**PROJECT DOCUMENT**

**Country: Global**

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| **Project Title:**  Green Climate Fund Readiness Project – Global |
| **UNDP Strategic Plan Outcome:** Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded (Outcome 1)  **UNDP Strategic Plan Output:** Scaled up action on climate change adaptation and mitigation across sectors which is funded and implemented (Output 1.4)  **Project Outputs:** Global coordination and support mechanism established for cooperation and communication among the 9 GCF Readiness national projects in Benin, Colombia, El Salvador, Fiji, Ghana, Kenya, Nepal, Philippines, and Uzbekistan (Project Output 1.1)  Global knowledge, based on the 9 GCF Readiness national projects, actively produced and shared globally (Project Output 2.1)  Phase 2 countries (Kenya, Philippines, Uzbekistan, Nepal) are assessed by UNDP, UNEP and WRI and national readiness plans prepared by UNDP, UNEP, and WRI for inclusion in the Programme as distinct national projects (Project Output 3.1) |
| **Implementing Entity/Responsible Partner: UNDP**  **Brief Description**  Global trends and development experience points to demand from countries to strengthen capacities associated with climate finance readiness. This is mirrored in the inclusion of the readiness component in the structure of the Green Climate Fund (GCF). The objective of the global component of the Green Climate Fund Readiness Programme is to coordinate nine national projects with related (readiness) initiatives and to support knowledge management including analysis of lessons learned and best practices. The global component will enable UNDP to provide technical assistance to the nine national projects in strengthening their national capacities to effectively plan for, access, manage, deploy and monitor climate finance, in particular with resources from the GCF, once it is fully operational. In the nine target countries, the Programme focuses on two important aspects of the GCF approach, access to funds and private sector engagement, both of which will require significant preparatory work in many countries before GCF financing will be possible at scale. The global component will play an essential role in ensuring the full weight of UNDP’s expertise is brought to bear for the benefit of the nine national projects by facilitating knowledge sharing among and between Programme countries. In addition, the global component will foster coordination with like-minded initiatives within and outside UNDP to advance cooperation and knowledge generation of the relatively new field of “readiness” for the benefit of the target countries. It is envisaged that these readiness activities will also benefit other programmes areas in the national planning processes for development planning and budgeting. |

Total resources allocated (UNEP/): **$1,140,757**

**Unfunded budget: $859,592**

Programme Period: 2015 – 2017

Atlas ID: 00083346

Project ID: 00091872

Start date: 1 July 2015

End Date: 1 March 2017

Management Arrangement: DIM

PAC Meeting Date: 29 May 2015

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**List of Acronyms**

|  |  |
| --- | --- |
| AAP | Africa Adaptation Programme |
| AF | Adaptation Fund |
| APR | Annual Project Review |
| AWP | Annual Work Plan |
| BMUB | Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety (Germany) |
| CDM | Clean Development Mechanism |
| CER | Certified Emissions Reduction |
| CFO | UNDP-World Bank Climate Finance Options Platform |
| COP | Conference of the Parties |
| CPEIR | Climate Public Expenditure and Institutional Review |
| DFID | Department for International Development |
| DIM | Direct Implementation Modality |
| EU | European Union |
| ESS | Environmental and Social Safeguards |
| FAO | Food and Agriculture Organisation |
| FDI | Foreign Direct Investment |
| GCF | Green Climate Fund |
| GEF | Global Environment Facility |
| GIZ | Deutsche Gesellschaft für Internationale Zusammenarbeit (German Federal Enterprise for International Cooperation) |
| IFI | International Financial Institution |
| KfW | Kreditanstalt für Wiederaufbau (Germany Reconstruction Credit Institute) |
| LAC | Latin American and the Caribbean |
| LDC | Least Developed Country |
| LDCF | Least Developed Countries Fund |
| LECB | Low Emission Capacity Building Programme |
| LECRDS | Low Emission and Climate Resilient Development Strategy |
| LFI | Local Financial Institution |
| M&E | Monitoring and Evaluation |
| MDB | Multilateral Development Bank |
| MDG | Millennium Development Goal |
| MFI | Microfinance Institution |
| MIE | Multilateral Implementing Entity |
| MRV | Monitoring, Reporting and Verification |
| NAMA | Nationally Appropriate Mitigation Action |
| NAP | National Adaptation Plan |
| NAPA | National Adaptation Programme of Action |
| NCC | National Coordination Committee |
| NCF | National Climate Fund |
| NCSP | National Communications Support Programme |
| NDB | National Development Bank |
| NGO | Non-Governmental Organisation |
| NIE | National Implementing Entity |
| NIM | National Implementation Modality |
| PCC | Programme Coordination Committee |
| PIR | Project Implementation Report |
| PMU | Project Management Unit |
| PTA | Principal Technical Advisor |
| REDD+ | Reducing Emissions from Deforestation and Forest Degradation |
| RIE | Regional Implementing Entity |
| SCCF | Special Climate Change Fund |
| SIDA | Swedish International Development Cooperation Agency |
| SIDS | Small Island Developing State |
| SME | Small and Medium Enterprises |
| TOR | Terms of Reference |
| UNDP | United Nations Development Programme |
| UNEP | United Nations Environment Programme |
| UNFCCC | United Nations Framework Convention for Climate Change |
| UN-REDD | United Nations Programme on Reducing Emissions from Deforestation and Forest Degradation |
| WRI | World Resources Institute |

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9. **Situation Analysis**

The creation of the Green Climate Fund (GCF) officially recognises the pressing need for developing countries’ increased access to adaptation and mitigation financing from both the public and private sectors. Some developing countries exhibit capacity limitations in accessing, attracting, and absorbing financing related to climate change in a manner that effectively delivers adaptation and mitigation impacts. Others lack the capacity necessary to scale up financing in order to transition squarely onto low-carbon and climate-resilient development pathways. At the same time, there is a short supply of knowledge and development partners (UN agencies, multilateral development banks, NGOs, bilateral partners) that are comprehensive and which offer informational resources, best practices/lessons learned, and analytical tools to both address and capture these capacity needs.

A number of barriers prevent countries from accessing scaled up sources of financing for climate action, including the lack of an enabling policy environment and proper institutional coordination structures. These two gaps in turn affect the ability of the government to attract private sector engagement on climate change. Furthermore, due to these shortcomings, many countries, especially SIDS and LDCs, find themselves unable to satisfy international standards for direct access accreditation to the new vertical funds that allow this access pathway, namely the Adaptation Fund and the Green Climate Fund. Only by addressing each of these gaps in a comprehensive support project – one focusing on a holistic view of “readiness” – can countries overcome these barriers to scaled-up finance.

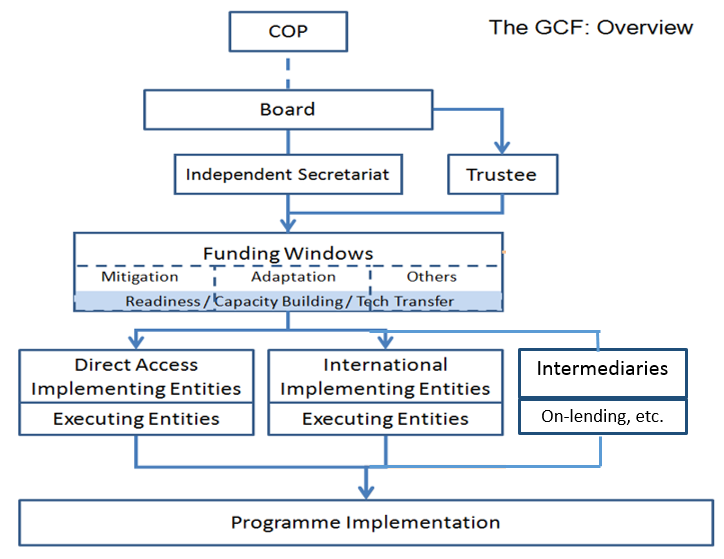
For these reasons, international policy discussions on climate change financing have increasingly emphasized the importance of building and strengthening national systems so that countries are “ready” to access and use climate finance effectively. It is increasingly clear that readiness activities ensure recipient countries are better placed to effectively absorb finance, integrate it with overall development priorities and process and use it catalytically to redirect public and private financing, thus generating transformations at the scale required to address development challenges that are associated with climate change. Without readiness activities, it is highly probable that countries will not be eligible access climate finance. Further, if accessed, this finance runs the risk of remaining project-based, unspent, unleveraged, and isolated from mainstream development processes and hence have no or little impact — all risks that threaten the overall transformative impact of climate finance on development outcomes.

**1.1 Climate Finance Readiness in the context of the Green Climate Fund**

In this context, the governing instrument for the Green Climate Fund, approved at COP17 (Conference of the Parties to the United Nations Framework Convention on Climate Change) in Durban, contains a strong emphasis on the importance of “readiness and preparatory activities”. Paragraph 40 states:

“The Fund will provide resources for readiness and preparatory activities and technical assistance, such as the preparation or strengthening of low-emission development strategies or plans, NAMAs, NAPs, NAPAs, and for in-country institutional strengthening, including the strengthening of capacities for country coordination and to meet fiduciary principles and standards and environmental and social safeguards, in order to enable countries to directly access the Fund”.

The agreements on the GCF that were made in Durban in 2011 indicate a structure along the lines of the figure below. It is clear that there is a specific Readiness / Capacity Building / Technology Transfer component which cuts across the proposed funding windows. This component has since been strengthened in subsequent Board decisions and Secretariat documents. This component will be the focus of the support provided by this Project.



**Figure 1. GCF Indicated Structure**

**1.2 Climate Finance Readiness Framework**

UNDP, with the support of development partners, has done extensive work on understanding what “readiness” for the GCF is, and what it means to be “ready” for climate finance overall. This takes into account the capacity needs identified through a country-driven analysis. While “readiness” for climate finance is a relatively new term that has been used for a number of specific areas (e.g. Reducing Emissions from Deforestation and Forest Degradation (REDD+) readiness, Clean Development Mechanism (CDM) readiness, market readiness, a comprehensive definition of readiness with regard to climate finance is relatively absent.

UNDP’s discussion paper defines readiness as *“the capacities of countries to plan for, access, deliver and monitor and report on climate finance, both international and domestic, in ways that are catalytic and fully integrated with national development priorities and achievement of the MDGs.”* [[1]](#footnote-1) This definition outlines four main components of readiness: Financial Planning, Accessing Finance, Delivering Finance, and Monitoring, Reporting and Verifying Finance. Each of these components has capacities associated with them, as outlined below:

* **Financial planning capacities**—including good coordination mechanisms and understanding of institutional entry points, accountability and power dynamics; preparation of country plans through national consultations; national, sectoral and local financial scans; costing of mitigation/adaptation scenarios; and identification of projects/programmes
* **Capacities to access finance**—including accreditation of direct access entities (with robust fiduciary standards and environmental and social safeguards); tools to combine and blend finance at the national level; and project/programme formulation, including project/programme appraisal capacities
* **Capacities to deliver finance**—including implementation and execution/project management systems; quality control mechanisms; and stakeholder engagement mechanisms
* **Financial Monitoring, Reporting and Verifying (MRV) capacities**—including tools to MRV financial flows at the national level to underpin payments for results systems; and systems to monitor effectiveness of finance (i.e. overall contribution to climate action).

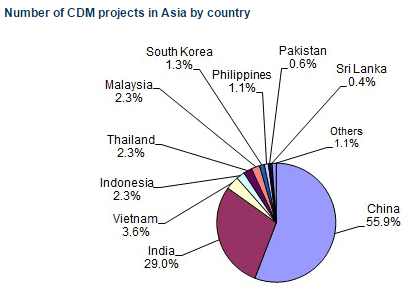
It is important to note that, while these core elements are almost always present in some form at the national levels, these clusters do not translate into a one-size-fits-all model. Furthermore, these core elements are not unique to the GCF but apply in equal measure to the general architecture of climate finance. External capacity development support is not required to build all components in all countries; many capacities already exist in some form or are being developed at the national level in the context of other ongoing efforts, such as on National Adaptation Plans (NAPs), Nationally Appropriate Mitigation Actions (NAMAs), climate fiscal frameworks, and Climate Public Expenditures and Institutional Reviews (CPEIRs), and can be built upon to support readiness for the GCF. Further, different configurations of these four components can exist within institutions, between institutions, or across national or sectoral systems. Different functions can be carried out through a variety of national systems and models, each of which is particular to its country context.

Further, in the context of the Post-2015 Development Agenda, the Sustainable Development goals and the Financing for Development debate, the attention has now shifted on means of implementation. Beyond the mere identification of sources of finance, the debate on policy choices at the national level and policy coherence at the regional and global levels including on trade, tax and climate change[[2]](#footnote-2). Climate finance and readiness has an important role to play in informing the financial frameworks for financing the post-2015 agenda, and vice versa, and thus linkages between development and climate finance will be made, in particular in increasing development finance effectiveness.

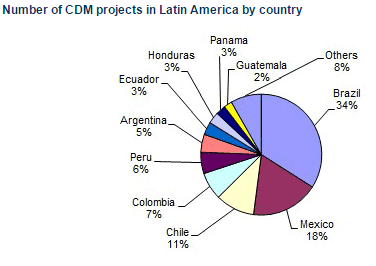
**1.3 Capacity Needs and UNDP Support on Climate Finance Readiness**

The need for readiness support is substantiated throughout the global discourse. The project distribution of mature institutions like carbon markets and the CDM allow for a clear picture of how “readiness capacity” can affect distribution of a given fund. Nearly three-quarters of CDM projects are hosted in just four countries - China, India, Brazil, and Mexico; China alone hosts 67% of all certified emission reductions (CERs) generated in Asia[[3]](#footnote-3). Other abatement schemes show a similar pattern; nearly 40% of all offset credits used in the European Union (EU) came from one sector (destruction of industrial gases) in one country (China)[[4]](#footnote-4). These countries have advantages such as lower interest rates and greater experience with foreign direct investment (FDI). They also have more capacity in a number of other readiness areas, such as fiduciary capacity, project and programme development and management, and monitoring and evaluation capacities. Finally, these countries also feature many low-hanging mitigation opportunities from existing fossil-fuel dependent energy and transport infrastructures.

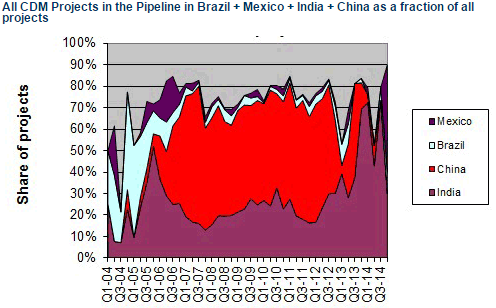
The following graphics illustrate the imbalance by country in the distribution of CDM projects and therefore readiness of countries to access climate finance:



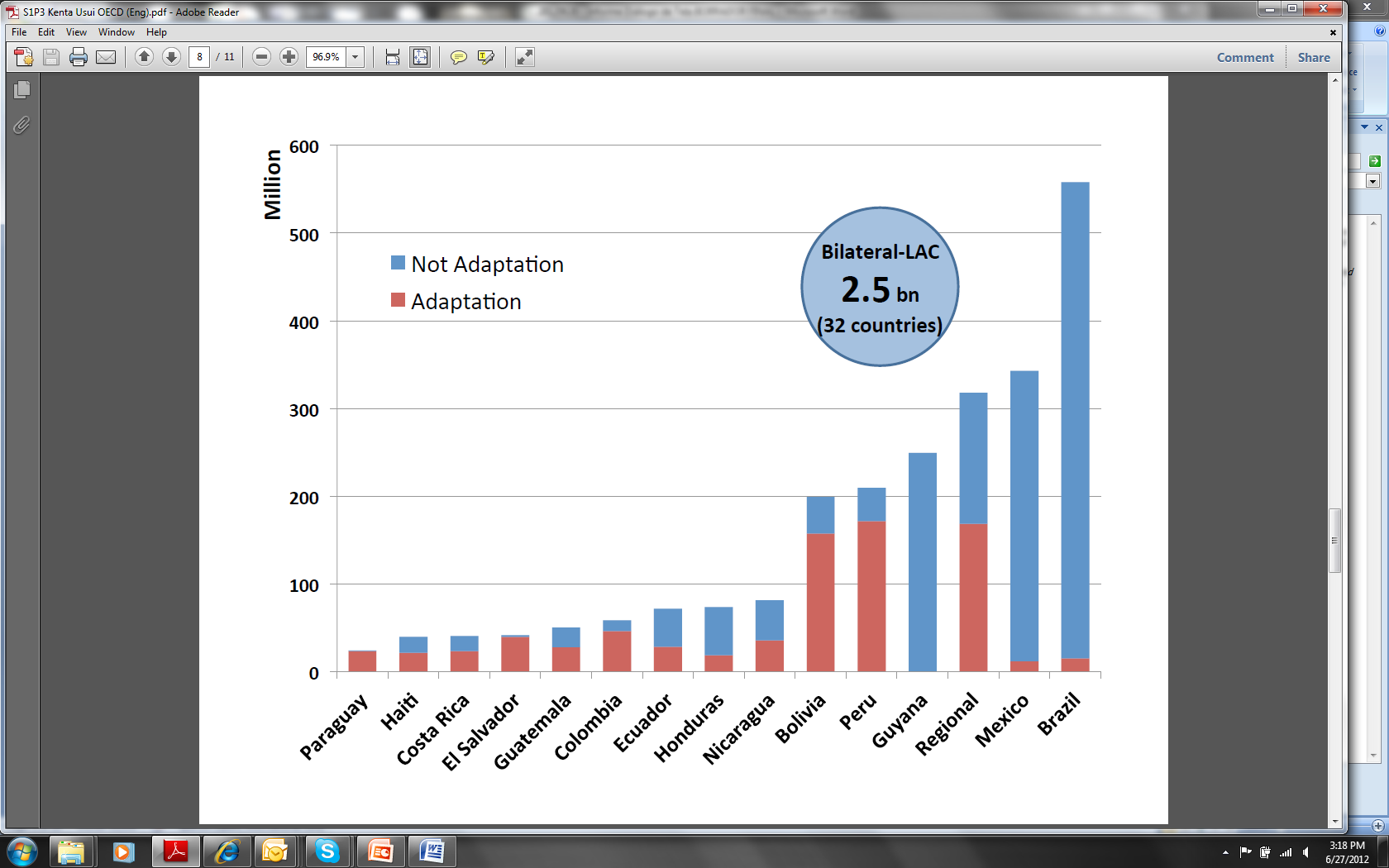
**Figure 2. Distribution of CDM projects by country in Asia[[5]](#footnote-5)**



**Figure 3. Distribution of CDM projects by country in Latin America[[6]](#footnote-6)**



**Figure 4. CDM projects in top 4 countries (China, India, Mexico, Brazil) as share of all CDM projects globally[[7]](#footnote-7)**



**Figure 5. Report on Distribution of Bilateral Funds in the Latin America and Caribbean Region for 2011**

In looking at just bilateral funding in one region, in the Latin America and the Caribbean region (LAC), of the total 2.5 billion of bilateral funding provided to 32 countries, over 850 million went to Brazil and Mexico, with another 400 million going to Bolivia and Peru. All other countries received less than 80 million each (see Figure 5). Given their transitional economic status, Brazil and Mexico in particular are known to have stronger institutional capacities than other countries in the region, with Peru and Bolivia not far behind. It is therefore evident that it is easier for bilateral donors to provide funds to countries which have the ability to both absorb and distribute these funds effectively.

