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Readiness and Preparatory Support Programme: Strategy for 2019-2021 and Work Programme 2019

Summary

This document responds to the request of the Board at its nineteenth meeting that the Secretariat submit a proposal for improving the Readiness and Preparatory Support Programme based on the outcome and conclusions of the Secretariat's initial review and of the independent evaluation of the Readiness and Preparatory Support Programme. The document further provides a work programme and funding request for the implementation of the Readiness and Preparatory Support Programme for 2019.

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Executive summary

1. The Readiness and Preparatory Support Programme (hereinafter simply “Readiness” or “Readiness Programme”) is a critical vehicle to support direct access to the GCF, and by extension, to scaled-up climate finance that addresses urgent mitigation and adaptation priorities. Broadly stated, the Readiness Programme, as stipulated by the Governing Instrument and as operationalized by decision B.08/11, aims to support country ownership and aligned GCF investments by strengthening the institutional capacities of National Designated Authorities (NDAs) or Focal Points (FPs) and direct access accredited entities (DAEs) to enable them to prioritize and oversee development and implementation of country-driven strategies and low-emission and climate-resilient interventions.
2. The strategy presented in the document responds to Board mandates to improve the Readiness Programme, including the B.19 request based on the outcome and conclusions of the Secretariat’s initial review and of the independent evaluation of the Readiness Programme. In developing the strategy, the Secretariat has considered the findings and recommendations of the independent evaluation of the Readiness Programme¹ conducted by the Independent Evaluation Unit (IEU) of the Fund, as well as the reviews performed by Dalberg² and the Secretariat³. The document also includes an analysis of the recommendations of these reviews, provides an update on the current status of the Readiness Programme, and forecasts the near-term country Readiness needs at the portfolio level as well as a resource allocation over a three-year period. It concludes with a proposed work programme for the Readiness Programme for 2019.
3. In order to address the core IEU recommendations, the Secretariat proposes that the revised Readiness Programme incorporate the following features:
 - (a) A strategic vision for the Readiness Programme based on enhancing countries ability to successfully programme and implement climate finance supported actions;
 - (b) An outcome-based orientation that focuses on sustainability of impact over a longer term, and;
 - (c) A work programme that improves the effectiveness of Readiness support by setting targets and measuring results.

Strategic vision for the Readiness Programme and an outcome-based approach

4. The revised Readiness Programme will guide countries towards a longer-term approach to Readiness support by providing a vision and objectives at the programme level with outcomes and indicative outputs at the country level. The revised areas of work under Readiness will move away from siloed and input-based approaches – enshrined as “indicative activities” in decisions B.08/11 and B.13/32 – towards outcome-based objectives that are cross-cutting and mutually reinforcing. This approach provides countries with greater flexibility in how they will deploy Readiness resources while ensuring support delivered is impactful, targeted and measurable.
5. The vision for the revised Readiness Programme, as described in section III aspires to ensure that by 2025 all GCF recipient countries have developed the necessary enabling environment, including increased institutional capacity and robust country strategies, to implement transformational projects and programmes in line with national climate change priorities and GCF result areas, including as elaborated in updated NDCs and NAPs. The five objectives supporting that vision are as follows:

¹ Document GCF/B.21/28

² Document GCF/B.19/32/Add.01

³ Document GCF/B.19/32/Rev.01

- (a) **Objective 1 – Capacity building for climate finance coordination:** Countries established human, technical and institutional capacity to drive low-emission and climate resilient development, including through direct access to the GCF;
 - (b) **Objective 2 – Strategies for climate finance implementation:** Ambitious strategies implemented to guide GCF investment based on analyses of emissions reduction potential and climate vulnerability and risk and in complementarity with other sources of climate finance;
 - (c) **Objective 3 – National adaptation plans and/or adaptation planning processes:** National adaptation plan (NAP) and/or other adaptation planning processes formulated to catalyse public and private adaptation finance at scale;
 - (d) **Objective 4 – Paradigm-shifting pipeline development:** Country priority-aligned and paradigm-shifting concept notes and funding proposals submitted by countries with least capacity, including LDCs, and direct access accredited entities, and;
 - (e) **Objective 5 – Knowledge sharing and learning (cross-cutting):** Increased levels of awareness, knowledge sharing and learning that contribute to countries developing and implementing transformational projects in low-carbon and climate-resilient development pathways.
6. As detailed in the document and in annex IV, the objectives are supported by outcomes and indicative outputs and indicators. Taken together, the approach provides a framework to assist countries to decide how they will approach getting “ready”, what type(s) of support they require to become “ready” and how they will manage that process over time through the application of a Readiness strategy and targets to measure their progress.

Towards a more effective Readiness Programme

7. The strategy further proposes new or improved operational modalities to address challenges regarding ease of access to GCF support, high transaction or financial costs and gaps in efficient delivery of Readiness support. Bolstered by a Secretariat-wide effort to enhance the effectiveness of the Readiness Programme, these modalities will 1) streamline access to Readiness resources by countries; 2) guide countries and delivery partners to take a holistic and strategic view of Readiness support, and; 3) improve policies and procedures to assure the quality and expedite the processing of Readiness requests. The operational modalities outlined in section IV include:

- (a) **Country Readiness assessments and country Readiness Plans:** A strategic focus to Readiness begins with a needs-based assessment of the Readiness profile of each country. This guided self-assessment will inform the development of a medium-term Readiness plan to encourage strategic Readiness programming at the national level
- (b) **Multi-year allocation grants:** The strategic outlook developed under country Readiness plans are realized through robust Readiness requests that take longer-term view of capacity and technical assistance needs.
- (c) **Standardized packages of Readiness support:** By offering countries high-quality support that is transacted at low costs with streamlined approval processes, foundational Readiness support in standardized packages, as part of a menu of support available, can be quickly deployed to countries lacking core capacity (e.g., DAE accreditation assessment, NDA strengthening and Country Programming)
- (d) **Direct support to NDAs:** Some countries lacks the foundation capacity to engage with the GCF. Through direct support to NDAs, Readiness can help these countries catch up by providing longer-term support to NDA offices.

- (e) **Enhanced institutional support to direct access accredited entities:** Technical assistance to direct access entities in both pre- and post-accreditation stages will enhance the impact of Readiness support for pipeline development, an underused area of Readiness support in the initial phase.
- (f) **Sector-specific planning and project preparation technical clinics:** Building on the recent success of the climate rationale workshop, Readiness support for deeper technical dives on crucial aspects of funding proposal, concept note, and Project Preparation Facility (PPF) application development can help drive a transformational GCF pipeline.

Increasing efficiency and guidance for enhanced Readiness results

8. The revised Readiness Programme will also necessitate improvements to the Secretariat guidance, processes, and procedures that support countries to undertake Readiness requests. Moving forward, these elements of the improved Readiness Programme will enable countries to harness the strategic vision and operational modalities for country-owned capacity building and technical assistance. The envisioned improvements under this stream include:

- (a) **Partnerships for Readiness:** Leveraging strategic partners at the global, regional and national levels can enhance impact and sustainability while reducing financial costs and increasing relevance for countries.
- (b) **Readiness request management procedures and policies:** This group of actions includes enhanced guidance, documentation, and standard operating procedures and policies to improve the entire cycle of request development, submission, approval, and implementation.
- (c) **Knowledge and results management:** With over 200 Readiness requests approved, there is a substantial body of learning to incorporate into the programme over time. Processes for feeding that knowledge back into the programme, as well as a rigorous system to ensure results are delivered as planned, will ensure further efficiency and effectiveness of Readiness support.

Programming Readiness for replenishment

9. The work programme for 2019 positions the Secretariat to begin implementing the strategic revisions to the Readiness Programme in earnest. This is a timely exercise that is in line with the GCF move into the first formal replenishment period. The revision to the Readiness Programme contained in this document is aligned with the strategic replenishment programming paper also under consideration at B.22. The value proposition for including an improved Readiness Programme as an integral part of the GCF in its first formal replenishment is described in section 3.3 and is built around the niche of the Readiness Programme. It is the only fit-for-purpose capacity building and technical assistance programme capable of providing targeted and strategic support to countries for the achievement of their national climate priorities. While other initiatives provide aspects of Readiness support, the revised Readiness Programme offers a comprehensive suite of tools and support across the value chain.

10. Moving forward, the 2019 work programme will implement the revised Readiness strategy. With roughly USD 10 million remaining uncommitted as of January 2019, a resource allocation of USD 122.5 million is needed to deliver the work programme under the improved Readiness Programme.

I. Introduction

1. This document responds to the request of the Board at its nineteenth meeting (B.19) for the Secretariat submit a proposal for improving the Readiness and Preparatory Support Programme (hereinafter simply “Readiness” or “Readiness Programme”) based on the outcome and conclusions of the Secretariat’s initial review and of the independent evaluation of the Readiness Programme. The document is comprised of three main sections:
 - (a) The first section (Section II) presents a list of the Board decisions taken to date on the Readiness Programme, and a summary of the recommendations from Dalberg Report and Secretariat’s initial review, conducted as a mandate to the decision B.18/09, as well as the independent evaluation of the Programme by the Independent Evaluation Unit (IEU) of the Fund.
 - (b) The second section (Sections III and IV) addresses Board decision B.19/15 paragraph (f) requesting the Secretariat to submit a proposal for improving the Readiness Programme based on the outcome of the conclusions of the Secretariat’s initial review and of the independent evaluation. The section introduces the Secretariat’s proposal, including a supporting theory of change, objectives, outcomes and indicative outputs. This outcome-based framework is intended to re-orient the list of indicative activities first adopted by the Board by decision B.08/11 and later updated by decision B.13/32. It further presents improved and additional operational modalities to implement the revised Readiness Programme. This section addresses recommendations on enhancing and streamlining delivery of Readiness resources made by the IEU as well as the Dalberg and Secretariat reviews.
 - (c) The third section (Sections V, IV, and VII) provides an associated resource allocation covering 2019 to implement the revised Readiness Programme, with a further forecast for resource allocation through 2021. It also introduces the 2019 Work Programme of the Readiness Programme including the budget for 2019 operations in consideration of the revised strategies and operations of improvements made to the Readiness Programme.
2. The document has linkages with other documents and matters before the Board at its twenty-second meeting, including:
 - (a) *Report on the activities of the Secretariat;*
 - (b) *Strategic programming document outlining scenarios for the GCF replenishment;*
 - (c) *Consideration of accreditation proposals;*
 - (d) *Report of the independent evaluation of the Readiness and Preparatory Support Programme, including the Secretariat management response;*
3. In addition, the document has linkages with other matters before the Board in 2019, including:
 - (a) *Consideration of modalities to support activities to enable domestic and international private sector actors to engage in GCF activities in LDCs and SIDS:* This document will be submitted to the Board for consideration at B.23. The modalities will include strategic deployment of Readiness resources in LDCs and SIDS to more effectively engage and catalyse the private sector in these priority countries. The modalities document was developed in line with the improved Readiness strategy as contained in this document;
 - (b) *Annual assessment and review of country ownership guidelines:* At B.17, the Board requested the Secretariat to perform an annual review of the GCF country ownership guidelines. To respond to this request, the Secretariat will conduct an initial review of the guidelines based on experience and lessons learned between July 2017 and December

2018. Furthermore, the Secretariat will design and propose an approach for the subsequent annual reviews of country ownership, including budgetary requirements if and as appropriate and agreed timelines for the annual reviews. The proposed revision of the Readiness Programme as contained in this document is rooted in the core GCF principle of country ownership. As the revised Readiness strategy moves into implementation, Board deliberations on future annual assessments and reviews of the country ownership guidelines will be reflected in Readiness Programme reporting to the Board.

II. Summary and analysis of inputs for the improvement of the Readiness Programme

2.1 Key Board decisions on the Readiness Programme

4. Readiness Programme is mandated by the Governing Instrument (paragraph 40) and as such has been a key part of the GCF to facilitate achieving the mission of the fund. The Board has issued a number of decisions to guide and enhance the Readiness Programme. Table 1 below outlines the different Board decisions taken in relation to the Readiness Programme.

Table 1: Board Decisions on the Readiness and Preparatory Support Programme

| Decision | Details |
|------------|--|
| B.01-13/10 | The Board adopted the modalities for Readiness Programme and decides to explore options for making short-term progress on readiness, including the initiation of work on operationalizing a readiness phase. This included identifying and engaging with existing initiatives and programmes on readiness and preparatory support, to enhance learning and ensure coherence. |
| B.05/14 | The Board decided that the GCF will provide readiness and preparatory support to the following activities: <ul style="list-style-type: none"> • Enable the preparation of country programmes; • Strengthen in-country, GCF-related institutional capacities; and • Enable implementing entities to meet the fiduciary standards and environmental and social safeguards of the GCF. |
| B.06/11 | The Board decided on a detailed work programme on readiness, with four priority activities: <ul style="list-style-type: none"> • Establishing NDA/FPs; • Strategic frameworks, including the preparation of country programmes; • Selection of intermediaries or implementing entities; and • Initial pipelines of programme and project proposals. The Board allocates USD 1 million to the Secretariat to prepare a detailed programme of work on readiness. |
| B.08/11 | The Board reaffirmed that GCF-related readiness and preparatory support is a strategic priority for the GCF to enhance country ownership and access during the early stages of its operationalization and may help countries to meet GCF objectives. <p>Funding for the RPSP will be used to support activities including:</p> |

| | |
|---------|---|
| | <ul style="list-style-type: none"> • Supporting NDAs/FPs; • Developing strategic frameworks for national engagement with the GCF; • Enabling regional, national and sub-national institutions to meet the accreditation standards of the GCF; and • Supporting the development of initial pipelines of programme and project proposals. <p>The Board also decided that 50% of the readiness support be allocated to the particularly vulnerable countries, including SIDS, LDCs and African states, and that each country will be limited to USD 1 million per calendar year in readiness commitment, including up to USD 300,000 to help establish an NDA/FP. The Board allocated USD 15 million for the Readiness Programme, and an additional USD 14 million after receipt of the next semi-annual report.</p> |
| B.11/04 | The Board reaffirmed that the Readiness Programme may support a voluntary country-driven national adaptation planning process. |
| B.12/32 | The Board revised the parameters for NDA or FP funding. |
| B.13/32 | <p>The Board adopted a revised indicative list of activities that the Readiness Programme can support, including:</p> <ul style="list-style-type: none"> • Establishing and strengthening NDA/FPs; • Strategic frameworks, including the preparation of country programmes; • Support for accreditation and accredited DAEs; • Information-sharing, experience exchange and learning; and • Formulation of national adaptation plans and/or other adaptation planning processes. <p>The Board also decided to defer the independent evaluation of the RPSP to 2017.</p> |
| B.15/04 | The Board allocated an additional USD 50 million to the Programme. |
| B.17/07 | The Board decided to invite the Independent Evaluation Unit (IEU) to prepare the terms of reference (ToR) for the independent evaluation of the Readiness Programme. |
| B.18/09 | The Board approved an additional USD 50 million to the Programme, with a request to present a revised work programme for 2018. |
| B.19/15 | The Board took note of the findings on the initial review of the Readiness Programme made by the Secretariat (Dalberg Report) and approved an additional USD 60 million for the execution of the Programme. The Board also approved the Terms of Reference for the independent evaluation of the Readiness Programme. |

2.2 Present status of the Readiness Programme

5. The consistent progress reports of the Readiness and Preparatory Support Programme submitted to the GCF Board for consideration have outlined the evolution of the Programme since its inception, indicating a trend of increasing and consistently high demand from developing countries. By engaging to date with 135 countries, which represents 92% of the countries that have communicated their initial designations of NDA/FP to the GCF, the Readiness Programme is

set to become the largest global support programme made available to developing countries to enhance access to climate finance in support of their efforts to combat climate change.

