



**INITIATION PLAN TEMPLATE  
FOR A GEF PROJECT PREPARATION GRANT (PPG)**

**Project Title:** Low Carbon Development Path: Promoting energy efficient lighting and solar photovoltaic technologies in streets, outdoor areas and public buildings in island communities nationwide

**Country:** Dominica

**Initiation Plan Start Date:** September 1, 2014

**Initiation Plan End Date:** June 11, 2015

M-CPAP Programme Component: Enhanced capacity of national, sub-regional and regional institutions and stakeholders to: effectively manage natural resources; build resilience to the adverse impacts of climate change and natural and anthropogenic hazards; improved energy efficiency and use of renewable energy; improved policy, legal, regulatory and institutional frameworks for environmental and energy governance.

ATLAS Project Award: 00082467

ATLAS Project ID: 00091369

PIMS Project ID: 4969

Management Arrangement: DIM

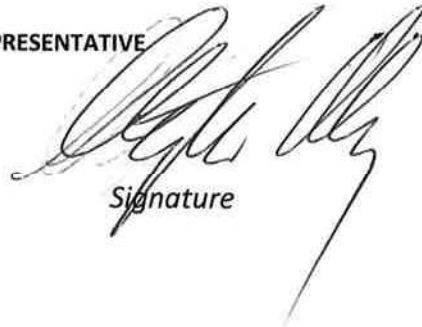
**Total budget:** US\$ 100,000

Allocated resources:

- GEF US\$ 100,000
- LDCF US\$
- SCCF US\$
- NPIF US\$
- Government US\$
- UNDP US\$

**AGREED BY UNDP RESIDENT REPRESENTATIVE**

Resident Representative



Signature

09/09/2014  
Date: day/month/year

## Brief Description of Initiation Plan:

During the Initiation Plan period, a number of baseline studies and stakeholder consultations will be undertaken. The purpose of the PPG is to support the development of the “Low Carbon Development Path: Promoting energy efficient lighting and solar photovoltaic technologies in streets, outdoor areas and public buildings in island communities nationwide” MSP (Medium-sized Project). The IP consists of the project preparatory activities such as: (1) Conduct of baseline studies and surveys to come up with the pertinent data and information that are required to verify and confirm the earlier identified baseline projects; (2) Conduct of a logical framework analysis (LFA) mainly to verify and firm up the project planning matrix (PPM) or results framework (log frame); (3) Identification and assessment of demonstration schemes including calculation of GHGs emission reductions; (4) Detailed design of the project components and activities; (5) Conduct of stakeholder and project partner coordination meetings (e.g., demonstration hosts and co-financers), and establishment of the appropriate project implementation and management arrangements; (6) Preparation of the UNDP-GEF Project Document (ProDoc) and GEF CEO Endorsement Request (CER) Document based on the GEF-approved project concept, i.e., GEF-approved PIF (Annex 1); and, (7) Finalization of the ProDoc and CER Document. The final output of the initiation plan will be a UNDP-GEF project document and GEF CEO endorsement template with all required supporting documentation, including but not limited to Co-financing Commitment letters, an Environmental and Social Screening and the relevant GEF Tracking Tools for the above mentioned project ready for submission to UNDP and the GEF within the agreed upon timeframe.

**Project preparation activities:** The final outputs of a UNDP-GEF project document and GEF CEO Endorsement template will be achieved through implementation of five component activities in this Project Preparation phase, namely:

- I. Component A: Technical review
- II. Component B: Institutional arrangements, monitoring and evaluation
- III. Component C: Financial planning and co-financing investments:
- IV. Component D: Validation workshop
- V. Component E: Completion of final documentation

