



**ADAPTATION FUND**

AFB/PPRC.21-22/4  
30 November 2017

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Adaptation Fund Board  
Project and Programme Review Committee

**SOUTH-SOUTH COOPERATION GRANT PROPOSAL TO  
SUPPORT NIE ACCREDITATION FOR DOMINICA**

## Background

1. At its twenty-second meeting, the Adaptation Fund Board Secretariat (the secretariat) had prepared document AFB/B.22/6 which outlined the possible elements and options for a phased programme to support Readiness for Direct Access to Climate Finance for National and Regional Implementing Entities and presented a framework and budget for a first phase of the programme. Following a discussion of the document, the Board decided to:

- (a) *Approve Phase I of the Readiness Programme as detailed in document AFB/B.22/6, on the basis that it would follow performance-based funding principles;*
- (b) *Take note of the options provided by the secretariat on a programme to support readiness for direct access to climate finance for national and regional implementing entities;*
- (c) *Request the secretariat to submit to the Board intersessionally between the twenty-second and twenty-third meetings, execution arrangements, criteria/eligibility criteria to allocate the funds to the accredited implementing entities for specific activities, as well as a timeline of activities, with a view to start implementing the programme before the twenty-third Board meeting; and*
- (d) *Approve an increase in the Administrative Budget of the Board, secretariat and trustee for FY2014 of US\$ 467,000 for the programme described in AFB/B.22/6, and authorize the trustee to transfer such amount to the secretariat and request the trustee to set aside the balance amount of US\$ 503,000 from the Adaptation Fund Trust Fund resources for subsequent commitment and transfer at the instruction of the Board.*

### **(Decision B.22/24)**

2. At the tenth session of the Conference of the Parties serving as meeting of the Parties to the Kyoto Protocol (CMP 10), the Parties recognized the Readiness Programme of the Adaptation Fund and decided to:

*Invite further support for the readiness programme of the Adaptation Fund Board for direct access to climate finance in accordance with decision 2/CMP.10, paragraph 5;*

### **Decision 1/CMP.10**

and also decided to:

*Request the Adaptation Fund Board to consider, under its readiness programme, the following options for enhancing the access modalities of the Adaptation Fund:*

- (a) *Targeted institutional strengthening strategies to assist developing countries, in particular the least developed countries, to accredit more national or regional implementing entities to the Adaptation Fund;*

- (b) *Ensuring that accredited national implementing entities have increased and facilitated access to the Adaptation Fund, including for small-sized projects and programmes;*

**Decision 2/CMP.10**

3. Upon completion of Phase I of the Readiness Programme, the secretariat had prepared document AFB/B.25/5 which outlined the progress made in Phase I and proposed Phase II of the Readiness Programme, taking into account the results from Phase I of the programme and integrating decision 2/CMP10. Following a discussion of the document, the Board decided to:

*Approve Phase II of the Readiness Programme, as outlined in document AFB/B.25/5, with a total funding of US\$ 965,000, including funding of US\$ 565,000 to be transferred to the secretariat's budget and funding of US\$ 400,000 to be set aside for small grants to National Implementing Entities from resources of the Adaptation Fund trust fund.*

**(Decision B.25/27)**

4. At its twenty-seventh meeting, the Board decided to integrate the Readiness Programme into the Adaptation Fund (the Fund) work plan and budget and set aside funding for small grants to be directly transferred from the resources of the Adaptation Fund Trust Fund. At this meeting, the Board decided to:

- a) *Take note of the progress report for phase II of the Readiness Programme;*
- b) *Integrate the Readiness Programme into the Adaptation Fund work plan and budget; and*
- c) *Approve the proposal for the Readiness Programme for the fiscal year 2017 (FY17), comprising its work programme for FY17 with the funding of US\$ 616,500 to be transferred to the secretariat budget and US\$ 590,000 for direct transfers from the resources of the Adaptation Fund Trust Fund for allocation as small grants.*

