



ADAPTATION FUND

AFB/PPRC.25/31
30 September, 2019

Adaptation Fund Board
Project and Programme Review Committee
Twenty-Fifth Meeting
Bonn, Germany, 7-9 October, 2019

Agenda Item 5 h)

PROPOSAL FOR ANTIGUA AND BARBUDA, DOMINICA, AND SAINT LUCIA

Background

1. The strategic priorities, policies and guidelines of the Adaptation Fund (the Fund), as well as its operational policies and guidelines include provisions for funding projects and programmes at the regional, i.e. transnational level. However, the Fund has thus far not funded such projects and programmes.

2. The Adaptation Fund Board (the Board), as well as its Project and Programme Review Committee (PPRC) and Ethics and Finance Committee (EFC) considered issues related to regional projects and programmes on a number of occasions between the Board's fourteenth and twenty-first meetings but the Board did not make decisions for the purpose of inviting proposals for such projects. Indeed, in its fourteenth meeting, the Board decided to:

- (c) Request the secretariat to send a letter to any accredited regional implementing entities informing them that they could present a country project/programme but not a regional project/programme until a decision had been taken by the Board, and that they would be provided with further information pursuant to that decision*

(Decision B.14/25 (c))

3. At its eighth meeting in March 2012, the PPRC came up with recommendations on certain definitions related to regional projects and programmes. However, as the subsequent seventeenth Board meeting took a different strategic approach to the overall question of regional projects and programmes, these PPRC recommendations were not included in a Board decision.

4. At its twenty-fourth meeting, the Board heard a presentation from the coordinator of the working group set up by decision B.17/20 and tasked with following up on the issue of regional projects and programmes. She circulated a recommendation prepared by the working group, for the consideration by the Board, and the Board decided:

- (a) To initiate steps to launch a pilot programme on regional projects and programmes, not to exceed US\$ 30 million;*
- (b) That the pilot programme on regional projects and programmes will be outside of the consideration of the 50 per cent cap on multilateral implementing entities (MIEs) and the country cap;*
- (c) That regional implementing entities (RIEs) and MIEs that partner with national implementing entities (NIEs) or other national institutions would be eligible for this pilot programme, and*

(d) To request the secretariat to prepare for the consideration of the Board, before the twenty-fifth meeting of the Board or intersessionally, under the guidance of the working group set up under decision B.17/20, a proposal for such a pilot programme based on consultations with contributors, MIEs, RIEs, the Adaptation Committee, the Climate Technology Centre and Network (CTCN), the Least Developed Countries Expert Group (LEG), and other relevant bodies, as appropriate, and in that proposal make a recommendation on possible options on approaches, procedures and priority areas for the implementation of the pilot programme.

(Decision B.24/30)

5. The proposal requested under (d) of the decision above was prepared by the secretariat and submitted to the Board in its twenty-fifth meeting, and the Board decided to:

(a) Approve the pilot programme on regional projects and programmes, as contained in document AFB/B.25/6/Rev.2;

(b) Set a cap of US\$ 30 million for the programme;

(c) Request the secretariat to issue a call for regional project and programme proposals for consideration by the Board in its twenty-sixth meeting; and

(d) Request the secretariat to continue discussions with the Climate Technology Center and Network (CTCN) towards operationalizing, during the implementation of the pilot programme on regional projects and programmes, the Synergy Option 2 on knowledge management proposed by CTCN and included in Annex III of the document AFB/B.25/6/Rev.2.

(Decision B.25/28)

6. Based on the Board Decision B.25/28, the first call for regional project and programme proposals was issued and an invitation letter to eligible Parties to submit project and programme proposals to the Fund was sent out on 5 May 2015.

7. At its twenty-sixth meeting the Board decided to request the secretariat to inform the Multilateral Implementing Entities and Regional Implementing Entities that the call for proposals under the Pilot Programme for Regional Projects and Programmes is still open and to encourage them to submit proposals to the Board at its 27th meeting, bearing in mind the cap established by Decision B.25/26.

(Decision B.26/3)

8. At its twenty-seventh meeting the Board decided to:

- (a) *Continue consideration of regional project and programme proposals under the pilot programme, while reminding the implementing entities that the amount set aside for the pilot programme is US\$ 30 million;*
- (b) *Request the secretariat to prepare for consideration by the Project and Programme Review Committee at its nineteenth meeting, a proposal for prioritization among regional project/programme proposals, including for awarding project formulation grants, and for establishment of a pipeline; and*
- (c) *Consider the matter of the pilot programme for regional projects and programmes at its twenty-eighth meeting.*

(Decision B.27/5)

9. The proposal requested in (b) above was presented to the nineteenth meeting of the PPRC as document AFB/PPRC.19/5. The Board subsequently decided:

a) *With regard to the pilot programme approved by decision B.25/28:*

(i) *To prioritize the four projects and 10 project formulation grants as follows:*

1. *If the proposals recommended to be funded in a given meeting of the PPRC do not exceed the available slots under the pilot programme, all those proposals would be submitted to the Board for funding;*

2. *If the proposals recommended to be funded in a given meeting of the PPRC do exceed the available slots under the pilot programme, the proposals to be funded under the pilot programme would be prioritized so that the total number of projects and project formulation grants (PFGs) under the programme maximizes the total diversity of projects/PFGs. This would be done using a three-tier prioritization system: so that the proposals in relatively less funded sectors would be prioritized as the first level of prioritization. If there are more than one proposal in the same sector: the proposals in relatively less funded regions are prioritized as the second level of prioritization. If there are more than one proposal in the same region, the proposals submitted by relatively less represented implementing entity would be prioritized as the third level of prioritization;*

(ii) *To request the secretariat to report on the progress and experiences of the pilot programme to the PPRC at its twenty-third meeting; and*

b) *With regard to financing regional proposals beyond the pilot programme referred to above:*

(i) *To continue considering regional proposals for funding, within the two categories originally described in document AFB/B.25/6/Rev.2: ones requesting up to US\$ 14*

million, and others requesting up to US\$ 5 million, subject to review of the regional programme;

(ii) To establish two pipelines for technically cleared regional proposals: one for proposals up to US\$ 14 million and the other for proposals up to US\$ 5 million, and place any technically cleared regional proposals, in those pipelines, in the order described in decision B.17/19 (their date of recommendation by the PPRC, their submission date, their lower “net” cost); and

(iii) To fund projects from the two pipelines, using funds available for the respective types of implementing entities, so that the maximum number of or maximum total funding for projects and project formulation grants to be approved each fiscal year will be outlined at the time of approving the annual work plan of the Board.