6. During this initial stage of the Readiness Programme, the commitment of more than 78% of the USD 190 million allocated to the Programme enables the provision of support on its essential components.

Table 2: Number of countries by region, in terms of types of Readiness support requested and approved (as of 31 December 2018)⁴

| Region | Type of Readiness Support (in number of countries) | | | | | | | |
|---------------------------|--|----------|--------------------------------|----------|----------------------|----------|---------------------|----------|
| | Country Programming and NDA Strengthening | | Direct Access Entities Support | | Strategic Frameworks | | Adaptation Planning | |
| | Requested | Approved | Requested | Approved | Requested | Approved | Requested | Approved |
| Africa | 55 | 39 | 21 | 17 | 20 | 9 | 31 | 8 |
| Asia Pacific | 44 | 33 | 14 | 10 | 22 | 17 | 12 | 5 |
| Latin America & Caribbean | 38 | 32 | 24 | 21 | 17 | 16 | 14 | 8 |
| Eastern Europe | 13 | 11 | 1 | 1 | 1 | - | 11 | 2 |
| Total | 150 | 115 | 60 | 49 | 60 | 42 | 68 | 23 |

7. Thirty-one (31%) of the committed resources are employed to supporting institutional capacity building for climate actions and the development of country programmes in 104 developing countries. This support has been reportedly useful in:

- (a) Kick-starting the institutionalization of strong NDAs that would effectively coordinate across government ministries and non-governmental stakeholders;
- (b) The establishment of procedures for comprehensive and participatory approaches in developing initial country programmes;
- (c) The prioritisation of project/programme pipelines to be submitted for GCF consideration; and
- (d) In a few cases, initiating reflections to adopt a long-term, strategic approach to Readiness activities.

8. Fourteen percent (14%) of the committed resources have been utilised to support the development of key building blocks of strategic frameworks necessary to drive national agenda for enhanced mitigation and adaptation actions, including:

⁴ GCF support for the formulation of National Adaptation Plans and/or other adaptation planning processes was mandated by Board decision B.13/09 in June 2016, and this function became staffed and operational in mid-2017. 4 proposals were approved in that calendar year. The subsequent creation in 2017 of GCF review criteria and guidance on good practices for adaptation planning processes, as well as outreach with NDAs and their Delivery Partners, lead to significant increase in the quality of proposals and resubmissions in 2018, with a corresponding increase in the number and pace of approvals. At the time of publication, 36 of the 68 proposals had been approved or endorsed with final conditions for approval, of which 26 had been approved, and 22 dispersed. The 35 proposals that are not yet approved or endorsed at various stages of review and strengthening by NDAs with support of feedback support from the Secretariat. Of the 35 adaptation planning proposals that are not yet approved or endorsed, 30 are awaiting resubmission by the NDAs with technical support of Delivery Partners and GCF consultants. These proposals have ensured, to the extent possible, to address environmental and social safeguards and gender requirements of the GCF.

- (a) Identification, prioritisation and formulation of projects ideas;
 - (b) Formulation of concepts notes showing innovation and ambition; and
 - (c) Formulation of implementation or resource mobilisation strategies, including private sector engagement strategies.
9. Eight percent (8%) of the committed resources were allocated to addressing the immediate needs in support of national and regional entities, including:
- (a) Meeting fiduciary requirements of GCF accreditation;
 - (b) Building their pipeline of potential projects; and
 - (c) Developing and submitting these projects to the GCF and other climate funds.
10. An expected and significantly increasing share of resources targets the support provided to countries to formulate their medium and long-term adaptation planning processes in developing countries. Currently, 47% of the committed Readiness resources are for the formulation of NAPs and/or other adaptation planning processes. The proportion of commitment to adaptation planning will continue to grow in the short and medium term, given that only 65 out of 146 countries to have designated a NDA/FP have submitted support requests for NAPs and/or other adaptation planning processes.
11. The findings of the various assessments of the Readiness Programme as presented in the following section indicate that these resources have been allocated to address initial and fundamental needs in developing countries that are perceived as prerequisites not only for their effective engagement with the GCF, but also to promote the expected paradigm shift consistent with the objectives of the Fund. However, it is also clear from the analyses conducted that greater efforts will be required to ensure the Readiness Programme fully achieves its objectives in a manner that builds longer-term and sustainable in-country capacity.
12. Considering the number of countries (121) that have already benefited from the initial phase of Readiness support, the Programme should reach, by the end of 2018, almost global coverage of developing countries to have received baseline support referred to in paragraph 17. Still, there is clearly a need to ensure the Programme evolves over time. While ensuring all countries, and especially those with least capacity, build a foundational level of capacity, re-orienting the Readiness Programme will allow it to dive deep and systematically address more complex issues that are required at the national level to enable the paradigm shift promoted by the Fund.
13. This evolution of the Programme was described in Decision B.05/14, which adopts the scope for the Readiness and Preparatory Support Programme, which in paragraph (i) notes that *the scope of readiness and preparatory support could evolve over time and be tailored to address countries' specific circumstances*. The vision described in this paper for the evolution of the Readiness Programme is based on the needs of countries and direct access accredited entities and is derived from past mandates of the Board.

2.3 Summary of key findings and recommendations from Dalberg, IEU and the Secretariat

2.3.1 Findings and recommendations from Dalberg and IEU

14. Following the related decisions of B.18 and B.19, an initial review of the Readiness Programme by the Secretariat, an external review by Dalberg and an independent evaluation by the IEU were conducted respectively. All assessments produced useful findings and recommendations to the Secretariat to improve management efficiency and programme

effectiveness. As a result of Board decisions regarding the Readiness Programme at B.18 and B.19, the Secretariat has taken steps to begin implementation of many recommendations. The Table 3 below shows a summary of key findings and recommendations from the multiple reviews of the Readiness Programme: Dalberg, the Independent Evaluation unit (IEU) of the Fund, the Secretariat, and the Adaptation Committee of the UNFCCC. For further details of the results from each review, please see Annex II.

15. Following on the evaluation of the Readiness Programme by the IEU, the Secretariat issued a management response. That document, like the evaluation, acknowledges the challenges in terms of data and evidence of success, but recognizes the relevance of the Readiness Programme in the climate financing landscape, especially with respect to the baseline capacity initially required for GCF awareness and access: sharing of information about GCF operations; establishing coordination mechanisms and no-objection procedures in countries, and; supporting NDAs/focal points to engage with multi-stakeholders including the private sector. The response agreed that the Readiness Programme has made significant improvement in operations over the years and has the potential to facilitate the development of enablers of transformational changes and paradigm shift in climate mitigation and adaptation interventions.

2.3.2 Findings and recommendations from the Adaptation Committee of the UNFCCC

16. The Adaptation Committee (AC) of the UNFCCC included in its 2016-2018 workplan the development of an information paper on experiences of countries in accessing the Readiness Programme. The paper was developed by drawing primarily on the results of surveys and in-person or telephone interviews conducted by the AC in 2016 and 2017 with:

- (a) Countries that have accessed the Readiness Programme and moved into implementation (18 countries);
- (b) Countries that have accessed the Readiness Programme for the formulation of their NAPs and/or other adaptation planning processes, but not started implementation (8 countries);
- (c) Delivery partners appointed by NDAs or focal points to assist countries in formulating and implementing their readiness activities (5 delivery partners).

17. A summary of results of the AC information paper⁵ are included in table 3 below. Although the methodology for the paper specifically focussed on cases where Readiness activities were adaptation related, the paper is a valuable resource since it presents findings and recommendations from 26 countries as well as delivery partners, including one national delivery partner (CSE Senegal) active in six countries. These findings and recommendations have been taken up by the Secretariat as part of the initial review or as part of the revisions to the Readiness Programme. They served as inputs for draft guidance to the GCF submitted by the AC to the Standing Committee on Finance ahead of COP 23.

⁵ https://unfccc.int/files/adaptation/groups_committees/adaptation_committee/application/pdf/ac12_8ai_readiness.pdf

Table 3: Summary of key findings and recommendations

| Recommendations | Dalberg | Independent Evaluation Unit (IEU) | Secretariat | Adaptation Committee |
|---|----------------|--|--------------------|-----------------------------|
| Develop a Theory of Change that articulates the activities, outputs, outcomes and vision of the Programme | ✓ | ✓ | ✓ | |
| Clearly communicate and promote flexibility in the scope of activities supported by the Programme | ✓ | | | ✓ |
| Enable long-term, strategic approaches to Readiness by supporting gap assessments and/or providing more flexible funding under the larger category | ✓ | | ✓ | |
| Support the development of project/programme concept notes for stronger pipelines, especially by DAEs | ✓ | ✓ | ✓ | |
| Clarify the lines of authority within GCF for Readiness programme areas and the processing of individual applications | ✓ | ✓ | ✓ | |
| Clarify roles and responsibilities of all Readiness programme stakeholders and support coordination at national levels | ✓ | | | ✓ |
| Increase capacity of Secretariat and regional advisors to improve outreach and support to countries | ✓ | ✓ | ✓ | ✓ |
| Strengthen available capacity of technical experts at national levels to deliver Readiness activities | ✓ | ✓ | | ✓ |
| Enhance capacity-building support on gender and ESS to ensure that countries can develop proposals in line with the gender, ESS and indigenous peoples policies | | ✓ | ✓ | ✓ |
| Streamline and provide more transparency on application process and timelines, including transparent review criteria and good practices for all outcome areas that build on those for adaptation planning | ✓ | ✓ | ✓ | ✓ |
| Enable submission and translation of non-English Readiness proposals | ✓ | | | ✓ |
| Enhance communications and ensure clear, consistent guidance and assessment criteria are available in multiple languages | ✓ | ✓ | ✓ | ✓ |
| Strengthen emphasis on peer-to-peer learning | ✓ | ✓ | ✓ | ✓ |

2.4 Key challenges, opportunities, and solutions

18. Based upon the foregoing Board decisions and assessments summarized above, the Secretariat has been incorporating improvements to the Readiness Programme over the course of 2018. Experience and learning gained through implementation of the Readiness Programme to date has further identified challenges, opportunities and associated solutions to be tackled in the next phase of Readiness support. Numerous actions have already been initiated in 2018 to implement these solutions. Importantly, further actions are required to move toward a revised and improved Readiness Programme to achieve its desired impact, as described in the table below.

Table 4: Challenges and opportunities, solutions initiated and further solutions for the Readiness Programme

| Challenges and Opportunities | Solutions initiated in 2018 | Further Solutions |
|--|---|--|
| <p>Challenge 1 – Access to Readiness Resources: Remaining hurdles to access Readiness resources and poor quality at entry of support requests.</p> <p>Explanation: Some countries still face barriers to Readiness access, in part due to inability to develop impactful Readiness interventions. This is particularly true for countries with least capacity. The resulting process requires many rounds of comments and often additional delays and conditions upon endorsement and approval. The challenge resides not only with countries and delivery partners, but with the Secretariat as well, since clarity of the outcomes and specific activity areas supported by the GCF Readiness Programme, and quality of associated guidance provided to countries for accessing this support can stand to be strengthened.</p> <p>Opportunity: Link assessments of needs for Readiness support with country context, clear guidance from the Secretariat, and targeted support to increase access and impact.</p> | <ul style="list-style-type: none"> ▪ Advanced the draft articulation of a clearer Theory of Change of the GCF Readiness Programme, that has benefitted from the Dalberg analysis and with advanced discussion across the Secretariat. ▪ Articulated transparent review criteria of proposals for NAPs and/or other adaptation planning processes, to strengthen quality of proposals and efficiency of their review. These review criteria draw from learning gained through proposals to date and suggest an indicative set of good practices to achieve the criteria. ▪ Proactively disseminated these review criteria and indicative good practices with NDAs/FPs as well as their current and potential Readiness delivery partners, through a full day technical clinic on the margins of COP23, as well as numerous in person workshops and webinars in partnership with the UNFCCC Secretariat, Adaptation Committee, Least Developed Countries (LDCs) Expert Group, and technical support initiatives such as the NAP Global Support Programme and the NAP Global Network. | <ul style="list-style-type: none"> ▪ Support countries to undertake a self-assessment based on Readiness needs that is grounded in the country context and can elucidate strategic areas for Readiness interventions and associated baselines and potential targets. ▪ Complete elaboration of a clear Theory of Change for the GCF Readiness Programme, which will support the Secretariat’s effort to more coherently describe the specific activities envisaged to be supported by the Programme. The Theory of Change will describe how each of these activities and their outputs can contribute to the broader outcomes and objectives of GCF Readiness, as relevant to the specific needs of each country and always consistent with a country-driven approach ▪ Define review criteria for Readiness proposals related to all activity areas of the GCF Readiness Programme, drawing from those defined for NAPs and/or other adaptation planning processes. The criteria should be refined and include clearer directions on how to address the requirements of the environmental and social safeguards (ESS), Environmental and Social Policy, Gender Policy, |