**1.3.1 Barriers to Enhancing Climate Finance Readiness**

In accessing both international and domestic sources of climate finance, countries face a number of obstacles that have thwarted their ability to effectively implement scaled-up climate-resilient and low-carbon development programmes.

**Enabling policy environment.** In most target countries, the National Climate Change Policy, where one exists, sets policy direction, with subsequent policies and plans responsible for streamlining coordination among ministries, civil society and other stakeholders. Some countries have also put in place systems to manage finance in an effective manner. However, not all countries have mainstreamed climate finance concerns into relevant policies and strategies, and, where such mainstreaming exists, there is insufficient coordination among institutions responsible for planning, accessing, deploying and monitoring climate finance.

**Proper fiduciary and accreditation standards.** The fiduciary standards of the GCF have been finalized, and they are still not widely understood by developing countries. Capacity building efforts by national bodies to be able to pass stringent fiduciary, institutional, transparency and ESS standards further enables the overall investment environment in a given country. This includes capacities of the public sector in transparent and efficient procurement, which can make up a sizable portion of the public sector budget.

**Coordination for effective institutional arrangements.** Most countries’ climate change policies include climate finance guidelines that describe an overarching process for the allocation and management of climate finance. Further assistance is required address this barrier by working with governments to identify gaps and obstacles to effective cooperation around climate finance issues.

**Engage private sector involvement in climate finance.** The private sector is considered a key actor in addressing climate change, yet oftentimes little is known about the sector’s level of investment and financial flows toward initiatives that have climate change mitigation and adaptation benefits. Particularly in SIDS and LDCs, their ability to engage in climate finance activities is limited to only a few sectors (tourism in SIDS for example) and private sector involvement may not be viewed as potentially beneficial.

**1.3.2 UNDP Support on Climate Finance**

Along with global trends and statistics, experience from UNDP’s work on climate change has also highlighted the need for strengthening climate finance readiness capacities in many developing countries. There are a number of initiatives that directly or indirectly address issues of climate finance readiness:

* Adaptation Programmes at the National Level (LDCF, SCCF, Adaptation Fund, Governments of Japan, Germany (BMUB), and Australia, supported by UNDP and many other agencies)
* Direct Access Support Programme (UNDP, UNEP)
* National Communications Support Programme (GEF, UNDP, UNEP)
* UN Reducing Emissions from Deforestation and forest Degradation (UNDP, UNEP, FAO)
* Low-Emission Capacity Building Programme (EU, UNDP)
* National Adaptation Plan Global Support Programme (GEF, UNDP, UNEP, FAO, BMUB, Government of Japan)
* Climate Finance Options Platform (UNDP, World Bank)
* Poverty-Environment Initiative and the Climate Public Expenditure and Institutional Review (SIDA, DFID, UNDP, UNEP, World Bank)
* Local Climate Adaptive Living Facility (UNCDF, UNDP, UNEP, AF, SIDA)

With UNDP support, more than 100 countries around the world are receiving climate finance from multiple sources including the Governments of Japan, German, and Australia, the GEF (the Least Developed Country Fund and the Special Climate Change Fund), the Adaptation Fund, and many others for a number of adaptation priorities, including for support in the area of climate finance readiness. The most common request from countries was a better understanding of what sources of finance are available, and support for undertaking the processes for accessing these funds (e.g. support for project identification and development, application procedures, etc.). In most UNDP supported projects at the national level and through the technical support provided by the NAP global support programme, seminars and capacity building initiatives on climate finance readiness have been delivered to address some of the country demand for readiness information.

In addition, UNDP, with UNEP, has gathered several lessons learned through the **Direct Access Support Programme** pilots, which were implemented throughout 2011 and 2012, some of which were done jointly with UNEP. Overall, UNDP has identified the following areas as barriers to direct access: capacity for programming, financial management, procurement and monitoring and evaluation. Effective cross-sector and donor coordination among climate change stakeholders is essential for addressing these barriers, and UNDP has been selected as a partner of choice to support such coordination by both governments and development partners in many countries.

Using funding under the GEF, UNDP and UNEP have also provided support to countries on preparing and submitting their National Communications to the UNFCCC through the **National Communications Support Programme** **(NCSP)**. The process of completing a National Communication allows the country to take stock of mitigation and adaptation priorities and identify gaps and barriers in achieving climate goals. This information, beyond allowing countries to accurately report to the COP of the UNFCCC, informs processes of national planning and budgeting for climate change, a necessary first step in addressing readiness.

The **UN-REDD Programme**, launched in 2008, supports nationally-led REDD+ processes and promotes the informed and meaningful involvement of all stakeholders in national and international REDD+ implementation. It was within the UN-REDD Programme that the term “readiness” was coined. These readiness activities include sharing practical knowledge and lessons learned between UN-REDD pilot and programme countries, identifying existing national activities that can serve to advance their REDD+ readiness, and helping to identify sources of funding. There is a clear need, based on the UN-REDD experience, to expand the role of matching nationally-determined sectoral plans to adequate sources of funding; a clear connection to the GCF Readiness Programme.[[8]](#footnote-8)

Similarly, the **Low-Emission Capacity Building (LECB)** and the **National Adaptation Plan (NAP) Global Support Programmes** also provide windows for addressing sectoral approaches to mitigation and adaptation and the financing necessary to enact them. By developing NAMAs and NAPs in each respective programme, countries are by definition approaching climate change at a programmatic level, which in turn highlights capacity gaps in up-streaming climate finance planning and budgeting processes. These two programmes deliver a suite of support activities that aim to mainstream climate change risks and information into planning, enhance institutional effectiveness, and generate data and systems for capturing data that can feed into climate finance readiness efforts. For this reason, both the LECB and NAP Programmes are clearly related to delivering climate finance readiness support and will be critical initiatives from which both the global and national components of the GCF Readiness Project can build, especially in countries involved in one or more of the LECB, NAP, and GCF Readiness programmes.

Beyond the programmatic level, UNDP has developed or adapted a number of informational tools to analyse climate finance readiness needs. From engaging with countries by conducting **Climate Public Expenditure and Institutional Reviews (CPEIRs),** it is clear that support for institutional and organisational frameworks must be specific to the country context and adapted based on needs. In particular, national level self-assessment and broad stakeholder engagement promotes a process that leads to nationally-owned capacity development plans that are prioritized and understood. An expanded scope of institutional arrangements for climate change and development effectiveness ensures that not only are critical climate finance focal points like the GCF National Designated Authority (NDA), multilateral and national implementing entities and intermediaries better coordinated with local partner ministries, but also future initiatives are aligned with national priorities and development plans. The services provided and strategy developed for this programme build on the lessons of UNDP’s work on capacity building in the context of National Adaptation Plans, on-going adaptation and mitigation projects financed by the GEF family of funds, the Low Emission Capacity Building Programme as well as CPEIRs and development finance effectiveness efforts and recommendations made in climate finance readiness studies undertaken by UNDP and other partners, GIZ, in a number of countries, some of which are included in the nine countries of this programme.

In addition to the national-level efforts of many UNDP project activities, the UNCDF-UNDP partnership on the **Local Climate Adaptive Living (LoCAL) Facility** can provide additional guidance on adaptation planning and financing at the community level. Through LoCAL, communities and local governments determine climate resilience needs based on vulnerability assessments and future climate scenarios, with resilience grants then transferred to the local level for adaptation projects. These lessons on channeling and programming adaptation finance at the local level will inform readiness projects with a subnational component. In Benin and Nepal, where LoCAL efforts are underway, national projects have made references to those efforts.

All of the above programmes are covered by the UNDP-World Bank **Climate Finance Options (CFO) Platform.** This online knowledge platform and community of practicecontains a wealth of information for target country stakeholders to learn and share knowledge on climate finance sources, uses, and tools.

Finally, more specific data on climate finance readiness needs and demands from Project countries, based on, country support requests, literature reviews, Project needs assessments, and scoping missions during the inception phase, is provided in the Project national project documents. It is apparent from global statistics and trends, as well as UNDP’s extensive experience, that climate finance readiness support in developing countries would strengthen the effectiveness of global and regional funds, particularly the Green Climate Fund.

**1.4 State of Climate Finance Readiness Globally and in Project Countries**

**1.4.1 Global**

As stated, UNDP has been a leader in implementation of readiness-type activities. Now that “readiness” has become a more mainstream concept with REDD+ readiness and readiness for the GCF, many multilateral and bilateral agencies are engaged in delivering readiness support to countries. Beyond UNDP and the partners in the Project (UNEP and WRI), GIZ/KfW, the World Bank, Inter-American Development Bank (IDB), Asian Development Bank (ADB), and the GCF Secretariat itself, have taken up roles in delivering readiness support. The global component of the Project ensures that UNDP’s input is included in the evolving global discussion on readiness. Coordination of the UNDP/UNEP/WRI Project with those delivered by GIZ/KfW and the GCF Secretariat is essential to ensuring country ownership of the readiness process. Moreover, with many enabling actions on readiness already underway in the initiatives detailed above, the global component will ensure the Project is not duplicating efforts but rather addressing the critical needs, gaps, and barriers still remaining in the nine target countries.

At the national level, the Project’s first phase will work with five countries covering three regions. These countries are: Colombia, El Salvador, Benin, Ghana, and Fiji. These countries were identified based on a set of criteria developed by UNDP, UNEP and WRI (see Annex V for full criteriat):

* Vulnerability to climate change
* Mitigation potential, including in the area of REDD+
* Enabling frameworks
* Minimum of institutional capacities and good potential of their development
* Support needed due to limited financial capacities
* Willingness of country to participate
* Ease of implementation based on the partners' previous and current engagement
* Balanced regional distribution and the representation of LDCs and SIDs

After the development of the criteria, the scoring of a number of countries against the criteria, the ranking was sent to the donor, Germany BMUB, for their consideration. The countries to be included in the programme were then selected by the donor and communicated to the partners.

**1.4.2 Colombia**

In Colombia, climate change is a major concern for the Government. It has created a climate change coordination office in the Ministry of the Environment, and a high-level coordination committee led by the Vice President. These institutional efforts have resulted in a dynamic portfolio of climate change related projects for mitigation and adaptation to climate change. Colombia has played a pioneering role both in the region and globally on the climate change arena through internalization at highest decision making levels of the climate change agenda; through forceful actions taken in terms of institutional strengthening at the Ministry and regional and sector agencies; and through the quality of the vulnerability assessments undertaken in the context of the enabling activities under the UNFCCC. Project activities will build on the work already performed or ongoing in Colombia, including the NCSP, LECB, and UN-REDD Programme.

**1.4.3 Ghana**

Ghana has launched several policies and programs in the domain of mitigation, adaptation and REDD+. While the Ministry of Environment, Science, Technology and Innovation carries the policy lead for climate change, an Environmental Protection Agency has been created under the ministry carrying the technical lead for Climate Change. The Ministry of Finance and Economic Planning then oversees, coordinates and manages financing in climate change activities. The country has a high GHG mitigation potential, and hosts REDD+ activities – including through the UN-REDD Programme – that are directed by the Ministry of Lands and Natural Resource. The National Climate Change Policy Framework, launched in 2010, aims at a climate resilient and climate compatible development pathway. The large number of NAMAs submitted to the UNFCCC compared to other countries in the region is a reflection of Ghana’s strong interest to prepare itself to access to climate finance. With the LECB Programme active in Ghana, this Project will build on the NAMA and GHG inventory work underway, as well as the gains made during the implementation of the AAP. Ghana is currently also advancing its adaptation priorities through a SCCF financed programme. It is also about to commence an adaptation programme financed by the Adaptation Fund which, among other things, will strengthen capacity of different government institutions to direct climate finance towards priority risk management options.

**1.4.4 Fiji**

In terms of mitigation and adaptation, Fiji’s Roadmap for Democracy and Sustainable Socio-Economic Development 2010-2014 aims at a resource efficient and environmentally sustainable energy sector, sustainable management and utilization of national natural resources, and building national resilience to disasters and adapting to climate change. In order to achieve these objectives, Fiji launched climate change related action plans and policies, as well as a REDD+ policy in 2011. Fiji has a Climate Change Division, responsible for delivering the National Climate Change Policy and to coordinate climate change programmes and projects in the country. The country also recently completed a Climate Public Expenditure and Institutional Review (CPEIR) which will be published soon and will inform the implementation of Project activities. With financing from the SCCF, Fiji has already invested in improving agricultural resilience through technical assistance in the field coupled with improved economic tools, institutional coordination mechanisms, and community-level engagement.

**1.4.5 El Salvador**

El Salvador proposed various policies and assessments related to adaptation and mitigation. While there are ongoing efforts to finalize a Climate Change Action Plan, the Government Development Plan 2010-2014 identified mitigation and adaptation as a prioritized policy area. There are no NAMAs yet on the country, but requests for support in this area have been received by UNDP. The Climate Change Unit within the Ministry of the Environment and Natural Resources is the official focal point for climate change and the UNFCCC, but various other ministries have created climate change unites that could play a role in accessing and managing climate finance. Current national barriers include the need to improve operational capacities in key institutions, to diversify the menu of financial instruments, and to adapt the national financial architecture in order to integrate climate change in the management of public expenditures. While comparatively little climate finance support has been extended to El Salvador by the partners, UNDP has been active with National Communications support. Moreover, the UN-REDD Programme is supporting El Salvador in coordination with the World Bank Forest Carbon Partnership to develop national approaches and institutional frameworks to support REDD+ strategies and finance plans.

**1.4.6 Benin**

Benin ratified the Kyoto Protocol in 2002, and, since that time, has established a National Committee on Climate Change, developed and begun implementing the NAPA, and is in the preliminary stages of the NAP process. However, there is still no national policy on climate change, despite some initiatives such as the Environmental Action Plan, the National Strategy for Implementing the UNFCCC, the National Plan for Adaptation or the National Environment Management Program. Benin is a partner country to the UN-REDD programme, but does not have a UN-REDD National Programme in country. The Ministry of the Environment, Habitat, and Urban Planning is the focal point to the UNFCCC. The Ministry of the Environment and Natural Protection also has a key role, hosting three agencies involved in climate change: The Department of Environment, Benin Environmental Agency, and the National Committee on Climate Change. Beyond the National Communications supported by UNDP, the NAP Global Support Programme is currently underway with the support of UNDP and UNEP in Benin. UNDP is also investing nearly $10 million in Benin, with financing from the LDCF, to deploy climate information gathering technology and early warning systems together with the frameworks necessary to enhance resilience approaches at the community-level that are informed by the latest data.

**1.4.7 Additional Countries**

After the inception phase for the initial countries, the donor, the German Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety (BMUB), decided to add more countries to the Project with increased resources. After consultations among UNDP, UNEP, and WRI, the needs assessment tool and ensuing country matrix (see Annex V) was applied to develop a list of potential target countries to add to the Project. These potential countries were presented to BMUB. The decision of the donor was made to include **Kenya** (LECB, UN-REDD, CPEIR, AAP, SCCF and BMUB financed programme) the **Philippines** (LECB, UN-REDD, NCSP, SCCF funded adaptation programme and BMUB-financed programme), **Uzbekistan** (AF financed programme, and **Nepal** (LDCF financed initiatives including a new one on NAPs, NAP GSP support, BMUB financed project, CPEIR, UN-REDD, in the second phase). The modality of support to these second phase countries will follow along a similar path to that of the first phase countries. The partners will, in consultation with the target countries, develop country-specific readiness plans that are country-owned and respond to the needs and demands of each specific national context.

**1.5 Rationale for UNDP Readiness Support**

For the GCF to succeed, and for countries to be successful in directly accesses GCF resources, national capacities and mechanisms for accessing, allocating, disbursing and reporting on climate finance will need to correspond to the requirements set by the GCF Board. These requirements are strict and follow on the path set by the AF, under which a country was more likely to fail accreditation for direct access; when they did succeed in the rare occasion, it was time-consuming and labor-intensive process that could have been facilitated by a development organisation.

In addition, countries’ institutional mechanisms related to the GCF funds will need to be compatible with their existing and future planning and budgeting systems, and be fully integrated with the countries’ national plans, policies and sustainable development priorities. Countries will need to prepare for GCF financing in order to harness the “transformational” objectives of economy-wide paradigm shifts to low-carbon and climate-resilient development. This new approach ensures climate resilience and integrates climate change solutions into all facets of national development planning and budgeting, particularly at the local level. UNDP support on readiness is critical to enabling partner countries to benefit from all aspects of direct access.

UNDP has significant experience and expertise in helping countries to overcome the main barriers to scaled-up climate finance mentioned in 1.3.1. Working to overcome inadequate enabling environments through institutional strengthening and policy development is core to UNDP’s work in partner countries, as work through the CFO Platform project, CPEIR, and NAP-GSP have displayed. The UNDP-GEF unit has engaged the private sector in project development, and has created a tool and approach through which governments can attract private sector investments in renewable energy through de-risking policy and regulatory measures. Finally, UNDP has developed environmental and social standards, as well as fiduciary capacities necessary to access vertical funds like the AF, GEF, and GCF. In addition, UNDP has assisted multiple countries in their pursuit of direct access to the GCF by capacity building on fiduciary and other accreditation standards. For these reasons, UNDP is a logical climate finance readiness delivery agency in line with the aims of this global project and the nine national projects.

1. **Strategy**

**2.1 Project Objective**

The main objective of the Global Green Climate Fund Readiness Project (the Project) is to *develop the capacity of stakeholders in target countries to plan for, access, manage, and monitor climate change finance at the national and subnational levels*. To achieve this objective, the global project will work towards three outcomes – global coordination of nine national projects is established and effective, global knowledge management is enhanced and effective, and inception phase activities in Phase 2 countries are comprehensive and completed – and corresponding outputs over a two-year period, 1 July 2015 to 1 March 2017. The global project outputs will derive lessons learned and best practices from each country for improved implementation in all project countries. Furthermore, as climate finance readiness in the context of the GCF is currently a topic of significant activity and interest, the global project will feed the nine national project experiences into the global readiness discussion for refinement of best practice approaches to building readiness that can succeed across country types, regions, and stages of development. These experiences will be collected at the global level within the Climate Finance Options Platform, a pioneering online space for direct South-South knowledge sharing and collaboration. The CFO platform allows project countries to communicate directly with one another on readiness issues and how the specific country projects overcame them. This resource will be essential to the KM aspect of the global project and will also host the many tools, approaches, and guidance documents developed by UNDP, UNEP, WRI and national partners.