(Decision B.28/1)

10. At its thirty-first meeting, having considered the comments and recommendation of the Project and Programme Review Committee, the Adaptation Fund Board (the Board) decided:

(a) To merge the two pipelines for technically cleared regional proposals established in decision B.28/1(b)(ii), so that starting in fiscal year 2019 the provisional amount of funding for regional proposals would be allocated without distinction between the two categories originally described in document AFB/B.25/6/Rev.2, and that the funding of regional proposals would be established on a ‘first come, first served’ basis; and

(b) To include in its work programme for fiscal year 2019 provision of an amount of US\$ 60 million for the funding of regional project and programme proposals, as follows:

- (i) Up to US\$ 59 million to be used for funding regional project and programme proposals in the two categories of regional projects and programmes: ones requesting up to US \$14 million, and others requesting up to US\$ 5 million; and
- (ii) Up to US\$ 1 million for funding project formulation grant requests for preparing regional project and programme concepts or fully-developed project and programme documents.

(Decision B.31/3)

11. According to the Board Decision B.12/10, a project or programme proposal needs to be received by the secretariat no less than nine weeks before a Board meeting, in order to be considered by the Board in that meeting.

12. The following project pre-concept document titled “Increasing resilience of the education system to climate change impacts in the Eastern Caribbean region” was submitted for Antigua and Barbuda, Dominica and Saint Lucia by the United Nations Human Settlements Programme (UN-Habitat), which is a Multilateral Implementing Entity of the Adaptation Fund.

13. This is the first submission of the regional project pre-concept proposal using the three-step submission process.

14. The current submission was received by the secretariat in time to be considered in the thirty-fourth Board meeting. The secretariat carried out a technical review of the project proposal, with the diary number LAC/MIE/Urban/2019/PPC/1, and completed a review sheet.

15. In accordance with a request to the secretariat made by the Board in its 10th meeting, the secretariat shared this review sheet with UN-Habitat, and offered it the opportunity of providing responses before the review sheet was sent to the PPRC.

16. The secretariat is submitting to the PPRC the summary and, pursuant to decision B.17/15, the final technical review of the project, both prepared by the secretariat, along with the final submission of the proposal in the following section. In accordance with decision B.25.15, the proposal is submitted with changes between the initial submission and the revised version highlighted.



ADAPTATION FUND

ADAPTATION FUND BOARD SECRETARIAT TECHNICAL REVIEW OF PROJECT/PROGRAMME PROPOSAL

PROJECT/PROGRAMME CATEGORY: Pre-Concept for a Regional Project

Countries/Region:	Antigua and Barbuda, Dominica and Saint Lucia
Project Title:	Increasing resilience of the education system to climate change impacts in the Eastern Caribbean region
Thematic Focal Area:	Urban Development
Implementing Entity:	United Nations Human Settlements Programme (UN-Habitat)
Executing Entities:	Regional: OECS; CDEMA. National: Ministries of education in coordination with Ministries of Environment; NGOs
AF Project ID:	LAC/MIE/Urban/2019/PPC/1
IE Project ID:	<to be filled by the IE> Requested Financing from Adaptation Fund (US Dollars): 14,000,000
Reviewer and contact person:	Chibulu Luo Co-reviewer(s): Milena Gonzalez Vasquez, Saliha Dobardzic
IE Contact Person:	<to be filled by the IE>

Technical Summary	<p>The unique vulnerability of SIDS to the negative impacts of climate change is adversely affecting young children and education institutions, in particular. This regional project – to be implemented in Antigua and Barbuda, Dominica and St. Lucia – aims to adopt a “safe schools” approach to adaptation planning in the education sector – a sector that is also rarely considered in climate change planning within the Eastern Caribbean region. The main project components are to:</p> <ol style="list-style-type: none"> (1) Develop a regional and national institutional enabling framework that supports increasing the resilience of the education system, including replication and upgrading options; (2) Ensure Community / school level awareness, knowledge and ownership of adaptation planning and measures; and, (3) Establish Resilient learning facilities through design / construction, including to water scarcity. <p>The initial review included a number of CRs to be addressed. Specifically, questions regarding the benefits of the regional approach in terms of the implementation of adaptation actions (Component 3) and institutional capacity building/governance (Component 1). Given these comments, the overall</p>
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	<p>sustainability of the project could not be fully evaluated at the time.</p> <p>The final review concludes that the project proponents have sufficiently addressed the CRs from the initial review. However, additional information will be required upon submission of the project concept i.e. following project preparation activities. In particular, the proposal will need to:</p> <ul style="list-style-type: none"> i. Specify adaptation measures to be adopted within each of the target countries; ii. Provided further information with regard to the innovative elements of the planned adaptation measures; and iii. The overall sustainability of the project with respect to the long-term impact of the planned implementation activities should be better informed. <p>A request for project formulation grant funding of USD 20,000 has been included.</p> <p>The regional pre-concept proposal is recommended for endorsement. The project formulation grant proposal is recommended for approval.</p>
Date:	September 16 th , 2019

Review Criteria	Questions	Comments 23 August 2019	Comments 11 September 2019
Country Eligibility	1. Are all of the participating countries party to the Kyoto Protocol?	Yes.	
	2. Are all of the participating countries developing countries particularly vulnerable to the	Yes. Small Island Developing States (SIDS) in the Eastern Caribbean are exposed to a variety climate change hazards, including hurricanes, floods, landslides, droughts and fires. These	

	adverse effects of climate change?	challenges are taking place amidst other socio-economic vulnerabilities, such as poverty, high public debt, and scarce resources for development interventions (particularly in the education sector where school children are being severely affected by climate-related disasters).	
Project Eligibility	1. Have the designated government authorities for the Adaptation Fund from each of the participating countries endorsed the project/programme?	Yes.	
	2. Has the pre-concept provided necessary information on the problem the proposed project/programme is aiming to solve, including both the regional and the country perspective?	<p>Somewhat clear. The pre-concept justifies the need for increased resilience in the education sector of the Eastern Caribbean region and identifies three main areas of intervention (1) supporting an enabling environment for a climate resilient education sector; (2) increasing knowledge and awareness of climate change impacts in schools; and (3) scaling-up the design and construction of climate resilient schools.</p> <p>However, the following areas need to be addressed:</p>	<p>a) Sufficiently addressed for pre-concept. The review response mentions that reducing the impact of climate change in the education sector was identified in national plans within each of the target countries. <u>To be addressed at concept stage</u>: please provide a specific reference to these plans.</p> <p>b) Sufficiently addressed for pre-concept. However, there are elements in review response</p>