| Challenges and Opportunities | Solutions initiated in 2018 | Further Solutions |
|---|--|---|
| | <ul style="list-style-type: none"> ▪ Providing direct in-person and off-site communication with an increasing number of NDAs/FPs and their current and potential Readiness delivery partners, as current Secretariat capacity permits. ▪ The Secretariat has procured United Nations Office for Project Services (UNOPS) to support the grant administration of legal arrangements and monitoring and reporting of the Readiness Programme. UNOPS will support the Secretariat with the legal arrangements, and the Secretariat expects to see a reduced time taken to reach effectiveness in the coming months. | <p>and Indigenous Peoples Policy to ensure improved quality at entry.</p> <ul style="list-style-type: none"> ▪ Include in the revisions to the Readiness proposal template and guidance a requirement for context-specific, measurable baselines, targets and indicators and further ensure consistency with the Interim Report and Final Report templates to facilitate measuring impact and outcomes. ▪ Improve and expand delivery modalities for some lines of Readiness support, which could include menu of services or standardized packages procured via third parties and RfPs. This could improve the quality at entry of support requests, thereby shortening access times, improving quality and country ownership. ▪ Promote the use of multiple languages to the extent possible for limited and specific documents, templates and guidance. This could include providing additional support for translation especially for countries with least capacity. |
| <p>Challenge 2 – Strategic Use of Readiness Support: Ad-hoc approach to the Readiness Programme lacking a coherent strategy over the medium or long term</p> <p>Explanation: The Readiness Programme does not currently prescribe a progression of Readiness support any recipient country must follow; countries are free to request support for any area of Readiness at any time. The resulting support is often not strategically linked to other previous or</p> | <ul style="list-style-type: none"> ▪ Specific areas of immediate coordination are being identified with other multilateral climate Funds to ensure coherence and complementarity of Readiness support. ▪ In the reviews of Readiness proposals, the Secretariat requests countries to highlight/demonstrate synergies and complementarity in the use of readiness resources provided by the GCF and other donors. | <ul style="list-style-type: none"> ▪ Where appropriate, move from an ad-hoc approach to readiness towards a multi-year planning of Readiness resources, based on a self-assessment of Readiness needs, baselines and desired targets. ▪ Strengthen alignment of climate finance Readiness with the broader developmental agenda, including: NDC update and implementation, countries’ other obligations under the Paris Agreement, SDGs, national green growth agenda, etc. The strengthened alignment is |

| Challenges and Opportunities | Solutions initiated in 2018 | Further Solutions |
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| <p>ongoing efforts at climate change and/or climate finance planning, programming or capacity building, leading to short-lived interventions that may provide duplicative assistance.</p> <p>Opportunity: Orient the revised Readiness Programme towards a country-driven strategic vision to enhance coherence and enable long-term planning for Readiness support with other relevant support initiatives</p> | <ul style="list-style-type: none"> ▪ Many countries are being encouraged to adopt a phased approach in accessing readiness resources for national adaptation planning and other adaptation planning processes. ▪ The Secretariat is documenting and sharing good practice on examples highlighting the strategic value of Readiness implementation in key areas (e.g. consultative processes; NOL procedures; stakeholder engagement; engaging the private sector etc) and fostering south-south cooperation on these to encourage good practice. | <p>expected to be achieved by the Secretariat in collaboration with relevant support partners, as appropriate for each country's context and based on a country-led approach.</p> <ul style="list-style-type: none"> ▪ Strengthen coordination to ensure coherence and complementarity of Readiness activities with other multilateral climate Funds and other development partners), including for adaptation planning. Such coordination may consider the sharing of new and approved readiness proposals between relevant institutions to identify synergies and ensure avoidance of duplication. ▪ Improve guidance about the possible alignment of, and interlinkages between, the outcome indicators within different streams of GCF Readiness funding, with a view to optimizing allocation of readiness resources (e.g. improving synergies between non-adaptation planning readiness proposals and the significant resources to be allocated to adaptation planning proposals – examples include: support for in country coordination mechanisms, stakeholder consultations etc.). ▪ Explore ways through which revisions to the Readiness Framework, stemming from the elaboration of the Theory of Change, could be used to re-assess and prioritize needs for better resources attribution. |
| <p>Challenge 3 –Country Programmes: Ensuring countries drive project pipelines and strategic use of Readiness support.</p> | <ul style="list-style-type: none"> ▪ Procurement process started in late 2018 for technical assistance to be provided by a firm for development of GCF Country Programmes. | <ul style="list-style-type: none"> ▪ Complete guidance on GCF Country Programmes to define (i) elements of strategic and long-term policy value; (ii) macro-level investment assessment; (iii) focus on set of project ideas, (iv) |

| Challenges and Opportunities | Solutions initiated in 2018 | Further Solutions |
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| <p>Explanation: Readiness proposals to the GCF often appear to be supply-driven and resulting use of Readiness support is somewhat ad hoc. Similarly, project funding sought from the GCF is at times disconnected from a clear articulation of the countries' priorities.</p> <p>Opportunity: Focused Country Programmes, as well as NAPs and NDCs and the interlinkages of these three should drive project pipelines and readiness support.</p> | <ul style="list-style-type: none"> ▪ Review of draft Country Programmes by the Secretariat with feedback to NDAs on ensuring links between the use of strategic climate related policies and plans in distilling country priorities, together with wide consultation with relevant stakeholders and a clear NOL procedure has helped to strengthen country ownership elements of Country Programming. ▪ Focused sessions at GCF events with NDAs (NDA Global Conference, Structured Dialogues) on the approach and strategic importance of country programming. This has included NDAs sharing experiences from countries who have been through the process and lessons learned. | <p>the Readiness needs for building this project pipeline; and (v) the desired types of AE and Delivery Partners needed to get there.</p> <ul style="list-style-type: none"> ▪ Encourage countries to deploy “strategic frameworks” to support follow-up interventions that address specific policy, regulatory, sectoral, or thematic gaps identified in the Country Programme to avoid ad hoc approaches to Readiness typically seen under this work areas; develop guidance for countries to better deploy Readiness for the development of Country Programmes and associated strategic frameworks ▪ Starting in 2020, require all future Readiness and Funding Proposals to be sited as a priority in the Country Programme and to align with priorities in NAPs and/or NDCs as available. |
| <p>Challenge 4 – Impactful Concept Notes & Funding Proposals: Limited shared understanding among GCF Secretariat, NDAs and AEs about elements climate rationale and other aspects of strong Concept Notes and Funding Proposals for projects and programmes.</p> <p>Explanation: This lack of shared understanding has resulted in AEs struggling to produce successful project pipelines and NDAs facing barriers to securing GCF resources for climate action in their country. The pipeline limitation also means the PPF has a limited number of Concept Notes it can support to be prepared into Funding Proposals. The lack of understanding extends to the requirements on various safeguard issues that are reflected in the</p> | <ul style="list-style-type: none"> ▪ Positive progress has been made in recent months in defining and communicating with NDAs and DAEs the key elements of climate rationale and methods for designing projects and programmes based on these elements, drawing from information produced through adaptation planning processes in the case of adaptation project. ▪ The Adaptation Rationale Workshop held in November 2018 in the Philippines; and the Adaptation Rationale workshops for the water sector delivered by the Global Water Partnership in both Africa and Asia, helped DAEs and NDAs with approved adaptation planning proposals to articulate strong climate rationale in specific adaptation project ideas and concepts. | <ul style="list-style-type: none"> ▪ With partners, develop a suite of GCF methodologies with partners for articulating the key elements of climate rationale in the design of projects, including the use of adaptation planning and other areas of Readiness support. ▪ With partners, develop and openly share sector-specific guidance for NDAs, AEs, Delivery Partners, executing partners, and trainers or other actors to use in designing compelling project pipelines. ▪ With partners, deliver regional and sector-focussed technical clinics that address specific elements of climate rationale and other aspects essential for strong project development. ▪ Develop explicit review criteria and associated good practices for all Readiness objectives, |

| Challenges and Opportunities | Solutions initiated in 2018 | Further Solutions |
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| <p>ESS, gender and indigenous peoples- related contents of Concept Notes and Funding Proposals being submitted to the fund.</p> <p>Opportunity: Develop clear and shared understanding of the elements of climate rationale, with a suite of associated methodologies for achieving it in project pipelines including with the use of adaptation planning and other Readiness support.</p> | <ul style="list-style-type: none"> ▪ Transparent review criteria and associated good practices developed and systematically used for NAPs and/or other adaptation planning processes has proven useful in helping NDAs and their delivery partners in strengthening the quality of readiness proposals that produce climate rationale and catalyse investment. ▪ Conducted awareness and training sessions/workshops for DAE's and NDA's to enable them to articulate, develop and integrate ESS, gender and indigenous peoples issues in their country programs, NAPs, Concept Notes and Funding Proposals to the GCF | <p>building on the example of adaptation planning activity area. Doing so will improve transparency and consistency of review by the Secretariat, as well as support counties in focussing design of their proposals for impact and efficient approval.</p> <ul style="list-style-type: none"> ▪ Expand the training and capacity development activities of stakeholders (DAE, NDA) to effectively integrate ESS, gender and indigenous peoples issues in readiness supported programs and Funding Proposals |
| <p>Challenge 5 – Pipeline Development: Limited use of Readiness to directly building bankable project pipelines</p> <p>Explanation: There is a clear need to strengthen and improve strategic impact and possible sequencing of activities in the delivery of Readiness support for project pipeline development. Although stakeholder consultation is a fundamental element in the definition of national objectives and project prioritization, countries have reported the need for stronger technical guidance to allow them to more effectively develop project ideas from national policy priorities.</p> <p>Opportunity: Ensure that a primary objective of the revised Readiness Programme is geared toward closing the gap in the project continuum, whereby</p> | <ul style="list-style-type: none"> ▪ Requiring NAP support provided to include development of a set of project ideas and concepts. ▪ Provision of hands-on independent technical assistance upon request of Direct Access Entities in developing strong project Concept Notes and associated PPF applications. | <ul style="list-style-type: none"> ▪ Increase more systematic provision of hand on independent technical assistance to Direct Access Entities and NDAs for developing strong project Concept Notes and associated PPF applications as necessary from initially identified priorities and project ideas through a structured curriculum including online and in-person training and improved guidance and knowledge products. ▪ Provide sector-specific engagement and capacity building to countries and DAEs on core technical aspects of their national climate change policy priorities in order to identify and prioritize potential mitigation and adaptation interventions ▪ Provide tailored support relevant for private sector DAEs, for example to further their understanding of GCF non-grant instruments, concessionality, and financial structure |

| Challenges and Opportunities | Solutions initiated in 2018 | Further Solutions |
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| <p>many countries lack the support required to move from policy priorities to quality concept note and/or funding proposal</p> | | <ul style="list-style-type: none"> ▪ Offer tailored support to different groups of countries to accelerate readiness to access resources by those with least capacities with the understanding that some countries, including LDCs and SIDS, require more foundational support. One such vehicle would be to offer SAP-specific support in terms of project development and implementation capacity development. |
| <p>Challenge 6 – Programme Management Efficiency: Limited capacity of the Secretariat to maintain strategic engagement with countries, delivery partners and Accredited Entities, as well as manage the Readiness Programme, including adaptation planning.</p> <p>Explanation: The scope of the Readiness Programme is wide and hence offers a variety of entry points: institutional, human and technical capacity development; technical analysis; project pipeline development; thematic/sectoral support for finance mobilization; private sector engagement and outreach, among others. This broad range of support requires significant capacity to manage and is further compounded by a diverse pool of NDAs and Readiness Delivery Partners with varying levels of capacity for implementation</p> <p>Opportunity: Capitalize on the opportunity presented by revising Readiness support to solidify internal processes, clarify communications and expectations to external partners, including NDAs and delivery partners, and utilize existing and new</p> | <ul style="list-style-type: none"> ▪ In the latter half of 2018, the Division of Country Programming organized itself between the relationship management with countries and Accredited Entities across all GCF programmes, totaling 18.5 staff; and programme management which has recently grown to a team of 5.5 staff focused directly on design, management, substantive review of proposals and knowledge management related to the Readiness Programme, including adaptation planning. | <ul style="list-style-type: none"> ▪ Continue to strengthen the human resource capacity of the Secretariat team working on Readiness and include a whole-of-Secretariat approach, especially by drawing on the expertise of the operational divisions (DMA, PSF). ▪ Build partnerships with existing providers of “readiness”-type support (e.g. GEF, CIFs, Adaptation Fund, NDC-Partnership) to coordinate support and pilot approaches where mutual coordination and cooperation can maximize the impact of GCF Readiness resources in a country-driven manner. ▪ Provide Technical Assistance to foster strategic partnerships at global/sectoral level, through regional hubs and national networks to support NDAs and DAEs strengthen their policy and implementation capacity to coordinate national processes, successfully engage with other relevant government entities, make informed decisions on climate and development related policies, develop programmes to implement these policies, attract, absorb and manage resources; and evaluate activities to guide future actions. |

| Challenges and Opportunities | Solutions initiated in 2018 | Further Solutions |
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| <p>partnerships where Secretariat capacity is insufficient</p> | | <ul style="list-style-type: none"> ▪ Introduce modalities to complement existing ones: <ul style="list-style-type: none"> ▪ Direct support to NDAs ▪ Coordination with climate change scientific community for knowledge generation (e.g WMO, World Adaptation Science Programme etc.) ▪ Coordination with wider climate finance landscape ▪ Capacity building/development activities, including information and experience exchange at regional and sectoral level |
| <p>Challenge 7 – Implementation Effectiveness: Lack of diversity of Delivery Partners for Readiness proposals, particularly for NAPs and/or other adaptation planning processes, and issues with timely and effective implementation of Readiness support.</p> <p>Explanation: The high percentage of readiness proposals to date, including for adaptation planning processes have been submitted by NDAs with a small set of common two international accredited entities as the Delivery Partner who have a strong trajectory of providing related support to countries. This concentration of Delivery Partners has been noted as an operational risk to the Fund, and sometimes result in similar proposals across different countries. When relevant for national context, national Delivery Partners can also support the need to build local capacity and local experience in working with GCF for sustainability.</p> | <ul style="list-style-type: none"> ▪ Strengthening communication with NDAs on their options in selecting delivery partners and benefits of having multiple sequential proposals for GCF adaptation planning support with different including national or regional partners when relevant for the country context. ▪ Offering independent technical assistance to NDAs at their request for helping design their planning processes and associated proposals with national or regional partners. | <ul style="list-style-type: none"> ▪ Progress has been made in recent months, resulting in an increased diversity of delivery partners for NAP proposals. There is opportunity to increase this trend in the revised Readiness Programme by increasing the steps outlined above. ▪ Increase the offer of independent technical assistance to NDAs at their request for helping design their planning processes and associated proposals with national or regional partners, including through partnering with regional centres of excellence ▪ Promote the benefits and prioritize national and regional delivery partners when relevant to the national context. ▪ Create a delivery partner directory on the GCF website to increase visibility to NDAs of the range of delivery partners available for Readiness support as well as their areas of experience. |