**(Decision B.27/38)**

5. At the twenty-eighth meeting of the Board, the Project and Programme Review Committee (PPRC) had recommended to the Board to establish a standing rule following on decision B.26/28 on the intersessional project review cycle for grants under the Readiness Programme become a standing rule to allow for continued review and approval of readiness grants intersessionally each year. Having considered the comments and recommendation of the Project and Programme Review Committee, the Board decided to:

- a) *Request the secretariat to continue to review readiness grant proposals annually, during an intersessional period of less than 24 weeks between two consecutive Board meetings;*
- b) *Notwithstanding the request in paragraph (a) above, recognize that any readiness grant proposal can be submitted to regular meetings of the Board;*

- c) *Request the PPRC to consider intersessionally the technical review of such readiness grant proposals as prepared by the secretariat and to make intersessional recommendations to the Board;*
- d) *Consider such intersessionally reviewed proposals for intersessional approval in accordance with the Rules of Procedure; and*
- e) *Request the secretariat to present, in the twentieth meeting of the PPRC, and annually following each intersessional review cycle, an analysis of the intersessional review cycle.*

**(Decision B.28/30)**

6. At its twenty-ninth meeting the Board approved the Readiness Programme workplan for fiscal year 2018 and set aside a budget for readiness grants. *Having considered the comments and recommendation of the Ethics and Finance Committee, the Adaptation Fund Board (the Board) decided:*

- (a) *To approve the draft secretariat work schedule and the proposed work plan for the Readiness Programme for fiscal year 2018, as contained in AFB/EFC.20/7; and*
- (b) *To approve the readiness budget increase of US\$ 239,794 to be set aside for direct transfers from the resources of the Adaptation Fund Trust Fund for allocation as small grants under the Readiness Programme, to be transferred at the instruction of the Board as outlined in Annex II of document AFB/EFC.20/7.*

**(Decision B.29/36)**

7. Following the decision by the Board to set aside readiness grants for fiscal year 2018, the secretariat launched a call for proposals and eligible countries were given the opportunity to submit applications for a grant to receive support for accreditation through a selected number of eligible National Implementing Entities (NIEs). The types of eligible support included but were not limited to (i) identifying potential NIE candidates and/or (ii) preparing an application for NIE candidates to be submitted to the Accreditation Panel and/or (iii) continuous support during the application process. It is expected that peer-peer support will effectively help build national capacity and sustainability.

8. Eligible NIEs to provide peer support were those entities that had tangible achievements with the Fund. The selection was based on the accredited entity's experience with the Adaptation Fund, including in project preparation and implementation, and in supporting other countries at different stages of their application processes. Eligible NIEs were the ones fulfilling all of the following criteria, as at the time of the 21-22 intersessional review cycle:

- Have been accredited by the Board,
- Have an Adaptation Fund project or programme under implementation, hence demonstrating effective compliance with the AF fiduciary standards, and
- Have experience advising, participating in, or organizing support to other NIE candidates.

7. Following the call for submission of grant proposals undertaken intersessionally between the twenty-ninth and thirtieth Board meetings, the secretariat had received three proposals from two NIEs, to support NIE accreditation in three countries.

8. The NIE discussed in this document that submitted proposal documents was eligible to receive South-South Cooperation Grants, i.e. the Department of Environment (DoE) of Antigua and Barbuda.

9. The present document introduces the grant proposal submitted by the Department of Environment (DoE) of Antigua and Barbuda on behalf of the government of Dominica. It includes a request for funding of US\$ 50,000 outlining the activities to be undertaken by DoE to support the accreditation process in Dominica and using lessons learnt from this peer-peer support to strengthen the sub-regional NIE network and support systems that encourage accreditation of other entities within the sub-region. The secretariat had reviewed the grant proposal by DoE and provided its comments to the proponent for further clarification. The proponent had submitted a revised version of the proposal, taking into account the secretariat's comments. The secretariat's final review and the proponent's revised grant proposal are available in the following sections of this document.