		<p>a) Additional information and justification on the selection of the three countries (Antigua and Barbuda, Dominica and St. Lucia) needs to be provided.</p> <p>b) It is evident that the proposed interventions could be implemented on a “single country” basis, so what are the specific benefits being leveraged from the regional approach? This is not clearly stated in the pre-concept. Are there areas where economies of scale are being realized? (also see comments provided in CR2).</p> <p>c) What climate related activities (if any) are currently taking place in the education sector in each of the target countries, and why have they not been successful?</p> <p>CR1: Please address the aforementioned points and questions (a – c) and update the pre-concept accordingly.</p>	<p>that were not integrated into the pre-concept itself that would strengthen it (i.e. the same education curriculums followed in the region). <u>To be addressed at concept stage:</u> please consolidate and ensure that important elements of the review response are incorporated.</p> <p>c) Sufficiently addressed for pre-concept. <u>To be addressed at concept stage:</u> Please describe further some of the “recent attempts” to integrate climate change in the education sector, including the good practice example mentioned in the review response (GISS in Antigua and Barbuda).</p> <p>CR1: Sufficiently addressed for pre-concept stage. Please address comments above (a-c) upon submission of concept documents.</p>
	3. Have the project/programme objectives, components and financing been	<p>Somewhat clear. Project components are adequately detailed in Table 2. However:</p> <p>a) Please round figures in Table 2 to the nearest dollar amount.</p>	<p>a) Addressed. Figures in the project component table have been adjusted to be round figures (Table 2).</p> <p>b) Sufficiently addressed for pre-</p>

	<p>clearly explained?</p>	<p>b) In line with comments made in CR1, (1) how will the project ensure that the partnership between the 3 countries harnesses benefits at the regional level, and ultimately attracts potential investments to scale-up interventions in other countries in the region? (2) It is not clear how total project financing will be distributed between the three countries? For example, Component 3 accounts for an estimated 65% of the project funds and aims to identify “unsafe” schools for retrofitting and replacement in line with climate resilient building design standards. However, no information is provided on how activities under this Component translate at the national level. Please provide.</p> <p>c) Beyond the “regional and national trainings” mentioned under Component 1, how will the project ensure continuous regional engagement, learning and dialogue between institutions as to support overall climate-resilient governance in the education sector?</p> <p>d) Under Component 2, the project mentions awareness raising</p>	<p>concept. <u>To be addressed at concept stage</u>: Updated pre-concept indicates an equal division of resources under Component 3, however more elaboration on the specific adaptation measures adopted in each country will be required upon submission of concept documents.</p> <p>c) Sufficiently addressed for pre-concept. <u>To be addressed at concept stage</u>: please elaborate on regional activities mentioned in review response i.e. <i>“establishing regional guidelines, policies and procedures / standards that can lead to replication and scale-up projects in the future, including developing a cadre of professionals to provide training that can be deployed regionally.”</i> i.e. what policies/procedures are being planned? How will trainings be conducted? Please address upon submission of concept documents.</p> <p>d) Sufficiently addressed for pre-concept. <u>To be addressed at concept stage</u>: please provide</p>
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		<p>around “risk reduction and resilience education” but what does this mean? How will the project ensure that learning is <i>actually</i> taking place, particularly in the face of disasters when students will need to translate this learning to real knowledge and adaptation actions?</p> <p>CAR1: Please round figures in the project component table to the nearest dollar amount (a). CR2: Please address the above-mentioned points (b – d) and questions and update the project component table accordingly.</p>	<p>more details upon submission of concept documents.</p> <p>CAR1: Addressed.</p> <p>CR2: Sufficiently addressed for pre-concept stage. Please address comments above (b-d) upon submission of concept documents.</p>
	<p>4. Has the project/programme been justified in terms of how:</p> <ul style="list-style-type: none"> - it supports concrete adaptation actions? - it builds added value through the regional approach? - it promotes new and innovative solutions to climate 	<p>Somewhat clear. The pre-concept provides evidence that:</p> <ul style="list-style-type: none"> ▪ It will support concrete adaptation actions, including the assessment of schools’ resilience to climate change, prioritization of adaptation needs in schools, and retrofits and/or replacement of schools. ▪ It is consistent with existing strategies and plans. ▪ It will be developed through a consultative process and identify/prioritize the needs of local populations and vulnerable 	<p>a) Sufficiently addressed for pre-concept. <u>To be addressed at concept stage</u>: see CR1.</p> <p>b) Sufficiently addressed for pre-concept. <u>To be addressed at concept stage</u>: Additional information on innovations behind retrofitting and/or resilient construction should be described (Component 2 and 3). Innovative elements of the spatially-enabled database (Component 1) should be identified, particularly the way</p>

