANARI, 2020)

- a) Possible conflicts between different fishing communities over perceived competition or resentment they are not benefitting from the project.
- b) Possible conflicts between stakeholders whose primary interest is conservation and those whose primary interest is resource use (e.g., for tourism or fisheries), including illegal users and those engaging in unsustainable practices
- c) Possible conflicts across sectors competing for access to coastal and marine resources
- d) Possible conflicts between CSOs (regional, national and local) government agencies based on perception that development does not consider environmental services (ecosystem health and services to support tourism and coastal development, etc.) and negative impacts (e.g., impact on pollution on biodiversity conservation)
- e) Researchers from universities and academic institutes may not respect local knowledge
- f) There may be some mistrust of and/or disrespect for national and local CSOs, private sector and community SMEs by government agencies
- g) Private sector may fear or mistrust government agencies and view them as regulators that can withhold access or impose taxes

## Stakeholder preferences

The selection of engagement methods used, including communication products and channels, should be informed by what is known about their preferences. Table 6 captures general understanding about audience preferences in the OECS region and wider Caribbean (CANARI, 2015), although this should be tested and refined during SES implementation.

Table 6: General stakeholder preferences (adapted from CANARI, 2015 and CANARI, 2020a)

Stakeholder type	Communication and engagement preferences
Resource users and other members of rural communities	<ul style="list-style-type: none"> <li>• Less literate resource users are often afraid of being 'shamed' in meetings so have a strong preference for media that don't require reading</li> <li>• Face-to-face meetings</li> <li>• Field visits</li> <li>• Peer exchanges and learning groups</li> <li>• SMS, IMS, WhatsApp etc.</li> <li>• Video</li> <li>• Posters/ flyers posted on bulletin boards in public places</li> <li>• Local/national radio</li> <li>• Participatory video, photo journaling and other participatory ICT tools</li> <li>• Have limited access to ICT tools to engage using virtual means</li> </ul>
CSOs operating at the local level	<ul style="list-style-type: none"> <li>• Social media</li> <li>• Face-to-face meetings</li> <li>• Field visits</li> <li>• Peer exchanges and learning groups</li> <li>• SMS, IMS, WhatsApp etc.</li> <li>• Video</li> <li>• Posters/ flyers posted on bulletin boards in public places</li> <li>• Local/national media (radio, television, newspapers)</li> <li>• Field visits</li> <li>• Participatory video, photo journaling and other participatory ICT tools</li> <li>• Have limited access to ICT tools to engage using virtual means</li> </ul>
National CSOs	<ul style="list-style-type: none"> <li>• Social media</li> <li>• Direct emails</li> <li>• Face-to-face or virtual meetings</li> <li>• Webinars</li> <li>• Field visits</li> <li>• Peer exchanges and learning groups</li> <li>• SMS, IMS, WhatsApp etc.</li> <li>• Short written publications</li> <li>• Simple infographics/ posters/ flyers</li> <li>• Websites and online platforms</li> <li>• E-newsletters</li> <li>• Video</li> <li>• Local/national media (radio, television, newspapers)</li> <li>• Training workshops</li> <li>• Participatory video, photo journaling and other participatory ICT tools</li> <li>• Most have skills, ICT tools and willingness to engage using virtual means</li> </ul>
Regional CSOs	<ul style="list-style-type: none"> <li>• Face-to-face or virtual meetings</li> </ul>

	<ul style="list-style-type: none"> <li>• Webinars</li> <li>• Field visits</li> <li>• Short written publications, technical reports</li> <li>• Websites and online platforms</li> <li>• E-newsletters</li> <li>• Listservs</li> <li>• Video</li> <li>• Social media</li> <li>• Have skills, ICT tools and willingness to engage using virtual means</li> </ul>
International CSOs	<ul style="list-style-type: none"> <li>• Face-to-face or virtual meetings</li> <li>• Webinars</li> <li>• Short written publications, technical reports</li> <li>• Websites and online platforms</li> <li>• E-newsletters</li> <li>• Listservs</li> <li>• Video</li> <li>• Social media</li> <li>• Have skills, ICT tools and willingness to engage using virtual means</li> </ul>
Academics, whether based in the Caribbean or outside the region but active in the Caribbean	<ul style="list-style-type: none"> <li>• Academic journals</li> <li>• Academic conferences</li> <li>• Specialist inter-governmental meetings</li> <li>• Webinars</li> <li>• Technical reports</li> <li>• Case studies, including video case studies</li> <li>• Websites and online platforms</li> <li>• Listservs</li> <li>• Direct emails</li> <li>• Have skills, ICT tools and willingness to engage using virtual means</li> </ul>
Media practitioners	<ul style="list-style-type: none"> <li>• Media briefings</li> <li>• Media releases</li> <li>• Field visits</li> <li>• Training workshops</li> <li>• Conferences</li> <li>• Social media</li> <li>• Direct emails</li> <li>• Via media other than their own specialty e.g., print journalists scan TV and radio and vice versa</li> </ul>
Large and medium-sized enterprises	<ul style="list-style-type: none"> <li>• Information needs to be summarised and clear arguments for a particular course of action presented</li> <li>• One-on-one meetings</li> <li>• Chambers of commerce, business associations or sectoral meetings</li> <li>• Field visits</li> <li>• Sectoral conferences</li> <li>• Direct emails</li> <li>• Social media</li> </ul>
Small and micro-enterprises	<ul style="list-style-type: none"> <li>• Face-to-face meetings</li> <li>• Field visits</li> </ul>