ADAPTATION FUND

## ADAPTATION FUND BOARD SECRETARIAT TECHNICAL REVIEW OF PROJECT PROPOSAL UNDER THE READINESS PROGRAMME

PROJECT CATEGORY: South-South Cooperation Grant

South-South support recipient Country: **Commonwealth of Dominica (Dominica)**

Accredited Implementing Entity: **Department of Environment (DoE), Antigua and Barbuda**

Requested Financing from Adaptation Fund (US Dollars): **\$50,000**

Reviewer and contact person: **Farayi Madziwa**

Co-reviewer(s): **Daouda Ndiaye**

IE Contact Person: **Lia Nicholson**

Review Criteria	Questions	Comments 1 November 2017	Comments 22 November 2017
Country Eligibility	1. Is the country that does not yet have an accredited NIE a Party to the Kyoto Protocol?	Yes	
Eligibility of IE	1. Is the project submitted through an Implementing Entity accredited by the Board?	Yes	
	2. Is the project submitted through an accredited NIE eligible to provide South-South support?	Yes	
Project Eligibility	1. Has the designated government authority for the Adaptation Fund in the country seeking accreditation endorsed the project?	Partially. The DA sent an email to the implementing entity acknowledging the support but has not submitted an endorsement letter.  <b>CAR:</b> Please submit a signed letter of endorsement by the DA of the Commonwealth of Dominica.	Addressed.

	<p>2. Are the proposed activities to support NIE accreditation adequate?</p>	<p>Uncertain. It is noted that the support will include intensive training and peer-peer learning through a regional workshop for potential NIEs of the Eastern Caribbean. However, as the requested funding is specific to the Commonwealth of Dominica, the proposed support activities should reflect such targeted support. In addition, the support should be specific to accreditation of the entity in the Commonwealth of Dominica that has requested the support.</p> <p><b>CR1:</b> The Adaptation Fund Board has made available a guidance document for accreditation, including an accreditation toolkit and guidelines for nominating an NIE. Please clarify why the proposed support will include the development of additional guidelines and why the proposed guidelines include project development and implementation aspects?</p> <p><b>CR2:</b> Please clarify at what stage of the accreditation process the Commonwealth of Dominica is, that is, specify if they have already identified an NIE or not, and in turn, specify the chronological process of the type of support that will be provided leading up to submission of a complete application by the nominated NIE.</p>	<p>Addressed.</p> <p>Addressed.</p>
Resource	1. Is the requested project	Yes	

Availability	funding within the cap for South-South Cooperation grants set by the Board?		
	2. If the implementing entity has requested, is the Implementing Entity Management Fee at or below 8.5 per cent of the total project/programme budget before the fee?	The implementing entity has not requested a management fee.	The DoE has added a management fee of about 4% (USD 2,000) for the project.
Implementation Arrangements	1. Is the timeframe for the proposed activities adequate?	Yes. A timeframe from 1 November 2017 to 1 November 2018 has been proposed.	
	2. Is a summary breakdown of the budget for the proposed activities included?	Yes	

Secretariat's Overall Comment	<p>The Department of Environment of Antigua and Barbuda (DoE) proposes to provide peer support to the government of the Commonwealth of Dominica during the application process for accreditation of a National Implementing Entity (NIE) from the Commonwealth of Dominica.</p> <p>The following corrective action request (CAR) and clarification requests (CRs) to the submission are made:</p> <p><b>CAR:</b> Please submit a signed letter of endorsement by the DA of the Commonwealth of Dominica.</p> <p><b>CR1:</b> Please clarify why the proposed support will include the development of additional guidelines and why the proposed guidelines include project development and implementation aspects?</p> <p><b>CR2:</b> Please clarify at what stage of the accreditation process the Commonwealth of Dominica is, provide a summary description in chronological order of the support that will be provided leading up to submission of a complete application by the candidate NIE and/or accreditation of an NIE for the Commonwealth of Dominica.</p>
Date:	1 November 2017