	<p>change adaptation? - it is cost-effective? - it is consistent with applicable strategies and plans? - it incorporates learning and knowledge management? - it will be developed through a consultative process with particular reference to vulnerable groups, including gender considerations, in compliance with the Environmental and Social Policy of the Adaptation Fund? - it will take into account sustainability?</p>	<p>groups.</p> <p>However, additional justification is required for the following questions:</p> <p>a) <i>Builds added value through the regional approach?</i> The benefits of the regional approach need further justification (see CR1 and CR2). Also, more information is required on how the experiences gained in the selected countries have the potential to be scaled-up to the rest of the region.</p> <p>b) <i>Promotes new and innovative solutions to climate change adaptation?</i> The fact that the regional approach in itself is stated as an innovation (<i>“Advancing adaptation activities at the regional level is innovative in the Caribbean region, especially in the education sector”</i>, page 4) is insufficient. Also, there is no justification on how the project promotes new and innovative solutions to climate change adaptation. For example, how are the planned adaptation actions, especially under Component 3, innovative? How are they innovative when compared to other projects/programs in the</p>	<p>in which data and good practices are stored and shared.</p> <p>c) Comment sufficiently addressed for pre-concept. <u>To be addressed at concept stage</u>: The number of schools to be retrofitted seems quite high for the amount of resources allocated, please ensure that these planned targets are in fact possible, in line with project funding.</p> <p>d) Comment sufficiently addressed for pre-concept. <u>To be addressed at concept stage</u>: Please provide more details on knowledge management. i.e. review response indicates that <i>“relevant lessons between countries with the purpose to replicate and upscale measures”</i>. How will these activities be organized?</p> <p>e) Comment sufficiently addressed for pre-concept. <u>To be addressed at concept stage</u>: While sustainability of the project in terms of the</p>
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		<p>education sector?</p> <p>c) <i>Cost-effective?</i> Cost-effectiveness is somewhat achieved by the economies of scale of the regional approach, most notably, in terms of project administration. However, it is not clear how cost-effective the project will be in terms of reach and impact, particularly through the activities in Component 3. What is the expected number of schools that will be able to be upgraded/retrofitted and out of how many? How will these experience lower costs for future scale-up and replication within the selected countries (or other countries in the region)?</p> <p>d) <i>Incorporates learning and knowledge management?</i> The project details how learning and project management will be incorporated. However, these aspects are not sufficiently detailed in the project component descriptions themselves (Table 2). For example, please clarify if the development of the regional framework to generate and collect data (page 5) and share lessons will be part of Component 1?</p> <p>e) <i>Takes into account sustainability?</i></p>	<p>regional organization is adequately described in the pre-concept, more details on the sustainability of the planned activities (Components 1 – 3) in each country is required. Also, the sustainability of these activities should be considered from a long-term perspective.</p> <p>CR3 and CR4: Sufficiently addressed for pre-concept stage. Please address comments above (a-e) upon submission of concept documents.</p>
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		<p>See CR4.</p> <p>CR3: Please address the above-mentioned points and questions (a – d).</p> <p>CR4: While the project provides some justification of sustainability (page 6), the overall sustainability of the project cannot be evaluated at this time. Once CR3 is completed, please update the sustainability section of the pre-concept accordingly.</p>	
	<p>5. Does the pre-concept briefly explain which organizations would be involved in the proposed regional project/programme at the regional and national/sub-national level, and how coordination would be arranged? Does it explain how national institutions, and when possible, national implementing</p>	<p>Yes. UN-HABITAT would be the implementing entity, and at the regional level, the project would be coordinated by the Organization of Eastern Caribbean States (OECS) in collaboration with the Caribbean Disaster Emergency Management Agency (CDEMA), both of which are already involved in working with education ministries on the school safety road map. At the country level, the national ministries responsible for environment and disaster risk management would execute the project with local partners to be identified.</p>	

	entities (NIEs) would be involved as partners in the project?		
Resource Availability	6. Is the requested project / programme funding within the funding windows of the pilot programme for regional projects/programmes?	Yes. Please note this question will be considered at any future submission of the proposal.	
	7. Are the administrative costs (Implementing Entity Management Fee and Project/ Programme Execution Costs) at or below 20 per cent of the total project/programme budget?	Yes.	
Eligibility of IE	8. Is the project/programme submitted through an eligible Implementing Entity that has been	Yes.	

	accredited by the Board?		
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PRE-CONCEPT FOR A REGIONAL PROJECT/PROGRAMME

PART I: PROJECT/PROGRAMME INFORMATION

Title of Project/Programme:	Increasing resilience of the education system to climate change impacts in the Eastern Caribbean region
Countries:	Antigua and Barbuda, the Commonwealth of Dominica and St Lucia
Thematic Focal Area ¹ :	Disaster risk reduction and early warning systems
Type of Implementing Entity:	Multilateral
Implementing Entity:	United Nations Human Settlements Programme
Executing Entities:	Regional: OECS; CDEMA. National: Ministries of education in coordination with Ministries of Environment; NGOs;
Amount of Financing Requested:	USD 14 million

Project / Programme Background and Context

Problem and needs description

Eastern Caribbean countries are exposed to a variety of similar natural hazards, including hurricanes, floods, landslides, droughts and fires. These hazards have compromised countries' poverty reduction strategies, hindered development gains and negatively impacted various sectors, including the educational systems. The impacts of these hazards are already being magnified by the effects of climate change, including more frequent and severe extreme weather events / disasters (i.e. hurricanes, floods and droughts). Low-lying states and states with limited renewable water sources in the Caribbean are especially vulnerable to these effects, which pose significant risks to public safety and health, assets and natural resources.

In terms of total population affected by climate change-related disasters and impacts on GDP, SIDS are extremely vulnerable. In the Commonwealth of Dominica, hurricanes' related losses to GDP were 80 percent in 1995, 97 percent in 2015 and 270 percent in 2017. Disasters have a major impact on the education system and thus on children and youth. Studies suggest² that worldwide, each year, 175 million children are likely to be affected by natural hazards, and children in the Caribbean are no exception. The 2017 hurricane season affected Dominica with 18,500 school-aged children out of school, and 72 Government primary and secondary schools were damaged or destroyed. Children from Barbuda and Dominica had to be temporarily relocated to Antigua to attend classes. These figures are likely to increase unless populations improve their capacity to anticipate, prepare, adapt and become more resilient to such events.³ Besides that, expected increased shortages of basic services and fresh water availability has been recognised⁴ as a main challenge in the region, especially when disasters hit.