### Component A: Technical review

- i. Baseline studies: The following technical studies shall be conducted with the focus on the promotion of energy efficient lighting and solar photovoltaic technologies in streets, outdoor areas and public buildings in Dominica.
  - To validate and expand the barrier descriptions outlined in the PIF. This should include research and narrate the impact of:
    - *Lack of policies promoting EE (e.g. lighting, appliances, in buildings) and off-grid renewable energy (e.g. solar) generation*
      - a. Dominica’s climate change mitigation policies and physical planning regulations are not sufficiently developed to promote energy efficiency in the construction of new buildings (e.g. public/social, hotels) and other urban infrastructure (e.g. lights, roads) and appliances (e.g. air conditioning)
      - b. Portsmouth “green city” master plan lacks the consideration of energy conservation standards necessary for low emission (energy usage) infrastructure development (e.g. municipality and public sector buildings, tourism investments, community shelters, street lights, waste facilities, social and cultural amenities) and appliances (e.g. air conditioning)
      - c. DOMLEC as private firm has little incentive to increase renewable energy generation from hydropower or alternative sources (e.g. wind power, solar energy), other than geothermal for regional exportation purposes, due to the limited economies of scale of producing electricity for a 70,000-populated country
      - d. No clarity on most appropriate procurement and licensing processes for off-grid electricity generation and energy efficient lighting/appliances in Dominica to address inclusive growth needs (local value chain), environmental benefits (GHG emissions) and social concerns (health, education, disaster risk reduction)
      - e. No restrictions on the quality, wattage and other features (e.g. life-cycle costs) of street, indoor and outdoor lighting products, EE appliances and solar photovoltaic equipment.
    - *Limited awareness of the benefits of EE lighting / appliances & RE technologies*
      - a. Obsolete knowledge and information on local renewable energy endowments (e.g. solar resource assessments) in Dominica
      - b. Lack of technical expertise in national government institutions tasked to oversee sustainable energy procurement processes (e.g. quality standards, bulk EE lighting/appliances & solar PV procurement criteria)
      - c. Lack of capacity for the local market to absorb and benefit from EE and RE developments (local firms versus foreign investors, no inclusion of energy in secondary, vocational or technical training)
      - d. Government agencies responsible for the procurement of public lighting and other electrical appliances lack expertise on technical design, implementation, and financial performance of EE products/solar PV technology

- *No investments in low GHG emission infrastructure*
  - a. Despite high electricity costs (nearly US\$0.50/kWh), the upfront cost of solar PV & EE in buildings/lighting/appliances deters investment in the capital Roseau and several island communities
  - b. Lack of fiscal, economic or other financial incentives to promote low carbon development investments
  - c. Market size traditionally led to monopolistic context with no incentive for generation, transmission, distribution efficiency (e.g. no feed-in-tariff to assess potential of feeding excess energy back into the grid)
  - d. Higher-quality EE & solar PV products are too expensive, so most cities, towns and communities buy conventional incandescent lamps, inefficient air conditioning, and cheaper/lower quality solar PV panel types.
- To fully justify and detail specific outputs proposed in the PIF: This includes all outputs stated under:
  - Component 1: EE products & Solar PV technology support and general public outreach nationwide (e.g. 15-20 awareness raising and knowledge dissemination events targeting approx. 30,000-40,000 people in communities throughout Dominica, including vulnerable groups) activities to confirm during the PPG phase; EE products & Solar PV technical training and capacity building for government and technicians (e.g. 30-40 training workshops targeting up to 200 primary/high school teachers, 400-500 science students, 30-50 architects/designers and 150-200 civil servants approx.) to be confirmed in PPG phase); EE products & Solar PV technology 5 pilot demonstrations in Dubic, Boetica, Roseau, Portsmouth, others) tbc during the PPG phase
  - Component 2: Review and adoption of mandatory minimum energy performance standards for indoor and outdoor EE products and Solar PV technologies in Dominica (e.g. new quality standards & labels testing and setting of energy certification and audit systems for the introduction of EE products/solar PV products; building codes; self-generation licensing, rules for electrical installations; mandatory energy audit provisions) tbc at PPG; Enforcement of new rules and procedures on public sector procurement of EE products and Solar PV technologies in Dominica (e.g. rules on minimum quantity, quality and product type required to qualify for bulk procurement and related import provisions for EE / solar PV products) tbc at PPG;
  - Component 3: Public sector EE products & solar PV technology programs prepared for towns and island communities nationwide (e.g. initial demos will take place in 3-5 communities including Dubic, Boetica, Roseau each with a program developed for their implementation, based on which a scaled up intervention with additional co-finance is targeted ranging 10-20-tbc at PPG phase); Financial and institutional methods and mechanisms defined to support the implementation of public EE products & solar PV programs (inc. bulk procurement energy performance and savings contracts, mandatory energy audit, amongst other tbc at PPG phase); Economic and fiscal instruments (e.g. tax exemptions, grants or rebates on the purchase of EE products/solar PV equipment) support and facilitate the execution of EE products and Solar PV technology public sector programs in approximately 70-80 communities nationwide (total 0.6-1 MW during project—approx. 37GWh of savings, 33 ktCO<sub>2</sub> of direct / 349 ktCO<sub>2</sub> indirect avoided) incl. public buildings, community areas and streets (75-100km) with indicative cofinancing tbc during the PPG phase (see Part II, paras. 7 & 9)
- ii. Studies to address any opportunities/risks identified during an environmental and social screening of the project proposal: see *Annex 3 for the ESS Pre-screening*  
 The gender assessment will be aligned with the UNDP's Gender Equality Strategy (2008-2013). In this regard, UNDP is committed to ensure that gender equality is fully integrated into its entire programme from the design to implementation and reports annually on its performance across the portfolio
- iii. Identification of specific sites for intervention
- iv. Integration with development plans, policies, budgets and complementary projects: The project will contribute to the achievement of Barbados UNDAF's Outcome #1 "Improved governance and regulation of environmental and energy issues for more resilient economies by 2016" through the support to the development and implementation of national policies and strategies on energy, climate change and disaster risk reduction, including consultation.
- v. Completion of GEF focal area tracking tool: A complete GEF climate change mitigation tracking tool will be delivered as part of the technical review component.
- vi. Stakeholder consultations during technical review: Mobilize and engage stakeholders during project design. Negotiate partnerships with on-going projects to align their activities and the project to build synergies. Document these consultations.