<p>NIE responses to comments by the secretariat</p>	<p><b>CAR:</b> A signed letter of endorsement by the DA of the Commonwealth of Dominica was submitted.</p> <p><b>CR1:</b> This has been revised to clarify that the accreditation documents are the manuals/policies/procedures required for accreditation. The scope has also been revised to more clearly target Dominica, with the sub-regional workshop intended to share experiences with other potential NIEs in the OECS.</p> <p><b>CR2:</b> A scene-setting paragraph and baseline information has been added to the application. The ECU has not yet been nominated officially as a NIE however there have been several discussions and verbal agreements for the ECU to serve as NIE, building on the experience of years of GEF project implementation</p>
<p>Date:</p>	<p>13 November 2017</p>

**Application for a Grant to support NIE accreditation**

Submission Date: October 5, 2017

Adaptation Fund Grant ID:

Country/ies: **Commonwealth of  
Dominica, and Member States  
of the OECS<sup>1</sup>**

Implementing Entity: **Department of Environment, Antigua and Barbuda**

**A. Timeframe of Activity**

Expected start date of support	1 December 2017
Completion date of support	1 December 2018

**B. Experience participating in, organizing support to, or advising other NIE candidates**

Describe the type of support provided to other national institutions, relevant to the accreditation process

Year	Type of support provided	Outcome of the	Country/institution
2016	In-country mission to St. Lucia to deliver presentations and one-on-one meetings with the OECS Commission on opportunities to access climate finance in SIDS	OECS Commission started accreditation process to Adaptation Fund and Green Climate Fund	Organization of Eastern Caribbean States (OECS) Commission, St. Lucia
2017	Department of Environment co-hosted a sub-regional dialogue with the GCF with the theme, <i>Accelerating direct access in the Eastern Caribbean</i>	Grenada nominated their direct access entity the Grenada Development Bank for accreditation to	Grenada Development Bank, Grenada

<sup>1</sup> OECS full member states include: Antigua and Barbuda, the Commonwealth of Dominica, Grenada, St. Vincent and the Grenadines, St. Kitts and Nevis, and St. Lucia.

2017	The Department of Environment built the capacity of the Internal Audit Unit and the Audit Department in the Ministry of Finance to perform activities to support the national Direct Access entity	Strengthened enabling environment for national direct access entities	Ministry of Finance in Antigua and Barbuda
2017	The Department of Environment was accredited to the Green Climate Fund (GCF) on 2 October 2017 as a fast-track entity in the project management, on-granting, and on-lending instruments	DOE is better positioned to support potential DA entities	

### C. Proposed activities to support NIE accreditation

Describe the activities to be undertaken to support the accreditation of NIE candidate(s) in the target country(ies)

*The proposed South-South cooperation will support the Commonwealth of Dominica to accredit its NIE, and will contribute lessons learned to the Eastern Caribbean Economic Union sub-region. The Organization of Eastern Caribbean States (OECS) is an economic union established by a Treaty as an inter-governmental group of countries that share a common currency, legal framework, free movement of labour, trade, and other aspects. The OECS countries share common features including very small ~100,000 populations, predominantly tourism economies, exposure to global economic changes, and vulnerability to climate change. The OECS Commission is the Secretariat for the Economic Union, headquartered in St. Lucia. The OECS Member States ratified the St. Georges Declaration for Principles of Environmental Sustainability, which harmonizes national approaches to environmental management and climate change. The OECS Commission is tasked with developing model laws, policies and procedures, and assisting Member States to adopting and implementing these enabling environments.*

*In 2016, the Council of Ministers for Environmental Sustainability of the OECS mandated Antigua and Barbuda to support all OECS member states to improve their direct access to climate finance, including by accrediting the OECS Commission as well as the Member States respective NIEs.*

*This grant will support Antigua and Barbuda to implement the Ministerial mandate, through cooperative engagement with Dominica. In addition to supporting Dominica, this South-South Cooperation grant is targeted to strengthen the sub-regional NIE network and support systems, which is a beneficial approach for SIDS to overcome individual capacity constraints through improved collaboration and cooperation.*

**Baseline**

*The ECU in Dominica has not yet been nominated as the NIE for Dominica. The ECU has served as the national Executing Entity for ~15 GEF projects over the years, including winning 2 awards, and therefore has the requisite experience and track record for accreditation, once its own policies are strengthened. The main objective of this cooperation grant is to assist with transitioning the ECU of Dominica from a project-specific to a programmatic approach, with more long-term and institutionalized capacity, as has been done in Antigua and Barbuda, building on lessons learned.*