(formal and informal)	<ul style="list-style-type: none"> <li>• Peer exchanges and learning groups</li> <li>• SMS, IMS, WhatsApp etc.</li> <li>• Video</li> <li>• Posters/ flyers posted on bulletin boards in public places</li> <li>• Local/national radio</li> <li>• Participatory video, photo journaling and other participatory ICT tools</li> <li>• Have limited access to ICT tools to engage using virtual means</li> </ul>
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## Institutional mapping

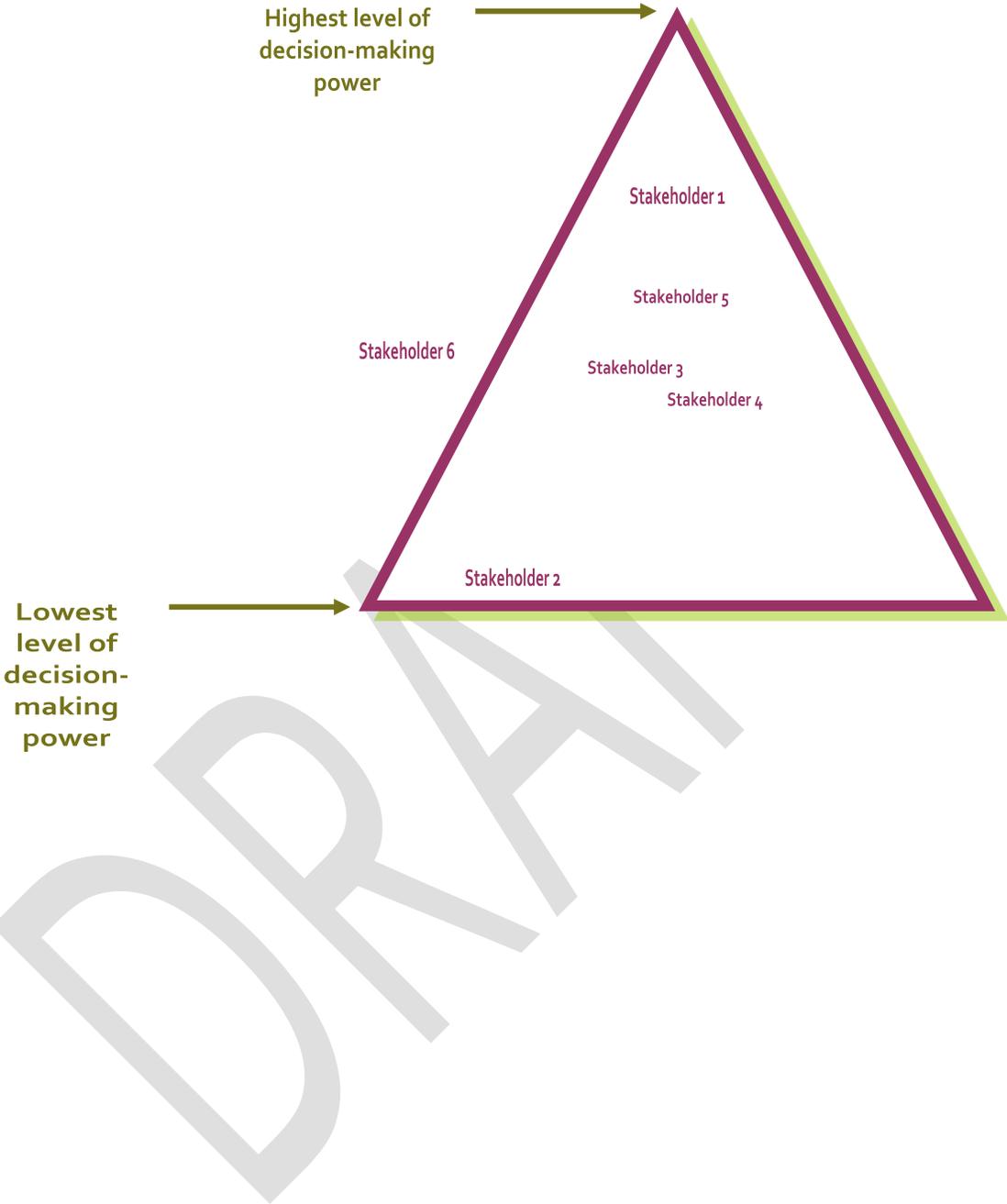
Understanding relationships among stakeholders, policies, laws, etc. can help to understand how decisions are made about environmental management and by whom, and what are the gaps and opportunities for stakeholder participation in the decision-making process. There are several methods that can be used and the two below are extracted from CANARI's toolkit (2011).

