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CARICOM ENERGY POLICY AND REGULATIONS HELP DESK

CONCEPT DOCUMENT & BRIEF

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Deutsche Gesellschaft für
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Registered Offices

Sitz der Gesellschaft

Bonn

Friedrich-Ebert-Allee 36 + 40
53113 Bonn, Deutschland

Eschborn

Dag-Hammarskjöld-Weg 1-5
65760 Eschborn, Deutschland

T +49 228 44 60-0

F +49 228 44 60-17 66

E info@giz.de

I www.giz.de

Programme

Technical Assistance Programme for Sustainable Energy in the Caribbean (TAPSEC)

Responsible

Simon Zellner, Programme Leader

Authors

Sparkle Prentice, Senior Policy, Regulations & Resilience Advisor (TAPSEC)

Acknowledgement for Review and Input:

Dr. Devon Gardner, Programme Manager, Energy Unit, CARICOM Secretariat

Nadia Mohammed, Programme Officer, Energy Unit, CARICOM Secretariat

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Mr. Cleadon Brummel, Graphic Design Consultant,

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Background

The CARICOM Energy Policy, approved by regional energy ministers at the Special Council for Trade and Economic Development (COTED) in 2013, promotes a shift to sustainable energy through the increased use of renewable energy sources and improvements in energy efficiency, while the Caribbean Sustainable Energy Roadmap and Strategy (C-SERMS), also approved in 2013, provides the basis for a targeted approach to advancing sustainable energy development within CARICOM Member States. On this basis, the Technical Assistance Programme for Sustainable Energy in the Caribbean (TAPSEC), which is directly related to Focal Area 2 of the Caribbean Regional Indicative Programme (CRIP) focusing on Climate Change, Disaster Management, Environment, Sustainable Energy and the sustainable development of the countries, was designed to support CARIFORUM countries within the wider Caribbean-EU partnerships.

The overall objective of the TAPSEC Programme is to support the implementation of the CARICOM Energy Policy (CEP), the Caribbean Sustainable Energy Roadmap and Strategy (C-SERMS) and the various national policies and strategies on energy of CARIFORUM Countries and to support). The main results to be delivered under the TAPSEC are:

- (i) The implementation of regulatory frameworks that enable renewable energy development and energy efficiency deployment;
- (ii) Improvements in the region's energy statistics and information management framework;
- (iii) The establishment of innovative financing mechanisms for renewable energy and energy efficiency projects, with attention, in particular, to their accessibility to local and regional project developers;
- (iv) Improvements in the technical capacity within the key institutions and stakeholder groups, at the regional and national levels, operating within the sustainable energy sector in CARIFORUM.

The TAPSEC Programme is structured into three strategic components: Component 1 - **Policy and Regulation**; Component 2 - **Information and Capacity Building** and Component 3 - **Finance**. The Policy and Regulation Component of TAPSEC has two success indicators, namely:

- (i) Number of CARIFORUM countries which have received support for developing a conducive legislative Renewable Energy and Energy Efficiency environment. (Target: More than 8 by 2021).
- (ii) No. of CARIFORUM countries which have implemented or are in the status of implementation of an Energy Efficient Quality Infrastructure framework. (Target: More than 15 by 2021).

	<p>The TAPSEC Programme is implemented by the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH, with the Caribbean Community (CARICOM) Secretariat and the Ministry of Energy and Mines (MEM) of the Dominican Republic as main implementing partners. The programme is funded through a 1.5 million EUR donor support from the German Federal Ministry of Economic Cooperation and Development (BMZ) with an additional financial allocation of 9 million EUR from the European Union (EU) under the 11th European Development Fund (EDF-11).</p> <p>To achieve the objectives and outcomes of the TAPSEC related to Policy and Regulation, a Policy and Regulations help desk has been established to facilitate the provision of technical assistance services directly in response to requests from CARIFORUM Member States to support upgrades to the Policy, legislative and regulatory frameworks and the implementation of actions to achieve policy objectives.</p>
<p>Rationale and General Concept</p>	<p>The CARICOM Secretariat through the Technical Assistance Programme for Sustainable Energy in the Caribbean (TAPSEC), is providing technical support to Member States for the development and modernisation of the enabling environment for sustainable energy. Support is provided through the establishment of the CARICOM Policy and Regulations Help Desk which will facilitate the provision of technical assistance services to CARICOM Member States directly, thereby contributing to the development of an effective enabling environment to support the Sustainable Energy transition of each member state.</p> <p><u>Objectives</u></p> <p>The objectives of the CARICOM Policy and Regulations Help Desk are to:</p> <ul style="list-style-type: none"> (i) Provide a facility for CARICOM Member States to submit requests for Technical Assistance under the general framework of Policy and Regulation and receive support for the preparation/finalization of Terms of Reference framework for defining technical assistance and support required (ii) Provide direct technical assistance for the modernisation of National Policy, Legislative and Regulatory frameworks of CARICOM Member States. (iii) Provide direct technical assistance to CARICOM Member States for the implementation of actions/programmes that are consistent with National Policy directives in the energy sector. <p><u>Expected Outcomes</u></p> <p>The expected outcomes of the CARICOM Policy and Regulations Help Desk are:</p> <ul style="list-style-type: none"> (i) The delivery and provision of on-demand support and technical assistance to CARICOM member states and other institutions within the CARICOM Region to develop an enabling environment for sustainable energy. (ii) Revised or updated Policy, legislative and regulatory frameworks for CARICOM Member States.