| Challenges and Opportunities | Solutions initiated in 2018 | Further Solutions |
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| <p>Opportunity: Increased diversity and specialisation of Delivery Partner options for NDAs can increase impact and decrease risk and improve implementation effectiveness</p> | | <ul style="list-style-type: none"> ▪ Foster South-South exchange of experience and assistance between and amongst national delivery partners on crucial areas of Readiness support |
| <p>Challenge 8 – Private Sector: Need to move beyond merely “engaging” the private sector and use Readiness resources to catalyse private sector participation and investment in recipient countries.</p> <p>Explanation: The independent evaluation touched on the uneven success of the first phase of Readiness support in effectively engaging non-state actors in core planning and project development processes funded with Readiness resources. National institutions and private sector entities must take a lead role in developing, mainstreaming and operationalizing low emission and climate resilient pathways.</p> <p>Opportunity: Use Readiness support to enhance the potential of the domestic private sector to increase investment in low emissions and climate resilient development pathways.</p> | <ul style="list-style-type: none"> ▪ The Secretariat has updated guidance to NDAs and delivery partners in the area for NAPs with regards to engaging the private sector through concrete deliverables. These include developing financing strategies for investment in adaptation and concept note development that could target the private sector. ▪ The Readiness Guidebook was revised with improved guidance for NDAs and delivery partners with respect to private sector investment, especially with respect to matters related to adaptation planning and climate technology. ▪ Readiness requests are reviewed for strategies to engage the private sector, particularly for requests to develop Country Programme or project pipeline. ▪ Capturing lessons learned on engagement of the private sector with Readiness and incorporating these into training modules being implemented in partnership with GIZ | <ul style="list-style-type: none"> ▪ Incorporate Readiness activities involving the private sector to cut across work areas rather than siloing it under stand-alone outcomes. Already NAP support guidance encourages the inclusion of private sector outreach and participation into adaptation planning support requests; this could be further elaborated in all Readiness work areas. ▪ Encourage further use of private sector actors as delivery partners in the Readiness Programme. Already, some private sector organizations are providing Readiness support in a few instances. This practice could be strengthened by providing guidance to countries regarding the careful selection of Readiness delivery partners. ▪ Revise the Readiness Guidebook with review criteria and good practice examples at crowding-in or otherwise engaging the private sector. This enhanced guidance can provide indicative examples of how countries have managed to catalyse the active involvement and investment of national private sector stakeholders. ▪ Employ South-South exchange of knowledge and experience from countries in which GCF or other climate finance channels are already working well with the private sector to share lessons learned and fine tune approaches for the national context. |

| Challenges and Opportunities | Solutions initiated in 2018 | Further Solutions |
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| | | <ul style="list-style-type: none"> ▪ Organize dedicated private sector forums aimed at maximizing private sector engagement in all Structured Dialogues and similar events. The training modules and materials will be developed to strengthen NDA and private sector DAEs capacity to catalyze the involvement of private capital into the countries key climate priorities. |
| <p>Challenge 9 – Knowledge Management & Sharing: Systematic knowledge management and sharing and leveraging the experience gained from over 200 Readiness support requests.</p> <p>Explanation: The knowledge already generated by the implementation of the first phase of Readiness support must be exploited for the benefit of the revised Readiness Programme. Moreover, other initiatives have developed methods and systems for capturing and sharing information regarding climate finance, capacity building and other similar themes.</p> <p>Opportunity: Improved methods of knowledge management and sharing can bring a continuous increase in impact of investment and efficiency of delivery.</p> | <ul style="list-style-type: none"> ▪ The Secretariat has developed the Direct Climate Action Platform (DCAP), a global online platform for institutions and experts from across the world to exchange knowledge, share technical expertise and foster capacity building. DCAP was introduced during COP23 in the GCF side event “Day of Direct Access Entities”, inviting all types of institutions to partner and to join the effort to mobilize capacities and information through this initiative. ▪ The Secretariat has developed portals for NDAs/FPs and AEs designed to provide them with a one-stop shop on their engagement with GCF. The portals will give NDAs/FPs visibility about the projects that AEs submit to the Secretariat, which will be readily visible by the NDA/FP, responding to a demand for this information to be more rapidly accessible ▪ The Secretariat is documenting good practices across a range of key Readiness areas based on implementation experiences to date. With the permission of respective NDAs and DPs these are shared with other NDAs and DPs to assist in fostering the uptake of good lessons learned | <ul style="list-style-type: none"> ▪ Expand the DCAP and find alternative ways (online and offline) for sharing tools, methods, good and sound practices and experiences between and among countries, as well as other capacity building and coordination efforts. ▪ Encourage further exchange between countries on a South-South learning modality beyond Structured Dialogues or Direct Access Workshops. ▪ Develop, engage or support knowledge exchange on ESS, gender and IP issues to foster cross learning, information sharing and development of capacities. ▪ Improve guidance on what are usually expected and what are best practices from other countries on issues such as climate rationale, multi stakeholder consultation, private sector engagement as well as the effective integration of ESS, gender and indigenous peoples issues ▪ Document Case Studies on good examples of Readiness and share with NDAs and partners to encourage further such practice, including through the dissemination of review criteria and good practice examples |

| Challenges and Opportunities | Solutions initiated in 2018 | Further Solutions |
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| <p>Challenge 10 – Results Management: Monitoring and reporting procedures need to demonstrate evidence of impact</p> <p>Explanation: Readiness support requests rely on the determinations of the NDA and/or delivery partner to set baselines, report quantitatively and qualitatively on deliverables and outcomes, and ensure Readiness support is closing the identified capacity gaps. Capacity building by its nature is a process that may only show its impact over the medium or long term.</p> <p>Opportunity: Improve qualitative and quantitative reporting of results that feed back into the national context and the global programme for improved impact</p> | <ul style="list-style-type: none"> ▪ Further guidance has been included in the Readiness guidebook about ways to assess current baselines, including clarification about expected outputs and outcomes. ▪ Secretariat has requested for Readiness proposals to include a Gantt Chart (or similar) to enable more effective monitoring of the implementation of readiness activities. ▪ Secretariat has begun to roll out an enhanced suite of portfolio management tools at the back-end to bolster OPM and DCP processing of results | <ul style="list-style-type: none"> ▪ Improve tracking of performance and comparability, including by improving the methodology utilized in the current Readiness framework. ▪ Consider use of country-specific indicators in complementarity to the broader list of outcomes and of sub-outcomes currently used. ▪ Consideration of the involvement at specific points of third-party evaluation of the progress achieved. ▪ Provide guidance for countries to consider the time dimension in the definition of their readiness goals, improving their planning/sequencing of shorter, medium and longer terms expected outcomes, targets and indicators. ▪ Continue to improve back-end systems to streamline processing of results and facilitate more efficient and expedited reporting by NDAs and delivery partners ▪ Require context-specific, quantifiable baseline and target indicators in Readiness request log frames, consistent with the Interim Report and Final Reporting template managed by OPM to ensure results are being delivered and outcomes are measured. |

2.6 Lessons learned from BMUB Germany GCF Readiness Programme

19. In 2014, UN Environment/UNDP/World Resources Institute (WRI) launched the Green Climate Fund (GCF) Readiness programme to build capacities of nine countries to access GCF by developing the processes, institutions, tools and policies necessary for strategic climate interventions that combat climate change and build climate resilience. The countries selected to participate in this programme are Benin, Colombia, El Salvador, Fiji, Ghana, Kenya, Nepal, the Philippines, and Uzbekistan.

20. This programme recently conducted the Practitioners' Workshop in Berlin between 8 to 10 October 2018, and published its final report noting the lessons learned and the outcomes achieved for the programme countries. This report particularly noted the following as the recommendations for building the GCF Readiness Programme:

- (a) Participatory decision-making processes help inform climate strategies and prioritization;
- (b) GCF's policies and standards are not finalized yet, hence respond with flexibility and creativity;
- (c) Participatory decision-making is time-consuming and GCF's processing timelines are uncertain, hence set work plans and objectives accordingly;
- (d) There is limited knowledge of GCF and its funding requirements worldwide;
- (e) Resources and templates for GCF-related matters exist, but are not always compiled in a central place; and
- (f) South-South exchanges are an effective, hands-on way to build a community of practice.

21. Of these nine countries, Benin will have its first single-country project considered by the Board in near future. Colombia and Fiji already have one approved funding proposal and El Salvador has two approved single-country projects with the GCF. Ghana, Kenya, Nepal, Philippines and Uzbekistan do not yet have a single-country project approved by the GCF. In terms of direct access, there are five direct access entities accredited to the GCF among the nine countries – two in Colombia, and one each in Fiji, Kenya and the Philippines.

22. While the BMUB programme worked with a small set of countries during a time when GCF processes were only just established, the main lessons learned pertain more to the importance of clear communications, awareness raising, and enhanced coordination. These activities will play a role in the revised Readiness Programme but the Secretariat recognizes that many countries have moved beyond the need for this foundational level of support and require more complex, technical, and strategic offerings.

2.7 Recommendations from consultations with NDAs/FPs and Delivery Partners

23. During the twenty-fourth session of the Conference of the Parties to the UNFCCC, members of the Secretariat convened a consultation on the Readiness Programme with representatives from GCF NDAs on 5 December 2018. The objective of the interactive session was to solicit feedback on the country experiences during the initial phase of the Readiness Programme and to hear their reactions on some of the proposed revisions to Readiness support moving forward.

24. Over the course of the two-hour session, the Secretariat engaged with the attendees on ways to address the following constraints:

- (a) Timely access to information, documents and guidance, including in languages other than English;
 - (b) Strategic use of Readiness resources for capacity building beyond the NDA and DAE to engage in a whole-of-government approach;
 - (c) Development of projects and funding proposals stemming from national policy priorities;
 - (d) Implementation effectiveness and efficiency of the delivery of Readiness support;
 - (e) Linking the work of Readiness and the GCF more broadly to the development agenda, and;
 - (f) Long-term support for NDAs to effectively undertake their role vis-à-vis the GCF and other sources of climate finance.
25. The participants highlighted potential improvements to the Readiness Programme that seek to address the above concerns, including among others:
- (a) Allow more flexibility in the use and deployment of Readiness resources, including for the hiring of NDA support personnel;
 - (b) Build implementation capacity of the countries to ensure successful projects and programmes and enhance direct access through technical assistance on project development;
 - (c) Identify common capacity gaps and utilize regional approaches to Readiness support where appropriate, and;
 - (d) Provide the opportunity for countries to programme Readiness resources over multiple years to enhance strategic value.
26. This input is reflected in the suggested improvements to the Readiness Programme as detailed in the following sections. The engagement with countries through NDAs will continue as the Readiness Programme evolves to ensure countries have efficient access to effective deployment of Readiness resources.

III. Overall framework and Theory of Change

3.1 Purpose and vision of the Readiness Programme

27. The Green Climate Fund promotes the paradigm shift towards low-emission and climate-resilient development pathways by providing support to developing countries to limit or reduce their greenhouse gas emissions and to adapt to the impacts of climate change, taking into account the needs of those developing countries particularly vulnerable to the adverse effects of climate change. To help achieve this purpose, the Governing Instrument stipulates the creation of a Readiness and Preparatory Support Programme. In subsequent Board decisions, the Readiness Programme has evolved into a capacity assessment and development programme aiming to provide technical and financial support to all eligible countries to build their human, technical, financial, and institutional capacity to develop, programme and implement paradigm-shifting mitigation and adaptation action, including by accessing the GCF and other climate financial resources in the future. The Fund also promotes gender equality and the protection of the rights of indigenous peoples as well as the application of environmental and social safeguards. Readiness support is recognised, in the ESS and the policies, as a resource that eligible countries should use if they see that they need capacity development support to fulfil the requirements set in these policies.

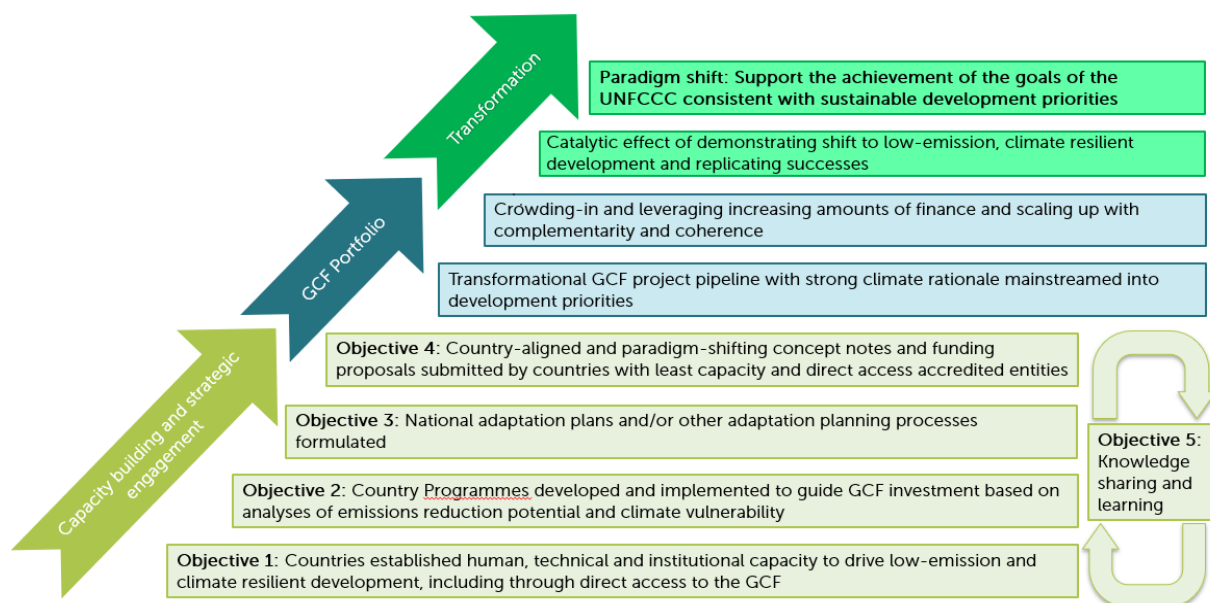
28. In line with previous Board decisions, including decisions B.18/09 paragraph (b) and B.19/15 paragraph (f), the following paragraphs describe a vision, theory of change, and operating modalities to improve the Readiness Programme and reorient it for enhanced impact in a second phase. The revisions are based on the evidence provided in the previous sections and bolstered by the value proposition (see section 3.3) of an improved Readiness Programme (“Readiness Phase 2”).