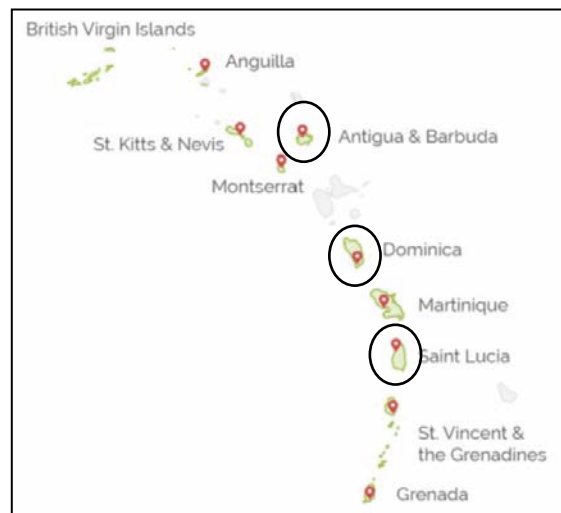


Figure 1: OECS members states, associated members and project focus states

¹ Thematic areas are: Food security; Disaster risk reduction and early warning systems; Transboundary water management; Innovation in adaptation finance.

² Atle Dyregrov et al (2018). Online <https://www.ncbi.nlm.nih.gov/pmc/articles/PMC6095022/>

³ 2nd ministerial safe schools forum. CN (April 2019). Online:

Most Eastern Caribbean countries however, are small and resources are scarce or non-existent for each to carry out adaptation-related tasks on an individual basis. Although ministries recognize the need of increased collaboration (see below), funding for concrete adaptation action and related knowledge sharing is lacking.⁵

Climate change trends, impacts and vulnerabilities

The Eastern Caribbean region consists of mostly Small Islands Developing States (SIDS) and is classified as being among the most vulnerable regions of the world to climate change.⁶ Climate variability and change is already being observed in the region, including increased temperatures, annual warm spells of more than 100 days, decreased precipitation, rising sea levels at a rate of 1.7–1.9mm year between 1950 and 2009 and an increase in the occurrence of extreme events including droughts and more intense hurricanes. At the 2.0 degrees celsius target, there is additional warming by 0.2–1.0 degree celsius, a further extension of warm spells by up to 70 days, a shift to a predominantly drier region (5%–15% less than present day), and a greater occurrence of droughts.⁷ Impact studies provide⁸ growing evidence of adverse impacts on key socioeconomic activities and sectors that determine quality of life in the region, including water availability (i.e. decreased freshwater stocks), agriculture and food production (i.e. loss of land and changes fish species), health (increase vectorborne diseases), natural resources and biodiversity, and tourism. The cumulative impact has been hindering the attainment of regional development goals and slow the growth of Caribbean economies. The vulnerability arises from an extreme sensitivity to climate due to (among other things) 1) the small sizes and/or complex topographies of the constituent territories, which limit where population centers and economic zones may be located; 2) a near-exclusive reliance on climate sensitive economic activities such as agriculture and tourism; 3) an overwhelming dependence on rainfall for water; 4) high public debt; and 5) limited hazard forecasting and adaptation capabilities.⁹ Through an OECS stakeholder engagement process,¹⁰ consensus was reached on the priority adaptation sectors for the region, which are disaster risk reduction given the high vulnerability of the region to extreme events, and water. As mentioned above, youth and children are among the most vulnerable to disasters, especially when it comes to the education sector.

Approach of the project

Despite limited climate change action and knowledge sharing on climate change at the regional level, political commitment has been established for climate change action in the education sector at the regional and national level through the Antigua and Barbuda Declaration on School Safety, which was signed by 12 Caribbean Ministries of Education and the development of a Regional Road Map on School Safety. This was established through the organisation of the 1st and 2nd Caribbean Ministerial Safe School Forums were organized in 2017 and 2019.

The above road map and approach include establishing an **enabling environment** for safe schools (incl. policies and plans) with three pillars: **1) safe learning facilities** (incl. standardised school safety assessment), **2) school disaster management** (incl. multi-hazard school safety plans and guidance documents) and **3) risk reduction and resilience education** (incl. curricula and trainings on disaster risk management). The approach will ensure that the school facilities, which also serve as emergency shelters, will be fully accessible to all, particularly for persons who are differently abled, and assure the functioning as education facilities in times emergencies. This project aims to support rolling out this road map in the target countries. This will be done through collaboration between the regional Organisation of Eastern Caribbean States (OECS), which is an economic union comprising ten Member States and the

https://www.unisdr.org/files/63939_SecondMinisterialSafeSchoolForum_Concept-Note-2019V4.pdf

⁴ OECS (2018) Eastern Caribbean Regional Climate Change Implementation Plan. Online:

https://www.preventionweb.net/files/58303_fcoeasterncaribbeanregionalclimatec.pdf

⁵ UNDP and UNEP (2017) regional briefing on National Adaptation Plans: Caribbean in focus. Online:

https://reliefweb.int/sites/reliefweb.int/files/resources/regional_briefing_on_naps_caribbean.pdf

⁶ Taylor et al (2018) Future Caribbean Climates in a World of Rising Temperatures: The 1.5 vs 2.0 Dilemma. Online:

https://unfccc.int/sites/default/files/resource/63_Taylor%201.5%20Paper.pdf

⁷ Idem

⁸ Idem

⁹ Idem

¹⁰ OECS (2018) Eastern Caribbean Regional Climate Change Implementation Plan. Online:

https://www.preventionweb.net/files/58303_fcoeasterncaribbeanregionalclimatec.pdf

target country member states. The project will advance the responsiveness of the education sector/construction sector to extreme events brought about by climate variability/climate change. This is done through the integration of lessons learnt from recent events into school safety assessment criteria (of the physical building) and into design considerations for retrofitting / upgrading school facilities. Furthermore, design considerations will also be coupled with sustainable building construction / retrofitting principles.