**2.2 Project Outcomes, Outputs and Activities**

**Table 1. UNDP GCF Readiness Project Outcomes, Outputs & Activities**

|  |  |
| --- | --- |
| **Outcomes** | **Outputs** |
| Outcome 1  Global coordination of the 9 GCF Readiness Project national projects is established and effective | 1.1 Global coordination and support mechanism established for cooperation and communication among the 9 GCF Readiness national projects in Benin, Colombia, El Salvador, Fiji, Ghana, Kenya, Nepal, Philippines, and Uzbekistan  *Activities*  1.1.1 Establish effective communication system among the 9 GCF Readiness national projects through moderated virtual conferences, email digests, and social media (Years 1-2)  1.1.2 Participate in international climate change finance workshops, including UNFCCC side events, to showcase and share UNDP-UNEP-WRI GCF Readiness national project experiences and lessons learned from others (Years 1-2) |
| Outcome 2  Global knowledge management of climate finance and GCF readiness experiences and lessons emerging from the 9 GCF Readiness Project participating countries is enhanced and effective | 2.1 Global knowledge, based on the 9 GCF Readiness national projects, actively produced and shared globally  *Activities*  2.1.1 Review, analyze, and distil information, good practices, and lessons learned emerging from the 9 GCF Readiness national projects and related initiatives (Years 1-2).  2.1.2 Establish dedicated window within the UNDP/World Bank Climate Finance Options (CFO) knowledge platform for the GCF Readiness Project (Year 1).  2.1.3 Elaborate global knowledge products on climate change finance readiness and GCF readiness themes based on lesson learned in the 9 GCF Readiness national projects (Years 1-2).  2.1.4 Translate, as appropriate, global online and published knowledge products into French and Spanish for wide dissemination (Years 1-2) |
| Outcome 3  Country-driven processes undertaken for climate finance readiness landscape assessment and development of readiness capacity strengthening investment plans in cooperation with Government partners of the 4 countries of the Phase 2 | 3.1 Phase 2 countries (Kenya, Philippines, Uzbekistan, Nepal) are assessed by UNDP, UNEP and WRI and national readiness plans prepared by UNDP, UNEP, and WRI for inclusion in the Programme as distinct national projects  Activities  3.1.1 Readiness needs assessment and stakeholder engagement missions conducted in Kenya, Philippines, Uzbekistan, and Nepal (Year 1)  3.1.2 National readiness plans developed in cooperation with and approved by Government partners for Kenya, Philippines, Uzbekistan and Nepal (Year 1) |

**Global coordination** will link UNDP supported GCF Readiness national projects to existing initiatives that contribute to climate finance readiness (see Sections 1.3 and 1.4 above) that might otherwise remain partitioned from core readiness support without the benefit of strategic global connectivity and exchange. Global coordination activities will facilitate communications and interaction among government, private sector, and civil society stakeholders across borders. This coordination will also provide the opportunity for practitioners and policymakers to contribute to climate change finance readiness on the ground in different contexts as well as policy processes at local, national, and international levels.

**Global knowledge management** will analyze and distill the information, good practices, and lessons learned emerging from the UNDP GCF Readiness portfolio to contribute to the CFO online knowledge platform, published knowledge sources, and wider global discussion on climate finance and GCF readiness. In order to improve good practices and identify effective interventions for climate change finance and GCF readiness, training opportunities will be identified and developed and made available to a diverse public. UNDP Country Offices and the wider UNDP-UNEP-WRI project teams will participate in the development of knowledge products and training events. Based on common themes in the UNDP-UNEP-WRI GCF Readiness national projects – direct access, private sector engagement, project pipeline capacity development – global knowledge products, such as case studies, toolkits, and guidance documents, will be developed and shared with the wider climate finance readiness community.

**Country-level needs assessment and readiness project design** will ensure that the four countries added to the project in the second phase are adequately prepared for readiness support through needs assessments, multi-stakeholder engagement processes, and scoping missions to validate project support areas. Through this process, Nepal, Kenya, the Philippines, and Uzbekistan enter the project through a well-designed inception phase to identify readiness gaps, potential national partners, and design a support project in line with national development and climate change plans and policies. After this inception phase for the four countries, they will join the initial five countries in the implementation phase and will receive readiness support in line with the first phase countries. This will be completed by the global level support teams from UNDP, UNEP and WRI, in consultation with national, subnational, NGO and private sector stakeholders in each country, with the support of international experts as consultants.

By the end of the project period, it is expected that all UNDP GCF Readiness national projects will be actively cooperating with one another cross-regionally, both inside the Project and with other related initiatives[[9]](#footnote-9). For example, regional workshops may be arranged to which project countries will be invited in order to build understanding around regionally-relevant readiness themes, such as risk financing for highly vulnerable countries. Moreover, government, private sector, and civil society stakeholders, and associated practitioners and policymakers will have increased their understanding of climate finance readiness practices and approaches in different contexts and shared their own experiences through an integrated global knowledge component and products.

**2.3 Partnership Arrangements**

This project document describes the activities that will be carried out in the global Project under the project “Green Climate Fund Readiness Project” by UNDP, using resources provided by the German Government’s BMUB via UNEP (UNDP has a Cost Sharing Agreement on this project with UNEP). These UNDP project activities in will be carried out in partnership with UNEP and WRI, who will be implementing complementary activities in each country, and at the global level, with resources provided by the German Government’s BMUB.

National project activities in the Project will focus on the capacity of all stakeholders in Project countries to effectively and efficiently access, manage, and monitor climate finance, including capacities for gaining direct access to the Green Climate Fund through a NIE. The national projects will also emphasize improving awareness of climate finance by subnational entities and national stakeholders such as provincial or municipal governments, NGOs, local financial institutions and business associations, and generate knowledge for national policy support and for up-scaling internationally. The global component will ensure that the national project experiences and lessons learned are shared with the wider climate finance readiness community and with the GCF Secretariat itself to improve developing country access to international and domestic sources of climate finance.

**2.3.1 Stakeholder and Baseline Analysis**

The table below provides a brief account of some of the various organizations and their work in relation to climate finance readiness. These stakeholders will play important roles in the nine national projects under this Programme. In addition, the global component will work with these stakeholders to share lessons learned and expand the knowledge base on climate finance readiness best practices.

**Table 2. Stakeholder and Baseline Analysis**

|  |  |  |  |
| --- | --- | --- | --- |
| **Stakeholder type** | **Stakeholder list** | **Baseline work** | **Potential contributions and roles in the project** |
| Government ministries & agencies | Ministries of: Environment; Finance; Planning; Energy; Health; Agriculture; Local Development; Forestry; Housing; Fisheries; National Climate Change Committees; National Development Banks; National economic development agencies and offices of Statistics and Budget; Parliamentarians and legislators | National Climate Change Committees: inter-ministerial body that provides direction and guidance on climate change issues; Ministry responsible for coordinating climate change activities & will implement the project; Finance/Planning: coordination of national & international financing; Legislators and parliamentarians craft national budgets | Delivery of technical project components in collaboration with the PMU/project staff and consultants (where appropriate); provision of technical advice; undertaking of studies, consultations, workshops in collaboration with the PMU, technical assistance providers and consultants (where appropriate); coordination with government authorities at a national level; mobilization of human and financial resources; definition of national budgets (parliamentarians) |
| Subnational authorities | Leaders from divisional/provincial/municipal bodies | Municipal/Divisional/Provincial governments: responsible for addressing climate change at the sub-national levels | Beneficiaries of capacity building and training; congregators of additional stakeholders at municipal-level |
| NGOs | Academia (local national universities); environmental conservation groups (WWF, IUCN); humanitarian organisations (Oxfam, Transparency International); | Existing projects dealing with climate change but not necessarily focused on the financing of such actions | Beneficiaries of capacity building and training; delivery of training; community mobilization; and monitoring; providing technical services. |
| Private sector | Non-governmental Development Banks (Land Bank of the Philippines); LFIs (Nepal Rastra Banks); MicroFIs; commercial banks (Standard Chartered, HSBC); project developers (Adelphi); SMEs and local entrepreneurs | Mobilising of private capital for climate projects; SME development services; Project and technology development | Beneficiaries of capacity building and training; project pipeline development |
| Regional & multilateral | UN agencies (UNEP); MDBs (World Bank, ADB, AfDB, IDB); Regional bodies for cooperation (SPREP) | Existing projects dealing with climate change policy and finance, including readiness type activities | Delivery of capacity building and training; project pipeline development; resource mobilisation; provision of technical assistance |

* 1. **Cost Effectiveness**

The effort to improve climate finance capacities are largely ad-hoc in many countries around the world. These fragmented responses may address an issue or yield an impact in a given locality or sector in a specific time. However, without due consideration of a whole-of-government approach to readiness for climate finance, the outputs and impacts of isolated actions will be unsustainable. With this fragmented approach, opportunities for mainstreaming climate change finance into normative frameworks – a cost-effective way to achieve changes in natural resource management sectors – will be missed.

Unless climate finance capacities and decision making tools for accessing and managing finance are properly incorporated into national policies, plans, and institutions, target countries stand to lose out on the access to the GCF and other international finance while also losing an opportunity to spur local, climate-relevant investment. Therefore in the absence of support by this Project, target countries will lack the critical capacities needed to filly engage with both external and internal sources of climate finance. Therefore, the approach proposed by the national projects provides an integrated package of measures that will effectively generate the necessary systemic and institutional capacities, decision making tools and actions for achieving readiness for climate finance. The global component will ensure delivery is maximised in the national projects through South-South cooperation, regional learning, implementation of best practices, and the provision of international technical expertise that may not be readily available at country level.

The proposed global component is cost effective for two reasons. First, the GCF Readiness Project brings to bear the comparative advantages of three distinct partner agencies (UNDP, UNEP, WRI) with previous experience in building climate finance capacities; since this is a pioneering effort to build GCF readiness, this approach will reduce transaction costs and ensure cohesiveness with emerging international norms. Secondly, the global GCF Readiness Project is designed to work with existing stakeholders and institutions by building capacities in the national context that target countries might otherwise seek externally. By installing these tools, guidelines and skills now, target countries will be better placed to access international sources of climate finance. The project can also benefit from an existing cohort of experts on NAP and LEDS (who have been involved in helping countries build their climate finance capacities in these contexts) which already exist in UNDP through the several projects which deliver such sectoral support. Some coordination with these missions can also be possible, in overlapping countries in order to reduce costs.

The Project applies existing best practices from the past and ongoing interventions that are proven to be cost effective. There have been few interventions of this comprehensive nature anywhere, with the GCF still in its infancy, and the Project partners represent some of just a few of the organisations who have built these capacities before. The experiences gained will be applied to optimize management of climate finance, thus avoiding optimizing a particular resource at the cost of the others under changing climatic conditions.

* 1. **Replicability**

One of the important objectives of this project is to develop a pathway to GCF and climate finance readiness which can be used elsewhere. Therefore, special attention will be given to sharing the most effective decision making tools, institutional assessments, execution of project activities, and monitoring and evaluation of activities available. The proposed assessments, tools, and methods will be tested at the national and subnational levels. With this rigour, it is expected that the findings will be replicable to other countries beyond the nine Project countries. Indeed, the Project is launching at an opportune time, when the global discussion on what constitutes “readiness” is ramping up as the post-2015 era begins with the GCF, SDGs, and Paris COP all becoming operational in 2015. The global component can ensure best practices are derived from the nine Project countries and shared widely. Further the global component will also develop capacities at regional level on monitoring and advocating for climate finance readiness.

## Sustainability

**2.7.1 Institutional sustainability**

The long-term viability and sustainability of the Project will depend greatly on institutional sustainability. The Project has strong government support at both central and local levels. Various stakeholders from government and civil society were involved in the national GCF Readiness Plan development processes leading to a broad consensus over immediate and urgent adaptation priorities. Reflecting the acute understanding within the Project countries that capacities to address climate finance concerns need to be strengthened across many sectors, the national projects have been designed in a programmatic manner and all project outcomes have activities designed to build technical capacities within respective ministries/departments as well as civil society and private sector actors. It is important to note that the engagement of partners in the programmatic approach adopted in the implementation of the national projects goes beyond sectoral agencies, and include subnational stakeholders to ensure mainstreaming of national climate finance concerns at the local level. Hence, through the implementation of the project, municipalities, civil society, the private sector, as well as usual national stakeholders will gain experience in coordinating with technical agencies in delivering climate finance capacity building in line with the national Readiness Plans. Further, the project will also focus on the core planning, delivery and accountability process of countries, this will contribute to institutional embedding or mainstreaming of readiness activities; and eventual management of climate finances.

**2.7.2 Environmental Sustainability**

The global component outcome and outputs are geared towards ensuring a central focal point can analyse and share best practices to increase the efficiency in delivery of climate change finance for enhanced low emissions carbon development and ecological/ environmental sustainability in the nine Project countries. While the Project does not implement measures that directly enhance environmental sustainability per se, the capacity to efficiently and effectively plan, access, and deliver climate finance ensures that all climate interventions are in line with national priorities, strategies and needs. Thus, the eventual external or domestic finance accessed by the nine Project countries using capacities built or strengthened through the national components will be more impactful than finance delivered in isolation. Lessons and good practice from the project regarding environmental sustainability and climate resilience will furthermore be shared broadly in the development community to increase the project impact. UNDP operational procedures (in particular, the Environment and Social Screening procedures) will also be applied and all significant environmental risks will be identified in advance, be eliminated through design alternatives or managed to offset such risks to acceptable levels. As a whole the Project will thus have a positive effect on environmental sustainability of development and in such cases where environmental risks of specific project activities are identified, these will be addressed adequately.

**2.7.3 Social Sustainability**

Overall the Project will improve the public service delivery in relevant social sectors. The Project countries’ ability to access funds for addressing climate change adaptation and mitigation needs should increase by end of the project. The focus on subnational actors and civil society will help ensure that neglected groups can build capacities to access funds to address the highly-localised impacts of climate change, especially relevant for vulnerable countries. Women will benefit from improved access to climate finance, as availability of nontraditional sources of finance – microfinance, crowd-sourced finance – can benefit vulnerable and marginalized groups. The Project’s approach to readiness and its results will be documented and lessons shared to create a higher understanding of and support for climate finance development effectiveness approaches in Project countries and elsewhere. As part of this process, the critical role of civil society organizations in sustainable development and the need for partnerships between Government and non-state actors, will also be further promoted and strengthened.

1. **Project Results Framework**

**Table 3. GCF Readiness Project Results Framework**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | **Indicator** | **Baseline** | | **Targets**  **End of Project** | **Source of verification** | **Risks and Assumptions** |
| **Project Objective[[10]](#footnote-10)**  To develop the capacity of stakeholders, institutions, and mechanisms in target countries to plan for, access, manage, and monitor climate change finance at the national and subnational levels | Number of countries that have effective mechanisms in place to access, deliver, monitor, report on and verify use of global development financing and other types of development cooperation | Limited or incomplete mechanisms to access, deliver, monitor, report on and verify the use of global development financing in nine project countries | | All 9 GCF Readiness national projects are actively developing mechanisms to access, deliver, monitor, report on and verify the use of global development financing | Progress, annual, and final evaluation reports  Workshop reports | Governments and civil society organizations in the global south are concerned about climate finance readiness and are requesting or seeking out information and best practices on developing mechanisms to access, deliver, monitor, report on and verify the use of global development financing |
| **Outcome 1[[11]](#footnote-11)**  Global coordination of the 9 GCF Readiness national projects is established and effective | **Activities**  **1.1.1** Establish effective communication system among the 9 GCF Readiness national projects through moderated virtual conferences, email digests, and social media (Years 1-2)  **1.1.2** Participate in international climate change finance workshops, including UNFCCC side events, to showcase and share UNDP-UNEP-WRI GCF Readiness national project experiences and lessons learned from others (Years 1-2) | | | | | |
| **Output 1.1**  Global coordination mechanism established for cooperation among and successful implementation of the 9 GCF Readiness national projects in Benin, Colombia, El Salvador, Fiji, Ghana, Kenya, Nepal, Philippines, and Uzbekistan | Number of instances in which national stakeholders associated with the 9 GCF Readiness national projects share lessons learned and/or use best practices codified from other projects participating within the portfolio | Coordination of climate finance readiness activities exists almost exclusively at national levels | | Global GCF Readiness Project is established and effectively links all projects in the portfolio  Level of understanding and awareness of Government, private sector, and civil society stakeholders in the 9 GCF Readiness national climate in Benin, Colombia, El Salvador, Fiji, Ghana, Kenya, Nepal, Philippines, and Uzbekistan is increased regarding climate finance readiness approaches with opportunities for knowledge sharing | Progress and evaluation reports  Workshop reports  International events | Government and civil society stakeholders have the technical capacity to participate in multi-country coordination activities  Governments are supportive and engaged in sharing local and national experiences and good practices |
| **Outcome 2**  Global knowledge management of climate finance and GCF readiness experiences and lessons emerging from the 9 GCF Readiness national projects is enhanced and effective | **Activities**  **2.1.1** Review, analyze, and distil information, good practices, and lessons learned emerging from the 9 GCF Readiness national projects and related initiatives (Years 1-2).  **2.1.2** Establish dedicated window within the UNDP/World Bank Climate Finance Options knowledge platform for the GCF Readiness Programme (Year 1).  **2.1.3** Elaborate global knowledge products on climate change finance readiness and GCF readiness themes based on the 9 GCF Readiness national projects (Years 1-2).  **2.1.4** Translate, as appropriate, global online and published knowledge products into French and Spanish for wide dissemination (Years 1-2) | | | | | |
| **Output 2.1**  Global knowledge based on the 9 GCF Readiness national projects is actively produced and shared globally for increased access to funding for project countries | Evidence of advocacy and influence on climate finance readiness to ensure equitable access to funding | | No evidence of advocacy or influence on climate finance readiness to ensure access to funding | Global online knowledge component established and integrated into UNDP-World Bank CFO Platform    At least 4 online training or global knowledge products on climate change finance readiness, proven measures, and good practices completed and operational | Progress and evaluation reports  Global knowledge products  Global online knowledge component | GCF Readiness national projects in Benin, Colombia, El Salvador, Fiji, Ghana, Kenya, Nepal, Philippines, and Uzbekistan have the capacity to collect and transmit sufficient information, good practices, and lessons learned (as per national project documents) to elaborate global knowledge products |
| **Outcome 3**  Country-owned climate finance readiness landscape assessed and readiness capacity strengthening plans developed in cooperation with Government partners of the 4 countries of Phase 2 | **Activities**  **3.1.1** Readiness needs assessment and stakeholder engagement missions conducted in Kenya, Philippines, Uzbekistan, and Nepal (Year 1)  **3.1.2** National readiness plans developed in cooperation with and approved by Government partners for Kenya, Philippines, Uzbekistan and Nepal (Year 1) | | | | | |
| **Output 3.1**  Phase 2 countries (Kenya, Philippines, Uzbekistan, Nepal) are assessed and national readiness plans prepared for inclusion in the Programme as distinct national projects | Number of climate finance readiness stakeholder engagement processes conducted in Phase 2 countries  Number of readiness plans developed in cooperation with national government partners | | Extremely limited or no climate finance readiness engagement processes conducted in Phase 2 countries  No national readiness plans developed | Stakeholder engagement processes conducted in all 4 Phase 2 countries  National readiness plans developed and approved for all 4 Phase 2 countries | Progress reports  Mission reports  National readiness plan documents | Government partners in Phase 2 countries have sufficient knowledge of climate finance readiness landscape in-country to engage in Programme |