A simple method is to create a **power triangle** that represents the decision-making pyramid governing the environmental management issue (see Figure 7). The top of the triangle is where the most decision-making power lies, and the base represents the lowest power. The key stakeholders (including government agencies, civil society, private sector, etc.) are placed in the triangle at the level representing the level of power and involvement they have in the decision making, with high power at the apex and low power at the base. Stakeholders can be placed outside of the triangle if they are felt to not be involved at all. This is a great exercise to do with stakeholders to have them decide on the positioning and then discuss what this is telling them about which stakeholders don't currently have power and how can they be more involved in the decision-making process.

Another approach is to do social network analysis approach is to map relationships and look at the social structures that emerge. This can be done as a rigorous piece of social science research using algorithms and specialised software (which will not be presented here) or as much simpler diagrams that connect stakeholders by arrows to show the relationship. The roles played by stakeholders, the strength of each relationship and flows of information and resources are examples of what can be examined.

Again, involving stakeholders in creating these maps yields rich information and builds shared understanding and consensus on what are the opportunities for strengthening engagement of civil society and private sector.

Figure 7: A pyramid of decision-making power (from CANAR, 2011)



# SECTION C

## TOOLS AND TACTICS

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## 10. Engagement tactics

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To refine/expand based on stakeholder input

### Mobilising stakeholders for engagement

Once the target stakeholders have been identified, mobilisation them to engage in a process is the first step. Traditionally, different strategies were used to reach different stakeholder groups (e.g. letters or email for government and private sector; fliers, announcements on local radio or places of worship, and individual phone calls for community groups/members). However, today mobile phones and information and communication technology (ICT) are increasingly used for all stakeholders (e.g., social media, WhatsApp or text messages) (CANARI, 2021).

Deciding on if you are providing incentives and being clear on this is important during mobilisation (see Box 9).

#### Box 9: Determining if incentives are appropriate (excerpt from CANARI, 2021)

You will need to think about whether to provide a stipend or other incentive to encourage stakeholder participation, although you should be cautious about entering into what Bass et. al 1995 (cited in CANARI, 2011) call '*Participation for material incentives*' where people participate in return for food, cash or other material incentives but do not engage meaningfully in the process and have no stake when the incentives end. But in many cases some sort of incentive should be considered. Most people involved in community groups, and in many other CSOs, are volunteers. MSME staff and resource users are also unlikely to be paid to engage in activities beyond their direct livelihood focus. This means that if they give up a day of their time to participate in your activity, they are probably also giving up a day's income or livelihood benefit. You need to be sensitive to this, decide whether to provide a stipend and at the very least ensure that nobody is out of pocket for transport costs, food etc. Providing refreshments contributes to maintaining active effective stakeholder participation, even if you are only planning a short meeting; it also creates an opportunity for stakeholders to interact informally and exchange views and experiences. While all stakeholders appreciate the incentive of a pleasant meal, those who are participating as part of their job (such as government employees) will not need a stipend. For engagement in a project or longer-term process, it may be useful to consider giving CSOs honoraria to cover the cost of their time to participate throughout the process. Respecting stakeholders' time, and fairness in how their time is valued, are important considerations here.