	<p>(iii) Support towards the implementation of programmes and actions to meet national policy objectives.</p> <p><u>Components</u> The CARICOM Policy and Regulations Help Desk consists of three (3) components:</p> <ul style="list-style-type: none"> (i) The Oversight Committee (OC), which will provide guidance and steering on the functions of the Help Desk. (ii) The Application Review Facility (ARF) which will receive, review and evaluate applications for Technical Assistance under the Help Desk. (iii) The Expert Consulting Pool (ECP) from which consultants will be deployed to provide direct technical support to selected applicants in accordance with an established Terms of Reference. <p>Support under the Help Desk is divided into two (2) Lots. Lot 1 provides Policy Support to institutions requesting technical assistance for the modernisation of energy policies and legislation as well as the implementation of actions/programmes consistent with national policy objectives. Lot 2 provides Regulation and Utility support to institutions requesting technical assistance for the review/modernisation of regulatory frameworks, regulation support and electric utility services. Member states and institutions requesting technical assistance for the modernisation of energy policies and legislation as well as the implementation of actions/programmes consistent with national policy objectives will submit applications under Lot 1. Member states and institutions requesting technical assistance for the review/modernisation of regulatory frameworks, regulation support and electric utility services will submit applications under Lot 2.</p>
<p>Qualifying Institutions</p>	<p>The CARICOM Policy and Regulations Help Desk will receive, review and evaluate requests for technical assistance from the following entities within the CARICOM Region:</p> <p><u>LOT 1 – POLICY SUPPORT</u></p> <ul style="list-style-type: none"> • Ministries with responsibility for energy • Regulatory Agencies with responsibility for energy/electricity sector • Electric Utilities • Regional Universities within CARICOM Member Countries • Regional Institutions • National Agencies/Institutions with an energy mandate within CARICOM Member Countries • Civil Society Associations within CARICOM Member Countries <p><u>LOT 2 – REGULATION SUPPORT</u></p> <ul style="list-style-type: none"> • Regulatory Agencies with a mandate for energy/electricity sector regulation