#### Component B: Institutional arrangements, monitoring and evaluation

The outputs of Component A will be used as technical input to Component B for the formulation of the UNDP-GEF project document.

- vii. Finalization of project results framework: Further define the results framework with appropriate objective-level and outcome-level quantitative and qualitative SMARTError! Bookmark not defined. indicators, and end-of-project targets. Special attention will be made to include socio-economic and sex disaggregated indicators.
- viii. Definition of monitoring and evaluation (M&E): A detailed M&E work plan will be developed, including clear identification of responsibilities and accountabilities, as well as an appropriate M&E budget. The plan will be based on the standard template provided in the UNDP-GEF project document template that reflects the mandatory requirements of the GEF M&E Policy.
- ix. Define sustainability plan: The sustainability plan will outline the principles and guidelines for ensuring the long-term sustainability of project achievements. It will also outline an exit strategy, seeking the continuation of key activities/achievements without the need of long-term international financing.
- x. Definition of management arrangements: The organisational structure governing the project will be decided. This will include identification of the project board.
- xi. Stakeholder consultations during Component B: Involve key agencies in the development of the project strategy to ensure a strong national ownership. In close collaboration with key government representatives and other stakeholders ensure full participation in the development of the project results framework and ensure agreement on the project objectives and outcomes. Undertake consultations to secure agreement(s) on project implementation arrangements; including roles, responsibilities, and accountabilities of lead and partner agencies. Document these consultations.

#### Component C: Financial planning and co-financing investments:

- xii. Prepare a detailed multi-year budget following the standard template provided in the UNDP-GEF project document template that reflects the mandatory requirements of the GEF M&E Policy.
- xiii. Explore multilateral and bilateral co-financing opportunities: Undertake series of consultations with partners to ensure a coherent and sustainable financing package for the project including post- GEF grant phase.
- xiv. Ensure completion of required official endorsement letters: An official endorsement letter will be prepared by the GEF Operational Focal Point of the Government. A co-financing guarantee will be collected from participating government institutions, bilateral development partners, multilateral development partners and NGOs who wish to provide cash or in kind contributions to the project.
- xv. Stakeholder consultations during Component C: Environmental Conventions Unit (ECU), which will provide strategic oversight in collaboration with a range of institutions to ensure the project achieves its objectives. Institutions such as Ministries of Environment, Finance and Energy will play a crucial role in the development, management and financing of the economic and financial incentives for EE products. The amount financing required for these instruments cannot be determined at this point, as it will also depend on the amount of co-funding realized during project implementation from other multilateral donors.

#### Component D: Validation workshop

A validation workshop will gather representatives from all relevant stakeholders to present, discuss and validate the final draft project document.