### Effective two-way communication

Effective two-way communication of information is a prerequisite for effective stakeholder engagement. Stakeholders need to receive information to be able to effectively engage in a process and they also need to be able to communicate information into a process. Communication has the potential to change knowledge, attitudes and practice of target stakeholders. Stakeholder engagement also contributes to changing knowledge, attitudes and practice. Communication and engagement of stakeholders are thus intertwined strategies (CANARI, 2021).

As part of a stakeholder engagement process, it is therefore useful to develop a specific communication plan, which lays out the specific messages which need to be relayed to stakeholders along with the best communication products and pathways to reach them, based on their preferences (see Section 9). A template for a very simple communication plan is in Table 7. This can be developed to guide how you communicate with each stakeholder group at different points in the engagement process. The type of communication used should be appropriate to the stakeholder(s) being targeted and a combination of approaches may need to be used. Appropriate language is essential, including avoiding technical jargon and

communicating in the preferred language of the target group (e.g., Creole).

Table 7: Template for a communication plan

Desired outcome	Primary target audience(s)	Key messages	Product(s)	Dissemination channel(s)	Indicators	Means of verification
What change in knowledge, attitude or practice of the stakeholder(s) do you want to achieve?	Which stakeholder(s) are you targeting?	What are the clear and concise statements on what you want to communicate to the stakeholder?	e.g., written reports, articles, videos, social media posts, PowerPoint presentations, WhatsApp messages	e.g., websites, radio, social media, individual emails, e-newsletters, workshops	e.g., # of website hits, # of workshop held, # of radio presentations made, # of social media interactions	e.g., workshop attendance sheets and evaluation forms, web and social media reports, surveys

### In-person engagement

- Meetings
- Focus groups
- Field visits
- Panel discussions
- Interviews
- Workshops

### Virtual engagement

- WhatsApp groups
- Listservs and online discussion forums
- Webinars

### Innovative approaches

The creativity of OECS people can continue to be used to support stakeholder engagement. The creative arts have been effectively used in outreach and awareness raising needed to engage stakeholders, as well as tools to get stakeholder perspectives and opinions on issues.

Information and communication technology (ICT) provides additional tools that expand opportunities to engage stakeholders in creative ways to document local knowledge, elicit their ideas and opinions, facilitate dialogue and debate, and build consensus on priorities. The use of social media and other virtual platforms are rapidly increasing across the OECS and can be better leveraged by the OECS Commission and OECS Governments to engage stakeholders. Specialised tools have also been developed to engage stakeholders in various aspects

#### Box 10: Innovative and creative approaches to stakeholder engagement (excerpt from CANARI, 2021)

CANARI has applied a number of innovative strategies that it has found to be effective in engaging stakeholders, particularly those who may not be comfortable participating in formal or community meetings or whose literacy levels are low. These include use of:

- Participatory photo journaling
- Participatory video
- Participatory mapping
- Participatory three-dimensional modelling (P3DM)
- Participatory Vulnerability and Capacity Assessments (VCAs)
- Participatory livelihood vulnerability and value chain analysis

of environmental management and can be more widely applied in the OECS (for example see Box 10).

### **Formal structures**

- Advisory or steering committees – sectoral, national, regional

### **Partnerships**

- Informal, project based or MOUs and partnership agreements

### **Openings for social movements**

- What mechanisms can be developed for input from social movements?

### **Capacity building of individual organisations, associations and coalitions**

- What can be done here?
- How can safe spaces be created?
- How can political influence be managed?

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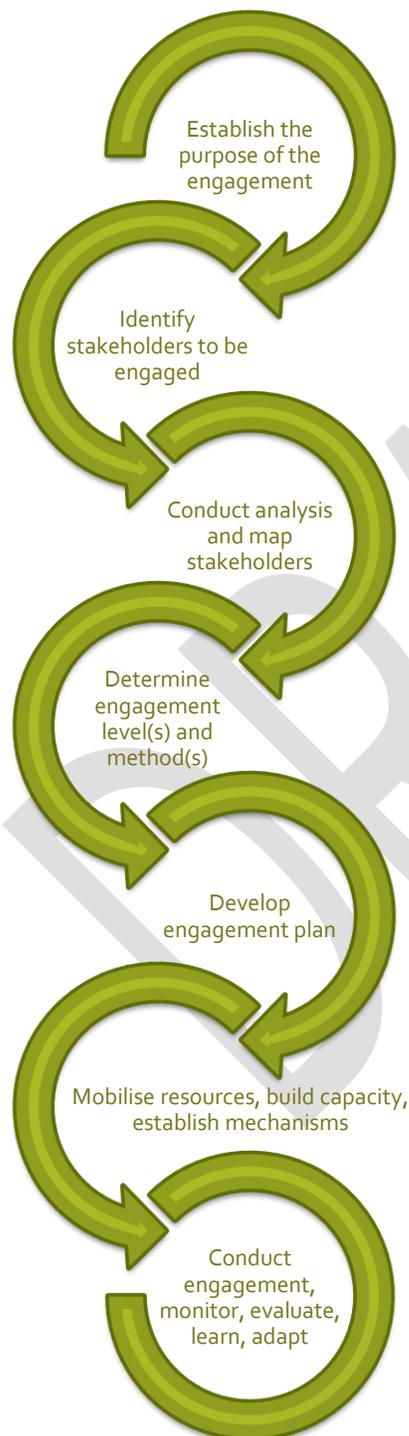
**SECTION D**