1. **Total Budget and Work Plan**

**Table 4. GCF Readiness Project Total Budget Work Plan**

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Award ID:** | | | | | | 00083346 | | Project ID(s): | 00091872 | | | | | |
| **Award Title:** | | | | | | UNDP-UNEP-WRI Green Climate Fund Readiness Project | | | | | | | | |
| **Business Unit:** | | | | | | *UNDP1* | | | | | | | | |
| **Project Title:** | | | | | | UNDP-UNEP-WRI Green Climate Fund Readiness Project | | | | | | | | |
| **PIMS no.** | | | | | | *5518* | | | | | | | | |
| **Implementing Entity/Responsible Partner** | | | | | | UNDP | | | | | | | | |
|  | | | | | | | | | | | | | | | | |
| **Outcome/Atlas Activity** | **Responsible Party** | **Fund ID** | **Donor** | **Atlas Budget Line** | | **Atlas Budget Description** | | | **Year 1** | **Year 2** | **Total US$** | **Budget Note** |
| **OUTCOME 1: Global Coordination** | **UNDP** | **62040** | **UNEP** | 61300 | | Salary Costs - Programme Manager | | | 122,281.50 | 122,281.50 | 244,563.00 | 1 |
|  |  |  |  | 71600 | | Travel | | | 51,064.50 | 51,064.50 | 102,129.00 | 2 |
|  |  |  |  | 73100 | | Rental and maintenance premises | | | 13,500.00 | 13,500.00 | 27,000.00 | 3 |
|  |  |  |  | 75700 | | Training, workshops, conferences | | | 15,000.00 | 15,000.00 | 30,000.00 | 4 |
|  |  |  |  | 75100 | | Facilities & Admin (GMS) | | | 20,184.60 | 20,184.60 | 40,369.20 |  |
| **Sub-total** |  |  |  |  | |  | | | **222,030.60** | **222,030.60** | **444,061.20** |  |
|  |  |  |  |  | |  | | |  |  |  |  |
| **OUTCOME 2: Global Knowledge Management** | **UNDP** | **62040** | **UNEP** | 61300 | | Salary Costs - Programme Manager | | | 122,281.50 | 122,281.50 | 244,563.00 | 1 |
|  |  |  |  | 71200 | | International Consultants | | | 20,000.00 | 60,000.00 | 80,000.00 | 5 |
|  |  |  |  | 74200 | | Audio & visual print production | | | 20,000.00 | 35,000.00 | 55,000.00 | 6 |
|  |  |  |  | 75100 | | Facilities & Admin (GMS) | | | 16,228.15 | 21,728.15 | 37,956.30 |  |
| **Sub-total** |  |  |  |  | |  | | | **178,509.65** | **239,009.65** | **417,519.30** |  |
|  |  |  |  |  | |  | | |  |  |  |  |
| **OUTCOME 5: National Project Preparation for Phase 2 Countries** | **UNDP** | **62040** | **UNEP** | 71200 | | International Consultants | | | 60,000.00 | 0.00 | 60,000.00 | 7 |
|  |  |  |  | 71600 | | Travel | | | 20,620.00 | 0.00 | 20,620.00 | 8 |
|  |  |  |  | 75700 | | Training, workshops, conferences | | | 20,000.00 | 0.00 | 20,000.00 | 9 |
|  |  |  |  | 75100 | | Facilities & Admin (GMS) | | | 10,062.00 | 0.00 | 10,062.00 |  |
| **Sub-total** |  |  |  |  | |  | | | **110,682.00** | **0.00** | **110,682.00** |  |
|  |  |  |  |  | |  | | |  |  |  |  |
| **Monitoring & Evaluation** | **UNDP** | **62040** | **UNEP** | 71200 | | International consultants | | | 0.00 | 13,500.00 | 13,500.00 | 10 |
|  |  |  |  | 75100 | | Facilities & Admin (GMS) | | | 0.00 | 1,350.00 | 1,350.00 |  |
| **Sub-total** |  |  |  |  | |  | | | **0.00** | **14,850.00** | **14,850.00** |  |
|  |  |  |  |  | |  | | |  |  |  |  |
|  |  |  |  |  | | ***Project Sub-total*** | | | ***511,222.25*** | ***475,890.25*** | ***987,112.50*** |  |
|  |  |  |  |  | |  | | |  |  |  |  |
|  |  |  |  |  | |  | | |  |  |  |  |
| **Project Management** | **UNDP** | **62040** | **UNEP** | 61200 | | Salary costs - Support staff | | | 49,671.50 | 49,671.50 | 99,343.00 | 11 |
|  |  |  |  | 73500 | | Reimbursable support costs | | | 20,132.00 | 20,201.81 | 40,333.81 |  |
|  |  |  |  | 75100 | | Facilities & Admin (GMS) | | | 6,980.35 | 6,987.33 | 13,967.68 |  |
| **Sub-total** |  |  |  |  | |  | | | **76,783.85** | **76,860.64** | **153,644.49** |  |
|  |  |  |  |  | |  | | |  |  |  |  |
| **Net project cost** |  |  |  |  | |  | | | **534,551.00** | **502,500.82** | **1,037,051.82** |  |
| **Facilities & Admin (GMS)** | |  |  |  | |  | | | **53,455.10** | **50,250.08** | **103,705.18** |  |
| **PROJECT TOTAL** |  |  |  |  | |  | | | **588,006.10** | **552,750.89** | **1,140,757.00** |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Summary of funds** | **Fund** | **Amount**  **Year 1** | **Amount**  **Year 2** | **TOTAL** |
| **UNEP (BMUB)** | **534,551.00** | **502,500.82** | **1,037,051.82** |
| **GMS** | **53,455.10** | **50,250.08** | **103,705.18** |
| **TOTAL** | **588,006.10** | **552,750.89** | **1,140,757.00** |

**Budget Notes**

1. Salary cost for Project Manager at P4 level: 50% of the Project Manager’s time will be spent on global coordination, 50% on global knowledge management
2. Travel: International travel for Project Coordinator, project representatives (government, private sector, civil society stakeholders, practitioners and policymakers), and others as appropriate
3. Rental and maintenance premises: for Project Coordinator (approximately US$ 14,000/year)
4. Training, Workshops and Conferences: Costs to organize and conduct international workshops, meetings and exchanges
5. International consultants with climate change finance readiness expertise will support the development and publication of knowledge products, the online knowledge component, training modules, and other tasks as needed
6. Audio Visual and Print Prod Costs: Costs related to the production and dissemination of knowledge products
7. International consultants with climate change finance readiness expertise to support the assessment of readiness landscape, national stakeholder engagement, and readiness plan development in 4 countries of Phase 2
8. Travel for international consultants to undertake scoping and stakeholder engagement missions to each of the 4 countries in Phase 2\
9. Workshop costs for each of the 4 countries in Phase 2 to authorize readiness plan development and formalize national stakeholder engagement process
10. Final Evaluation to be conducted by independent consultant
11. Salary cost for Finance and Administrative Associate at G6 level (50% time)
12. **Management Arrangements**

**5.1 Project Organisation Structure**

**Global Support Unit**

UNDP GCF Readiness Programme Manager

**Programme Board**

**Programme Assurance**

UNDP-GEF, PTA, LECRDS

**Administrative Support:**

UNDP-GEF

**Programme Organisation Structure**

**Senior Beneficiaries**

**9 Participating UNDP COs**

UNDP-GEF

**Executive**

UNDP CoP, Sustainable Development Cluster

**Senior Supplier**

UNEP/BMUB

**Global Coordination**

**Global Knowledge Management**

**Phase 2 Readiness Project Preparation**

**Figure 6. Project Organisation Structure for the UNDP-UNEP-WRI GCF Readiness Project**

The UNDP-UNEP-WRI Green Climate Fund Readiness Project will be implemented by UNDP under the Direct Implementation Modality (DIM).

**5.2 Project Board**

Implementation of this global project will be carried out under the general guidance of a Project Board composed of designated senior-level representatives from UNDP, UNEP, WRI, and BMUB. Progress reports will be shared and teleconferences organized to inform the Project Board of progress on implementation. The Board will be responsible for approving amendments to this document; making management decisions when guidance is needed, conducting regular meetings/teleconferences to review progress, and agreeing on Project Manager responsibilities.

**5.3 Implementing Partner**

UNDP is the Implementing Partner, responsible for project execution and financial and technical oversight, ensuring that project outcomes and outputs are delivered, and resources disbursed efficiently. For the purpose of this project, UNDP–GEF Unit will be the unit responsible for implementation. UNDP–GEF provides standard project cycle management services, including project initiation, monitoring and evaluation, troubleshooting, and reporting to the donor. In addition, where appropriate, UNDP will leverage its regional cadres of experts on climate finance to help implement the components of this project as well as build synergies with its ongoing capacity building work in the area of climate change finance readiness. Regional technical and policy advisors and specialists will supply key knowledge and support to the national projects which sit under this global project umbrella. In each of the nine national projects, depending on the discrete set of support activities, these regional experts can apply project development expertise, advise on policy development and coordination frameworks, and facilitate coordination frameworks based on the many years of experience working in these countries. The activities listed under 1.3.2 are often designed and/or led by regional experts in UNDP’s hubs and so this readiness support will be aligned with these efforts in order to exploit synergies and avoid duplicative or redundant efforts.

**5.4 Project Assurance**

UNDP is responsible for project quality assurance, specifically through the UNDP–GEF Principal Technical Advisor, Low Emission and Climate Resilient Development Strategies (LECRDS) group within the Sustainable Development Cluster.

**5.4.1 Project Manager**

The UNDP Project Manager of the UNDP portion of the UNDP-UNEP-WRI GCF Readiness Project has responsibility for achieving the global coordination and global knowledge management outcomes of the UNDP national projects, including establishing global coordination mechanisms and activities; organizing and convening international workshops, meetings, and project exchanges; building the Project online component on the UNDP-World Bank CFO Platform; researching, preparing, and disseminating global knowledge products; providing technical backstopping to UNDP national projects; administrative and financial support; and facilitating communications with the Project Board and liaising with donors and Project partners.

The Project Manager will work under the overall supervision of the UNDP–GEF Head of Climate Change and Principal Technical Advisor of LECRDS. The ToR for the Project Manager is included in Annex II.

**5.4.2 Project Management Unit**

A Project Management Unit (PMU) will be established in New York to oversee the UNDP-led portfolio of national projects and to effectively coordinate actions of all other international partners, thus ensuring synergies and coherence and tracking progress of the broader partnership project as a whole. The PMU will be responsible for overall management of the UNDP-managed funds for this Project, development of national project plans and budgets and implementation of the Project’s annual work plan and quarterly work plan that will also integrate plans of other partners as appropriate. The PMU via the Project Manager will be responsible for providing technical backstopping and oversight and implementing partners and overall monitoring of the project.

1. **Monitoring Framework and Evaluation**

The project will be monitored through the following M&E activities. The M&E budget is provided in the table below.

**6.1 Project Start**

The Inception Workshops will be held virtually within the first 2 months of project start with those with assigned roles in the project organization structure, UNDP country office and where appropriate/ feasible regional technical policy advisors as well as other stakeholders. The Inception Workshop will discuss both the UNDP project and the broader partnership project and are crucial to building ownership for the project results and to plan the first year annual work plan.

The Inception Workshop should address a number of key issues including:

1. Assist all partners to fully understand and take ownership of the project. Detail the roles, support services and complementary responsibilities of project partners vis-à-vis the project team. Discuss the roles, functions, and responsibilities within the project's decision-making structures, including reporting and communication lines, and conflict resolution mechanisms. The Terms of Reference for project staff will be discussed again as needed.
2. Based on the project results framework, finalize the first annual work plan. Review and agree on the indicators, targets and their means of verification, and recheck assumptions and risks.
3. Provide a detailed overview of reporting, monitoring and evaluation (M&E) requirements. The Monitoring and Evaluation work plan and budget should be agreed and scheduled.
4. Discuss financial reporting procedures and obligations, and arrangements for annual audit.
5. Plan and schedule NCC meetings. Roles and responsibilities of all project organization structures should be clarified and meetings planned. The first NCC meeting should be held within the first 6 months following the inception workshop.

An Inception Workshop report is a key reference document and must be prepared and shared with participants to formalize various agreements and plans decided during the meeting.

**6.2 Quarterly**

Progress made shall be monitored based on a results based management approach jointly agreed by implementing partners. Based on the initial risk analysis submitted, the risk log shall be regularly updated. Risks become critical when the impact and probability are high. Based on Progress Report (PPR) can be generated in the Executive Snapshot.

**6.3 Annually**

* Annual Project Review/Project Implementation Reports (APR/PIR): This key report is prepared to monitor progress made since project start and in particular for the previous reporting period (30 June to 1 July).

The APR/PIR includes, but is not limited to, reporting on the following:

* Progress made toward project objective and project outcomes - each with indicators, baseline data and end-of-project targets (cumulative)
* Project outputs delivered per project outcome (annual).
* Lesson learned/good practice.
* AWP and other expenditure reports
* Risk and adaptive management
* ATLAS QPR
* Portfolio level indicators are used by most focal areas on an annual basis as well.

**6.4 Mid-term of Project Cycle**

The project will undergo an independent Mid-Term Evaluation at the mid-point of project implementation (first quarter of 2016). The Mid-Term Evaluation will determine progress being made toward the achievement of outcomes and will identify course correction if needed. It will focus on the effectiveness, efficiency and timeliness of project implementation; will highlight issues requiring decisions and actions; and will present initial lessons learned about project design, implementation and management. Findings of this review will be incorporated as recommendations for enhanced implementation during the final half of the project’s term. The organization, terms of reference and timing of the mid-term evaluation will be decided after consultation between the parties to the project document. The Terms of Reference for this Mid-term evaluation will be prepared by the Project office in based on guidance from implementing partners.

**6.5 End of Project**

An independent Final Evaluation will take place three months prior to the final NCC meeting and will be undertaken in accordance with UNDP guidance. The final evaluation will focus on the delivery of the project’s results as initially planned (and as corrected after the mid-term evaluation, if any such correction took place). The final evaluation will look at impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental benefits/goals. The Terms of Reference for this evaluation will be prepared jointly by implementing partners with the assistance from the project office.

The Terminal Evaluation should also provide recommendations for follow-up activities and requires a management response which should be uploaded to the (evaluation) knowledge management system.

During the last three months, the project team will prepare the Project Terminal Report. This comprehensive report will summarize the results achieved (objectives, outcomes, outputs), lessons learned, problems met and areas where results may not have been achieved. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the project’s results.

**6.6 Management and Financial Audit**

Based on Direct Implementation policies, UNDP will conduct management and financial audit of the Project on an annual basis. Management structures will be set up in terms of the UNDP project but will serve the implementation of the broader partnership project as well. The audit will also look into the compliance of the Project in terms of sub-contractual agreements as well as fulfilment of the work plan. Formal financial audit will be carried out by a government-registered auditor at all levels of implementation for UNDP implemented funds. In addition, Public Audit will be mandatory at the community level. Project Audit will follow UNDP Financial Regulations and applicable audit policies.

**6.7 Learning and Knowledge Sharing**

Results from the project will be disseminated within and beyond the project intervention zone through existing information sharing networks and forums.

The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation though lessons learned. The project will identify, analyse, and share lessons learned that might be beneficial in the design and implementation of similar future projects.

Finally, there will be a two-way flow of information between this Project and other projects of a similar focus, both within the UNDP portfolio and with external initiatives of the GCF Secretariat, GIZ/KfW, and other readiness delivery organisations.

**Table 5. M&E work plan and budget**

| **Type of M&E activity** | **Responsible Parties** | **Budget US$**  *Excluding project team staff time* | **Time frame** |
| --- | --- | --- | --- |
| Inception Workshop and Report | * National Project Coordinators (NPC) * UNDP CO, UNEP and WRI * Project Manager | None (conducted virtually) | Within first two months of project start up |
| ARR/PIR | * Project Manager * UNDP LECRDS Head & PTA | None | Annually |
| Periodic status/ progress reports | * Project Manager | None | Quarterly |
| Mid-term Evaluation | * Project Manager | None | At the mid-point of project implementation. |
| Final Evaluation | * Project Manager * UNDP LECRDS Head & PTA * External consultant | Indicative cost: $15,000 | At least three months before the end of project implementation |
| Project Terminal Report | * Project Manager * UNDP LECRDS Head & PTA | None | At least three months before the end of the project |
| Audit | * UNDP | None | Yearly |
| **TOTAL indicative COST**  Excluding project team staff time and UNDP staff and travel expenses | | **US$15,000** |  |

## 

# Legal Context

This project forms part of an overall programmatic framework under which several separate associated country level activities will be implemented. When assistance and support services are provided from this Project to the associated country level activities, this document shall be the “Project Document” instrument referred to in: (i) the respective signed SBAAs for the specific countries; or (ii) in the [Supplemental Provisions](http://intra.undp.org/bdp/archive-programming-manual/docs/reference-centre/chapter6/sbaa.pdf" \t "_blank" \o "http://intra.undp.org/bdp/archive-programming-manual/docs/reference-centre/chapter6/sbaa.pdf outbind://44/reference_centre/chapter5/supplementprovsbaa.pdf) attached to the Project Document in cases where the recipient country has not signed an SBAA with UNDP, attached hereto and forming an integral part hereof

This project will be implemented by UNDP in accordance with its financial regulations, rules, practices and procedures.

To ensure its responsibility for the safety and security of the UNDP personnel and property, UNDP shall: (a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried; (b) assume all risks and liabilities related to UNDP’s security, and the full implementation of the security plan.