Project / Programme Objectives

Overall objective: Increasing resilience of the education system to climate change impacts in the Eastern Caribbean region

Table 1: main problems and sub-objectives of the project to respond to these

	Problem	Sub-objective
1 Enabling Environment	There is institutional dysconnectivity and a diversity of policies across countries with respect to the climate change and disaster resilience and use of shelters / schools	Strengthen a regional and national institutional enabling framework that supports increasing the resilience of the education system, including replication and upgrading options
2 (in line with pillar 3: risk reduction and resilient education and pillar 2: School disaster management)	Limited skills and knowledge at school and community level related to climate resilience activities and behaviours and	Increase community / school level awareness, knowledge and ownership of adaptation planning and measures
	Lack of climate change adaptation / disaster management plans, especially related to learning facilities	
3 (in line with pillar 1: Safe learning schools)	Children are at risk because the schools are not safe and a considerable part of the school materials losses would be avoided if protective measures were adopted in advance of storms	Increase the resilience of learning facilities through design / construction, including to water scarcity

Project / Programme Components and Financing

Table 2: project components and financing

Project /Programme Components	Expected Outcomes	Expected Outputs (number to be provided in concept note)	Countries	Amount (US\$) (very rough estimations)
Regional and national institutional enabling framework that supports increasing the resilience of the education system, including replication and upgrading options	Strengthened enabling framework to increase the resilience of the education sector in the Eastern Caribbean region Tools, capacities, policies, plans procedures and regulations are reviewed and improved to ensure that every new school is a safe / resilient school and being suitable as temporary shelter In line with AF outcomes 1, 2 and 7	<u>Data / information (tools)</u> <ul style="list-style-type: none"> - School building condition assessment tool of the MSSP toolkit developed to follow the standards referenced in the “Guidelines for the Locating and Designing of Disaster Resilient Schools for the OECS” + being climate resilient - Spatially-enabled database of schools developed to identify and prioritize unsafe schools for retrofitting or replacement <u>Capacities:</u> <ul style="list-style-type: none"> - Cadre of building construction specialists trained on and rostered to apply the Building Condition Assessment Tool - Regional and national trainings / meetings to align policies / plans and share lessons <u>Policies / plans, procedures and regulations</u> <ul style="list-style-type: none"> - Regional / National Safe School Policy improved to include climate change resilience design / building standards and standards established for schools to function as temporary shelters + replication / upscaling options identified / lessons learned shared 	Antigua and Barbuda, Dominica and St Lucia	Around 20 %
Community / school level awareness, knowledge and ownership of	Strengthened awareness, knowledge and ownership of climate change impacts and adaptation options and planning processes at local	<ul style="list-style-type: none"> - Schools safety assessments conducted and costed action and maintenance plans developed for X schools / communities - Risk reduction and resilience education 	Antigua and Barbuda, Dominica and St	Around 15 %

adaptation planning and measures	level / schools In line with AF outcome 2 and 3	- Trainings on above	Lucia	
Resilient learning facilities through design / construction, including to water scarcity	Increased adaptive capacity within the education sector / school facilities Unsafe schools have been identified and prioritized for retrofitting or replacement In line with AF outcome 4	- Most unsafe / non resilient schools upgraded / retrofitted or replaced according to action plans and to comply to safe / resilient standards and preferred function (or not) as temporary shelter (based on standardised school safety / resilience assessment and resilient construction design standards) (number of schools to be identified during CN)	Antigua and Barbuda, Dominica and St Lucia	Around 65 %
5. Total components				11,677.420
6. Project/Programme Execution cost				1,225.806
7. Total Project/Programme Cost				12,903,226
8. Project/Programme Cycle Management Fee charged by the Implementing Entity				1,096,774
Amount of Financing Requested				14,000,000

Project Duration: 4 years

PART II: PROJECT / PROGRAMME JUSTIFICATION

Project component and innovation

The Caribbean region benefits from some experiences in regional collaboration on adaptation, through regional organisations such as the Caribbean Community Climate Change Centre (CCCCC) and regional bodies such as the Organisation of Eastern Caribbean States (OECS) and its Council of Ministers of Environment and CDEMA on DRR. These experiences provide a basis for advancing regional level planning, the setting of joint policies and standards, knowledge sharing and implementation of adaptation measures¹¹ through this project. Component 1 will ensure an enabling framework is developed to support this, while component 2 ensures local ownership of the project. Component 3 entails the design and construction of resilient learning facilities. Advancing adaptation activities at the regional level is innovative in the Caribbean region, especially in the education sector. Moreover, locally, the innovation would be to ensure that model schools (those that will be supported) are 'green', i.e. use sustainable energy and manage water efficiently, and are safe (from hurricanes) for children and other users, including teachers and community members, as piloted on Antigua currently, with positive effects on minimizing school interruptions. The aim is to enhance a culture of assessment of performance overtime and improvement based on evidence, with increased compliance to standards (i.e. building codes, national and OECS guidelines, etc.).

Economic, social and environmental benefits

Project benefits include cost efficiency (through regional approach) and cost avoidance (damage by hazards / hurricanes), as well as increased safety and access (through resilient school facilities) of vulnerable groups, including children, youth and people living with disabilities. Water access will also be more secured for the same groups, especially in time of hazards. Moreover, knowledge on climate change and disaster responses will be increased through a regional approach. Details on economic, social and environmental benefits, especially for the most vulnerable, will be provided in the concept note proposal.

Cost-effectiveness

Through a regional led-programme, economies of scale can improve the collective efficiency of climate-related programmes. Sharing the administrative burden of programme management is one example of how economies of scale could increase implementation efficiency. In addition, regional collaboration will improve the knowledge transfer process.¹² As for concrete interventions (resilient school facilities), these will avoid future costs related to hurricane impacts (i.e. damages) and water scarcity. Target school facilities will be selected based on multiple criteria, but will include a cost per beneficiary calculation. This will be provided in the concept note proposal.

¹¹ UNDP and UNEP (2017) regional briefing on National Adaptation Plans: Caribbean in focus. Online:

https://reliefweb.int/sites/reliefweb.int/files/resources/regional_briefing_on_naps_caribbean.pdf

¹² OECS (2018) Eastern Caribbean Regional Climate Change Implementation Plan. Online:

https://www.preventionweb.net/files/58303_fcoeasterncaribbeanregionalclimatec.pdf

Learning and knowledge management

Across the region, there is a lack of data and information to provide evidence for informed decision-making and measures on adaptation. Many countries have undertaken limited stakeholder consultation, and sustaining stakeholder involvement in adaptation planning is a challenge. Lessons learned are rarely captured and applied, and there are limited frameworks for monitoring and evaluation of adaptation beyond project level.¹³

The project will support the development of a regional framework to generate and collect data and share relevant lessons between countries with the purpose to replicate and upscale measures. Focus will be on supporting the implementation of the Comprehensive Safe School Framework through the Model Safe School Programme in the Caribbean for public and private facilities at all levels, with the purpose to specifically support:

- A regional climate change and disaster risk information management and monitoring network for informed decision-making at all levels
- Best practice resilient education facilities design portfolio for fact-based policy and decision-making
- The incorporation of local / community and sectoral based knowledge into assessments
- Education and trainings materials for comprehensive climate change and disaster management

Knowledge will be managed and shared through OECS, CDEMA and the National Safe School Programme Committees, which are chaired by the focal point within each respective MoE to CDEMA.