**IMPLEMENTATION**

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## 11. Steps in the engagement process

Figure 8: Steps in a stakeholder engagement process



Seven key steps in a stakeholder engagement process can be identified (see Figure 8) although the optimal approach will depend on the individual context and the process may be iterative.

### Establish the purpose of the engagement

The reason for engaging civil society and private sector stakeholders in an initiative will need to be clear. What is the desired result of the engagement? It is to secure buy-in or get information and ideas? Is it to develop partnerships to support implementation or to access additional resources? Being clear about the 'why' of engagement will then guide determination of the 'who' and the 'how'.

**Tip:** Review Section 2 rationale for why stakeholder engagement is valuable and think about how stakeholders can help to achieve the overall goal of the initiative or can be a barrier if they are not engaged.

### Identify relevant stakeholders to be engaged

The objective of this stakeholder identification activity is to name all the individuals, groups and organisations that have a stake in the initiative. Think about who has responsibilities (legal or informal), who plays roles in management, who are the users who will be affected, and who has interests. It is helpful to think about stakeholders in different categories, for example types (e.g., big business, micro-enterprises, informal resource users), sectors (e.g., tourism, agriculture), or spaces (e.g., located in the local area, located outside but still involved in managing or using the resources), or levels (e.g., local, national, regional, international).

Be systematic but be open to going back and updating the list. Keep asking 'who have we forgotten'? Update this list periodically as needed during implementation of the initiative as stakeholders may emerge who were not identified initially.

This will result in a long list of stakeholders and criteria (see Section 8) should be applied to develop a

short list of who are the most relevant stakeholders to engage. This will help to prioritise and focus efforts, but the full list of stakeholders can still be targeted in broad communication for example.

**Tip:** Review Section 3 on defining who are stakeholders and Section 8 on the process of stakeholder identification. Involve a wide team in brainstorming who are the stakeholders and ask partners for input. Don't forget those who are informal or illegal users, marginalised stakeholders, as well as those who may not be visible but are powerful and can influence the initiative.

## Conduct analysis and map stakeholders

For the key stakeholders who have been prioritised as most relevant, conducting an in-depth analysis of the groups of stakeholders helps to better understand roles, responsibilities, interests and perspectives, power relationships among them, existing or potential conflicts, their capacities and capacity needs, and their preferences for how they would like to communicate and engage. This analysis will guide how they should be engaged in the initiative. Choose the type of analysis based on the information that is needed to help understand how the stakeholder should be engaged.

The analysis can be done for stakeholder groups. The more sub-divided the groups are, the more detailed and specific the analysis will be. Record the analysis in a format that gives easy access to the information needed.

Information can be obtained from desk review, first-hand knowledge of those who have worked with the stakeholders, or directly collecting information from the stakeholders through surveys, interviews or focus groups.

A participatory stakeholder analysis can be facilitated if the time and resources are available. This brings the key stakeholders together and lets them be part of the analysis. This helps them to understand each other and can be a basis for building understanding, trust and respect that is the basis for collaboration.

Like the process for stakeholder identification, the analysis should continue to be refined and revised if needed as more information is obtained to help understand each stakeholder.

**Tip:** Review Section 9 on the process of stakeholder analysis. Again, involve a wide team in getting information about the key stakeholders and ask partners for input.

## Determine engagement level(s) and method(s)

The level to which stakeholders are engaged in an initiative will be largely determined based on the level of their interests, rights and responsibilities as identified during the stakeholder analysis (see Section 9). Primary stakeholders and those with high power and interest will need to be targeted in facilitated activities where they can have an effective voice and benefit directly from the process. Secondary stakeholders with low power and interest may need to be kept informed but not necessarily engaged in all activities.