The UNDP shall undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via [http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm](http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm" \t "_blank" \o "http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm). This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

1. **ANNEXES**
2. Terms of Reference for Project Staff
3. Environment & Social Safeguards Screening
4. Risk Analysis
5. Partners’ (UNDP, UNEP, WRI) Proposal to BMUB

**Annex I: Terms of Reference of Project Staff**

|  |  |  |  |
| --- | --- | --- | --- |
|  | **UNITED NATIONS DEVELOPMENT PROGRAMME**  **JOB DESCRIPTION** | | |
| **I. Position Information** | | | |
| Job Code Title: **Project Manager – UNDP-UNEP-WRI Green Climate Fund Readiness Project**  Position Number:  Department: **BPPS/SD**  Reports to: **Head of LECRDS and PTA**  Duty Station: **New York**  Position Status: **Fixed Term Appointment** | | | Current Grade: **FTA – P4**  Approved Grade:  Position Classified by:  Classification Approved by: |
| II. Organizational Context | | | |
| The Green Climate Fund (GCF), which was established as an operating entity of the UNFCCC financial mechanism, is expected to become the main global fund for financing climate change mitigation and adaptation measures. While it has been agreed that Direct Access will be one of the modalities for the disbursement of the funds, it is recognized that certain levels of capacity will be required by governments and other actors involved in accessing the GCF. For the GCF to succeed national capacities and mechanisms need to correspond to the GCF requirements, while also aligning with country planning, budgeting, programming and MRV systems.  With support from the German Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety (BMUB), UNEP, UNDP and WRI (“the Partners”) are currently at the start of the implementation phase, developing a full-fledged GCF Readiness Project (the Project) in 9 countries. The implementation phase is based on a previous inception phase that yielded country readiness plans drawn from country specific needs assessments. The Project is expected to offer needs-oriented support to countries for accessing and using the GCF once it is fully operational. The Project will include (i) specific capacity building projects in 9 target countries, (ii) the development of national project pipelines on the basis of existing and potential specific national plans and policies, together with feeding back lessons learned identified with GCF processes to support the work of the GCF Board and Secretariat.  In the selected target countries, the Project targets the key domestic institutions responsible for ensuring climate finance is used effectively. This includes those with fiduciary responsibility for national and international funds received but also those institutions responsible for allocating finance and ensuring it achieves its intended purpose, such as Ministries of Environment, Finance, Energy, Development and Planning, etc., as well other climate-change related public institutions and local-level governments. The Project also targets private sector actors that will play a key role in the implementation of specific projects, financial institutions that may invest in climate related activities and civil society actors that may support government in developing capacity as well as in strengthening mechanisms for monitoring and accountability.  The implementation phase of the Project will include the operationalisation of the country readiness plans developed during the inception phase by the partner agencies and the national governments. The Technical Advisor will serve as the day-to-day manager of the global implementation of the Project for UNDP. He/she will work closely with Project partners UNEP and WRI as the UNDP focal point on the Project Coordination Committee (PCC) to ensure coherence between the donor, partner agencies, and national stakeholders. The Technical Advisor will ensure UNDP-led activities adhere to the readiness framework designed for the Project, including the building of national capacities and institutional arrangements for direct access to climate finance and developing a project pipeline through the active engagement of the private sector. The Technical Advisor will also support the national governments, along with each national project coordinator in Benin, Colombia, El Salvador, Fiji, and Ghana and additional Project countries.  The Technical Advisor will report to the Head – Green Low-Emission Climate-Resilient Strategies Team and work in close cooperation with the two partners, UNEP and WRI. He/she will provide regular progress reports to the Global Project Coordinator, who will coordinate the global Project as part of UNEP’s role as administrative agency. UNDP will contract the Technical Advisor for 2.5 years. This contract will be renewable on an annual basis and subject to yearly performance reviews. | | | |
| III. Functions / Key Results Expected | | | |
| Summary of key functions:   * Providing technical advice and support to partner country governments, national project coordinators and UNDP country offices during the inception and implementation phases to assist delivery of Project outputs * Ensuring day-to-day coordination of UNDP’s participation in the Project at the global level * Providing knowledge management, sharing and coordination with partner agencies UNEP and WRI, as well as the broader climate finance and GCF readiness community * Monitoring, evaluation and reporting on UNDP implementation activities, use of donor resources, and risk mitigation measures | | | |
| 1. Function / Expected Results: Providing technical advice and support to partner country governments, national project coordinators and UNDP country offices during the inception and implementation phases to assist delivery of Project outputs:   * Provide technical advice and support on project activities to the project management units in the Project countries of Benin, Colombia, El Salvador, Fiji, and Ghana, Kenya, Philippines, Nepal and Uzbekistan in liaison with the UNDP Country and Regional Offices * Lead UNDP participation with inception phase activities in new Project countries – review draft project documents, advise on establishing national steering committees, and develop annual work plans and budgets * Conduct missions to Project countries, including convening meetings with key stakeholders, as necessary to help plan new components of work * Develop and review terms of reference for in-country consultants on request by national project coordinators * Provide technical inputs to the implementation of the different Project activities and outputs – including by organising and participating in meetings, trainings, workshops and other events; by providing analysis of results of the workshop/trainings/meetings/events; by providing technical inputs to workshop presentations, studies, advisory services and to other activities and outputs of the national projects * Prepare, in consultation with the national coordinators, UNDP country offices and Project partners, TORs of technical consultants and comment on their reports on UNDP-led activities * Facilitate the involvement of private sector, civil society, and other nongovernmental stakeholders in Project activities aimed at building the capacity and awareness of these stakeholders regarding climate finance readiness in line with Project activities | | | |
| 2. Function / Expected Results: Ensuring day-to-day coordination of UNDP’s participation in the Project, including knowledge management and sharing and coordination with partner agencies UNEP and WRI:   * Help plan agenda for and/or present in / facilitate semi-annual GCF Readiness global steering committee meetings, and ensure UNDP and key government ministries adequately represented and briefed * In cooperation with implementing partners, participate in global learning events representing UNDP’s experience on GCF Readiness, such as UNFCCC workshops and side events, GCF Board meetings, other global fora * Review and contribute to Project-related learning products of UNEP and WRI * Coordinate annual financial and narrative reporting on UNDP global component and country-level work to the German Government via UNEP, including reviewing drafts of national financial and narrative reports and writing UNDP global report * In cooperation with implementing partners, organize and facilitate global learning workshops to facilitate sharing of learning between Project countries | | | |
| 3. Function / Expected Results: Ensuring coherence with the readiness framework developed on the global level and with relevant initiatives at the national level:   * Ensure that the national Projects produce the UNDP-led outcomes specified in the national GCF Readiness Plans at the required quality standards and within the specified cost and time limits * Assist in the coordination of the UNDP-led and partner activities to ensure harmonized delivery and avoid redundancy * Promote overall integration of the national projects into the countries’ existing and planned readiness and related activities, the national climate change policies and plans, and encourage shared learning with national partners, implementing partners and national project coordinators * Supervise personnel engaged in delivering the UNDP-led aspects of the Readiness Plans including personnel contracted to deliver national-level Project activities * Support the development and approval process of annual operational work plans by the National Coordination Committees in target countries * Ensure close coordination between other relevant climate change projects, both in-country and those lead by the partners, the GCF Secretariat, and other organisations * Facilitate coordination and other support for consultants hired for the Project, and for any relevant UNEP, UNDP, and WRI missions directly related to the Project | | | |
| 4. Function / Expected Results: Monitoring, evaluation, and reporting, the Project Manager will:   * Carry out regular follow-up and monitoring of implementation activities * Carry out regular monitoring and reporting on risks and mitigation measures * Ensure timely preparation and submission of required reports, including technical and financial reports * Provide regular updates on the Project’s progress to UNEP, WRI and BMUB upon their request * Facilitate independent evaluations as fielded by Project partners | | | |
| IV. Impact of Results | | | |
| * Global coordination of UNDP GCF Readiness national projects is operational and visible * Global knowledge management of climate change finance and GCF readiness experiences and lessons emerging from UNDP GCF Readiness portfolio of projects is enhanced and effective | | | |
| **V. Competencies** | | | |
| **Functional Competencies:**  Advocacy/Advancing A Policy-Oriented Agenda   * Uses the opportunity to bring forward and disseminate materials for advocacy work   Results-Based Project Development and Management   * Assesses project performance to identify success factors and incorporates best practices into project work * Researches linkages across Project activities to identify critical points of integration * Monitors specific stages of project implementation   Building Strategic Partnerships   * Identifies needs and interventions for capacity building of counterparts, clients and potential partners * Displays initiative, sets challenging outputs for him/herself and willingly accepts new work assignments * Takes responsibility for achieving agreed outputs within set deadlines and strives until successful outputs are achieved   Innovation and Marketing New Approaches   * Looks at experience critically, drawing lessons, and building them into the design of new approaches * Identifies new approaches and promotes their use in other situations * Documents successes and uses them to project a positive image * Creates an environment that fosters innovation and innovative thinking * Makes the case for innovative ideas from the team with own supervisor   Promoting Organizational Learning and Knowledge Sharing   * Makes the case for innovative ideas documenting successes and building them into the design of new approaches * Identifies new approaches and strategies that promote the use of tools and mechanisms   Job Knowledge/Technical Expertise   * Understands more advanced aspects of primary area of specialization as well as the fundamental concepts of related disciplines * Serves as internal consultant in the area of expertise and shares knowledge with staff * Keeps abreast of new developments in area of professional discipline and job knowledge and seeks to develop him/herself professionally   **Core Competencies:**   * Promoting ethics and integrity, creating organizational precedents * Building support and political acumen * Creating and promoting enabling environment for open communication * Creating an emotionally intelligent organization * Leveraging conflict in the interests of UNDP & setting standards * Sharing knowledge across the organization and building a culture of knowledge sharing and learning**.** * Fair and transparent decision making; calculated risk-taking | | | |

|  |  |
| --- | --- |
| **VI. Recruitment Qualifications** | |
| Education: | * Master’s degree in environmental policy, finance, economics or other relevant subject |
| Experience: | * Minimum of 7 years professional experience in policy analysis, advice and capacity development related to climate change finance Experience working with developing countries on climate change issues, with field experience on climate change programming desirable * Knowledge of and experience with international climate change negotiations, especially with respect to their impact on climate finance sources, types, and flows * Experience with expert bodies on climate finance, including but not limited to the Green Climate Fund, the Adaptation Fund, UNFCCC expert groups, and multilateral development finance institutions * Initiative and self-motivation to work individually, as well as cooperative and collaborative spirit to work in a team * Experience in developing quality knowledge products for multiple target audiences, including websites and e-discussions; knowledge of UNDP’s knowledge networks, particularly the Climate Finance Options Platform, an asset * Experience designing and coordinating innovative and complex workplans and strategies to achieve specific objectives * Familiarity with the UN system and UNDP |
| Language Requirements: | * Excellent communication, analytical, research, and writing skills in English language (other languages, helpful) * Knowledge of another UN language an asset |

**Post Title: Administrative/Finance Associate (AFA)**

**Duty Station**: New York

**Duration**: Post valid for the entire duration of the Project. Service contract issued annually, if extended based on performance appraisal.

**Responsibilities**:

The AFA will work directly under the supervision and overall guidance of NPC. The AFA will be responsible to ensure smooth administrative and financial management to the Project. Specifically, the AFA will:

* Maintain accurate financial and personnel records of the Project as required by BMUB, UNDP, and/or UNEP.
* Prepare financial records as needed.
* Assist PC in all matters related to financial and administrative functions of the Project.
* Manage all correspondence related to administrative, financial and security related matters.
* Maintain the inventory and keep records of all office equipment, furniture, fixing, and vehicle. Undertake physical verification of all assets and update records.
* Take lead in training on administrative and financial management to train Project staffs and others stakeholders.
* Take lead to undertake all tasks related to the audit.
* Carry out additional support as requested by the NPC and as required to make this Project a success.

**Qualifications**:

The AFA shall have a Bachelor's degree in a relevant field with work experience of at least 5 years. The incumbent shall have experience in management of procurement, organization of training Projects and provision of secretarial and communication services. Proven abilities in English writing and computer skills are required. The candidate with experience of working with UNDP will have an added advantage.

**Annex II. Environment & Social Safeguard Screening**

**Project Information**

|  |  |
| --- | --- |
| ***Project Information*** |  |
| 1. Project Title | Green Climate Fund Readiness Programme |
| 1. Project Number |  |
| 1. Location (Global/Region/Country) | Global |

**Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability**

|  |
| --- |
| **QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?** |
| ***Briefly describe in the space below how the Project mainstreams the human-rights based approach*** |
| UNDP will uphold the principles of accountability and the rule of law, participation and inclusion, and equality and non-discrimination, noting that prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. UNDP will also ensure the meaningful, effective and informed participation of stakeholders in the formulation, implementation, monitoring and evaluation of Programmes and Projects.  The Project takes a focused approach to coordination and knowledge management of capacity building support in nine countries to facilitate equitable access to financing for the achievement of climate change mitigation and adaptation impacts. As the global level umbrella project, this Project is in line with agreed international standards on readiness which make clear references to country-owned processes, gender equality considerations, and vulnerable group inclusion. Moreover, the implementation activities at the national level were devised in cooperation with target countries and are aligned with national development plans and climate strategies and priorities, including the UNDAF  The draft global proposal was developed based on clear demands for readiness support from project countries and the development of the national projects was undertaken with the meaningful, effective and informed participation of all stakeholders identified in the project at both the national and subnational levels and with government, private sector, and civil society stakeholders. |
| ***Briefly describe in the space below how the Project is likely to improve gender equality and women’s empowerment*** |
| The proposed Project will strengthen the capacity of national stakeholders and subnational and civil society groups to access, manage and benefit from sources of climate finance. More specifically the Project will strengthen this capacity in vulnerable groups such as women, and also look for ways to empower micro, small, and medium enterprises – often owned and operated by women – to be able to capitalize on sources of finance for climate-relevant businesses that achieve adaptation and mitigation impacts. Women will be prioritized to take part in trainings and workshops aimed at increasing their ability to plan for, access, and manage sources of climate finance. |
| ***Briefly describe in the space below how the Project mainstreams environmental sustainability*** |
| The proposed project is financed by the Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety of Germany and is intended to assist stakeholders to access funds from the Green Climate Fund (in its role as a financial mechanism of the UN Framework Convention on Climate Change) and therefore environmental benefits and sustainability are central to and the primary focus of the entire project. |

**Part B. Identifying and Managing Social and Environmental Risks**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **QUESTION 2: What are the Potential Social and Environmental Risks?**  *Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.* | **QUESTION 3: What is the level of significance of the potential social and environmental risks?**  *Note: Respond to Questions 4 and 5 below before proceeding to Question 6* | | | | **QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?** | |
| ***Risk Description*** | ***Impact and Probability (1-5)*** | ***Significance***  ***(Low, Moderate, High)*** | ***Comments*** | | ***Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.*** | |
| Risk 1: No Risks Identified | I =  P = |  |  | |  | |
| Risk 2 …. | I =  P = |  |  | |  | |
| Risk 3: …. | I =  P = |  |  | |  | |
| Risk 4: …. | I =  P = |  |  | |  | |
| [add additional rows as needed] |  |  |  | |  | |
|  | **QUESTION 4: What is the overall Project risk categorization?** | | | | | |
| **Select one (see** [**SESP**](http://www.undp.org/content/undp/en/home/librarypage/operations1/undp-social-and-environmental-screening-procedure.html) **for guidance)** | | | | | **Comments** |
| ***Low Risk*** | | | **X** | |  |
| ***Moderate Risk*** | | | **☐** | |  |
| ***High Risk*** | | | **☐** | |  |
|  | **QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?** | | | | |  |
| Check all that apply | | | | | **Comments** |
| ***Principle 1: Human Rights*** | | | **☐** | |  |
| ***Principle 2: Gender Equality and Women’s Empowerment*** | | | **☐** | |  |
| ***1. Biodiversity Conservation and Natural Resource Management*** | | | **☐** | |  |
| ***2. Climate Change Mitigation and Adaptation*** | | | **☐** | |  |
| ***3. Community Health, Safety and Working Conditions*** | | | **☐** | |  |
| ***4. Cultural Heritage*** | | | **☐** | |  |
| ***5. Displacement and Resettlement*** | | | **☐** | |  |
| ***6. Indigenous Peoples*** | | | **☐** | |  |
| ***7. Pollution Prevention and Resource Efficiency*** | | | **☐** | |  |

**Final Sign Off**

|  |  |  |
| --- | --- | --- |
| ***Signature*** | ***Date*** | ***Description*** |
| QA Assessor – Daniel Buckley, Climate Change Policy Analyst | 13/3/2015 | UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have “checked” to ensure that the SESP is adequately conducted. |
| QA Approver |  | UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD)**,** Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have “cleared” the SESP prior to submittal to the PAC. |
| PAC Chair |  | UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC. |

**Annex III. Risk Analysis**

**OFFLINE RISK LOG**

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Project Title: UNDP-UNEP-WRI Green Climate Fund Readiness Project** | | | | | | **Award ID:** | | | **Date:** | | |
| **#** | **Description** | **Date Identified** | **Type** | **Impact &**  **Probability** | **Countermeasures / Mngt response** | | **Owner** | **Submitted, updated by** | | **Last Update** | **Status** |
|  | Enter a brief description of the risk  *(In Atlas, use the Description field.* ***Note: This field cannot be modified after first data entry)*** | When was the risk first identified  *(In Atlas, select date. Note: date cannot be modified after initial entry)* | Environmental  Financial  Operational  Organizational  Political  Regulatory  Strategic  Other  Subcategories for each risk type should be consulted to understand each risk type (see Deliverable Description for more information)  *(In Atlas, select from list)* | Describe the potential effect on the project if this risk were to occur  Enter probability on a scale from 1 (low) to 5 (high)  P =  Enter impact on a scale from 1 (low) to 5 (high)  I =  *(in Atlas, use the Management Response box. Check “critical” if the impact and probability are high)* | What actions have been taken/will be taken to counter this risk  *(in Atlas, use the Management Response box. This field can be modified at any time. Create separate boxes as necessary using “+”, for instance to record updates at different times)* | | Who has been appointed to keep an eye on this risk  *(in Atlas, use the Management Response box)* | Who submitted the risk  *(In Atlas, automatically recorded)* | | When was the status of the risk last checked  *(In Atlas, automatically recorded)* | e.g. dead, reducing, increasing, no change  *(in Atlas, use the Management Response box)* |
| 1 | UNDP GCF Readiness national projects unable to participate fully in global coordination due to communication gaps | During prodoc development | Operational  Organizational | It is possible that national readiness projects will lack time or interest to address concerns beyond their national projects.  P = 2  I = 2 | National coordinators, Project Manager, and UNDP COs will provide main impetus to foster coordination amongst national projects. | | UNDP  Project Manager  National Coordinator |  | |  |  |
| 2 | UNDP GCF Readiness national projects do not participate fully in global knowledge management, this may be due to a lack of sufficient documentation on lessons learned or experiences | During prodoc development | Operational  Organizational | National projects may narrowly focused on implementation to collect thematic lessons and good practices for global knowledge management. M&E and knowledge management are embedded in the national prodocs.  P = 2  I = 2 | In consultation with the Project Board, the Project Manager may use lessons or experiences from the UNEP or WRI activities to supplement the UNDP GCF Readiness portfolio for knowledge management | | UNDP  Project Manager |  | |  |  |
| 3 | Insufficient financial resources to achieve outcomes and outputs | During prodoc development | Financial | National and global budgets have been conservatively estimated so as to not be overly ambitious, but some reallocation may be necessary upon project implementation.  P = 1  I = 1 | Partnership with other similar initiatives within UNDP and with broader partners (GIZ, GCF Sec, KfW). Global efforts will utilize cost-saving online technologies wherever possible | | UNDP  Project Manager  LECRDS Head & PTA |  | |  |  |
| 4 | Insufficient personnel to achieve outcomes and outputs | During prodoc development | Operational  Organizational | Project Manager is charged solely with success of the global component, where relevant that role will be bolstered with the support of consultants for particular elements. However, the projected workload has been tested and based on UNDP’s experience with similar projects.  P = 2  I = 2 | UNDP may have to step in with additional support from the regional hubs and consultants may need to be increased. | | UNDP  Project Manager  LECRDS Head & PTA |  | |  |  |

**Annex IV: Partners’ (UNDP, UNEP, WRI) Proposal to BMUB**

# International Climate Initiative 2013

**Federal Ministry for the Environment, Nature Conservation and Nuclear Safety (BMU)**

**GREEN CLIMATE FUND READINESS PROGRAMME**

Please enclose the following attachments:

|  |  |
| --- | --- |
|  | Annex 1: Implementing partner(s) / Subcontractor(s) |
|  | Annex 2: Gantt chart |
|  | Annex 3: Project planning and monitoring table |
|  | Annex 4: Funding requirements and financing |

Guidance document 1 ‘Notes on IKI project proposals and monitoring’

Please delete the explanations formatted grey after filling in the form. Please do not exceed 15 pages plus annexes. The documents are to be submitted as hard copies (in duplicate) and electronically (as Word file and as scanned PDF document), quoting the project number in the subject line, to the Programme Office:

Programmbüro Internationale Klimaschutzinitiative

Potsdamer Platz 10

D-10785 Berlin

[programmbuero@programmbuero-klima.de](mailto:programmbuero@programmbuero-klima.de)

.