Consistency with (inter)national strategies

The project is consistent with regional strategies, especially the OECS Eastern Caribbean Regional Climate Change Implementation Plan (including an in-the-making gender approach), the Caribbean comprehensive disaster management strategy and programming framework 2014-2024¹⁴ and the CARICOM/5Cs resilience strategy 2018-2028. The project aims to support implementation of the Antigua and Barbuda Declaration on School Safety and Regional Roadmap for implementation.

The project is also consistent with national strategies of each country, especially the initial NDCs, the NAPs (incl. education) and 2nd and 3rd National Communications to the UNFCCC, but also with national DRR strategies and relevant national development strategies. During the concept note development stage, details about consistency with these strategies will be provided. Besides, the project is consistent with global strategies, including the Paris agreement, the 2030 agenda for Sustainable Development (with emphasis on goals 4, 5, 6, 11, 13) and the Sendai Framework for Disaster Risk Reduction.

Specific initiatives that inform DRR planning in the education sector include the Hyogo Framework for Action 2005–2015 (HFA), the Inter-Agency Network for Education in Emergencies (INEE) Minimum Standards, Sustainable Development Goals and the United Nations Children's Fund's (UNICEF) Basic Commitment to Children in Emergency Situations.

Compliance to national technical standards

The project will fully align with (inter)national technical standards, including for conducting environmental and social impacts assessments required by law, land use planning, building codes, etc. If environmental and social impact assessments are required for proposed interventions, this will be done during the full project development phase. During the concept note development phase, all relevant standards will be identified and compliance procedures and requirement elaborated upon.

Consultative process

For the pre-concept note, meetings were held with AF focal points, different ministries focal points and regional entities (OECS, CDEMA) and UNICEF to align with regional and national priorities and to avoid overlap with other projects. During the concept note development stage, consultations will be held with

¹³ UNDP and UNEP (2017) regional briefing on National Adaptation Plans: Caribbean in focus. Online: https://reliefweb.int/sites/reliefweb.int/files/resources/regional_briefing_on_naps_caribbean.pdf

¹⁴ The Strategy prioritizes four areas for addressing DRM issues, generally summarized as (i) institutional strengthening, (ii) knowledge management for CDM, (iii) mainstreaming of CDM into key sectors and (iv) building and sustaining community resilience. More specifically, Priority Area 2 of the Strategy aims to achieve "Increased and sustained knowledge management and learning for Comprehensive Disaster Management": <https://www.cdema.org/CDMStrategy2014-2024.pdf>

regional entities, National and local governments, UN agencies, NGO's, local communities and vulnerable groups and other relevant stakeholders (e.g. students) to identify vulnerabilities, needs, priorities and potential environmental and social risks and impacts. During the full proposal development phase, consultations will focus on selecting the specific adaptation interventions needed with communities and vulnerable groups based on an assessment and analysis of adaptation benefits, cost effectiveness, feasibility and environmental and social risks and impacts, especially for the most vulnerable groups (women, youth, elderly, disabled people, indigenous groups, etc.).

Duplication with other funding sources

The project will avoid (geographic) overlap with other projects and use lessons learned where possible. During the concept note development phase, all projects and their lessons learned, complimentary potential and non-duplication will be mapped. At this stage, OECS, CDEMA, UNICEF and government officials at the ministry level confirmed there is no overlap. Climate change adaptation in the education and water sectors is currently covered by very few projects in the region. Presently, most of the projects are 'soft' projects, mainly aiming at providing assessments of sector needs and capacity building. Nevertheless, some regional and national projects can provide starting points and learning opportunities for the development of an OECS wide programme on climate change, especially focused on the education sector. For example, the "Reducing Risks to Human and Natural Assets Resulting from Climate Change" project (RRACC) is raising awareness and providing training for rainwater harvesting techniques in the OECS. An initial mapping of relevant project has been conducted and can be shared on request.

Sustainability of the project

The project will be sustained by the strong linkage to (inter)national priorities (i.e. buy-in), by mainstreaming outcomes into (inter)national strategies and their monitoring framework and through the engagement of local affected communities in planning, maintenance, monitoring and training activities. It is also sustained through the involvement and capacity building of (inter)national governments, local communities and vulnerable groups (e.g. skills development) during the processes and through development of knowledge products and sharing of lessons. Maintenance arrangements for the proposed concrete interventions will be identified during the concept note development phase.

Justification for funding requested

The project will support the implementation of regional and national priorities and innovative approaches as well as responding to local needs, especially of the most vulnerable, for which funding and coordination is currently lacking. The proposed project interventions/ activities are important for the region and target countries to cope with current and future climate change impacts, especially hurricanes, and to avoid related costs and victims, especially in the education sector.

The environmental and social impacts and risks identified

The proposed project seeks to fully align with the Adaptation Fund's Environmental and Social Policy (ESP) and Gender Policy (GP). During the concept note proposal phase, the entire project and all project components and activities will be screened against the 15 AF principles to identify potential environmental and social risks and impacts. A gender approach / baseline will also be developed. The project will also actively support a rights-based approach: to reaffirm the right to quality and inclusive education for all. For the potential risks identified, impact assessments will be conducted if required by national and / or commensurate to the risks. If needed, measures to avoid or mitigate potential risks will be proposed to reduce risks to manageable levels. During the full proposal phase, an ESMP will be developed. With the information available at this stage, the project is expected to fall into low C or perhaps medium risk category B because interventions will be very small and localised. Information required to further assess this classification, also for each intervention / activity, will be provided at the concept stage. This information will include detailed information per intervention / activity so that these can be regarded as Identified sub-projects.