	<ul style="list-style-type: none"> • Electric Utilities • Agencies or entities endorsed by Regulatory Agencies or Utilities to support Regulation/Utility-based activities <p>Treatment of Non-State Actors All non-state actors in the categories below require a letter of non-objection from the authorities stated below. Applications from non-state actors must be accompanied by the letter of non-objection or such letter can be submitted after the application is submitted but before the completion of the evaluation process.</p> <table border="1" data-bbox="519 525 1599 855"> <thead> <tr> <th data-bbox="519 525 1061 563">NON-STATE ACTOR CATEGORY</th> <th data-bbox="1061 525 1599 563">NON-OBJECTION AUTHORITY</th> </tr> </thead> <tbody> <tr> <td data-bbox="519 563 1061 636">Regional e.g. regional universities and institutions</td> <td data-bbox="1061 563 1599 636">CARICOM Secretariat – Energy Unit</td> </tr> <tr> <td data-bbox="519 636 1061 710">National e.g. Civil Society Associations</td> <td data-bbox="1061 636 1599 710">Electricity Sector Regulator OR Ministry with Responsibility for Energy</td> </tr> <tr> <td data-bbox="519 710 1061 855">National Utilities (Investor Owned/State Owned)</td> <td data-bbox="1061 710 1599 855">Electricity Sector Regulator OR Ministry with Responsibility for Energy (only in cases where an independent regulator does not exist)</td> </tr> </tbody> </table>	NON-STATE ACTOR CATEGORY	NON-OBJECTION AUTHORITY	Regional e.g. regional universities and institutions	CARICOM Secretariat – Energy Unit	National e.g. Civil Society Associations	Electricity Sector Regulator OR Ministry with Responsibility for Energy	National Utilities (Investor Owned/State Owned)	Electricity Sector Regulator OR Ministry with Responsibility for Energy (only in cases where an independent regulator does not exist)
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<p>Structure of Help Desk</p>	<p>The CARICOM Policy and Regulations Help Desk consists of the Oversight Committee, the Application Review Facility and the Expert Policy and Regulation Consulting Pool. The roles and functions of the components are stated below.</p> <p>Oversight Committee (OC) The Oversight committee functions in a steering capacity and will provide overall guidance and monitoring of the help desk functions. The role of the oversight committee is threefold: support the promotion of the facility to member states, regional and national bodies requiring assistance; 2. Provide guidance on changes needed to the help desk to improve its functionality; 3. Determine and support the long-term institutionalisation of the Help Desk near to the end of the TAPSEC Programme.</p> <p>The Oversight Committee includes representation at management/leadership level from the following organisations:</p> <ul style="list-style-type: none"> • CARICOM Secretariat (CCS) • Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH 								

- Caribbean Electric Utility Services Corporation (CARILEC)
- Organization of Caribbean Utility Regulators (OOCUR)

The Application Review Facility (ARF)

The Application Review Facility (ARF) manages the application and evaluation process as well as the deployment of consultants from the expert pool. The ARF will receive applications and supporting documentation submitted by applying institutions, review submissions for completeness and evaluate the submissions in accordance with established evaluation criteria. The ARF also reports the outcomes of the evaluation process as well as any challenges encountered to the OC and will inform applying institutions on the outcome of their applications, which were selected/approved, not selected or require further information to be evaluated. At the end of the evaluation and selection process, the ARF communicates with the expert pool and will manage the deployment of consultants to the successful institutions to commence the kickoff of technical support.

The ARF consist of the **1 technical expert** each from the following organisations and institutions:

- CARICOM Secretariat (CCS)
- Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH
- Organization of Caribbean Utility Regulators (OOCUR)
- Caribbean Electric Utility Services Corporation (CARILEC).

The ARF reserves the right to seek external support or advice in relation to technical requests received. In general, the ARF will retain the following as a primary technical resource network from which expert opinions would be solicited when required: The Caribbean Centre for Renewable Energy and Energy Efficiency (**CCREEE**), The Caribbean Community Climate Change Centre (**5Cs**), The CARCIOM Regional Organisation for Standards and Quality (**CROSQ**), The Caribbean Development Bank (**CDB**) and the Regional Universities Network (**RUN**). This network will provide technical guidance on an “as-needed” basis and will not operate in a decision-making capacity nor hold positions on the ARF. Final decisions regarding evaluation remain with the ARF.

Expert Policy and Regulation Consulting Pool (ECP)

The ECP consists of expert consultants, contracted by GIZ under the TAPSEC programme to provide direct technical assistance to selected applicants in the areas of policy, regulation and utility services. The ECP is divided into two sub-pools: Lot 1 Expert Pool to provide support to selected applications submitted under Policy Lot and Lot 2 Expert Pool to provide support to selected applications submitted under the Regulatory and Utility Services Lot. The ECP sub-pools play an implementation role and has an obligation to undertake and execute the tasks and activities outlined in the Terms of Reference Applications that were successfully evaluated and selected. The firm selected to provide consulting services under the Lot 1 expert sub-pool for Policy support is the CADMUS Group,