Place, date Legally binding signature

[Name of the authorised officer]

Stamp

|  |  |
| --- | --- |
| **1** **Project master data** | |
| 1.1 Project | |  |  |  | | --- | --- | --- | | Project number |  | | | Project title | **Green Climate Fund Readiness Programme** | | | Country/countries of implementation |  | | | Duration [mm.yy–mm.yy] |  | | | **Total project volume (sum of subtotals) [€]** |  |  | | of this |  |  | | Own funds [€] |  |  | | External funding [€] |  |  | | Third-party grants [€] |  |  | |  | Subtotal |  | |  |  |  | | BMU funding volume [€] | 2013 |  | |  | 2014 | 3,500,000 | |  | 2015 | 4,500,000 | |  | 2016 | 2,000,000 | |  | 2017 |  | |  | 2018 |  | |  | 2019 |  | |  | Subtotal |  | |
| 1.2 Submitter | |  |  | | --- | --- | | Name/ organisation | United Nations Environment Programme (UNEP) | | Department | Division of Technology, Industry and Economics/Division of Environmental Policy Implementation | | Street, No. | 15 rue de Milan/ United Nations Avenue | | Postal code, town/city | 75441 Paris Cedex 09 | | Country | France | | Contact person | Ms Merlyn Van Voore | | Telephone | + 33 1 44 37 30 33 | | Telefax | + 33 1 44 37 14 74 | | Email | Merlyn.vanvoore@unep.org | | Website | www.unep.org | | |  |  | | --- | --- | | Institution |  | | Legal structure | United nations entity established by the UN General Assembly | | Non-profit status | yes  no | | Total staff | 1,140 | | Staff for the project | 3 (with additional consultants/coordinators in the regions) | | Year established | 1972 | | Turnover [€/year] | USD 378 million (2010) | | Experience in the target region [years] | 40 | | Experience of activities relevant for the project[years] | 20 |   Role/function of submitter in the project proposed here  UNEP will be responsible for the coordination of the Programme and the Programme Trust Fund. The Programme which will be jointly implemented by UNEP, the United Nations Development Programme (UNDP) and the World Resources Institute (WRI). | | |
| 1.3 Partner institutions for embedding in the target region | To ensure the attainability and sustainability of the Programme outcomes and outputs, promoting ownership and accountability of stakeholders in the selected target countries will be essential. Partner institutions to include:   * Relevant ministries including Finance, Planning and Development, Energy, Industry and Environment ministries; * National climate change organisations such as inter-ministerial coordinating entities, multi-stakeholder climate change national committees including REDD+ specific organisations if any; * Public finance institutions including, where already identified, National Implementing Entities for the Adaptation Fund, including national climate funds as appropriate * Relevant private sector and civil society networks and associations.   Other partner institutions will be:   * UN REDD through their national settings in the Programme target countries; * UNDP target country teams. |
| 1.4 Implementing partners and subcontractors[[12]](#footnote-12) | United Nations Development Programme  UNDP is a core partner on climate finance readiness and plays a unique role with its global presence in-country, operating in 177 countries around the world. UNDP is already working in many LDCs and MICs on adaptation and mitigation in the area of policy, investment, capacity development and action at the national and grassroots level. Funding sources are diverse, including the GEF, the Adaptation Fund, UNREDD, the MLF for Montreal Protocol and many bilateral donors including Japan, Germany, the EC and Norway. For example, the “Africa Adaptation Programme” (2008-2012) is assisting 20 countries to move from project-based to programmatic approaches to adaptation focusing on key capacity development needs for climate resilient development including the climate information system, institutional system, policy development and planning, financing, and knowledge management. Under the project “Capacity Development for Policy Makers to Address Climate Change” (2008-2011) 15 countries, including 5 LDCs, used a UNDP methodology to assess the investments and financial flows needed to implement adaptation and/or mitigation priorities in key sectors. In addition, UNDP has gathered important lessons through its Direct Access Support Programme pilots, which were implemented throughout 2011 and 2012, some of which were conducted jointly with UNEP. Overall, UNDP has identified the following areas as barriers to direct access: capacity for programming, financial management, procurement and monitoring and evaluation. Effective cross-sector and donor coordination among climate change stakeholders is essential for addressing these barriers. In particular, self-assessment and broad stakeholder engagement promotes an endogenous process and nationally-owned capacity development plans that are prioritized and understood. Finally, an expanded scope of institutional arrangements for climate change and development effectiveness leads to the national implementing entity that is coordinated with its partner ministries and where future initiatives are aligned to national priorities and development plans.  *Function/role in the project proposed here*  Together with UNEP and WRI, UNDP will be a joint implementing partner  World Resources Institute  WRI has been engaged in climate change issues for more than 20 years. Through the Sustainable Finance Initiative brings together WRI’s expertise on international financial flows and national level climate finance work. WRI has at least 6 years of experience in working on climate finance issues. This includes development of assessment frameworks, carrying-out readiness assessments in Africa as well as advice on the global climate finance architecture including on readiness for climate finance (e.g. Mobilizing Climate Investments publication). WRI engages both with Government as well as non-Governmental actors on climate finance. Particular capabilities and experiences relevant for the proposed project include:   * Development and implementation of the National Adaptive Capacity Framework * Organization of Regional Dialogues on Improving National Systems and Procedures for Tracking Climate Change Finance * Co-implementation of the ‘Fit for the Funds’ project focusing building the capacity of government officials and national climate financial institutions in accessing international climate finance * Knowledge products focusing on leveraging private sector finance for climate finance; analysis of national and international climate financial flows; and on Management, Reporting and Verification of climate finance.   *Function/role in the project proposed here*  Together with UNEP and UNDP, WRI will be joint implementing partner |

|  |  |
| --- | --- |
| **2** **Project classification**  Please tick only one box in each of sections 2.1 and 2.2. For projects covering several categories, please indicate the main category only. | |
| 2.1 Thematic focus | |  |  | | --- | --- | | Waste  Transport  Energy efficiency  Renewable energies | Climate policy  x Innovative financing instruments  Insurance solutions | | Energy efficiency / Renewable energies  Carbon market (CDM/JI)/ Emissions trading  MRV (Measurement, Reporting and Verification)  Adaptation strategies  Ecosystem-based land-use systems  REDD+ and natural carbon sinks  Biodiversity conservation | | |  | | | Other (please specify) |  | |
| 2.2 Project type | |  |  | | --- | --- | | Investment | Research cooperation | | Credit programme | Capacity building/training | | Technology transfer | Study/concept development | | Policy advice |  | | Other (please specify) | | |
| 2.3 Emission allowances | The project generates emission allowances during the funding period:   yes x  no  The allowances generated by the project during the funding period will be permanently cancelled:  yes  no  If emission allowances are generated after the funding period, please specify below.  N/A |

|  |  |
| --- | --- |
| **3** **Brief description** | |
| 3.1 Structured brief description | Please provide a description of the project that can be used for public presentations (e.g. on the BMU website) in three paragraphs, with an overall length of approx. 1,400 characters:  Paragraph 1: Starting situation, context, challenges  Paragraph 2: Project goals and planned measures  Paragraph 3: (Multiplier) effects extending beyond the project scope (e.g. concerning environment, employment market, business and industry, capacities and competences,…).  The Green Climate Fund (GCF) was established by a decision of the Conference of Parties to the UNFCCC in 2010 to become the new operating entity of the Convention’s financial mechanism. It is expected to become the main global fund for financing climate change mitigation and adaptation measures in developing countries in the coming years. The GCF will have direct access as one of its modalities. The GCF’s governing instrument makes specific reference to the need to assist developing countries in building capacities needed for direct access. In order to be effective, national mechanisms for receiving, allocating and disbursing international climate finance need to be well aligned with the country’s planning, budgeting, programming and monitoring procedures and systems. The GCF also recognizes the need to engage the private sector on climate finance issues.  The objective of the Green Climate Fund Readiness Programme is to support developing countries in strengthening their national capacities to effectively and efficiently plan for, access, manage, deploy and monitor climate financing in particular through the GCF once it is fully operational.  The Programme will target two important aspects of the GCF approach, access to funds and private sector engagement, both of which will require significant preparatory work in many countries before GCF financing will be possible at scale.  The GCF Readiness Programme will focus on a range of preparatory activities to a) build and strengthen the institutional capacity of national entities, with a focus on enabling direct access; and to b) help countries prepare climate change mitigation and adaptation investment strategies, programmes and projects, including through the active involvement of the private sector.  The combined programmes will aim to deliver a broad range of outcomes at the country level, all individual ingredients of the overall process of getting countries ready to source, mobilize, manage and deploy international climate finance effectively within the context of national decision-making frameworks. In addition, through a rigorous process of documenting lessons learned and preparing best-practice methodologies and tools, the Programme will demonstrate the sort of country readiness programmes that the GCF Board could subsequently support through fund operations. |