PART III: IMPLEMENTATION ARRANGEMENTS

UN Habitat will be the implementing entity for the project ensuring quality project oversight and management and specific technical support for climate change resilience related areas. In the target countries, national executing entities will be the ministries responsible for climate change and DRR (in cooperation with the ministries of education). At the regional level, coordination / execution of project

activities will be supported through the OECS, together with Caribbean Disaster Emergency Management Agency (CDEMA), which has been working directly with the education ministries in the target states. For the execution of community / school-level concrete interventions and community involvement, local partners will be identified during the concept note development phase.

PART IV: ENDORSEMENT BY GOVERNMENTS AND CERTIFICATION BY THE IMPLEMENTING ENTITY

A. Record of endorsement on behalf of the government¹⁵

Country	Name and position	Date of endorsement
ANTIGUA AND BARBUDA	Ms. Diann Black-Layne Chief Environment Officer and Ambassador for Climate Change Ministry of Agriculture, Lands, Housing and the Environment	1 August 2019
DOMINICA (the Commonwealth of DOMINICA)	Lloyd Pascal Senior Policy advisor Ministry of environment, climate resilience, disaster management and urban renewal	2 August 2019
SAINT LUCIA	Ms. Caroline Eugene Permanent Secretary Department of Sustainable Development Ministry of Education, Innovation, Gender Relations and Sustainable Development Norman Francis Building	2 August 2019

Each Party shall designate and communicate to the secretariat the authority that will endorse on behalf of the national government the projects and programmes proposed by the implementing entities.



GOVERNMENT OF ANTIGUA AND BARBUDA

Department of Environment
Ministry of Health and the Environment
#1 Victoria Park, Botanical Garden
P.O. Box W693
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Antigua, W.I.
Tel: (268) 462-6265
Fax: (268) 462-4625
Email: DOE@ab.gov.ag

REF: DOE/38/Donor Agencies

1- August 2019

The Adaptation Fund Board
c/o Adaptation Fund Board Secretariat
Email: Secretariat@Adaptation-Fund.org
Fax: 202 522 3240/5

Subject: Endorsement for UN-Habitat submission "Increasing resilience of the education system to climate change impacts in the Eastern Caribbean region"

In my capacity as designated authority for the Adaptation Fund in Antigua and Barbuda, I confirm that the above regional project proposal is in accordance with our government's national and regional priorities in implementing adaptation activities to reduce adverse impacts of, and risks, posed by climate change in Antigua and Barbuda, and in the OECS region.

Accordingly, I am pleased to endorse the above project proposal with support from the Adaptation Fund. If approved, the project/programme will be implemented by UN-Habitat and executed by the Department of the Environment, Ministry of Health, Wellness and the Environment.

Sincerely,

A handwritten signature in blue ink, appearing to read 'Diann Black-Layne', is written over a horizontal line.

Ambassador Diann Black-Layne
Chief Environment Officer
Department of the Environment
Ministry of Health, Wellness and the Environment



**MINISTRY OF ENVIRONMENT, CLIMATE RESILIENCE, DISASTER
MANAGEMENT AND URBAN RENEWAL
ENVIRONMENTAL COORDINATING UNIT**

Tel: (767) -266-5256

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E-mail: ecu@dominica.gov.dm

37 Great George Street

Roscau, **DOMINICA**

Website: <http://ecu.gov.dm>

2nd August, 2019

To: The Adaptation Fund Board
c/o Adaptation Fund Board Secretariat
Email: Secretariat@Adaptation-Fund.org
Fax: 202 522 3240/5

Subject: Endorsement for "Increasing resilience of the education system to climate change impacts in the Eastern Caribbean region"

In my capacity as designated authority for the Adaptation Fund in Dominica, I confirm that the above regional project/programme proposal is in accordance with the government's national priorities in implementing adaptation activities to reduce adverse impacts of, and risks, posed by climate change in the OECS.

Accordingly, I am pleased to endorse the above project/programme proposal with support from the Adaptation Fund. If approved, the project/programme will be implemented by the United Nations Human Settlements Programme and executed by OECS, CEDEMA, Ministry of Education and Human Resource Development.

Sincerely,

.....
**LLOYD PASCAL
SENIOR POLICY ADVISER**



MINISTRY OF EDUCATION, INNOVATION, GENDER RELATIONS AND SUSTAINABLE DEVELOPMENT
Department of Sustainable Development

*Communication on this subject
should be addressed to:
The Permanent Secretary*

*Norman Francis Building
Balata, Castries,
SAINT LUCIA, W.I.
Tel No: (758) 468-5833
Fax No: (758) 456-0490*

2nd August, 2019

The Adaptation Fund Board
c/o Adaptation Fund Board Secretariat
Email: Secretariat@Adaptation-Fund.org
Fax: 202 522 3240/5

Dear Sir/Madam:

Subject: Endorsement for UN-Habitat submission Increasing resilience of the education system to climate change impacts in the Eastern Caribbean region

In my capacity as designated authority for the Adaptation Fund in Saint Lucia, I confirm that the above regional project proposal is in accordance with our government's national and regional priorities in implementing adaptation activities to reduce adverse impacts of, and risks posed by climate change in Saint Lucia and in the OECS region.

Accordingly, I am pleased to endorse the above project proposal with support from the Adaptation Fund. If approved, the project/programme will be implemented by UN-Habitat and executed by the Ministry of Education, Innovation, Gender Relations and Sustainable Development.

Yours sincerely,

.....
Caroline Eugene (Ms.)
PERMANENT SECRETARY (AG)

B. Implementing Entity certification

I certify that this proposal has been prepared in accordance with guidelines provided by the Adaptation Fund Board, and prevailing Regional Policies, Plans and Strategies and the respective National Development Plans, the Nationally Determined Contributions of the target countries and relevant National Adaptation Plans. Subject to the approval by the Adaptation Fund Board, UN-Habitat commit to implementing the project/programme in compliance with the Environmental and Social Policy of the Adaptation Fund and on the understanding that the Implementing Entity will be fully (legally and financially) responsible for the implementation of this project/programme.

for Pringthong OIC.
Raf Tuts
Director, Programme Division
UN-Habitat

Date: 1st August 2019

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