#### Component E: Completion of final documentation

- xvi. Consolidation of all technical and consultation inputs into a clearly written UNDP Prodoc document with all relevant sections and annexes
- xvii. Completion of a CEO endorsement request form
- xviii. Completed CCM tracking tool, Environmental and Social Safeguard Screening following the UNDP procedure and producing the checklist and summary report.
- xix. Translation of UNDP Prodoc document into host country language and any further documentation required for preparing implementation

**B. Project preparation activities work plan, timeframe, responsibilities and budget:**

PPG Activity	Timeframe (in months) <sup>1</sup>												Responsibility	
	1	2	3	4	5	6	7	8	9	10	11	12		
Component A														UNDP
Component B														UNDP
Component C														UNDP
Component D														UNDP
Component E														UNDP

**C. Total Budget and Work Plan :**

<b>Award ID:</b>	Low Carbon Development Path: Promoting energy efficient lighting and solar photovoltaic technologies in streets, outdoor areas and public buildings in island communities nationwide
<b>Award Title:</b>	00082467
<b>Business Unit:</b>	BRB10
<b>Project Title:</b>	Low Carbon Development Path: Promoting energy efficient lighting and solar photovoltaic technologies in streets, outdoor areas and public buildings in island communities nationwide
<b>Project ID:</b>	00091369
<b>Implementing Partner (Executing Agency)</b>	Environmental Coordinating Unit (Ministry of Environment and Natural Resources, Physical Planning and Fisheries).

GEF Outcome/Atlas Activity	Responsible Party/	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount US\$
PPG to finalize the UNDP-GEF project document for project "Low Carbon Development Path: Promoting energy efficient lighting and solar photovoltaic technologies in streets, outdoor areas and public buildings in island communities nationwide"	UNDP	62000	GEF TRUSTEE	71200	International Consultants	60,000
				71300	Local Consultants	30,000
				71600	Travel	6,000
				75700	Trainings, Workshops and Conferences	4,000
<b>PROJECT TOTAL</b>					<b>100,000</b>	

<sup>1</sup> If an FSP project please add additional six months noting 18 month deadline between GEF approval of the PIF and GEF CEO endorsement of the project document



**GLOBAL ENVIRONMENT FACILITY**  
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**Naoko Ishii**  
CEO and Chairperson

June 12, 2014

Ms. Adriana Dinu  
GEF Executive Coordinator  
United Nations Development Programme  
One United Nations Plaza  
New York, NY 10017

Dear Ms. Dinu:

I am pleased to inform you that I have approved the medium-sized project concept detailed below. I have also approved your request for project preparation grant.

Decision Sought:	Project Identification Form (PIF) and Project Preparation Grant (PPG) Approval
GEFSEC ID:	5686
Agency(ies):	UNDP
Agency ID:	4969 (UNDP)
Focal Area:	Climate Change
Project Type:	Medium Size Project
Country(ies):	Dominica
Name of Project:	Low Carbon Development Path Promoting Energy Efficient Lighting and Solar Photovoltaic Technologies
Indicative GEF Project Grant:	\$1,726,484
Indicative Agency Fee:	\$164,016
PPG Grant:	\$100,000
PPG Agency Fee:	\$9,500
Funding Source:	GEF Trust Fund

This PIF and PPG approval is subject to the comments made by the GEF Secretariat in the attached project review document. It is also based on the understanding that the project is in conformity with GEF focal areas strategies and in line with GEF policies and procedures. Please submit your final medium-sized project document for my approval no later than 12 months after PIF approval.

Sincerely,

for Naoko Ishii

Attachment: GEFSEC Project Review Document  
Copy to: Country Operational Focal Point, GEF Agencies, STAP, Trustee

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## Annex 2: Summary of Consultants Financed by the Initiation Plan

Tasks will be carried out in close collaboration with the Environmental Coordinating Unit of Ministry of Environment and Natural Resources, Physical Planning and Fisheries, which has oversight for energy policy implementation; and DOMLEC, the electric utility company. Other key stakeholders to be consulted include The Ministry of Public Works, Energy & Ports, Ministry of Finance through these activities, the consultant will be pivotal in the mobilisation of co-financing for the project and in raising awareness among key stakeholders on the project, its objectives and strategy.

**Clean Energy Specialist (Local):** The specialist will be responsible to provide expertise regarding the development of technical and policy baseline and justifications to support the introduction of EE and Solar PV technologies and facilitate phase out of incandescent lighting in Dominica base on relevant international experience (laws, regulations and enforcement mechanisms). The consultant will also provide technical assistance to the project team on the development and implementation of pilot demonstrations of EE products and Solar PV technologies to be carried out in 5 locations of Dominica.