<b>Proposed Support Activities</b>	<b>Expected Output of the Activities</b>	<b>Country/Institution to be Supported</b>	<b>Requested budget (USD)</b>	<b>Tentative timeline (Completion date)</b>
i. Support nomination of ECU as NIE	Endorsement of direct access institutional arrangements; Cabinet endorsement; NIE nomination letter for the ECU	Dominica – Environment Coordinating Unit (ECU)	3,000	1 January 2018
ii. Review existing documentation for the Dominica NIE	Revised documents, Standard Operating Procedures fiduciary compliance, procurement, ESS, consultative processes, M&E	Dominica – Environment Coordinating Unit (ECU)	8,000	1 March 2018
iii. Support in addressing gaps in existing documentation	Support the development of any missing or upgrading important policy documents which need to be provided with the application	Dominica – Environment Coordinating Unit (ECU)	11,000	1 June 2018

iv.	Direct Access workshop for the Eastern Caribbean potential NIEs	Intensive training and peer learning to accelerate direct access in the Eastern Caribbean and develop a supporting NIE sub-regional network. Members of the Adaptation Fund accreditation panel will be invited to present, answer questions, and enhance learning	Nominated (or potential) Direct Access entities in Dominica, Grenada, St. Kitts and Nevis, St. Lucia, St. Vincent and the Grenadines)  OECS Commission	18,000	31 June 2018
v.	Post-submission support for responding to Accreditation	Assistance (calls, written exchanges) to respond to Accreditation questions	Dominica – Environment Coordinating Unit (ECU)	8,000	31 October 2018
vi.	Project Management fee (up to 8.5%)	Project coordination, administration, and audit	Department of Environment (DOE), Antigua & Barbuda	2,000	
<b>Total Grant Requested (USD)</b>				<b>50,000</b>	

#### D. Implementing Entity

This request has been prepared in accordance with the Adaptation Fund Board's procedures

Head of Implementing Entity	Signature	Date (Month, day, year)	Implementing Entity Contact Person	Telephone	Email Address
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Diann Black-Layne			Lia Nicholson	+1 268 462-4625	lia.nicholson@ab.gov.ag

### E. Record of request of support on behalf of the government

Provide the name and position of the government official, the Designated Authority of the Adaptation Fund, and indicate date of endorsement. If the proposed support targets more than one country, list the officials requesting support for all the participating countries. The request letter(s) should be attached as an annex to the application.

<i>Mr. Lloyd Pascal          Director of the Environmental Coordinating Unit (ECU)          Ministry of Environment, Natural Resources, Physical Planning, and Fisheries          Tel: +767 266 5256/5270          Email: pascallloyd@gmail.com</i>	<i>Date: Endorsement via email on 26 September 2017<sup>2</sup></i>
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<sup>2</sup> An official endorsement letter was not able to be sent by the deadline due to the devastating impacts of Hurricane Maria on Dominica. Email confirmation of the request for assistance is provided, and the 2016 Ministerial mandate for Antigua and Barbuda to provide such support is included in Annex I. The official endorsement letter will be provided as soon as possible.

Annex I. Decision of the OECS Council of Ministers for Environmental Sustainability (COMES) in 2016 mandated the OECS Commission to explore accreditation to the Adaptation Fund (Item 6), and requests Antigua and Barbuda to assist in this regard (Item 7). The proposed South-South Cooperation grant will advance the implementation of this Ministerial mandate.