29. **Vision:** Building upon the progress made since 2015 and considering the increasing demands for support from countries, by 2025 all GCF recipient countries have developed the necessary enabling environment, including increased institutional capacity and robust country strategies, to implement transformational projects and programmes in line with national climate change priorities and GCF result areas, including as elaborated in updated NDCs and NAPs.

3.2 Theory of Change

30. The need for a fully elaborated Theory of Change (ToC) has been documented by the multiple reviews of the first phase of the Readiness Programme. The IEU, Dalberg, and Secretariat analyses agree that a coherent ToC will help to articulate a unifying programme vision and more clearly define the components or ‘pillars’ within which Readiness activities will be funded. It also specifies the outputs within each pillar that are expected to be supported and achieved within each component and describe how these outputs will support broader outcomes and objectives of the Programme as relevant to the specific needs identified by each country. In doing so, the ToC provides NDAs and DPs with greater clarity on the specific outputs and associated activities they seek financial support to achieve through the Readiness Programme. Figure 1 below provides a summary of the ToC envisioned for the revised Readiness Programme.

Figure 1: Summarized Theory of Change for the revised Readiness Programme



31. The full ToC will elaborate the impact, outcomes, objectives and outputs, as described in the paragraphs below.

32. **Impact:** Support the achievement of the goals of the UNFCCC, in line with the Paris Agreement and consistent with sustainable development national priorities.

33. **Programmatic Outcomes:**

- (a) Strengthened institutional structures, operational frameworks, investment strategies and procedures in place for efficient climate-responsive planning and development.
- (b) Systemic change in perceptions, knowledge, behaviours and attitudes among primary and secondary stakeholders on climate change.
- (c) Enhanced country ownership and oversight of whole programmatic approaches on climate change through proper access modalities, conditions and incentives.
- (d) Enabling environment created for relevant government and non-government stakeholders to address climate change.

34. **Objectives:**

- (a) **Objective 1 – Capacity building for climate finance coordination:** Countries established human, technical and institutional capacity to drive low-emission and climate resilient development, including through direct access to the GCF
- (b) **Objective 2 – Strategies for climate finance implementation:** Ambitious strategies implemented to guide GCF investment based on analyses of emissions reduction potential and climate vulnerability and risk and in complementarity with other climate financiers
- (c) **Objective 3 – National adaptation plans and/or adaptation planning processes:** National adaptation plan (NAP) and/or other adaptation planning processes formulated to catalyse public and private adaptation finance at scale
- (d) **Objective 4 – Paradigm-shifting pipeline development:** Country priority-aligned and paradigm-shifting concept notes and funding proposals submitted by countries with least capacity, including LDCs, and direct access accredited entities
- (e) **Objective 5 – Knowledge sharing and learning:** Increased levels of awareness, knowledge sharing and learning that contribute to countries developing and implementing transformational projects in low-carbon and climate-resilient development pathways.

35. In order to implement the revised Readiness Programme in such a way that it helps countries achieve the impact and outcomes as described above, it is necessary to broaden the scope of support while ensuring it is used strategically and in a targeted fashion by countries. Therefore, compared to Readiness support to date, there are three changes in scope as highlighted in table 4 below.

Table 4: Changes in the Scope of the Readiness Programme

| Phase 1 | Phase 2 |
|--------------------------------|--|
| Readiness to access GCF | Capacity to programme high impact, paradigm shifting climate action and access GCF and other climate financiers |
| Readiness of NDAs/FPs/DAEs | Capacity of NDAs/FPs, DAEs and other agencies and key stakeholders including CSOs and the private sector to undertake integrated national planning of mitigation and adaptation action; capacity of national institutions to channel international climate finance finance |
| Readiness to become accredited | Capacity to effectively design and successfully implement GCF-funded projects that fulfils the Fund’s standards and policies ¹ and channel wider sources of finance |

¹ Including ESS, Environmental and Social Policy, Gender Policy and Indigenous Peoples Policy

36. The Secretariat envisions the pathway to achieving these outcomes and impacts will be forged through re-focussing the orientation of the Readiness Programme from indicative activity areas (decisions B.08/11 paragraph (i) and B.13/32 paragraph (e)) into five cross-cutting streams of support, called objectives (see section 3.4). This responds to the need to ensure that Readiness support is both outcome-driven while maintaining flexibility for countries to pursue the support that best aligns with their national priorities and objectives.

37. It is essential that new modalities of access and operation will accompany this renewed focus on impact and implementation (see section 4). Taken together, the results-based approach to the revised Readiness Programme and the new modalities for operation and implementation, allows countries both the flexibility to pursue support that best meets their needs and contexts while providing quality assured guidance that orients countries towards implementation of paradigm shifting climate action, especially through the direct access window.

3.3 Readiness Programme value proposition

38. **Capacity building for strategic implementation:** The value of the Readiness Programme to the mission of the GCF and to the countries it serves, specifically with the changes proposed as part of Readiness Phase 2, is demonstrated in the paragraphs below. The second phase of the Readiness Programme will be results-oriented, strategic, and fit-for-purpose to support countries with least capacity but also those with needs for more advanced support. Such interventions will decrease transaction costs, especially with regards to the GCF portfolio, as oftentimes technical assistance for market barrier removal, policy development, and other preparatory activities must be packaged as part of the funding proposal. By upstreaming this support to countries through Readiness Phase 2, there is a seamless flow from capacity building and strategic programming through to investment identification and preparation, funding request submission and successful implementation.

39. The support delivered through the improved Readiness Programme is both targeted (a menu of support options based on country needs) and comprehensive (from basic institutional capacity development to highly technical advice). Readiness support closes the gap between basic capacity development on the one hand to highly-specific project preparation assistance on the other. Readiness support in the second phase is available to be deployed across the entire value chain of climate finance for developing countries, while providing countries the flexibility the access the support that best meets their strategic needs.

40. **An ambitious scope: readiness for paradigm shift:** Readiness Phase 2 has updated the vision, scope, and objectives based on learning of initial phase of Readiness and funding activities. The findings and recommendations of multiple assessments indicate a course of reorienting the Readiness Programme around need for long term investment in country and institutional capacity for transformational programming and access to both GCF and other sources of finance. Such an approach will facilitate further uptake of GCF resources by direct access accredited entities, driving the case for GCF replenishment programming and proving the comparative advantage of the GCF among dedicated climate funds.

41. To deliver the kind of paradigm shift envisaged by the GCF mandate, countries and entities require evidence-based knowledge that can inform their planning processes and identify those activities that are true 'game-changers' towards low-carbon and climate-resilient development. Further support will be required to: 1) strengthen effective coordination at national level; 2) remove barriers so that GCF funding acts as a catalyst for access to a wide array of climate finance; 3) enable countries and entities to translate identified opportunities into feasible action and bankable projects that can then be submitted for GCF funding, and; 4) engage in a policy dialogue and resulting policy framework that will enhance transformation. The focus of

this support is to ensure the Readiness Programme fosters advanced evidence-based knowledge and decision-making on climate change as the basis for all activities (including PPF, SAP, CNs and FPs) to be submitted for GCF consideration.

42. **Redoubled focus on country ownership:** Readiness Phase 2 is designed to build lasting national capacity. The revisions to the work programme will improve country capacity across the human, institutional, and financial value chain. Efforts to ensure a foundational level of ability to engage with the GCF will remain a focus, especially for countries with least capacity, including LDCs, SIDS, and Africa. However, it will further expand to invest in in-situ staff capacity and resources, establish readiness for ‘simplified access’, deploy support for national and regional expert and analytical capabilities underpinning programming processes, and support direct access institutions that can serve as critical institutional bridges between international and national finance.

43. **Investing in a paradigm-shifting pipeline:** The link between national policy priority, identified intervention, and approved GCF funding proposal will be completed with a heightened focus on pipeline development. Readiness Phase 2 will make investments in country and entity capacity to drive high impact and paradigm shifting pipelines. Through support for these two critical stakeholders to improve their ability to translate climate mitigation and adaptation priorities into concept notes, Readiness Phase 2 will bridge the gap that has hindered the expected increase in direct access entity submissions. This will include analytical support for more transformational country programming, targeted support for policy and regulatory frameworks, and private sector engagement, especially with respect to removing barriers to accessing climate finance by non-state stakeholders in the private sector and civil society.

44. Strengthening high-quality, evidence-based knowledge to inform these processes will in many cases be a key element where Readiness Phase 2 can make a crucial contribution. This support will assist countries to have a more comprehensive understanding of the full range of support needed to successfully undertake low-emission climate-resilient pathways compatible with the GCF objective. Technical capacity will enable countries to identify and develop science-based transformational pipelines compatible with the goals of the Paris Agreement as a basis to define their programming priorities for the GCF. This will ensure that supported countries are in a better position to formulate more specific and tailored requests for support that will increase their likelihood of accessing GCF resources, while building sustainable national capacity to implement them successfully.

45. **Fit-for-purpose, lower transaction costs and predictable funding:** Readiness Phase 2 will apply the lessons learned and feedback from country partners to hone in on a fit-for-purpose approach internally and externally. Readiness capacity assessments, easier access to basic NDA strengthening support for countries with least capacity, and multi-year programming, allow for a strategic approach that aligns the planning and programming cycle with the technical support required at the national level. The experience of programming NAP and other adaptation planning processes over a longer (three-year) term, including by incorporating a phased approach, shows that greater flexibility to plan Readiness support over the medium term can result in higher quality interventions that aim for longer lasting impact. By providing this longer-term predictability of funding, the Secretariat can engage with countries to tailor support to country context, revise Readiness work plans as the interventions unfold, and incorporate new climate priorities as they arise.

46. **Improved guidance, Secretariat support and peer to peer learning:** Readiness Phase 2 will provide further clarity to countries on the processes, outcomes and deliverables that make successful capacity building interventions. The development of review criteria, provision of a wider array of translated documentation and enhanced Secretariat support will cut down on review time and lower the barrier to entry for least capacitated countries. Further, Readiness Phase 2 will emphasize and promote south-south learning and integration with relevant

initiatives, such as the multiple efforts to advance NDC implementation. Finally, the strengthened capacity of the cross-divisional team in the Secretariat will provide streamlined support to countries and delivery partners to remove barriers to access.

47. **Managing for results:** Readiness Phase 2 will take an impact and outcome-based approach over the medium to long term. Whereas the first phase of the Readiness Programme provided indicative activities and outcomes at the project level, Readiness Phase 2 will take a comprehensive approach with clear targets for impact at the programmatic level. Results and learning from Readiness support implementation will be analyzed to improve impact and efficiency in delivery of future resources.

3.4 Revised Readiness Programme objectives and outcomes

48. This section presents Readiness Phase 2 objectives and outcomes to more fully describe the new orientation for the Readiness Programme as one of impacts as opposed to inputs. It attempts to update the indicative Readiness activities (B.13/32 paragraph (e)) in part by revising areas of work (with five Objectives on Capacity, Strategies, Adaptation planning, Pipeline development, and Knowledge) to reflect the experience gained through delivering Readiness support during the first phase. The resulting programme is one that supports countries to approach Readiness in a strategic manner to move towards the ability to plan and implement impactful projects and programmes aligned with national climate priorities.

49. To achieve this vision, the following five Objectives with specific Outcomes are proposed for the Readiness Programme:

50. **Objective 1 – Capacity building for climate finance coordination:** GCF recipient countries have set up adequate systems – their human, technical and institutional – that enables them to fulfil their roles and responsibilities towards the GCF, including the capacity to observe GCF operational policies, standards and procedures and drive low-emission and climate resilient development.

51. The first phase of the Readiness Programme worked to enhance the understanding of NDAs and other stakeholders of basic GCF roles, responsibilities, policy requirements and processes. Revised readiness support will strengthen countries' ability coordinate a diverse slate of stakeholders (national, subnational and private sector) with improved technical capacities to ensure plans, policy environments, and programming processes are aligned and oriented toward transformational country engagement with the GCF.

52. **Outcome 1.1:** Country NDAs or focal points and the network/systems that enable them to fulfil their roles and responsibilities, including cross-governmental and stakeholder group consultative processes, are operational and effective.

53. Under the first phase of the Readiness Programme, NDA strengthening was a key plank of support requests from countries, accessed to establish NDAs, develop no-objection letter (NoL) processes and similar structures. Yet it is evident that a set of countries still lack core capacities in this regard. Enhanced work under this outcome for Readiness Phase 2 will ensure countries with least capacity, including LDCs, have a foundational level of capacity to engage with the GCF. Such urgent and immediate needs of these countries was recognized by the Board in previous Readiness decisions, including B.05/14 paragraph (d) (iii). Furthermore, support for all countries will aim to establish the required human and technical capacity of NDAs so they can effectively prioritize potential investments, expeditiously process those investments, and coordinate and monitor national progress towards low-carbon and climate-resilient goals. It is also apparent that human as well as technical capacity constraints and challenges exist with countries in the operationalization of the ESS, Environmental and Social Policy, Gender Policy and Indigenous

Peoples Policy requirements and that going forward the Readiness Programme will provide support to address these challenges

54. **Outcome 1.2:** Direct access applicants and accredited entities (DAEs) have established capacity to meet and maintain and fulfil the GCF's accreditation standards and policy requirements; and accredited DAEs have the capacity to develop a pipeline of projects and effectively implement GCF-funded activities.

55. The scope of initial readiness support to direct access accreditation applicants focused on the process of becoming accredited. However, further support is needed to continue to build the capacity of the direct access entities so that they can successfully close gaps in the accreditation process. Likewise, to expand and improve support to these entities, the readiness programme will build and strengthen long-term institutional capacity (including structured trainings, deployment of long-term experts) that will help the accredited direct access entities to increase their pipeline of projects and effectively implement to achieve the desired results. The support in this regard will be extended to filling capacity gaps, as may be identified by countries themselves, in ensuring they are able to meet the requirements in relation to ESS, Environmental and Social Policy, Gender Policy and Indigenous Peoples Policy. This is already expressed and indicated in the policies.