|  |  |  |
| --- | --- | --- |
| **4 Project concept**  Please follow the instructions given in the ‘Notes on IKI project proposals and monitoring’  (Guidance document 1), and ensure consistency with both the ‘Gantt chart’ (Annex 2) and the ‘project planning and monitoring table’ (Annex 3). | | |
| **4.1** **Starting situation**  If, in supraregional projects, several countries are involved, please describe the starting situation in the subsequent categories 4.1.1 and 4.1.2 as needed for each one individually in terms of the integration of the project into the strategies of the target country, the starting situation in the target area, project goals, indicators, activities and risks. | | |
| 4.1.1 Starting situation in the target country | | Please describe the present situation and the project context in such a way that it can be used as a baseline.  The programme will in a first stage work with six countries covering three regions. These countries are: Colombia, El Salvador, Benin, Ghana, Fiji and Nepal.  These countries were identified based on predefined selection criteria for the GCF readiness programme such as:  Vulnerability to Climate Change; mitigation potential, including in the area of REDD+; enabling frameworks in place; minimum of institutional capacities and good potential of their development; support needed due to limited financial capacities; willingness of country to participate; ease of implementation based on the partners' previous and current engagement; balanced regional distribution and the representation of LDCs and SIDs.  - In Colombia, Climate Change is a major concern for the Government (signatory to the Kyoto Protocol). It has created a climate change coordination office in the Ministry of the Environment, and a high level coordination committee led by the Vice President. These institutional efforts have resulted in a dynamic portfolio of climate change related projects for mitigation and adaptation to climate change. Colombia has played a pioneering role both in the region and globally on the climate change arena through internalization at highest decision making levels of the Climate Change agenda; through forceful actions taken in terms of institutional strengthening at the Ministry and regional and sector agencies; and through the quality of the vulnerability assessments undertaken in the context of the enabling activities under the UNFCCC.  - Ghana launched several policies and programs in the domain of mitigation, adaptation and REDD+. While the Ministry of Environment, Science, Technology and Innovation carries the policy lead for climate change, an Environmental Protection Agency has been created under the ministry carrying the technical lead for Climate Change. The Ministry of Finance and Economic Planning then oversees, coordinates and manages financing in climate change activities. The country has a high GHG mitigation potential, and hosts REDD+ activities that are directed by the Ministry of Lands and Natural Resource. The National Climate Change Policy Framework, launched in 2010, aims at a climate resilient and climate compatible development. The large number of NAMAs submitted to the UNFCCC compared to other countries in the region is a reflection of Ghana’s strong interest to prepare itself to access to climate finance. However the rejection of the NIE accreditation application of the Ministry of Finance and Economic Planning in 2011 to the Adaptation Fund illustrates the need to further strengthen Ghana’s institutional capacities in the area of climate finance.  - In terms of mitigation and adaptation, Fiji’s Roadmap for Democracy and Sustainable Socio-Economic Development 2010-2014 aims at a resource efficient and environmentally sustainable energy sector, sustainable management and utilization of national natural resources, and building national resilience to disasters and adapting to climate change. In order to achieve these objectives, Fiji launched climate change related action plans and policies, as well as a REDD+ policy in 2011. Fiji has a Climate Change Unit, responsible for delivering the National Climate Change Policy and to coordinate climate change programmes and projects in the country.  - El Salvador proposed various policies and assessments related to adaptation and mitigation. While there are ongoing efforts to finalize a Climate Change Action Plan, the Government Development Plan 2010-2014 identified mitigation and adaptation as a prioritized policy area. There are no NAMAs yet on the country, but requests for support in this area have been received by UNDP. The Climate Change Unit within the Ministry of the Environment and Natural Resources is the official focal point for climate change and the UNFCCC, but various other ministres have created climate change unites that could play a role in accessing and managing climate finance. Current national barriers include the need to improve operational capacities in key institutions, to diversify the menu of financial instruments, and to adapt the national financial architecture in order to integrate climate change in the management of public expenditures.  - Benin ratified the Kyoto Protocol in 2002, and, since that time, has established a National Committee on Climate Change, developped and begun implementing the NAPA, and is in the preliminary stages of the NAP process. However, there is still no national policy on climate change, despite some initiatives such as the Environmental Action Plan, the National Strategy for Implementing the UNFCCC, the National Plan for Adaptation or the National Environment Management Program. Benin is a partner country to the UN-REDD programme, but does not have a UN-REDD National Programme in country. The Ministry of the Environment, Habitat, and Urban Planning is the focal point to the UNFCCC. The Ministry of the Environment and Natural Protection also has a key role, hosting three agencies invovled in climate change : The Department of Environment, Benin Environmental Agency, and the National Committee on Climate Change.  - In Nepal, because of the political instability, climate change only began to gain prominence in the national discourse in 2009. Since that time, the government and relevant ministries have started to crate climate change policies and discussed plans to update current legislation to include language of climate change adaptation and mitigation. Thus the government has completed its NAPA, REDD Readiness Program. In 2011, the Government approved its National Climate Change Policy, meant to ensure that all development plans in Nepal are climate resilient and address adaptation, mitigation and REDD+. The Ministry of Environment is currently preparing a national strategy for Climate Change, meant to provide guidance for NAPA and LAPA implementation, as well as future climate change programs and projects.    All six countries have formally expressed their commitment to participating in the programme.  Country missions have been conducted and have resulted in the preparation of country readiness plans.  The GCF Readiness Programme will set up a Trust Fund. The purpose of the Trust Fund will be to pay for the activities and staff of the Programme with the aim to offer needs-oriented support to countries for accessing and managing financing from the GCF once it is fully operational. |
| 4.1.2 Project integration into strategies of the target country | | Please state the partner country’s needs. Explain how the project shall meet these needs. Please also describe the manner in which project activities can link to ongoing projects and feed into the international discourse.  The GCF Readiness Programme will be aligned with the national climate change and national finance strategies (where these exist) of the five countries participating in the first phase of the programme reflecting the GCF approach to “pursue a country-driven approach and promote and strengthen engagement at the country level through effective involvement of relevant institutions and stakeholders” as stated in the GCF’s Governing instrument.  While the GCF was established by a decision of the UNFCCC Conference of Parties in Mexico in 2010 as a new operating entity for the convention’s financial mechanism, the exact modalities for the disbursement of the funds are still under development. National capacities and mechanisms regarding accessing, allocating, disbursing and reporting about both national and international climate finance will need to correspond to the future requirements set by the GCF board as well as be aligned with country existing and future planning, budgeting and programming systems. The latest GCF decision refers to direct access and access modalities., However the guidelines, criteria to operationalise these modalities are still to be developed. The project will therefore support implementation of strategies and plans already developed (or underway) in each target country, and initiate a long-term cycle of improving climate finance policy and programming through use of evidence and practical experience. Tailoring the activities to countries' specific needs and circumstances, including institutional arrangements and data availability, is critical to this programme. |
|  | |  |
| **4.2 Project goals** | | |
| 4.2.1 Project goals and target group | | **Outcome (overarching project goal):**  The outcome is the actual goal of the project, i.e. the changes that can be causally attributed directly to the project. It also comprises the change process that intermediaries and target groups undergo when they make use of the outputs (products, goods, services and regulations/standards) generated by the project.  This corresponds to the information provided in the project planning and monitoring table (Annex 3).  Please define only one overarching project goal (Outcome).  The overarching goal of the GCF Readiness Support Programme is to prepare countries to access, manage, deploy and monitor scaled-up financing through the Green Climate Fund. The Readiness Programme is expected to achieve the following results:  a) institutional capacity of national entities is built and strengthened, with a focus on enabling direct access to climate finance;  b) climate change mitigation and adaptation investment strategies, programmes and projects (including development of pipeline for GCF funding), including through the active involvement of the private sector, are developed.  **Outputs (specific project goals):**  Outputs are products, goods, services and regulations/standards generated by project activities.  Outputs correspond to the work packages listed in 4.2.3. These correspond to the information provided in the project planning and monitoring table (Annex 3).  The Programme has designed a catalogue of ten support modules described as follows. Each country is identifying the support modules that correspond best to its individual needs, strategies and priorities, resulting in different support programmes tailored for each country.  **Workpackage A: Building the institutional capacities of countries, with a focus on enabling direct access. Work package A consists of 5 country support modules:**  **Module 1: Map the broad institutional context and strengthen capacity of national climate/-finance institutions for managing adaptation and mitigation finance across various institutions and levels.**  Results   * 1. Increased understanding of climate finance related institutions on their capacity needs for managing adaptation, mitigation and REDD+ finance across institutions and levels.   2. Strengthened skills and systems on management of climate finance across institutions.   Outputs   * 1. Mapping report on the broad institutional context, on existing policies and plans and on the capacity needs for managing adaptation and mitigation finance across the responsible institutions and levels.   2. Training workshops, training material and reports regarding the management of climate finance including required finance management systems across institutions.   **Module 2: Develop national and / or sectoral financial plans detailing financial needs related to climate change and how climate funds can be allocated.**  Results   * 1. Improved financial planning and targeting with regards to climate change mitigation incl. REDD+ and adaptation priorities.   2. Strengthened understanding of institutions regarding public spending on climate change related activities, regarding the extent to which this expenditure is supported by existing policy and institutional responsibilities, and how to improve climate relevant public expenditure in the future.   Outputs   * 1. National and / or sectoral financial plans on climate change developed including provision of decision support tools for improving the planning of climate related interventions   2. Draft or completed climate public expenditure and institutional review.   **Module 3: Assist countries in identifying, establishing and strengthening implementing entities (IE) and national designated authorities (NDA) in order to access climate finance.**  Results   * 1. Increased knowledge in government institutions regarding requirements for direct and indirect access to funds of the GCF, access to and mobilization of climate finance more broadly (international, national, private and public); and identification and set up of appropriate IEs   2. Strengthened capacities of the IE to access GCF funding and to mobilize climate finance more broadly   3. Depending on level of national climate finance readiness and needs and status of operationalization of GCF, IE accreditation or in process of accreditation with the GCF and/or similar funding mechanisms.   3.4) Where relevant, strengthened skills of the NDA regarding the assessment of and consultation on the consistency of funding proposals with national climate strategies and plans.  Outputs   * 1. Training workshops, training material, and advisory services for government institutions on direct (including enhanced direct) and indirect access requirements for the GCF and on the access to and mobilization of climate finance more broadly (international, national, private and public)   2. Mapping report and roadmap for establishing and endorsing an appropriate NIE, subnational and/or regional entity.   3. Assessment report on institutional options and capacity requirements for the operationalization of a NDA to assess and consult on funding proposals   **Module 4: Develop systems including tools and methods for national and sub-national monitoring and reporting on climate finance including its results**  Results  4.1) Strengthened capacity of institutions and civil society to undertake monitoring, evaluation, reporting and verification of climate finance.  Outputs  4.1) Systems developed and relevant staff trained for national and sub-national monitoring, evaluating, reporting and verifying climate finance.  4.2) Training activities on how to develop, apply and maintain such a system, thus strengthening capacity beyond the programme implementation period  **Module 5: Establish communication linkages between national and regional readiness activities and ongoing global processes**  Results   * 1. Strengthened knowledge in countries of the opportunities and barriers with regards to accessing and managing funding from the GCF and other sources, including the private sector as well as about measures to overcome these barriers   2. Improved understanding by the GCF and other stakeholders regarding how to design GCF processes and requirements that take into account developing countries' needs and capacity.   3. Improved access to information on sources of climate funding and on experience in engaging with these sources via the Climate Finance Options Platform.   Outputs   * 1. Knowledge products to capture lessons learned developed and disseminated through workshops and outreach events and providing inputs for recommendations to the GCF board to align requirements with country needs.   2. National and/or regional online Climate Finance Options Platform operational that identifies sources of climate funding and facilitates the sharing of information and experience in engaging with these sources, including examples of successful cases of blending different types of funds to leverage private sector financing. The platform also includes tools, publications and a user community collaborative space to connect and exchange.   **Workpackage B: Preparation of country programmes and project pipelines for GCF support. Work package B consists of 5 country support modules**  **Module 6: Facilitate national level climate investment consultations**  Results  6.1) Improved understanding of stakeholders regarding the status of national policy, finance and project development priorities and of current and required capacities of stakeholder for climate investments.  Outputs  6.1) Consultation events and related training material.  **Module 7: Prepare guidelines and tools for climate related assessments and for identification and formulation of proposals for funding**  Results   * 1. Improved tools and knowledge on national climate baseline and climate change vulnerability .   2. Improved decision-making by government officials regarding identification and formulation of funding proposals.   Outputs   * 1. National climate related information tools and guidelines developed and adapted to the specific country needs .   2. Vulnerability maps and adaptation option analysis report.   7.3) Proposal development guidelines and tools developed and guiding decision making process.  **Module 8: Support development of investment plans and preparation of a pipeline of climate projects and provide them with targeted technical support in order to make them bankable**  Results   * 1. Strengthened skills of project developers regarding feasibility, financial structuring, business plan development and broader management and planning of projects and programmes.   Outputs   * 1. Pipeline of viable and “bankable” adaptation, mitigation and REDD+ projects that have advanced through the early stage development process and have become 'bankable'.   2. Strengthened adaptation, mitigation and REDD+ proposals for submission to national and international climate funding mechanisms (including the GCF as far as it already accepts submission of proposals).   **Module 9: Train local financial institutions to build up the skills required for climate related investment activity**  Results  9.1) Strengthened skills of local financial institutions to conduct climate related investment activities.  Outputs  9.1) Workshops and training materials.  **Module 10: Provide technical assistance and funding support to local financial institutions to develop new financial products and services for prioritized climate sectors.**  Results   * 1. Measurable scaling up of financial flows by targeted financial institutions into climate change solutions.   Outputs   * 1. New financial products and services launched or in preparation by targeted local financial institutions for prioritized climate sectors   **Target group(s):**  Relevant national and sub-national government agencies, legislative representatives, Civil society organizations, GCF Board, UNFCCC stakeholders, donors, local and international financial institutions, NGOs, academia, private sector in the target country and/or regionally, Programme and project developers with a particular emphasis on private sector engagement, NDA. |
| 4.2.2 Indicators | | Please list the indicators for monitoring the project progress. At least one indicator should be defined for the outcome and for each of the outputs.  Please formulate indicators in such a way that they reflect the attainment of project goals. Number the outcome and outputs and show them in the Gantt chart in Annex 2.  All indicators must be SMART (specific, measurable, accepted, realistic and time-bound). Please state the baseline and an anticipated final situation for all indicators. Please provide a source/reference from which each indicator is verifiable.  **Outcome indicators:**  Depending on the needs of each participating country and on the design of the tailored support programme based on the modules, the outcome and output indicators will be country specific. The following set of indicators intends to provide examples of the type of indicators that will be used.  **Workpackage A: Building the institutional capacities of countries, with a focus on enabling direct access**  **A.1.a** Overview document / study of institutional context of participating countries providing clarity on responsibilities and capacity needs with regard to climate finance  **A.1.b** Relevant institutions engaged in managing adaptation and mitigation finance with appropriate financial management systems  **A.2.a** Number of national and / or sectoral financial plans available that detail the financial needs to address climate change priorities, identify potential funding sources and provide guidance on implementation of policies, plans and priorities.  **A.3.a** Number of countries complying with modalities for identifying, establishing and strengthening implementing entities (IE) and national designated authorities (NDA)  **A.4.** Relevant institutions and civil society representatives undertaking monitoring, evaluation, reporting and verification of climate finance  **A.5.a** Number of countries and institutions expressing interest in replicating experience from GCF readiness programme based on disseminated lessons learned  **A.5.b** Climate Finance Options Platform providing information on climate funding and on experience in engaging with these sources  **Workpackage B: Preparation of country programmes and project pipelines for GCF support**  **B.6.a** Relevant national stakeholders attending climate investment consultations  **B.7.a** Vulnerability maps, guidelines and tools for climate related assessments prepared and guiding decision making processes on funding proposals  **B.8. a** Number of feasible and sound climate projects and programmes that have advanced through initial development stages and are ready to be presented to the GCF or other financing mechanisms  **B.9.** Number of local financial institutions attending workshops and expressing interest in financing climate related projects  **B.10** Number of financial products and services launched or in preparation as a consequence of the technical support and funding provided  **Output indicators:**  **Workpackage A: Building the institutional capacities of countries, with a focus on enabling direct access**  **A.1.a** Number of mapping reports on institutional context, existing policies and capacity needs  **A.1.b** Number of training workshops and reports regarding management of climate finance across institutions including finance management systems  **A.2.a** Number of national and/or financial plans on climate change  **A.2.b** Number of draft or completed climate public expenditure and institutional reviews  **A.3.a** Number of training workshops on GCF and climate finance  **A.3.b** Number of appropriate NIE and NDA in the process of being established and strengthened  **A.4.a** Number of systems in place for national and sub-national monitoring, evaluating, reporting and verifying climate finance and operated by trained staff .  **A.5.a** Number of workshops and events conducted for sharing lessons **and providing inputs for recommendations to the GCF board**  **A.5.b** National and/or regional online Climate Finance Options Platform set up identifying sources of climate funding and facilitating the sharing of information and experience in engaging with these sources  **Workpackage B: Preparation of country programmes and project pipelines for GCF support**  **B.6.a** Number of consultation events using developed training material.  **B.7.a** Number of developed climate related information tools and guidelines  **B.7.b** Number of vulnerability maps and adaptation option analysis reports  **B.7.c** Proposal development guidelines and tools produced and applied  **B.8.a** Number of viable and “bankable” adaptation, mitigation and REDD projects  **B.8.b** Number of adaptation, mitigation and REDD+ proposals “ready” for submission  **B.9.a** Number of Workshops conducted for local financial institutions  **B.10.b** Number of new financial products and services developed or in preparation by local financial institutions |
| 4.2.3 Activities and cause/effect hypotheses | | The activities should be grouped to form work packages, each of which corresponds to a particular output (specific project goal). Please number activities in a manner consistent with the outcome, the outputs, the work packages and the indicators. Please state for each work package the organisation performing it, the implementing partners and/or subcontractors, and the anticipated period; key milestones can also be stated (in the Gantt chart in Annex 2 as well).  A description of the project’s results chain(s) or results structure is a key element of this section. In this context it is particularly important to clarify the manner in which work packages, outputs and the outcome interlock and build upon each other.  **Work Package A**  **Building the institutional capacities of countries, with a focus on enabling direct access and on mobilizing and managing climate finance**  **Module 1: Map the broad institutional context and strengthen capacity of national climate/-finance institutions for managing adaptation and mitigation finance across various institutions and levels.**  Activities   1. Map the broad institutional climate change/-finance context (beyond the implementing entity) on various levels, including on the political, financial and executing levels, and the national level, city, and local levels. Identify and characterize all key institutions responsible for channeling and managing national and international adaptation and mitigation (incl. REDD+) finance within the target country and identify the institutions' capacity needs. Key parameters to analyze include:    1. Institutional roles and responsibilities for addressing country priorities in the area of climate change/- finance;    2. institutional coordination (including coordination tasks and processes) related to climate change/-finance;    3. sources of finance;    4. finance instruments;    5. implementation capacities, including absorption and disbursement;    6. accountability mechanisms (including civil society participation);    7. modes of integration with development planning and budgeting processes;    8. modalities for leveraging private/domestic finance, and for blending it with international resources;    9. private sector engagement in climate relevant activities;    10. current approval processes for climate projects and programmes;    11. existing finance tracking and reporting systems, including tracking/reporting goals and impacts and related evaluation and learning processes; and    12. existing and potential climate change strategies and plans. 2. In collaboration with partners (including other donors), provide training, policy advice and technical assistance to strengthen the capacities of the relevant institutions (not limited to the implementing entity) that are responsible for the management of climate finance, at the national and / or sectoral level, including by:    1. helping clarify institutional roles;    2. strengthening engagement and coordination among government institutions (both vertically and horizontally) and with non-government stakeholders (e.g. through multi-stakeholder committees);    3. assisting to create new or restructure existing institutional arrangements to enhance effectiveness in the implementation of the climate change agenda and in promoting coordination;    4. helping to strengthen information management (data gathering, information analysis, sharing of information);    5. raising awareness on the components, options and processes of relevant climate funds (including the GCF as far as they have been established);    6. assisting to put in place required systems;    7. strengthening the institutions' implementation capacity; and    8. helping institutions create the right investment conditions in key sectors to effectively spend climate finance and achieve climate resilient and low carbon development outcomes.   Illustrative training modules include:   1. Institutional options for cross-sector coordination (including regional coordination); 2. climate change programme and project identification, management, monitoring and evaluation; 3. innovative finance models (including for the mobilization and blending of domestic resources); 4. identifying and developing NAMAs; 5. integration of adaptation and mitigation/-finance into national planning and budgeting systems; 6. establishment or strengthening of climate finance management systems; 7. use of climate screening tools and vulnerability/impacts studies for allocating finance; etc.   **MODULE 1: Suggested lead (with support from the partner (WRI)): UNDP/UNEP[[13]](#footnote-13)**  **Module 2: Develop national and / or sectoral financial plans detailing financial needs related to climate change and how climate funds can be allocated.**  Activities   1. Assess climate change related priorities and policies in the target country (mitigation incl. REDD+ and adaptation, including local priorities and policies), the associated financing needed to address these priorities/implement these policies, potential sources of funding - international, national, private and public - and current barriers to investment, through economic analysis and investment and financial flows analysis. 2. Based on the findings in part a, develop national and / or sectoral climate change related financial plans. In doing so, provide decision making support including multi-stakeholder scenario planning, options analysis, and cost-benefit analysis where appropriate. The plans detail, among others, how to finance the implementation of policies, plans and associated priorities. 3. Support the development of a climate public expenditure and institutional review.   **MODULE 2: Suggested partner lead (with support from the other two partners): UNDP**  **Module 3: Assist countries in identifying, establishing and strengthening implementing entities (IE) and national designated authorities (NDA) in order to access climate finance.**  Activities   1. Provide information and advice to the government focal institutions on climate change/- finance regarding the requirements for direct access to funds of the GCF via sub-national, national and regional IEs - as far as they have been formulated - as well as how to access and mobilize other sources of climate finance – such as the Adaptation Fund and other international, national, private and public sources. Information and advice will also be provided on how to access sources of climate finance through regional institutions and accredited international entities, such as United Nations agencies, multilateral development banks and international financing institutions. In addition, information and advice will be given on the modalities for enhanced direct access via a National Funding Entity or National Climate Fund.   This may include, among others:   * 1. awareness raising on the requirements regarding fiduciary and institutional capacities,   2. transparency and self-investigative powers,   3. monitoring and evaluation,   4. financial and programme management and   5. environmental, social and gender safeguards.  1. Taking into account the above requirements, support the government focal institutions in consulting about and identifying an appropriate institution to be nominated as national implementing entity (NIE) or subnational IE vis-a-vis the GCF. Where access to GCF funds via a regional entity is the preferred option, support the government institutions in the coordination with other country members of regional entities with a view to consulting about and identifying a regional entity for access to GCF funds. As far as modalities on enhanced direct access have been established by the GCF, help consult about the identification of National Funding Entities or National Climate Funds for enhanced direct access, if appropriate.   Depending on the level of readiness and need in the target country, the following activities related to the IE will also be implemented:   * 1. Support the government focal institutions in the process of establishing and nominating the NIE, subnational and/or regional entity.   2. Develop country - or region specific tool in order to assess the institutional readiness of an already nominated - or candidate - national or sub-national IE for direct access. Design the tool in a way that it is relevant to the GCF (as far as its requirements have been formulated) and to other international funding mechanisms (e.g. the Adaptation Fund) as well as for the access to and mobilization of national climate finance. Support IE in applying the tool in order to identify its current level of capacities vis-a-vis the requirements as well as any additional capacities that may still be required.   3. Support already nominated - or candidate - IE to prepare a capacity development strategy to address any identified needs and gaps regarding fiduciary standards, transparency and self-investigative powers, institutional -, monitoring and evaluation, financial - and programme management capacities, environmental and social safeguards, other accountability requirements and more broadly regarding the mobilization of and access to climate finance.   4. Provide support to identify relevant expertise to implement the capacity development strategy. This might include expertise gained by other countries in the process of accrediting an IE, e.g. with the Adaptation Fund. Work with identified partners to address capacity gaps, through providing in-country technical assistance, training and by facilitating systems development, including financial management systems.   5. Where appropriate and depending on the level of readiness in the target country, support the accreditation process of the IE for direct access with the GCF and/or similar funding mechanisms such as the Adaptation Fund.   6. Assist countries in identifying national institutional options for the operationalization of a NDA vis-a-vis the GCF and other climate funding mechanisms such as the Adaptation Fund. In the process, assist countries in seeking multi-stakeholder input.   7. In case the NDA is already established, build its capacity regarding the assessment and endorsement of funding proposals in the context of national climate strategies and plans (including with regards to a 'no-objection' procedure), and assist it in the related national-level consultation and coordination processes.   **MODULE 3: Suggested partner lead (with support from the other partner (WRI)): UNDP/UNEP**  **Module 4: Develop systems including tools and methods for national and sub-national monitoring and reporting on climate finance including its results**  Activities   1. Develop systems for monitoring, evaluating, reporting and verifying the sources, management, purposes and results of climate finance on the national - and subnational levels. This includes developing practical methodologies for tracking and reporting climate finance and for tracking and reporting the effectiveness of adaptation and mitigation efforts. The methodologies will be based on consultations with national stakeholders around tracking needs and priorities, and will build on the analytical work conducted and data gathered in the context of the climate public expenditure and institutional review. They will take into account:    1. the complex, cross-sector nature of adaptation, mitigation and REDD+ (including activities that integrate all three areas),    2. the challenges associated with tracking vertical flows from national funding institutions (or regional institutions, e.g. in case of regional cooperative efforts for adaptation) to local- and project-level implementers,    3. the need for integrated systems for both monitoring, reporting and verification on the national level (to be reported at the international level) as well as for monitoring and evaluation on the sub-national levels (to be reported to the national level), and    4. the need to support reporting in a number of formats. 2. Provide training on monitoring, evaluation, reporting and verification, including through civil society capacity, as well as on how to adjust activities and plans based on results. 3. Build the capacity of institutions to use the results of the monitoring and evaluation when developing new activities.   **MODULE 4: Suggested partner lead (with support from the other two partners): WRI**  **Module 5: Establish communication linkages between national and regional readiness activities and ongoing global processes**  Activities   1. Develop knowledge products to systematically capture sub-national, national or regional lessons learned in the implementation of the GCF Readiness Programme, as well as their policy implications. 2. Share the lessons learned regionally and internationally to document the results of the programme, to inform the GCF process of the lessons and to facilitate regional exchange and replication. 3. Make recommendations to governments, civil society, GCF board, funders and UNFCCC stakeholders based on the lessons learned. 4. Develop a Climate Finance Options platform in close collaboration with the above stakeholders. In doing so, consult nationally, and, if appropriate, regionally, with relevant government agencies, local and international financial institutions, NGOs, academia, civil society and the private sector about country and/or region specific information needs, available data, process, scope etc., for a Climate Finance Options platform.   **MODULE 5: Suggested partner lead (with support from the other two partners):**  **UNDP (WRI indicated a preference to act as a ‘second lead’- to be confirmed)**  **Work Package B**  Preparation of pipeline of bankable projects and programmes  **Module 6: Facilitate national level climate investment consultations**  Activities   1. Facilitate national level climate investment consultations with a wide range of stakeholders, including with relevant national, sub-national and sectoral government agencies, legislative representatives, local and international financial institutions, NGOs, academia, civil society and the private sector. Consultations include areas such as:    1. national policy, finance and project development priorities;    2. legal framework for private sector investments;    3. potential support as well as barriers to investment; and    4. current and required capacities of stakeholders to identify and implement climate investments;    5. economic assessments and Cost Benefit Analyses taking into account the above parameters. 2. As far as national priority areas for project development in mitigation, REDD+ and adaptation are already defined by the government, raise awareness among project developers about these priority areas.   **MODULE 6: Suggested partner lead (with support from the other two partners): UNDP**  **Module 7: Prepare guidelines and tools for climate related assessments and for identification and formulation of proposals for funding**  Activities   1. Prepare climate related information tools adapted to the specific needs of the target country. This can include renewable energy resource assessments, the establishment of components of a national emissions profile etc. 2. Map vulnerabilities and conduct an adaptation options analysis. 3. Prepare proposal development guidelines and tools to identify investment options and to identify, prioritize and formulate concrete proposals for funding under climate funding mechanisms (including the GCF as far as it already accepts submission of proposals). This can also include the development of standards and certification for prioritized technologies.   **MODULE 7: Suggested partner lead (with support from the other two partners): WRI**  **Module 8: Support preparation of a pipeline of climate projects and provide them with targeted technical and financial support in order to make them bankable.**  Activities   1. Assist with strategic planning, decision making and preparation activities for a pipeline of concrete adaptation, mitigation and REDD+ investments. This may include:    1. Scoping    2. Surveys    3. Pre/feasibility and other forms of proposal assessments (including environmental, social, gender related and economic).   Where appropriate, this also includes support to the government regarding the endorsement of selected proposals, regarding the assessment of linkages of potential programmes and projects to existing and planned national plans (NAPs, NAMAs etc.) and policies (LEDS etc.) and of the potential for private sector engagement in projects and programmes.   1. Provide targeted technical and financial support to partially cover the upstream development costs of selected projects in order to enable them to reach financial closure and become bankable, i.e. attract investment by financial institutions. Help projects advance with critical milestones in the early stage project development process, such as business plan development or financial structuring. 2. Where appropriate, provide technical assistance to public and private sector project and programme developers with a view to submitting proposals to relevant climate funds (including the GCF as far as it already accepts submission of proposals), taking into account the specific criteria of the targeted fund(s) for funding of proposals, and train the developers on key aspects in the management of the requested climate funds.   **MODULE 8: Suggested partner lead (with support from the other two partners): UNEP**  **Module 9: Train local financial institutions to build up the skills required for climate related investment activity**  Activities  Provide training to local financial institutions to enhance their capacity to finance climate related projects. Where relevant:   * 1. raise their awareness on general climate change issues;   2. help them understand, assess and compare levels of risk and potential returns of various types of investments, including via cost-benefit analysis;   3. strengthen their skills related to project financing structures and modeling in the mitigation, REDD+ and adaptation sectors;   4. assist them in gaining insights into key topics such as energy portfolio management and sources of financing for sustainable energy;   5. facilitate the establishment of linkages between financial institutions and entrepreneurs, e.g. via investment fora or online.   **MODULE 9: Suggested partner lead – UNEP (with support from the other two partners)**  **Module 10: Provide technical assistance and funding support to local financial institutions to develop new financial products and services for prioritized climate sectors.**  Activities  Provide technical assistance and funding to support innovative finance-industry engagement in climate relevant sectors such as renewable energy, energy efficiency, sustainable forestry and climate resilient agriculture. This can include technical and financial support of a broad range of activities depending on the local circumstances, including:   1. identification of available bankable climate change relevant projects that represent investment/business opportunities for the financial institutions, 2. portfolio clustering, 3. feasibility studies, 4. market assessments, 5. business planning, marketing (e.g. development of new products and services with focus on climate change relevant projects), 6. regulatory and environmental analyses, 7. credit cycle management and 8. monitoring of climate change relevant projects (e.g. energy and CO2 emission savings).   **Suggested partner lead (with support from the other two partners): UNEP** |
| 4.2.4 Risks and risk appraisal | | Please list the key risks (technical, political, economic, environmental etc.) to project success. Please classify these (low, medium, high) and present risk minimisation strategies. Whenever possible, please attribute the risks and underlying assumptions to the anticipated outputs, the outcome or the work packages of the project.  Political risk – high  International negotiations – As the Programme aims at facilitating country readiness to access international climate funding, its successful outcome is highly dependent on political agreement and progress made within the GCF process.  At its 5th Board in meeting in Paris the Green Climate Fund’s Board decided that the Fund would provide readiness and preparatory support and that the urgent need to provide readiness and preparatory support should be reflected in the administrative budget and staffing of the Secretariat.  While it has been agreed that direct access will be one of the modalities for the disbursement of GCF funds, the exact modalities are still under development. In addition, the scale and process of capitalization of GCF funds are still in process of being defined. Delays or changes in the modalities of the implementation and deployment of the GCF funds may impact the design of the GCF Readiness Programme activities. Closely following and associating with the on-going international negotiations and the outcomes of the GCF Board meetings, as well as ensuring a dynamic set-up of the Programme activities that can be adapted to potential changes of GCF modalities, will help mitigate this risk.  Target country institutional setup – The successful outcome of the proposed project, in particular with regards to advancing in the accreditation process of potential implementing entities vis-à-vis the GCF, is dependent on a proactive process within the target countries in terms of nominating a national, subnational or regional implementing entity to be accredited. In order to mitigate this risk, the Programme will comprehensively inform and advise the target country governments regarding accreditation requirements, and offer targeted support to the governments in the process of consulting about and identifying an appropriate institution.  Technical risk – low  As most of the proposed Programme activities have been implemented by the 3 Partners in previously developed projects, technical risk associated with Programme implementation is deemed low. |
| **4.3** **Impacts (long-term results)**  Impacts are long-term, indirect results that mostly cannot be attributed to the project alone. These relate to climate change mitigation or adaptation, or, in area IV (Biodiversity), mainly to biodiversity conservation. Their presentation should take up the cause/effect hypotheses in 4.2.3. | | |
| 4.3.1 Contribution to climate change mitigation | | By preparing the facilitation of direct and improved access to GCF and strengthening on-the-ground capacities to implement climate investments, the project will accelerate the implementation of low carbon development strategies in target countries in priority mitigation areas.  Greater efficiency and effectiveness in the implementation and financing of national climate mitigation policies and programmes is anticipated through strengthened national institutional frameworks, the identification and prioritization *of programme* areas and the engagement with the private sector.  These activities will facilitate the implementation of successful climate change mitigation efforts and thereby allow the countries to advance in their transition towards low carbon socio-economic development. |
| 4.3.2 Contribution to climate change adaptation | | By preparing the improvement of the capacity of the project target countries to use finance for effectively implementing national adaptation strategies, the project will contribute to more successful adaptation efforts, which will reduce vulnerability to climate change impact.  Greater efficiency and effectiveness in the implementation and financing of national climate change adaptation policies and projects is anticipated through strengthened national institutional frameworks, the identification and prioritization of programme areas and engagement with the private sector. |
| 4.3.3 Contribution to biodiversity | | To the extent that the project target countries’ climate change strategies have conservation co-benefits, such as REDD+ projects or ecosystem-based adaptation efforts in agriculture, water, and natural resources sectors, the project will prepare for a more integral climate strategy and co-benefits are more likely to be successfully generated. Country Readiness Plans will include training activities to build capacity on tools that help decision-makers assess conservation co-benefits. |
| 4.3.4 Contribution to economic, social and environmental development, and, if applicable, to biodiversity (co-benefits) | | The support provided to facilitating and accelerating the implementation of an integral low carbon and climate resilient approach to development in the Programme target countries will also include economic, social and environmental aspects. Particularly as part of Module 3 the programme will assist with the assessments of environmental, social, gender related and economic aspects of the climate projects. The involvement of financial institutions will also help ensure economic considerations are being taken into account. |
| 4.3.5 Multiplier effect | | Replicability of outputs  The lessons learnt through the implementation of the GCF Readiness Programme and the dissemination of these lessons regionally and internationally as part of Module A.5 will contribute to strengthen GCF design and implementation in other interested countries.  Multiplier effect  By designing work on enabling conditions, the proposed project has an intrinsic multiplier effect. In addition, leveraging international climate finance by engaging and mobilizing private sector actors in the development of mitigation, adaptation and REDD+ projects will ensure the replicability and multiplication of supported policies and programmes in target countries.  Finally, significant knowledge management and communication activities in the GCF Readiness Programme will help provide learning and feedback to a broader set of national level actors, to the UNFCCC process and the GCF Board which all together should ensure a multiplier effect across the broader climate community. |
| **4.4** **Other characteristics of the project** | | |
| 4.4.1 Innovative character | | The project presents an innovative approach to defining and strengthening climate finance readiness, drawing on the Partners’ past work, existing programmes and expertise.  While many climate finance support activities may exist, they mostly focus on generating more finance. This project is founded on the idea that many countries face challenges with managing and delivering the finance as well as accessing more finance.  UNDP’s recent discussion paper defines readiness as “the capacities of countries to plan for, access, deliver, and monitor and report on climate finance, both international and domestic, in ways that are catalytic and fully integrated with national development priorities and achievement of the MDGs”. This definition outlines 4 main components of readiness: Financial planning, Accessing finance; Delivering finance, and MRV of finance.  In addition to technical support specific to climate change financing the different modules proposed include elements of good governance and institutional and regulatory frameworks, leadership development, gender responsiveness, accountability and transparency measures, robust fiduciary standards and the ability to blend at the national lever and leverage public and private financial flows.  The proposed project will ensure that the core elements of readiness will be tailored to each of the target country situation and circumstances. |
| 4.4.2 Securing sustainability after termination of funding | | In the context of the ongoing operationalization of the GCF, readiness and preparatory activities might eventually move into the GCF proper. Finance for readiness activities would then be channeled via the GCF Trust fund, and the Board would take over responsibility for allocating and spending those resources as well as for the overall co-ordination. It is anticipated that feeding back of the lessons learnt and the results of the GCF Readiness Programme to the GCF, on a regular basis, will facilitate the work of the GCF Board.  Beyond the proposed project and the implementation of the GCF Readiness Programme, strengthening national climate architecture and national climate finance institutions, implementing favorable policy, technology and finance frameworks and building capacity of project developers, all contribute to securing sustainability with established capacity in countries to develop programmes and projects and get them financed. |
| 4.4.3 Visibility of the project | | The GCF Readiness Programme proposal incorporates significant knowledge management and communication activities.  As indicated above, the Partners expect to be able to stay in close communication with the GCF Board and actively disseminate in due course lessons learnt from the Programme activities, in international meetings and forums including the UNFCCC climate change negotiations, and to ensure high visibility for the Programme results. |
| 4.4.4 Safeguarding observance of social standards in dealings with local and indigenous communities | | Some modules imply that advice will be given to participating countries about environmental, social and gender safeguards. Thus, readiness activities supporting nominated or candidate Implementing Entities will be supported in including such safeguards in their capacity development strategies. |
| **5** **Interaction with international cooperation projects, other relevant aspects** | | |
| 5.1 Synergies with and links to further relevant sectors and projects (of German and International cooperation) | If possible, please explain to what extent exchange or actual cooperation is planned. Please explain planned cooperations (with other IKI-projects or donors in the target country) individually.  Please also name the communication tools, which will be used in each case (e.g. meetings, reports, events etc.).  The three partners have several climate related projects and programmes in each of the participating countries in place that the proposed programme will build upon and coordinate with. The individual country needs identification reports provide a detailed list of all the ongoing projects and programmes including from other development agencies. The country readiness plans describe these in further details. As follows a selection of some of these:  **Fiji:**   * Second National Communication (SNC) (GEF-UNEP) * Climate Change and Health Adaptation (GEF, UNDP, WHO, MOH)   **Colombia:**   * Strategy for Low Carbon Development (ECDBC), UNDP * Adaptation Fund project ‘Reducing risk and vulnerability to climate change in the region of depression Momposina,’ UNDP * ‘Low Emissions, Climate Resilience Development Strategies at the Sub-national Level’ (TACC) in Colombia. * REGATTA project, UNEP * Technology Needs Assessments (TNA) * UN-REDD (UNDP, UNEP) . * ‘Measurement and Performance Tracking in Developing Countries Program’ (MAPT) (WRI) * The third National Communication to the UNFCCC. * Microfinance for Ecosystem based Adaptation (MEbA) (UNEP, ICI)   **Benin:** Forest and Adjacent Lands Management Project (2013)(GEF/World Bank)Integrated Adaptation Program to Combat the Effects of Climate Change on Agriculture Production and Food Security in Benin (GEF/UNDP)UN CC: Learn ProjectFast Start Finance of Adaptation to Climate Change in Africa (GIZ)Energizing Development (DGIS, BMZ, and NORAD) **El Salvador:**  National Capacity Needs Assessment for Adaptation and Guidelines of Action   * Requests by the Government for support on NAMAs received by UNDP.   **Ghana:**   * Framework for the Low Carbon Development Strategy; development of two NAMA documents (bus rapid transit and energy efficiency) in the context of its Facilitating Implementation and Readiness for Mitigation (FIRM) programme (UNEP) * UNEP’s National Climate Finance Institutions Support Programme (NCFISP or ‘Fit for the Funds’) * Technology Needs Assessments (TNA) (<http://ncfisp.fs-unep-centre.org/>). * Low Emission Capacity Building Program (UNDP) * Africa Adaptation Programme (UNDP) * UNDP/UNEP Economics of Adaptation to Climate Change Study * National Climate Change Adaptation Strategy (NCCAS) with support from the UNDP and UNEP (CC-DARE). * Partner country of the UN-REDD Programme * WRI :climate change scenario planning in the World Resources Report.   **Nepal:**   * Strategic Programme for Climate Resilience (SPCR)/Pilot Programme for Climate Resilience (PPCR) * Scaling-Up Renewable Energy (The World Bank)  Strengthening Capacity for Managing Climate Change and the Environment (CDTA) (Asian Development Bank)Nepal Climate Change Support Program (DFID and UNDP)Ecosystem Based Adaptation in Mountain Ecosystems (BMU, UNEP, UNDP, IUCN) | |
| 5.2 Other aspects relevant to funding | Please explain aspects that could not be described under section 1.1 to 5.1, but which are nevertheless of relevance for the funding of the project.  Overview of management structure, decision making process and information flow  The diagram below demonstrates the Programme management structure, decision making process & information flow of the Programme.    **Steering Committee**  A Steering Committee will be set up to provide strategic oversight and guidance on the implementation of the Programme, and review and authorize Programme work plans, activities, progress reports, financial reports and other outputs. The Steering Committee will consist of representatives of BMU (the BMU Head, Division ‘International Climate Finance, International Climate Initiative’, UNEP, UNDP, WRI and of any additional donors that contribute to the Trust Fund. The purpose of the Trust Fund is to pay for the activities and staff of the Programme with the aim to offer needs-oriented support to countries for accessing and managing financing from the GCF once it is fully operational.  **Roles and functions:**  The key roles and functions of the SC will be to:   * Provide overall strategic guidance on the implementation of the Programme, rather than overseeing the day-to-day operations of the Programme; * Review and authorize Programme work plans, activities, communication and outreach strategy, annual progress reports, financial reports and other outputs; * Budget the costs for programme activities, paid for by the Programme Trust Fund in accordance with the Trust Fund Terms of Reference. * Identify and facilitate opportunities for possible up-scaling of the Programme within and outside of the target countries as well as strengthening it both technically and financially, as far as the financial resources of the Programme allow doing so; * Address issues that may have major implications for the implementation of the Programme; * Foster global exchange and dialogue, as well as opportunities for learning between regions and among countries within the same region; * Facilitate linkages with relevant regional and international partners and centers of expertise/excellence; * Ensure implementation of Programme is in line with the agreed and approved GCF Readiness Programme proposal. * Serve as a forum for potential future donors to evaluate engagement opportunities in line with the Programme design. | |