Ideally, the stakeholder analysis previously done will have captured stakeholders' preferences for how they like to be engaged and what communication approaches are effective for them. This should now be used to identify the combination of different engagement approaches to reach different stakeholders (see Section 10). Also remember that the type of engagement should be tailored to the level of power and interest of stakeholders (see Figure 6) so some stakeholders will be deeply engaged (e.g., as members of steering committees) while some will only be kept informed (e.g., via newsletters or other communication). In deciding on engagement approaches, special attention should be paid to marginalised stakeholders and

issues such as race, gender, age, economic status, literacy and religion. It will be important to choose the combination of engagement approaches that will be the most effective for the resources (including time) available.

But the biggest thing to consider is whether the engagement approaches will be the most effective and efficient for the stakeholders themselves, who are also busy and need to see that their time is well spent. The curse of stakeholder fatigue often arises when people are continuously engaged in what they see as time-consuming and meaningless 'consultations' which take them away from their work and deliver little in the way of results. When people are engaged in ways that add value and meaning to their own work and interests, it becomes a rewarding process that they are willing to invest in.

**Tip:** Consider if there are existing stakeholder engagement processes that can be used to maximise synergies to save resources and help to avoid stakeholder fatigue. For example, are there multi-stakeholder committees already established, or civil society networks and private sector associations which can be for a to reach their members. Can there be collaboration on initiatives by other agencies which are engaging the target stakeholders?

## Develop engagement plan

Development of a stakeholder engagement strategy/ plan for an initiative will help to ensure that the process is well thought-out, and the resources needed are clear. Some funders (e.g., GEF, World Bank) mandate development of these for large projects and have specific requirements that need to be included. But even where it is not required, documenting a stakeholder engagement strategy/ plan will be important to guide implementation and make sure the team are all on the same page so that activities are coordinated and focused on delivering the results needed.

Engagement strategies/ plans can exist at several different levels – strategic, programme, project, or project activity. A detailed plan should be done for an activity or short-term project, which would specify a workplan with tasks, timelines and responsibilities and also have a budget. For a longer-term project or programme, a broad strategy should be developed that serves as a framework for development of the plans for specific activities.

Whatever the level, a stakeholder engagement strategy/ plan should include key elements described in Box 11. This should be tailored to the specific context and be a 'living' document which is continuously refined based on new information and deliberate learning from experiences in engaging stakeholders.

### Box 11: Key elements of an engagement strategy/ plan (CANARI, 2021)

- a) The **overall objective(s)** of the project or longer-term programme.
- b) The **participation objective(s)** identifying how stakeholders are expected to contribute to and/or gain from the process/project.
- c) The **communication objective(s)** in terms of the change(s) in stakeholders' knowledge, attitudes and practices (KAP) that it hopes to achieve.
- d) The **target stakeholders/audiences** based on the systematic and continuous process of stakeholder identification and analysis.
- e) The key communication **messages** and most appropriate and effective communication **products and platforms** that will be used to reach these target stakeholders/audiences.
- f) The most appropriate and effective **engagement methods** that will facilitate participation of these target stakeholders/audiences.
- g) The monitoring and evaluation (M&E) approach, with inclusion in the plan/strategy of **appropriate indicators and means of verification** for communication, engagement and participation.

**Tip:** Reflect on previous experiences with stakeholder engagement and think about what could be done differently. Speak with others who have previously conducted or been involved in similar stakeholder engagement processes and get their recommendations.

## **Mobilise resources, build capacity and establish mechanisms**

Preparation for the engagement process should involve mobilising the resources required to implement the engagement strategy/ plan. This can include skilled facilitators and communicators, funding, equipment and materials. Mobilising partners can also be key, for example local media can help with communication to stakeholders, other government agencies working in similar areas or with the same stakeholders can share experiences and collaborate, private sector associations or civil society networks can mobilise their members.

Ensuring that the team implementing the stakeholder engagement has the right mix of competencies is critical, which may mean training for the team and/ or contracting specialised facilitation or communication expertise. Independent facilitation is especially important where there are existing or potential conflicts among stakeholders.

The stakeholder analysis should have assessed the target stakeholders' capacity to engage and what capacity building would be needed for their effective participation in the process (see Section 9). This capacity building could take place prior to or during engagement. For example, supporting fisherfolk to organise into local or national fisherfolk organisations is a solid long-term investment which will support their effective engagement. Providing rural communities with access to technology that will support their virtual engagement (e.g., by providing devices or data for their internet access) is an essential and immediate capacity need.