56. **Outcome 1.3:** Relevant country stakeholders (which may include executing entities, civil society organizations and private sector) have established adequate capacity, systems and networks to support the planning, programming and implementation of GCF-funded activities.

57. In many countries, but particularly in countries with least capacity, including LDCs, the network of stakeholders necessary to support effective planning and programming of GCF funded activities is a stumbling block. The second phase of the Readiness Programme will aim to enhance the capacity of these stakeholders and their participation in processes relevant to GCF funded activity development and implementation, including through training on compliance with GCF policies and standards and participation in coordination mechanisms, where appropriate. The engagement of such actors can result in increased relevance and quality of plans, policies and programmes for climate change, thereby improving and expediting readiness delivery and implementation of climate finance investments. The Board has recognized this support to subnational actors as a key component in delivering Readiness activities in decision B.06/11 paragraph (b) (iii).

58. **Objective 2 – Strategies for climate finance implementation:** GCF recipient countries have developed the ability to systemically program ambitious strategies to guide GCF investment, based on a sound analysis of emissions reduction potential and climate vulnerability and in complementarity with other climate financiers.

59. In order for countries to leverage GCF resources towards paradigm shifting climate interventions, they require the strategic grounding to align climate priorities with the policy, regulatory and development frameworks currently in place. Readiness Phase 2 support will focus on Country Programmes as a core component of this strategic outlook, while also fostering the enabling environment needed to bring the vision of Country Programmes into reality. This support will enable countries to remove market barriers, address policy gaps, or align development and climate strategies, for example.

60. **Outcome 2.1:** Country programmes identify areas and potential interventions of highest impact and paradigm shift potential, to guide GCF pipeline development and programming.

61. GCF Readiness support can be used strategically to produce country programmes that are country-driven, based on the best available scientific data and focused on countries' climate change priorities. While many countries have begun work on this area, the number and quality of finalized country programmes remains low, hindering the ability of countries to strategically

engage with the fund. In Readiness Phase 2, Country programmes will identify areas and potential interventions of highest impact and paradigm shift potential to guide GCF pipeline development and programming. As a result, it is important for countries to develop and programme and climate investment strategies based on NDCs of increasing ambition, as well as policies and climate change related obligations including in relation to Adaptation Communications.

62. **Outcome 2.2:** GCF recipient countries have developed or enhanced strategic frameworks to address policy gaps, improve sectoral expertise, and enhance enabling environments for GCF programming.

63. Country engagement with the fund is driven by national priorities on climate change, which may require further articulation through sectoral or other thematic focus areas. Readiness support as it exists under this work area is not often strategic but opportunistic. However, countries have real needs in certain areas – technology transfer and development, private sector engagement, legal and regulatory frameworks to remove market barriers, or policy or capacity foundations in mitigation and adaptation sectors – which may in fact be a critical enabling factor for successful implementation of transformational projects and programming. Revised readiness support will address these gaps by providing targeted assistance based on priorities identified by countries, particularly in country programmes, but also in NDCs, NAPs, TNAs and National Communications. While support will be based on country priorities, support will be provided to countries to ensure that the Fund’s policy requirements on ESS, gender and indigenous peoples, which are in most cases aligned to their country’s priorities.

64. **Outcome 2.3:** Entity Work Programmes of accredited direct access entities developed that are aligned with the priorities of the countries, including country programmes and the GCF result areas.

65. To ensure coherence between country priorities, the Entity Work Programme will elaborate on the plans that the entity is geared to undertake by engaging with GCF in a long run. This programming process will also identify areas where the direct access entities might require additional support to undertake these tasks; and enhance their institutional and technical capacity so that the country priorities are met.

66. **Outcome 2.4:** Strategies for transforming and attracting private sector investment for low emissions and climate resilience developed and being used.

67. Increased private investment and in low emission pathways and resilience requires greater awareness, more conducive policy environments, and more compelling business cases. In the case of adaptation, support for adaptation planning processes will also deepen private sector engagement and investment strategies including through information for managing climate risk, encouraging incorporation of climate resilience in supply chain management, supporting for match-making of investors with high potential technology solutions, as well as identification and promotion of good practices and lessons learned.

68. **Objective 3 – National adaptation plans and/or adaptation planning processes:** GCF recipient countries have strengthened their adaptation planning processes and monitoring systems to enhance climate resilience across sectors, as well as increase the scale of public and private adaptation finance, with meaningful stakeholder engagement.

69. Technically robust, participatory and sustainable adaptation planning processes ensure maximum impact and transform public and private sector investment in adaptation. The participatory nature of the planning process is rooted in NDA, delivery partner and AE ability to establish and engage in meaningful consultation and engagement processes as a strategic priority embedded in the environmental and social management system for GCF and the environmental and social safeguards, Environmental and Social Policy, Gender Policy and Indigenous Peoples Policy of GCF. This is by way of underscoring GCF’s commitment to improving the well-being of

vulnerable populations including indigenous peoples as well as enhancing any social and environmental outcomes of its activities while avoiding and mitigating any adverse impacts its activities might cause.

70. Effective adaptation planning produces the scientific and economic evidence base that is crucial to design targeted, high impact, and cost-effective adaptation solutions for specific climate vulnerabilities and risks. It is also important to recognize the evolving nature of climate impacts and risks; and therefore, to formulate an iterative and ongoing adaptation planning process that embraces monitoring and learning, to inform decision-making and priorities and climate finance. Over time, GCF resources dedicated to the one-time cap mandated by the Board for the formulation of National Adaptation Plans and/or other adaptation planning processes will be exhausted. However, the need to fund adaptation actions will likely continue to increase but can be supported through implementation primarily provided through pipelines of projects and programmes, recognizing that countries would have strengthened their capacities, policies and investment pipelines through their adaptation planning processes.

71. **Outcome 3.1:** Adaptation planning and governance and institutional coordination strengthened.

72. Effective and efficient inter and intra-institutional coordination mechanisms for governing and coordination adaptation planning that involve all relevant stakeholders in decision-making are fundamental for successful programming and mainstreaming into broader national, sectoral and sub-national development and financing processes. Systems for ensuring the monitoring, evaluation and learning from adaptation action are also crucial for continuously improving impact.

73. **Outcome 3.2:** Evidence basis produced to design adaptation solutions for maximum impact.

74. Climate information about specific country climate impacts and their vulnerabilities and risks to human populations should be the basis of all adaptation planning. Some countries already have a wealth of climate information available for use by key decision makers, while others have significant information gaps which need to be addressed through updating studies or producing new ones. In all contexts, the effective packaging and communication of climate vulnerability and risk information to targeted stakeholders is crucial to increase adaptation action and finance.

75. **Outcome 3.3:** Private sector engagement in adaptation catalyzed.

76. Transforming private sector approaches to managing risk and investing in climate resilience and adaptation pose a crucial opportunity. The GCF is uniquely positioned to innovate and support efforts for private sector engagement in adaptation, and the examples of what works are increasing. Adaptation planning provides an opportunity to strengthen the policy and regulatory environment; make the case to targeted private sector actors about specific opportunities for investing in adaptation; and to connect promising adaptation technologies with investors.

77. **Outcome 3.4:** Adaptation finance increased.

78. A key goal of adaptation planning is catalyzing the scale of adaptation finance that is urgently needed to implement solutions prioritized to address the vulnerabilities and risks identified. GCF's support for adaptation planning processes aims to develop the strategies, project pipelines and systems required to attract a strategic array of blended and times sources of adaptation finance, including but not exclusively from this Fund.

79. **Objective 4 – Paradigm-shifting pipeline development:** Emanating from country programmes and entity work programmes, an increase in country priority-aligned and paradigm

shifting concept notes and funding proposals by countries with least capacity, including LDCs, and direct access accredited entities.

80. Support under Readiness Phase 2 will focus on driving project and programme pipelines that deliver high impact funding proposals and concept notes to the GCF. These Funding Proposals are expected to demonstrate the capacity to also fulfill policy requirements such as the ESS, Environmental and Social Policy, Gender Policy and Indigenous Peoples Policy. As noted in table 2 above, a small minority of Readiness resources in the first phase supported pipeline development. This objective will seek to correct that shortcoming by providing enhanced technical support to direct access entities. Work under this objective will also address Board decisions on support to NDAs and direct access entities to enhance climate rationale (B.19/06 paragraph (d) (i)) and the SAP (B.19/06 paragraph (f)).

81. **Outcome 4.1:** An increase of project concept notes developed and submitted from accredited Direct Access Entities.

82. The first phase of the Readiness Programme did not provide the pipeline of high-impact concept notes that could be fed into the PPF process, especially from DAEs. Readiness Phase 2 will continue to support the accredited Direct Access Entities to enhance their capacity in developing concept notes with strong climate rationale through structured trainings and deploying project development consultants, including support through the Fund's expertise on gender ESS and IP. In addition, the option to hire dedicated expert consultants via the Readiness resources in the context of a multiple-year grant would allow for longer support to build institutional capacity.

83. **Outcome 4.2:** An increase of funding proposals developed and submitted from accredited Direct Access Entities.

84. To complete the link from priority setting, concept note development through to funding proposal approval and implementation, it will be necessary to provide dedicated support to DAEs. Readiness Phase 2 will continue to support the accredited Direct Access Entities to enhance their capacity in developing and implementing funding proposals with a strong climate rationale and paradigm shift potential. The support will be focused on structured trainings on thematic focus as well as deployment of long-term expert consultants. Post-accreditation support will also target suitable DAEs for accreditation upgrades, enhancing their ability to programme investments of a sufficient size and quality to contribute to a paradigm shift. Structured training will also be organised to go towards safeguards issues based on needs and requirements as will be expressed by DAE's.

85. **Objective 5 – Knowledge sharing and learning:**

86. Outputs will be produced across all objectives to strengthen awareness of key actors about opportunity to catalyze climate action through the GCF, share knowledge about good practices, and learn based on purposeful monitoring and evaluation systems. Types of outputs and corresponding activities produced for this objective will include Structured Dialogues, sector-specific and other issue-focused technical clinics, south-south exchanges, web-based knowledge sharing, and development good practice guidance. South-South knowledge sharing modalities will be used as much as possible for conducting these activities. The Board has emphasized the significance of these knowledge exchanges, particularly through South-South interactions as far back as decision B.05/14 paragraph (f) (iv).

87. Readiness support in Phase 2 will look to build cross-cutting support on both 1) private sector engagement and 2) consideration and implementation of gender dimensions, ESS and indigenous peoples frameworks into all five objectives. Targeted support for the private sector is built into several outcomes in the preceding paragraphs, including with regards to NDA mapping and engagement of relevant private sector actors, identification of and pre- and post-

accreditation support for private sector DAEs, and strategic frameworks aimed at addressing the legal, regulatory, policy, operational and investment barriers to scaled-up private investment in climate actions. Support for compliance with GCF policies and implementation of measures to ensure gender, ESS and indigenous peoples considerations are addressed will figure prominently in all five objectives. As noted in the following section, the Secretariat will work closely with NDAs and delivery partners to disseminate tools, guidance, and good practice examples at the Readiness request level to strengthen this aspect of Readiness Phase 2.

IV. Operational improvements to the Readiness Programme

88. In order to bring about the proposed vision for the revised Readiness Programme, the Secretariat proposes the following operational changes. These changes aim to address the key findings of the Readiness Programme review and evaluation and the expand upon the challenges, opportunities and solutions presented in table 3. These operational changes target shortcomings, bottlenecks and barriers to effective and efficient access to and implementation of Readiness resources. The changes to existing operational modalities and the incorporation of new modalities aim to address both external factors (e.g., poor quality at entry of Readiness proposals, lack of strategic approach to Readiness support) as well as internal issues within the Secretariat (e.g., delays in processing Readiness support requests, lack of results feeding back into the Programme).

4.1 Country readiness assessment and country-specific Readiness plan

89. In past decisions regarding the Readiness Programme, the Board has emphasized that support requests be based on the assessed capacity needs of the country (B.01-13/10 paragraph (b) (iii); B.05/14 paragraph (f) (i)). Incorporating this emphasis and taking into account the key principle of country ownership, under the improved Readiness Programme countries are fully encouraged to conduct a rapid self-assessment of their readiness needs by using a standardized framework to identify the key gaps in its capacity to access climate finance and to develop and implement related projects. The multi-stakeholder needs assessment will be conducted by the NDA in consultation with other actors and will appraise a variety of essential capacities, institutional mechanisms and technical skills. The assessment will consider capacity building initiatives and assessments for climate change done under other auspices and it will include feedback on previous Readiness support. It will establish a baseline to help the NDA and the Secretariat better understand how to approach Readiness support in a strategic manner. While the assessment will not give a quantitative score, its use as a rapid diagnostic tool, and the ability of countries to update it as they fill capacity gaps, provides a dynamic snapshot of the state of readiness in a given country. The assessment will be bolstered by technical guidance from the Secretariat regarding its application. It will consider identified capacity needs through existing processes and documents, including National Communications, National Capacity Self Assessments, and others undertaken by other funds, bilateral or multilateral agencies, and multilateral development banks. This assessment will give due attention to the issues of ESS, gender and IP integration.

90. Such an assessment will be one of a number of inputs to a process to project the short- and medium-term readiness needs of a country. That process is the development of a country-specific Readiness plan. This prospective document will provide a strategic overview and direction for how the country wishes to access needed technical and financial support via the Readiness Programme. The country would be encouraged to build this Readiness plan into their Country Programme if feasible. It would map out the country-specific approach to Readiness over the next three to five years, demonstrating how to go from elements of capacity building – NDA

strengthening, DAE accreditation, stakeholder engagement – to the ability to implement GCF resources – enhanced DAE technical capacities, accreditation upgrades, submission of strong CNs and FPs, for example. The Readiness plan will enable countries to access all modalities of support from the Readiness Programme, including in phased or sequenced approaches stretching over a longer term.

4.2 Revised delivery modalities

91. Based on the recommendations from the Secretariat’s initial review, the independent evaluation conducted by IEU, and the inputs of Parties, deliver partners and other stakeholders, revisions to the Readiness Programme will also include new modalities around how countries plan, access and deploy Readiness resources. These new modalities will address shortcomings identified by the reviews of the Readiness Programme, which include a lack of strategic use of resources, interventions that are not sustainable in the long term, and inability to link the use of Readiness resources with the implementation of impactful mitigation and adaptation interventions on the ground.