**Annex 1:**

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| --- | --- |
| **Implementing partner(s) / Subcontractor(s)**  (copy and extend list as appropriate) | |
| 1. Implementing partner / Subcontractor | |  |  | | --- | --- | | Implementing partner | Subcontractor | | Name | United Nations Development Programme | | Institution |  | | Postal code, town/city | 10017 | | Country | United States of America | | Legal structure | UN specialized agency | |  | Non-profit status:  yes  no | | Total staff | 300 (Environment and Energy Group) | | Staff for the project | 6 (part-time) | | Year established | 1965 | | Turnover [€/year] |  | | Experience in the target region [years] | 47 | | Experience of activities relevant for the project[years] | 20 |   Capabilities and experiences relevant for the project  See section 1.4  Function/role in the project proposed here  Implementing Partner |
| 2. Implementing partner / Subcontractor | |  |  | | --- | --- | | Implementing partner | Subcontractor | | Name | World Resource Institute | | Institution | NGO | | Postal code, town/city | 2002, Washington, DC | | Country | United States of America | | Legal structure | Non-profit organization under section 501©(3) of the US Internal Revenue Service Code | |  | Non-profit status:  yes  no | | Total staff | 220 | | Staff for the project | 8 (part-time) | | Year established | 1982 | | Turnover [€/year] | 31,750,000 EUR/year | | Experience in the target region [years] | 15 | | Experience of activities relevant for the project[years] |  |   Capabilities and experiences relevant for the project  See 1.4  Function/role in the project proposed here  Implementing partner |

**Annex V: Country Selection Matrix (see Excel sheet)**

1. UNDP, Readiness for Climate Finance: A Framework for understanding what it means to be ready to use climate finance, 2012. [↑](#footnote-ref-1)
2. UNDP, Mobilizing Private Finance for Sustainable Development (forthcoming). [↑](#footnote-ref-2)
3. UNEP-Risoe CDM Pipeline (2010). “CDM Projects by Host Region: <http://cdmpipeline.org/cdm-projects-region.htm#1> [↑](#footnote-ref-3)
4. Ibid. [↑](#footnote-ref-4)
5. Source: http://www.cdmpipeline.org/cdm-projects-region.htm [↑](#footnote-ref-5)
6. Source: http://www.cdmpipeline.org/cdm-projects-region.htm [↑](#footnote-ref-6)
7. Source: http://www.cdmpipeline.org/cdm-projects-region.htm [↑](#footnote-ref-7)
8. UN-REDD Programme website (2015). http://www.un-redd.org/Newsletter9\_Support\_to\_partner\_countries/tabid/4670/language/en-US/Default.aspx [↑](#footnote-ref-8)
9. GIZ, KfW, GCF Secretariat, AfDB, World Bank, ADB, and others are funding GCF readiness initiatives that will form a community of practice of which these nine countries will be a significant part. [↑](#footnote-ref-9)
10. Objective (Atlas output) monitored quarterly ERBM and annually in APR/PIR [↑](#footnote-ref-10)
11. All outcomes monitored annually in the APR/PIR. It is highly recommended not to have more than 4 outcomes. [↑](#footnote-ref-11)
12. Explained in the FAQ – Frequently Asked Questions document. [↑](#footnote-ref-12)
13. The leads suggested in this section are indicative; final responsibilities will be defined during subsequent planning meetings. [↑](#footnote-ref-13)