**CLIMATE CHANGE****Post-COP 21, Strategic Actions, Engagements and Collaboration***OECS/COMES/05/16/02****The Council of Ministers is invited to:***

1. **NOTE** the key elements of the Paris agreement including the legally binding and non-binding obligations and the obligations and opportunities arising thereof;
2. **URGE** MSs that have not yet done so to ratify the Paris Agreement as early as possible during 2016 so that it can enter into force as soon as possible;
3. **NOTE** that the Paris agreement, under Article 4, paragraph 16, allows for regional economic integration organizations and their Member States that have reached an agreement to do so, to act jointly with respect to nationally determined contributions and agree that the OECS Commission should examine this option and report at the next meeting of the Council;
4. **NOTE** the need for MSs to pursue climate finance readiness activities including the establishment of relevant national frameworks and preparation of national implementation plans;
5. **ENCOURAGE** OECS Commission and MSs to continue to participate, with full, appropriate and consistent representation, in international climate change negotiations and related activities to ensure that their interests are taken into account in the decisions taken, including, but not restricted to, the United Nations Framework Convention on Climate Change (UNFCCC), the Intergovernmental Panel on Climate Change (IPCC) and the Global Environment Facility (GEF);
6. **MANDATE** the OECS Commission to explore accreditation to Climate funds such as the Adaptation Fund, the GEF and the Green Climate Fund (as mandated sections 4.2 (e) of the Treaty);
7. **ENDORSE** the constitution of a high level OECS working group that would support MSs with the Climate Finance accreditation process and to seek Antigua and Barbuda's assistance to support this process.



10/5/2017

Gmail - Reminder: Adaptation Fund Calls for Two Key Readiness Grants Open to September 28



Lia Nicholson &lt;nicholsonlia@gmail.com&gt;

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**Reminder: Adaptation Fund Calls for Two Key Readiness Grants Open to September 28**

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**Lloyd Pascal** <pascalloyd@gmail.com>

Tue, Sep 26, 2017 at 4:06 PM

To: Lia Nicholson &lt;nicholsonlia@gmail.com&gt;

Cc: dcblack11@gmail.com, Environmental Coordinating Unit &lt;ecu@dominica.gov.dm&gt;

Dear Lia,

Thank you very much for your message and for your expression of condolences for our tragic situation. By All Means we would welcome the offer by Antigua and Barbuda to assist us in the pursuit of NIE Accreditation for Dominica and apply for the South-South Readiness Grant. Otherwise we are trying under very difficult circumstances.

All the best

Lloyd

On Sep 25, 2017 11:53, "Lia Nicholson" &lt;nicholsonlia@gmail.com&gt; wrote:

Dear Lloyd,

I hope you are okay. Our sincere condolences for Dominica's losses.

Would you like A&amp;B to support Dominica's NIE accreditation and apply for this South-South Readiness grant?

Lia

**Lia Nicholson**LinkedIn | [nicholsonlia@gmail.com](mailto:nicholsonlia@gmail.com)

+234 706 486 7031 (Nigeria)

Skype: nicholia22

----- Forwarded message -----

From: **Adaptation Fund** <[afbsec@adaptation-fund.org](mailto:afbsec@adaptation-fund.org)>

Date: Mon, Sep 25, 2017 at 4:28 PM



**MINISTRY OF HEALTH AND ENVIRONMENT**  
**ENVIRONMENTAL COORDINATING UNIT**

Tel: (767) -266-5256  
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Roseau Fisheries Complex  
Dame M. Eugenia Charles Blvd.  
Roseau, DOMINICA

November 11<sup>th</sup>, 2017

The Adaptation Fund Board  
c/o Adaptation Fund Board Secretariat  
Email: [afbsec@adaptation-fund.org](mailto:afbsec@adaptation-fund.org)  
Fax: 202 522 3240/5

**Subject: Endorsement for support in NIE accreditation**

In my capacity as designated authority for the Adaptation Fund in the Commonwealth of Dominica, I confirm that the Department of Environment in Antigua and Barbuda, has been requested by my government to support the process of accreditation of a National Implementing Entity for the Adaptation Fund in my country.

Accordingly, I am pleased to endorse the grant proposal submitted by the Department of Environment for funding from the Adaptation Fund.

Sincerely,

A handwritten signature in blue ink, appearing to read 'Lloyd Pascal', written over a dotted line.

**LLOYD PASCAL**  
**DIRECTOR**  
**ENVIRONMENTAL COORDINATING UNIT**