92. Therefore, a suite of new operational modalities as outlined below are proposed for the Readiness Programme.

4.2.1 Multi-year allocation of Readiness grants

93. All recipient countries, particularly those with a country-specific Readiness work programme, are fully encouraged to develop multiple-year readiness grant proposals. This will provide the directions of readiness support over a longer term, reduce administrative burden on both countries and the Secretariat, and improve efficiency. The evolving approach to NAP support requests, for which countries are increasingly looking at ways to sequence their NAP support over a medium term (3+ years), shows that this practice allows for countries to at once plan strategically while maintaining flexibility to re-orient their approach.

94. Multi-year allocation readiness grants will allow countries the same flexibility while reinforcing the strategic aspect of Readiness support by expanding the time horizon for such requests. Such grant proposals will have annual workplans and associated budgets. Once the grant proposal is approved and entered into implementation phase, GCF will approve the subsequent annual workplans and budgets provided that the Annual Financial Report and Annual Technical Report meet the GCF reporting requirements.

4.2.2 Standardized packages of Readiness support

95. With the first three years of implementation of the Readiness Programme, foundation level capacity development requests – NDA strengthening, DAE accreditation support – comprise the largest share of the portfolio. The needs of countries who still lack these capacities are well known, and a standardized, “out of the box” package of Readiness support would allow for countries to select from a menu of support modules the appropriate services they require. This approach has been deployed with success under a contract with PwC on direct access entities capacity assessment. Taking into account the different national circumstances, there remains a baseline level of capacity required to interface with the GCF. NDA strengthening, DAE accreditation support, and development of a Country Programme are among the potential areas where standardized packages could quickly be requested and deployed to address these gaps in countries. The increased focus of the second phase of the Readiness Programme on knowledge and results management will inform the production of standardized packages. This simplification of access modality would respond to past Board mandates to streamline Readiness access, including B.11/04 paragraph (e).

4.2.3 Direct support to NDAs

96. Providing predictable support to NDAs can further strengthen capabilities of countries to access the Fund and support highly ambitious action. The aim is to support and reinforce the national system and ensure effective participation of all relevant actors in engaging with GCF to drive the implementation process nationally while making use of existing coordination and consultative bodies. Strengthened NDA capacities should support evidence-based policymaking that integrates experience, judgment and expertise with the best available external evidence. Support aims to enable long-lasting capacity building within countries, reducing the need for external support and fostering country-ownership. The Secretariat will highlight the advantages of the direct NDA support based on a robust ex-post monitoring modality for up to USD 100,000 within the USD 300,000 annual cap on support to NDAs. Eligible costs will remain as approved by the Board under B.08/11 paragraph (k); however, outreach and guidance by the Secretariat to NDAs on the benefits of availing of the entire suite of NDA support, including for conducting assessments as contained in section 4.1 above to close critical capacity gaps, especially in priority countries.

4.2.4 Enhanced institutional support to direct access accredited entities

97. Readiness Phase 2 support to direct access accredited entities will not end when the Board decides to approve accreditation of a given entity. The Readiness Programme will work with countries and entities to strengthen the capacity of direct access entities working both with applicants in the pre-accreditation stage and those that are already accredited. Readiness Phase 2 proposes to “twin” support for NDAs and direct access entities, where appropriate and requested by the country, in line with decision B.05/14 paragraph (f) (vi). These efforts can help boost the strategic link between Country Programme based on national climate priorities and the Entity Work Programmes of direct access entities.

98. This enhanced support to direct access accredited entities can be generally characterized as pre- and post-accreditation support.

99. **Pre-accreditation support** is typical of the Readiness support for potential direct access entities under the initial phase of the Readiness Programme. There is still a clear need for this support with many countries still lacking direct access entities accredited to the fund. This work area includes:

- (a) Support provided to applicants seeking accreditation in undertaking an Institutional Gap Assessment;
- (b) Support for potential entities develop an Action Plan based on the Gap Assessment and aimed at achieving the GCF accreditation standards, and;
- (c) Institutional capacity building and strengthening to close identified gaps against the GCF accreditation standards.

100. **Post-accreditation support** to be provided under the revised Readiness Programme aims to facilitate accredited DAEs in identifying, developing and implementing high quality projects for the GCF under two streams:

- (a) Programming support through strategic engagement:
 - (i) Based on collected feedback from accredited DAEs with respect to challenges in developing and implementing projects with the GCF, the Secretariat plans to establish a pool of experts to mentor DAEs and develop an on-site support programme for the entire project cycle from design to implementation, along with country visits to facilitate discussion on their project pipelines.
 - (ii) In addition, the support would be also accompanied by continuous support to strengthen the capacity of direct access entities in project identification, preparation, management, implementation, and monitoring through regular readiness support window.

- (iii) In parallel, the empowering direct access workshop and a series of regional structured dialogues (with a sectoral focus where relevant) will be organized for direct access entities, with a particular focus on South-South exchanges where DAEs can learn from other successful cases of DAEs developing successful concept notes and funding proposals.
- (iv) These interventions as a matter of principle will take the mainstreaming approach and will deal with gender and indigenous peoples issues throughout the process as well as highlight and ensure capacities are developed to understand and fulfil ESS requirements.
- (b) Expanding provision of independent technical assistance to DAEs for strengthening project ideas into Concept Notes with associated applications to the Project Preparation Facility (PPF):
 - (i) This entails the deployment of off-site, independent technical assistance upon request through sector Project Development Advisors who are contracted and trained by the Secretariat to assist DAEs in key aspects of project concept and PPF application design. This strategy, piloted in 2018, has proven to be effective in terms of impact, time efficiency and cost-efficiency, with positive feedback from DAEs and NDAs. The cost of this assistance is modest totaling an average of USD 12,000 per assignment. A further value of this technical assistance is it is carried out by individuals who are independent and firewalled from review of Funding Proposals, and therefore do not bias the process. Through the revised Readiness Programme, all DAEs who do not already have a robust project pipeline will be invited and encouraged to seek this technical assistance support on proactive basis. This approach could well be expanded and made to include support for the effective inclusion of gender IP and ESS issues, keeping the same principles of independence in place.

4.2.5 Sector-specific planning and project preparation technical clinics

101. Building on learning gained in 2018, the revised Readiness Programme will include greater focus on targeted sector-specific trainings and knowledge sharing clinics. These sector-specific clinics will overcome challenges of limited project pipelines and increase shared understanding of the key elements of climate rationale. The clinics will further ensure the use of outputs produced through GCF support for developing strong GCF projects. The successful Adaptation Rationale workshop held in November 2018 in the Philippines, a SAP workshop conducted with the Asian Institute of Technology in early 2018, and two Adaptation Rationale for Water projects held in September for Africa and subsequently for Asia, have demonstrated the practical impact of targeted capacity building for NDA representatives and AEs in increasing their expertise to produce a pipeline of concept notes, PPF applications and funding proposals that are grounded in strong climate rationale. Learning from the adaptation workshop, trainings and capacity development initiatives in both adaptation and mitigation focus areas will be organized to address capacity development needs observed and reported in the IEU's report on ESS and gender. It will also use the same opportunity to familiarize and develop competencies in integrating IP issues when relevant to country's context.

102. GCF results areas and associated sectors that will benefit from technical clinics of this nature will be prioritized based on demand as defined through Country Programmes and Entity Workplans, as well as underserved results areas across the GCF pipeline. For results areas and sectors focused on adaptation impact, these clinics focus directly on the outputs produced through Readiness support adaptation planning processes for producing strong project pipelines. All sector-specific clinics will continue to use south-south sharing modalities to provide practical hands-on coaching and peer-assists support to NDAs and AEs, especially DAEs. These clinics have also deepened focus on good practices for private sector engagement through GCF supported

adaptation planning and project preparation, and Readiness Phase 2 will continue to deepen this focus.

103. In addition to producing tangible results for strengthening project pipelines, experience has shown that sector-specific and technically focused clinics of this nature can be extremely cost effective when delivered in partnership with sector leaders. For example, the cost of the sector-specific workshop on preparing projects for the water sector with strong climate rationale, as well as the SAP workshop with AIT, was born fully by the partners with third party funding, and only required GCF to contribute minimal staff time to jointly define the substantive agenda and participate in the event itself.

4.3 Partnerships with national, regional and global initiatives

104. Since its inception, the Readiness Programme has built key partnerships with institutions at the global level, which helps GCF and countries to develop, manage and implement Readiness grants in countries. This is in line with relevant Board decisions on readiness-related partnerships, including B.05/14 paragraph (c), B.06/11 paragraph (b) (iii), and B.08/11 paragraph (q). Moreover, Readiness Phase 2 will seek to advance the core GCF principle of complementarity and coherence and align the provision of Readiness support to previous or ongoing readiness-type activities. The GEF, Adaptation Fund, CIFs, and other multilateral and bilateral technical assistance and capacity building initiatives, among others, are relevant in this consideration.

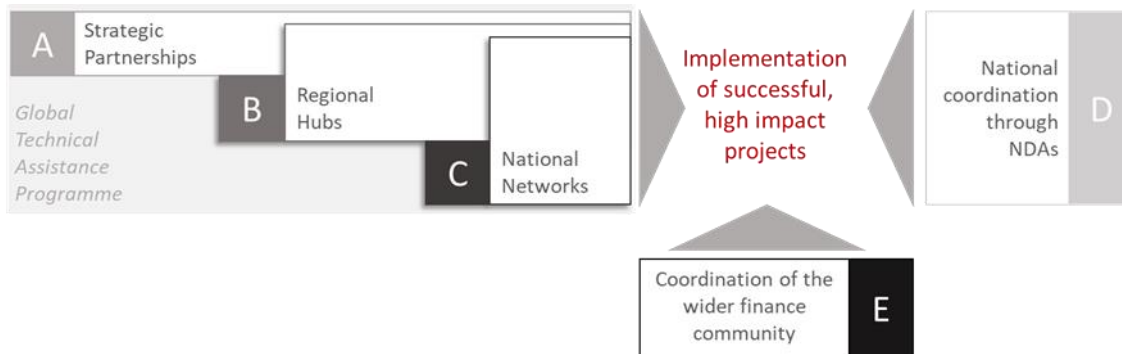
105. Discrete partnership building with specific organizations has resulted in seven Delivery Partners signing Framework Agreements with the GCF to deliver the Readiness support requests. In addition, UNOPS has been contracted to provide grant management service with GCF, and WMO has been contracted to provide technical support on climate rationale and climate information. Learning from the experience to date, existing successful partnerships will be strengthened in the next phase, with an aim to improve the effectiveness and efficiency of the Readiness Programme. Furthermore, GCF will seek other professional support and services by other institutions on key thematic issues related to the Readiness Programme, such as country programming or environmental and social safeguards, gender and IP issues.

4.3.1 Fostering layered partnerships at global, regional and national levels

106. Such strategic partnership activities would be structured at the global/sectoral level and through regional centres of excellence and national networks. All levels aim to support access to the Fund, the level of ambition of projects, and reinforce mutual learning. Strategic partners, regional centers and national networks support NDAs and DAEs to help them increase their policy and implementation capacity to coordinate national processes, successfully engage with other relevant government entities (e.g. development ministries, finance ministries, line ministries), make informed decisions about climate and development related policies, develop programs and projects to implement these policies, attract, absorb and manage resources; and evaluate activities to guide future actions.

107. Figure 3 below gives a snapshot of how these levels of partnership would interact. At the global, regional, and national level, they work to mutually reinforce the development and implementation of high-impact projects and programmes. Those interventions are coordinated by capacitated NDAs in complementarity and coherence with existing channels of climate finance both domestically and internationally.

Figure 3: Leveraging strategic partnerships for enhanced implementation



108. At the global level (A), Readiness supports countries to advance capacity of countries and delivery partners regarding specific investments and financial needs as well as other operational requirements to undertake sustainable development in line with the objective of the Fund, in the light of the best available scientific information. Selected strategic partners (via competitive process) will support activities at this level.

109. At the regional level (B), GCF partners with regional centres of excellence or hubs to implement the technical assistance programme and capacity development activities for countries and national centres and support entities to enhance access to the Fund. These regional centres will be selected among institutions and centres of excellence involved in activities relevant for climate change mitigation and adaptation in different regions.

110. At the national level (C), a national readiness network led by the NDA supports the country to enhance the capacity to successfully develop policies, programs and projects towards low emission, climate resilient development. This network of national institutions will support sustainable national capacity development required to transform the aspirational targets contained in the NDC into programmes, action plans and concrete projects.

4.4 Improved operating procedures and policies for Readiness Programme implementation

4.4.1 Readiness request management procedures and policies

111. The new access and delivery modalities envisioned for the revised Readiness Programme will also be reflected in policies and included in future guidance issued for the Readiness Programme. Standard operating procedures will be developed and disseminated to help countries and delivery partners understand the operational processes within the Secretariat. This will include cross-divisional and inter-divisional policies to guide the review of proposals, expedite feedback to NDAs and delivery partners, and clarify the entire process of Readiness request development, submission, approval and implementation. Such policies will also help the Secretariat to increase efficiency in managing the Readiness Programme.

112. To further guide and support the implementation of Readiness grants by NDAs and delivery partners, standardized policies on issues such as no-cost extension, timing of reporting, cancellation, restructuring, change of delivery partner during implementation, refunding GCF after completion, among others, will be developed and implemented during the new phase. Templates for communicating these changes will allow for lower paperwork demands to ensure NDAs and delivery partners can focus on implementation rather than administrative tasks.

4.4.2 Transparent review criteria and specific good practices

113. To enable clear and shared understanding about what constitutes a high-quality Readiness proposal, the Secretariat will build on the successful practice use for the Adaptation Planning activity area to articulate a set of specific review criteria and specific good practices for all objectives supported by the Programme. The review criteria and good practices developed with partners that are systematically are used as the basis for GCF's support for formulation of NAPs or other adaptation planning processes have proven helpful to countries and their delivery partners in providing explicit understanding and transparency of the elements required for proposals to be successful. They have also increased efficiency and consistency of Secretariat's review. Similar review criteria and good practices will be developed for the other three objectives of Readiness Phase 2 beyond countries' adaptation planning processes and incorporated into all relevant reviews processes and communication materials. Similarly, further guidance documents, including the Readiness Guidebook and associated templates, will drive better understanding by NDAs and delivery partners to improve quality at entry of requests. This will include guidance for NDAs on the range of options to engage private sector, including when designing Country Programmes, formulating adaptation planning proposals and developing concepts for GCF pipelines.