### Key tasks will include:

- Collect and Assess Baseline information of policy, legal/regulatory, and institutional frameworks and barriers to expansion Institutional and technical knowledge for EE applications & Solar PV technologies and recommendations for related project activities.
- Based on this information, develop projected baseline CO<sub>2</sub> emissions of the scenario without a GEF contribution to the projects and calculate direct and indirect GHG benefits.
- Summary analysis of baseline investments with respect to the renewable energy sector
- Help design incremental activities related to EE/RE policies and projects.

### Key products will include:

- Baseline review and update of policy, legal/regulatory, and institutional frameworks and barriers to expansion Institutional and technical knowledge for EE applications & Solar PV technologies and recommendations for related project activities.
- Baseline CO<sub>2</sub> emissions and direct and indirect GHG benefits report.
- Report of key lessons from regional and international experiences in a SIDS/developing country context with recommendations for adaptive learning.

### **Qualifications:**

#### *Education:*

- MSc, in energy systems, environmental management, physics, electrical engineering or related discipline.
- Strong awareness of international best practices related to EE/RE policies and regulations.

#### *Experience:*

- 5 year experience in energy resource management and policy, electric utility regulation or related field.
- 5 year experience working within the Caribbean region in renewable energy/energy efficiency, energy sector regulation or related field
- Demonstrated track record of delivering high quality reports on time
- Experience working in a national, government managed programme would be an advantage

**PPG Clean Energy Economics and Finance Expert** The expert will be responsible to review the existing financial schemes for clean energy financing at the Government and other financing mechanisms in Dominica, and design appropriate financial and institutional methods and mechanisms to support the implementation of public Energy Efficiency products and solar PV programs. Additionally, the expert will propose economic and fiscal alternatives to facilitate the execution of EE products and solar PV technology public sector programs in communities nationwide.

**Key tasks will include:**

- Review of existing financial mechanisms in Dominica, as well as the latest international literature and experience on clean energy financing for EE and PV programs, as well as EE appliance/equipment loan programs.
- Design an appropriate financing /fiscal scheme, including the definition of loan and tax exemption terms and eligibility criteria to be submitted to Dominica policy makers.
- Training of government staff on the preparations for the setting up, and in the actual establishment of the fiscal/financing scheme.
- Conduct promotional campaigns to build capacities about the benefits of energy efficient appliances and the availability, conditions and advantage of the fiscal/financing scheme.
- Preparation of a sustainable follow up plan with specific activities, and proposed financing.

**Key deliverables will include:**

- Based on the assessment of the current clean energy fiscal/financing policy, the design of the fiscal/financing schemes, the consultant will:
- Develop financing guidelines and tax exemption criteria and relevant templates for applicants
- Conduct training and awareness raising workshops of the benefits of EE financing.
- Propose EE financing schemes.
- Design a sustainable follow up plan for scaling and developing similar financing schemes for other sectors basing on the experience and lessons learned of the exercise.

**Qualifications:**

*Education:*

- Master degree finance, public administration, business management or any other relevant field.
- Strong awareness of international best practices related to EE/RE policies and regulations.

*Experience:*

- Experience on Renewable Energy/Energy Efficiency financing and operations at the government and/or banking sector.
- Demonstrated track record of delivering high quality reports on time
- Experience working in a national, government managed programme would be an advantage



**International PPG Team Leader – Clean Energy Policy & Capacity Development Expert (International):** The Team Leader is an Energy Specialist responsible for coordinating the work of all other experts working with the selected National consultants through, and will ensure the quality and timely preparation of all reports and documentation with at least two missions to Dominica and home-based work. Additionally, the Team Leader will ensure the improvement of the decision/policy making process in Dominica through the design of mechanisms of capacity building, awareness raising and knowledge dissemination aimed at different sectors (education, public works, technicians, and other civil servants) and general public outreach nationwide on the benefits of using EE products and Solar PV systems.