**Tip:** Include capacity building of the team as part of the engagement plan. Ensure that the team is properly oriented and put a system in place so that their capacity is built during the process, for example via a 'learning by doing' approach with coaching support from experienced personnel or contractors.

## **Conduct engagement, monitor, evaluate, learn and adapt the process**

Implementation of the stakeholder engagement strategy/ plan will take place over time and with various stages to achieve the desired results. Activities can be run in parallel to reach different stakeholders in different ways, and/ or sequenced with a view to increasing the engagement of key stakeholders over time. Different stakeholders can be engaged individually (e.g., businesses) and stakeholders can also be engaged in multi-stakeholder events such as workshops that facilitate dialogue and exchange of experiences and perspectives. Some communication will be tailored to specific audiences (e.g., an article in a business magazine) but some will be suitable for multiple stakeholders (e.g., videos are always popular).

Tools, models, templates and best practices used during the process should be documented. A stakeholder database should also be developed with basic contact information (while ensuring compliance with any data protection legislation) as well as to track the engagement conducted with each stakeholder. This database should be kept updated throughout the process.

Monitoring during the process and evaluation at specific points and the end should be conducted to assess results of the stakeholder engagement and lessons on how processes can be improved. Lessons learnt should be applied to adapting the design and implementation of the engagement activities and can also guide development of future engagement processes.

**Tip:** Openness to learning is key! Practice deliberate reflection on what went well and what could have been improved and how to continually find ways to enhance the engagement process.

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## 12. Monitoring, evaluation, learning and adaptation

### To refine/expand based on stakeholder input

Implementation of the SES by the target users should be monitored and evaluated by the OECS Commission, in collaboration with OECS Governments, with a view towards evaluating results achieved as well as learning what works and identifying recommendations for continued improvements in the practice of stakeholder engagement across the region. Deliberate reflection by those implementing the SES, knowledge sharing and exchanges of experiences should be facilitated.

Participatory evaluations should be conducted to get input from civil society and private sector stakeholders on effectiveness of engagement processes and their learning and recommendations for improvement.

A framework for monitoring and evaluation of implementation of the SES is provided in Table 8.

Annual or biennial evaluation of implementation of the SES should be conducted and reports submitted to the COMES. Specific monitoring and evaluation plans and processes will need to be developed. These should outline the specific outcomes which are being assessed, indicators which will be used, data collection methodologies, roles and responsibilities, timelines and budgets. These can be supported under specific OECS projects but use of a common indicator framework will allow for comparison and tracking across the region.

Table 8: SES monitoring and evaluation framework

Desired results	Indicators	Targets
<b>Overall outcome</b>		
<b>Overall outcome:</b> Enhanced engagement of civil society and private sector stakeholders in environmental management in the OECS	Requirements in national policy and regional and global commitments met or exceeded	TBD
<b>Outputs</b>		
OECS Commission and OECS Governments systematically developing and implementing stakeholder engagement strategies for projects and programmes	% of OECS Commission initiatives developing and implementing civil society and private sector engagement strategies for projects and programmes  Number of OECS Government agencies developing and implementing civil society and private sector engagement strategies for projects and programmes	TBD
Mechanisms developed and implemented to enhance stakeholder engagement	Number of OECS countries with multi-stakeholder committees established and operating to support civil society and private sector engagement  Number of OECS countries developing formal partnerships with civil society and private sector stakeholders	TBD

	<p>Number of online platforms established to support communication with civil society and private sector stakeholders</p> <p>Number of OECS Government agencies with established databases to support and track stakeholder engagement</p>	
Capacity of OECS Commission and OECS Governments to facilitate stakeholder engagement enhanced	Number of staff members who received capacity building (training, coaching, etc.) in facilitating stakeholder engagement processes	TBD
OECS civil society and private sector report enhanced engagement in environmental management	% of civil society and private sector stakeholders surveyed reporting enhanced engagement processes	TBD
Recommendations identified for strengthening policy, legal and regulatory framework and mechanisms to better enable stakeholder engagement	Number of OECS countries which have identified recommendations for strengthening policy, legal and regulatory framework and mechanisms to better enable civil society and private sector engagement	TBD

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## 13. Implementing the SES

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To refine/expand based on stakeholder input

### **Outreach to raise awareness of the SES and build commitment of the target users**

The target users of the Strategy are OECS Government agencies, the OECS Commission, and contractors, consultants and development partners developing/ implementing projects and initiatives relevant to environmental management in the OECS region. Outreach can include:

- Using OECS Government champions to promote the value of engagement of civil society and private sector based on positive experiences in their country or sector
- Supporting advocates in OECS civil society and private sector to promote positive experiences and opportunities
- Documenting and showcasing written and audio-visual case studies, examples and testimonials of positive experiences of civil society and private sector engagement in the OECS

### **Building capacity of SES target users**

Building readiness and capacity of target users to facilitate stakeholder engagement processes will be necessary to support effective implementation of the SES. An assessment of existing capacity of OECS Government agencies and the OECS Commission should be conducted to identify capacity building needs. Based on this, a capacity building strategy should be developed. This should take a multi-pronged approach to building capacity via a mix of training, coaching, mentoring, peer exchanges with practical experiential learning emphasised. There is a wealth of valuable experiences in the OECS which can be a foundation.

### **Convening and facilitating communities of practice**

The OECS Commission can facilitate a regional community of practice on stakeholder engagement, which will facilitate ongoing peer sharing and learning. At the national level, OECS Government agencies can also collaborate to have their own peer sharing and learning. This will also foster and support coordinated and collaborative approaches at the regional and national levels. Documenting experiences and reflecting to assess learning should be a key focus of the communities of practice.

### **Data and information**

Document the contribution of civil society and the private sector (including MSMEs and informal micro-enterprises) to national development and making these sectors more visible would encourage enhanced engagement and support. Development of national databases is needed, and standardising indicators and data collection would allow for regional analysis and reporting by the OECS Commission. The EARID is poised to do this and is creating a portal for countries to share data. Expanding this to address environmental management, and the roles played by civil society and the private sector, could be explored. For example, this central repository could be used to track OECS work and progress on the green and blue economy.

### **Strengthening partnerships**

Relationships should be developed and strengthened with key partners which can support OECS Government agencies and the OECS Commission with their efforts at stakeholder engagement. Potential

partners include international funders and development partners which have strong commitments to participatory governance (e.g., the European Union, the Open Society Foundations), agencies which are mandated to include stakeholder engagement in their work (e.g., regional and international executing agencies for projects supported by global funds), Caribbean technical and academic institutes with a long history of work and expertise in this area (e.g., CANARI, University of the West Indies-Centre for Resource Management and Environmental Studies [UWI-CERMES]), and Caribbean civil society and private sector networks and leaders which are well positioned to support implementation of engagement processes.

Greater coordination and collaboration across various Divisions of the OECS Commission would also provide opportunities to leverage knowledge, networks and synergies in the use of engagement mechanisms (e.g., the OECS Business Council). Numerous areas for bringing environmental, social, human and economic dimensions together were identified. Similarly, opportunities to enhance cross-sectoral collaboration among Government agencies for engagement of civil society and private sector environmental management should also be explored. While a concern is always that agencies and divisions have limited resources, the effort invested in enhancing coordination and collaboration can yield much greater returns than continued working in silos.

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## Glossary

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Unless otherwise stated, definitions for terms below are taken from CANARI's *Facilitating participatory natural resource management: A toolkit for Caribbean managers* (2011).

**Civil society** covers non-governmental and non-profit organisations, coalitions, networks, activists, social movements. It therefore includes a wide range of organised and organic or informal groups of different forms, sizes and functions. A key characteristic is sharing some common vision, values, mission, purpose, commitment or collaboration to achieve specific shared goals. (adapted from VanDyck 2017)

**Facilitation** can be defined as the process of helping groups or individuals come to a common objective without imposing, dictating or manipulating an outcome. Facilitation empowers individuals or groups to find their own answers to problems or plan approaches to issues identified.

**Livelihoods:** the term 'livelihoods' encompasses the capabilities, assets and activities required for a means of living. This includes the concept of human well-being and quality of life including, but not limited to, the ability to earn a living in terms of having an adequate salary or generating enough money to cover at least basic needs.

**Participation** in the context of natural resource management can be described as a process that: facilitates dialogue among all actors; mobilises and validates popular knowledge and skills; encourages communities and their institutions to manage and control resources; seeks to achieve sustainability, economic equity and social justice; and maintains cultural integrity (Renard and Valdés-Pizzini 1994).

**Private sector** ranges from informal and micro-enterprises, through small- and medium-sized businesses to vast multinational companies (Stibbe and Prescott, 2020).

**Stakeholders** in natural resource management are the individuals, groups and organisations that are involved in or may be affected by a change in the conditions governing the management and use of a resource, space or sector (Geoghegan et al. 2004).

Additional terms to be added as needed.

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Additional references to be added.

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