	<p>while GOPA International Energy Consultants was selected to provide consulting services under the Lot 2 Regulatory and Utility support expert sub-pool. Implementation will be supported by these agencies until August 2021.</p>
<p>Implementation Modality & Operations</p>	<p><u>Application Process</u></p> <p>On the opening of the application period, applications for technical assistance under Lot 1 (Policy Support) and Lot 2 (Regulatory/Utility Support) will be submitted by qualifying institutions to the CARICOM Policy and Regulations Help Desk. Critical information on the application process is highlighted below:</p> <ul style="list-style-type: none"> • Submission period: Once the period for submission of applications commences, the application period will remain open until all financial resources of the Help Desk have been allocated for both Lots, whichever occurs first. • Method: Applications and supporting documentation will be submitted in PDF Format via energypolicy.help@caricom.org or the provided web link, accessible by the ARF. • Template: All applications will be submitted using the provided Technical Assistance Request template, which includes the minimum information that must be submitted and instructions to applicants to guide the completion of the Technical Assistance Request. All supporting documents and information, including the required non-objection for the relevant non-state actors, as stipulated by the “Instructions to Applicants” Section in the Template must be submitted, Additional supporting documentation such as pre-established Terms of Reference or other documentation can be submitted along with the application. • Confirmation of Receipt: On submission via energypolicy.help@caricom.org or web link, all applicants will receive a response confirming receipt of the submission. <p><u>Evaluation and Selection Process</u></p> <p>Application submissions will be reviewed for completeness and evaluated by the Application Review Facility (ARF) in accordance with the evaluation criteria. Further information regarding the evaluation process is highlighted below:</p> <ul style="list-style-type: none"> • Review & Evaluation period: Applications received will be reviewed and evaluated within a 2-week period after submission and receipt of the application. After 1-week, the outcome of the evaluation will be communicated to the Oversight Committee (OC) for non-objection. After 2 weeks of submission, the applicant will be contacted if further information is required or to inform the applicant of the outcome of the application. In cases where further information is required, the applicant will submit same to the ARF. The ARF will contact the applicant via the email address and contact information provided in the submitted application.

- **Evaluation criteria:** All applications will be evaluated against predetermined criteria. Applications submitted under Lot 1 will be evaluated against the Lot 1 criteria and applications submitted under Lot 2 will be evaluated using the Lot 2 criteria. Further details on the evaluation criteria is provided in the section “Evaluation & Selection Criteria” below.
- **Incomplete submissions:** Submissions found to be incomplete and lacking pertinent information **will not be evaluated by the Application Review Facility team**. Efforts may be made to contact the applicant to obtain missing information, once the application period is still open, however, applying institutions must ensure that all submissions contain the minimum requested information as outlined in the Technical Assistance Request Application template.
- **Additional Documentation:** All supporting documents and information, including the required non-objection for the relevant non-state actors, as stipulated by the “Instructions to Applicants” Section in the Template should be submitted as far as possible to improve the quality of submissions. Additional supporting documentation such as pre-established Terms of Reference or other documentation can be submitted along with the application.
- **Evaluation Outcome:** Decisions on approval of applications will be made by the ARF and will require consensus among 3 of the 4 technical members. Final decisions and evaluation results will be sent to the OC for non-objection, prior to informing the applicant of the outcome of the evaluation and selection process. On approval or rejection of selected applications, applicants will be notified by the Application Review Facility (ARF) team within the stipulated timeframe.

Approval of Applications and Technical Assistance Deployment

- **Development of Terms of Reference:** The information in the approved application will form the basis for the Terms of Reference used to deploy experts from the consulting pool and will describe in detail the expertise required for execution of the assignment, the scope, expected/anticipated timelines for commencement and completion of the assignment, duration of the assignment, number of expert days required, location, expected outputs and deliverables, reporting as well as logistical support if necessary.
- **Selection of Expert(s):** Experts from the pool of consultants are established under a consultancy framework agreement between a consulting firm and GIZ TAPSEC. The experts will be requested based on the demand for technical assistance received via the Help Desk. The completed Terms of Reference for each assignment will be sent to the consulting firm for the relevant Lot. The firm will present potential candidates from the pool to execute the assignment, along with a work breakdown schedule. The ARF and the applicant, through consensus, will approve the appropriate consultants to undertake the assignment as well as the work schedule.
- **Expert Deployment and Kickoff:** Upon identification and approval of selected consultants for the assignment, the beneficiary institution (the applicant) will be notified and the expert(s) will be deployed and a kickoff meeting with the consultant(s) will be arranged.