**Will carry out the following tasks:**

**Project Preparation:**

- Provide an overall orientation to the PPG team in relation to GEF requirements for project planning and monitoring.
- Provide methodological guidance for data collection related to project planning and monitoring with particular attention given to the description and quantification of the baseline investments.
- Based on the inputs from national experts and in close cooperation with the key national stakeholders compiles final baseline/situational analysis for the MSP. This will include a precise definition of baseline projects, activities, budgets, goals and co-financial links to GEF outcomes; definition of GEF incremental value per outcome and output; presentation of results of the incremental cost-analysis in matrices.
- Based on the inputs from national experts and the best international practice, prepares a quantified assessment of global environmental benefits for climate change mitigation projects.
- Analyses the socio-economic benefits of the proposed interventions at national and local levels.
- Based on the international experience, assists in reconfirming/specifying the project strategy, finalizing project sections on: (a) An assessment of the social, economic and financial sustainability of proposed project activities; (b) Assessment of alternatives to the project strategy and establishing the cost effectiveness of the preferred strategy and suite of activities; (c) A replication strategy for project activities; (d) Assessment of the risks to the proposed project activities and identifying measure to mitigate these risks; (e) incremental cost analysis.
- Based on national experts inputs, develops project monitoring and evaluation system for the MSP including the completed tracking tool for climate change mitigation and a set of indicators, baselines and targets.
- Elaborates and finalize a Logical Framework of the project.
- Based on national experts inputs finalize M&E plan and budget. Define recommended project monitoring and evaluation indicators.
- Based on national experts inputs, drafts ToRs for the key consultants/contracts to be employed by the project.
- Based on national experts input, elaborates Stakeholder Involvement and Public Participation plans.
- Develop action plan for incorporation of gender aspects in the project, with quantifiable baseline and target indicators, as per GEF and UNDP guidance.
- Performing final reviews of the required project documentation.
- Conduct Environmental and Social Safeguard Screening following the UNDP procedure, producing the checklist and summary report.

**Capacity Development:**

- Identify capacity development needs of target public;
- Take lead role to provide technical support and input for the implementation of activities related to capacity development
- Develop capacity development guidelines and manuals aimed at the target public aimed at raise awareness, share and disseminate knowledge and experience about EE and PV technologies.
- Provide input on capacity development issues to stakeholders (manuals, guidelines or other such documents).
- Participate/facilitate in capacity development activities aimed at government technicians and officials

The Key deliverable of the Lead Energy Expert will be a final comprehensive project document in UNDP format and the CEO Endorsement Request template.

Preparation of this key deliverable will include quality control and final formulation of the following indicative sections of a UNDP/GEF compliant project document:

- Situation Analysis (including proposal sections on context, threats/root causes/barriers analysis, institutional/sectoral/policy context, stakeholder analysis, business-as-usual-analysis, gender issue analysis,

- indigenous groups, business-with-GEF-analysis)
- Project Strategy (including proposal sections on project rationale and policy conformity, project goal, objective, outcomes, outputs and activities, project indicators, risks and assumptions, country ownership, sustainability and replicability)
- Institutional and Management Arrangements
- Monitoring and Evaluation Plan and Budget
- Incremental Cost Analysis (including systems boundary, Summary of costs, additional cost matrix)
- Strategic Results Framework (formerly Logical Framework Analysis)
- Total Budget and First Annual Work plan
- Project Organigram
- Project timetable
- Terms of Reference for Project staff and main consultants and sub-contracts
- Stakeholder involvement Plan with a focus on indigenous groups
- Co-financing letters from stakeholders
- Annexes and additional information annexes including UNDP environmental and social screening.

These sections are indicative; As templates may be subject to change, the GEF Project Design Specialist will be required to obtain guidance by the UNDP/GEF Regional Technical Advisor and UNDP CO on applicable formats and templates and ensure that his/her work is compliant with UNDP/GEF and UNDP CO requirements.

#### **Qualifications:**

##### *Education*

- MSc in energy systems, environmental management, physics, electrical engineering or related discipline
- PhD would be a MSc in energy systems, environmental management, physics, electrical engineering or related discipline

##### *Experience*

- Proven and extensive international experience in renewable energy projects, with demonstrated experience working with photovoltaic technologies, experience with public lighting or public building is a distinct advantage;
- Understanding of the technical, engineering, environmental and financial considerations installing renewable energy systems
- At least 10 year experience designing and/or implementing renewable energy and/or climate mitigation activities in developing countries
- Work experience in any other Latin America and the Caribbean country preferred; and
- Alternatively experience working in SIDS is desirable.