<p>Evaluation & Selection Criteria</p>	<p>The following criteria will be used to evaluate technical assistance requests received via the Help Desk. The evaluation criteria are based on the types of activities or area of focus and are specific to each Lot. Applicants are advised that submissions will be evaluated and ranked using the following selection criteria:</p> <ul style="list-style-type: none"> (i) Number of Expert days required to execute the project/activity (ii) Nature of the activity/project scope to support remote implementation initially (iii) Linkages or contribution of the activity to the Policy/Implementation strategy, Regulations or investment framework of the country. (iv) Urgent need criteria linked to ongoing activities in the country. (v) Meeting at least one technical eligibility criterium listed below <p>Applications must meet at least <u>one</u> technical eligibility criterium below in the Lot for which applications are submitted:</p> <p><u>Lot 1 Criteria – Policy Support</u></p> <ul style="list-style-type: none"> (i) Review and/or modernisation of current National Energy Policy Framework (including strategies and implementation plans) (ii) Review and/or upgrading of legislative framework to support sustainable energy (iii) Scope of work that is consistent with National Energy Policy Objectives/Actions (iv) Includes a focus on <u>any</u> of the following sectors: <ul style="list-style-type: none"> o Energy Efficiency Applications o Renewable Energy Technologies o Energy Management and Storage Technologies o Climate Resilient energy systems/Energy Resilience o Electric Mobility/Sustainable Energy Use in Transport o Sustainable Energy in the Built environment o Grid modernisation including RE Integration o Governance improvement for DERS and Utility scale renewables (to include planning, permitting and approval processes) o Development of Licensing framework for IPPs and RE Installers o Sector-coupling strategies for optimizing SE use e.g. RE/EE use in Tourism/Water/Agricultural Sectors <p><u>Lot 2 Criteria – Regulatory and Utility Support</u></p> <ul style="list-style-type: none"> (i) Review and/or modernisation of current regulatory framework governing energy sector/electric utilities to support energy transition (ii) Scope of work that is consistent with current energy/electric utility regulatory framework
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	<p>(iii) Regulatory activities to support mandates of regulatory agencies with oversight of energy sector/electric utilities</p> <p>(iv) Electric Utility activities to support sustainable energy transition</p> <p>(v) Includes a focus on any of the following sectors within the context of regulatory support or utility support for energy/electricity:</p> <ul style="list-style-type: none"> ○ Energy Efficiency Applications ○ Renewable Energy Technologies ○ Energy Management and Storage Technologies ○ Climate Resilient energy systems/Energy Resilience ○ Electric Mobility/Sustainable Energy Use in Transport ○ Sustainable Energy in the Built environment ○ Power Purchase Agreements/Negotiation ○ Tariff Reviews/Tariff setting and changing rate structures ○ Regulations to enhance Planning/Forecasting to support Capital Expansion and System Operation Plans ○ Cost of Service Studies ○ Rate Variation Applications; Rate adjustment mechanisms; modernisation of rate variation procedures and regulations ○ Development of Grid Codes ○ Grid Modelling
<p>Total Country/Institution Cap</p>	<p>Applications are evaluated as they are received and support is deployed upon selection and finalisation of the Terms of Reference. However, to ensure the provision of support in an equitable manner, the ARF may, as time proceeds, institute technical assistance caps depending on the number and nature of submissions received from applicants. The OC will make a determination in response to caps recommended by the ARF.</p>
<p>Instructions to Applicants</p>	<p>(i) All applications should be submitted in PDF format using the application form and a completed cover page. The application should be submitted in Microsoft Word format.</p> <p>(ii) The application template provided will include:</p> <ul style="list-style-type: none"> ○ Title of Request/Activity ○ Background ○ Rationale ○ Scope Of work: <ul style="list-style-type: none"> - Objectives - Expected Outcomes - Tasks of Consultants

	<ul style="list-style-type: none">- Deliverables and Outputs- Timeframe for Implementation- Expertise Required- Reporting Requirements <p>(iii) Applications must be submitted to energypolicy.help@caricom.org or via the web link provided in the instructions.</p> <p>(iv) Applicants should ensure all information required in the application template is provided and supporting documentation required is submitted in addition to the application form.</p> <p>(v) Applicants are advised that the application period will remain open until all financial resources for the provision of technical assistance under the Help Desk for both Lots are exhausted. This is to ensure that sufficient time is available for implementation of activities/projects before the stipulated end date of August 2021. Therefore, applicants are reminded to submit their applications as early as possible.</p> <p>(vi) The Help Desk functions will terminate on July 31, 2020. Consequently, applications should be limited to activities that can be implemented, allowing for all tasks under the application to be completed on or before July 31, 2021.</p>
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