4.4.3 Client-facing and back-office information technology systems

114. The introduction of improved IT systems for the Secretariat staff managing the Readiness Programme has so far improved processing times and increased quality of support requests. The expansion of these tools for the benefit of countries and delivery partners will further increase efficiency by allowing real-time access to current status of implemented activities and submitted Readiness requests, among others. The country portal will streamline the process for receiving and responding to feedback, facilitate communications trilaterally between the NDA, delivery partner and Secretariat, and avoid miscommunication leading to delays in implementation.

4.4.4 Compliance and policy tools

115. Additional support to NDAs and delivery partners will include tools designed to assist their compliance with core GCF policies and standards. Forthcoming tools on gender assessments and safeguards will demystify the process and build the capacity of NDAs and delivery partners on these important aspects of programming GCF funding. This support will have additional benefits with respect to expediting the development of funding proposals and decreasing conditions placed on approved FPs, as countries have put into place the necessary protocols to comply with GCF gender and ESS safeguards.

4.5 Knowledge and results management

4.5.1 Knowledge management

116. An improved Readiness Programme will incorporate knowledge management and learning initiatives as effective approaches to capacity building. With increased opportunities for training and South-South exchange, the Secretariat will capture knowledge generated from these opportunities for the benefit of NDAs and delivery partners. For example, building on the successful technical workshop on adaptation planning held in Cebu, Philippines in November 2018 and the training workshops for NDAs in January through to March 2019, the Readiness Programme will develop a series of tailored training tools such as recorded self-learning modules. These modules will provide the countries the opportunities to dive into key technical issues facing the implementation of their readiness grant. In the future, such approaches could also be used for capacity building on other technical issues, such as analyzing climate impacts, vulnerabilities and risks, communicating climate information to decision makers; engaging private sector, concessionality, safeguards and gender issues. Online platforms, such as the Direct

Climate Action Platform (DCAP) launched by the GCF at COP 23, is another vehicle for aggregating and disseminating knowledge generated by the first phase and the revised Readiness Programme.

4.5.2 Results management

117. The Secretariat will make concerted efforts on results management during implementation of the Readiness Program second phase. In that respect, greater focus will be given to enhancing quality at entry of the readiness proposals, including through the analysis of completed Readiness support requests and Interim Project Reports. The alignment of Readiness proposals with the outcomes of the revised Readiness Programme will be emphasized moving forward, with a view to ensure that approved activities lead to measurable results. The outcomes, outputs, deliverables and activities will be further streamlined to facilitate reporting and verification of results. The Secretariat has also developed a checklist to ensure that Readiness requests follow guidelines in relation to results management and clearly showcase outcomes, outputs, activities and associated milestones and deliverables.

118. The Readiness guidelines, tools and templates will be enhanced to guide NDAs and delivery partners towards developing Readiness requests built on results-focused activities in line with country needs. In a similar vein, workshops and training sessions undertaken by Readiness requests will be assessed for their ability to achieve the desired results for the beneficiaries of the given request. To ensure that improved Readiness Programme delivers the anticipated results, the fully elaborated Theory of Change, which highlights multiple causal pathways that lead to higher – level outcomes and impacts is under refinement by the Secretariat. Going forward, this will guide NDAs/DPs to develop their requests using examples drawn from the ToC in terms of showing how desired and lasting change, at various levels of the results hierarchy, can be achieved.

4.6 Roles and responsibilities for revised Readiness Programme implementation

119. Since the inception of the Readiness Programme in 2015, the capacity of the Secretariat has increased significantly. However, there has been more than a proportional increase in the volume of requests for Readiness support. With the creation of the window for adaptation planning, another increase in demand has pushed the commitment of resources through the Readiness Programme to some 230 requests worth over USD 133 million as of 31 December 2018. As the portfolio has grown, so has demand on the Secretariat in development, review and approval of requests, grant monitoring and reporting, quality assurance and control of deliverables, knowledge and results management, and information technology, among others. The management of the Readiness Programme has become a Secretariat-wide initiative, involving DCP, OPM, DSS, DMA, PSD and consultants, including regional advisers and NAPs and PPF consultants.

120. Table 5 below shows the division of labor among Secretariat teams in order to implement the improved Readiness Programme and its operational modalities.

Table 5: Role and responsibilities for revised Readiness Programme implementation

| | DCP | OPM | DSS | DMA | PSF | Regional advisers, consultants |
|---|-----|-----|-----|-----|-----|--------------------------------|
| Outreach to NDAs, DAEs | ✓ | | | | | ✓ |
| Readiness pipeline (technical support, review & feedback ²) | ✓ | | | ✓ | ✓ | ✓ |
| Readiness portfolio management, monitoring and reporting | ✓ | ✓ | ✓ | | | |
| Knowledge & results management | ✓ | ✓ | | ✓ | ✓ | |
| Country assessments & country Readiness plans | ✓ | | | | | ✓ |
| Development of standardized packages of support | ✓ | | | ✓ | ✓ | ✓ |
| Development and delivery of tools, training modules | ✓ | | | ✓ | ✓ | |
| Provision of technical assistance | | | | ✓ | ✓ | ✓ |
| ICT solutions for pipeline and portfolio management | | | ✓ | | | |

121. Beyond the Secretariat responsibilities outlined above, the Readiness Programme is further benefiting from the services of the United Nations Office for Project Services (UNOPS) to support the grant management for a portion of the Readiness Programme. The project agreement was signed on 27 February 2018 for the duration of 32 months. UNOPS manages individual bilateral grants with countries and delivery partners from legal negotiations with the delivery partners, disbursement of funds to these entities and the monitoring of grants. UNOPS also conducts Financial Management Capacity Assessment for readiness delivery partners who are not accredited by GCF.

122. Since the signing of the contract, the Secretariat has transferred 16 readiness and seven PPF grants to UNOPS for their management, and the funds for these grants, in the amount of USD 2,643,036 and administration cost of USD 344,315, have been disbursed. With this offload to UNOPS on FMCA review, grant monitoring and disbursement, the Secretariat has enhanced capacity to absorb the actual and anticipated increased demand from countries for Readiness support. Secretariat staff can attend to key bottlenecks regarding quality at entry, strategic outlook of requests, complementarity and coherence of Readiness delivery, and timely and constructive review and approval processes, among others.

V. Resource planning for 2019 to 2021

5.1 Estimation of grant approvals from 2019 to 2021 and associated budget

² This includes the early stage review and feedback of Readiness requests before they come to formal interdivisional review where the cross-Secretariat Readiness Working Group reviews the request. RWG includes OPM, DSS, OGC, ORMC and OED.

123. The following table presents the estimated number of grants and funding approved in the coming three years. In addition to the funding for grants, a separate budget line is also planned for professional services, Structured Dialogues, potential global DAE and NDA conferences and trainings. The budget presented below is generated in light of 1) the improvements proposed by the Secretariat under the revised Readiness Programme and 2) the projected Readiness demand in the future pipeline as evidenced by the needs of countries through the current Readiness pipeline.

124. The Secretariat is taking a conservative approach to resource allocation in the near term with respect to the introduction of multi-year allocation grants. This new modality, and the increased scrutiny of all proposals for adherence to the revised Readiness orientation, will result in a slower rate of submissions at first. As NDAs and delivery partners undertake needs assessments, develop strategic Readiness plans and submit requests for multi-year allocation grants, the portfolio will shift accordingly, with possible increased demand for resources. However, this approach will also result in lower transaction costs, greater flexibility for countries, and enhanced impact due to the revised approach.

Table 6: Estimated grant approvals 2019-2021 and associated budget (USD millions)

| | 2019 | | 2020 | | 2021 | |
|--|-----------------|---------------|-----------------|---------------|-----------------|---------------|
| | Number approved | Total Funding | Number approved | Total Funding | Number approved | Total Funding |
| Adaptation Planning | 25 | 62.5 | 20 | 45 | 20 | 40 |
| Single Year Other Readiness | 40 | 20 | 30 | 15 | 30 | 15 |
| Multi-Year Other Readiness | 10 | 25 | 20 | 50 | 20 | 50 |
| Professional services, SDs and trainings | Not applicable | 15 | Not applicable | 15 | Not applicable | 15 |
| Sub-total | 75 | 122.5 | 70 | 125 | 70 | 120 |

Note: For Adaptation Planning proposals, the average value is expected to decrease through time from USD 2.5 million (2019), USD 2.25 million (2020) and USD 2 million (2021). For single-year other readiness, average value is expected at USD 500,000, and multi-year readiness is expected at USD 2.5 million.

VI. Monitoring, reporting, and evaluation

125. Upon the approval of the overall strategy, a robust and detailed monitoring framework will be developed and implemented by the Secretariat. The readiness proposals will be quality assured with regard to clarity and consistency of outcomes, outputs, deliverables, implementation time-table and related milestones. While OPM will continue its regular monitoring of the financial flows and reporting on implementation performance of readiness grants, DCP together with OPM will invest time and resources to monitor the results and quality of outputs delivered by the readiness grant at country level, thus aggregate the outputs, outcomes and other results and report to the Board. The Secretariat will report in detail to the Board on an annual basis on the progress on the implementation of the revision to the Readiness Programme at the first meeting of every calendar year. This report will be in addition to the traditional progress report and focus on how the proposed revisions have succeeded at enhancing the impact of Readiness support on the ground in developing countries.

126. In order to ensure proper assessment of the improved Readiness Programme, the Secretariat proposes a staggered schedule of review and evaluation, illustrated by table 7 below. Every two years beginning in 2020, the Secretariat will conduct an internal review, similar in methodology and scope to the Secretariat’s initial review of the Readiness Programme in 2017-2018. The Secretariat also proposes that an independent evaluation of the Programme be conducted on a three-year schedule, with the first evaluation occurring at the end of 2021. With internal reviews in 2020 and 2022, and with independent evaluations in 2021 and 2024, the Board will have ample information on the results of the revised Readiness Programme. The findings and lessons learnt from these evaluations will be used for enhancing the efficiency and effectiveness of the subsequent programs as well as for developing knowledge products on good practices with a view to enhancing learning. These knowledge products will be shared with the relevant stakeholders for a larger impact. It is anticipated that the reviews and evaluations assessments will provide insight into the impacts achieved and help the Board in adjusting the Programme as it moves forward, including a potential third phase.

Table 7: Proposed schedule for review and evaluation of the revised Readiness Programme

| | 2020 | 2021 | 2022 | 2023 | 2024 |
|--------------------|------|------|------|------|------|
| Secretariat review | ✓ | | ✓ | | ✓ |
| IEU evaluation | | ✓ | | | ✓ |

VII. Work programme for 2019

127. In 2019, the Secretariat plans to commit an additional USD 20 million in related funds to cover the needs of 40 single-year Readiness requests, at an average level of USD 500,000 per request. This considers the requests in the pipeline and the demand expected for 2019. In addition, the Secretariat will provide requested support to countries (20 countries as of December 2018) that have submitted readiness application but have not yet received readiness support. The introduction of multi-year Readiness requests is anticipated to require USD 25 million for up to ten requests, at an average of USD 2.5 million per request. Given that such requests will be a new modality, the estimate of multi-year requests for 2019 is on the low end of the spectrum.

128. The Secretariat also plans to approve 25 additional proposals for national adaptation plans and/other adaptation planning processes with total funding about USD 62.5 million to catalyze action and investment based on key elements of countries’ adaptation priorities.

129. Following the pilot in 2018, the Secretariat will provide coordinated technical assistance to at least 15 countries on the development of their strategic planning (both country programming, and adaptation planning), and design of projects of high impacts. Five Structured Dialogues, one Global NDA Conference and one DAE Workshop will be organized to share the best practices and facilitate the learning across the globe.

130. In addition, DCP will maintain support provided to NDAs/FPs and DAEs through the Regional Advisors working in different regions (LAC, Africa, EECA and Asia-Pacific).

7.1 Objective 1: Capacity-building for climate finance coordination

131. In 2019, the Readiness Programme will continue to approve proposals supporting actions by countries to establish or strengthen NDAs with capacity to, among others:

- (a) Lead effective national coordination mechanisms;

- (b) Establish national coordination committees when necessary;
- (c) Establish “No Objection” procedures for GCF Funding Proposals and PPF applications;
- (d) Ensure consistency of funding proposals from national, subnational, regional and international accredited entities with national plans and strategies;
- (e) Enhance complementarity and coherence between the activities of the GCF and the activities of other relevant climate finance mechanisms and institutions, to better mobilize the full range of financial and technical capacities;
- (f) Recommend to the Board funding proposals, including through consultation processes;
- (g) Facilitate the communication of nominations of prospective public and private sector entities seeking accreditation with the GCF;
- (h) Developing capacities of DAE’s on ESS, gender and IP issues.

132. The Programme will also provide trainings to enhance the capacity of NDAs to engage with the GCF. The first one will begin in January 2019, followed by up to 5 additional ones in the spring. The training is available in English, French, and Spanish, as well as with Russian translation in response to increasing requests by countries to respond to linguistic specificities. The training is led by GCF, with the technical support of GIZ and the Frankfurt School of Management.

133. Readiness Phase 2 will also seek to synergize, where appropriate and based on country demand, the support for accreditation of direct access entities with the capacity building for NDAs. Noting that NDAs play the critical role of identifying and nominating DAEs while also convening national climate finance consultation to define investment priorities, this coordinated support will allow for greater alignment of Country and Entity Work Programmes that respond to national mitigation and adaptation priorities.

134. In 2019, the Readiness Programme will aim at the expansion of the network, balance and diversity of direct access accredited entities through the support provided to the accreditation of new direct access entities, with targets of supporting accreditation of at least 19 additional DAEs. The Secretariat has set itself to continuously develop and operationalize the procedures to ensure a proactive and strategic approach to programming, including through:

- (a) Providing and enhancing support for pre-accreditation (e.g. gap assessments and action plans) to DAEs, expanding to an additional 10 entities to receive support
- (b) Providing and enhancing support to potential DAEs using a roster of environmental and social and gender experts and expanding to include a roster of fiduciary experts.

7.2 Objective 2: Strategies for climate finance implementation

135. The GCF Secretariat has set itself to continuously develop and operationalize the procedures to ensure a proactive and strategic approach to country programming, including through:

- (a) Providing support towards the development of Country Programmes, ensuring alignment with country programming guidelines provided by the GCF;
- (b) Supporting strategic frameworks towards low-emission and climate-resilient development strategies or plans, especially those responding to the policy, regulatory or sectoral gaps identified in Country Programmes to remove barriers to public and private sector climate investment;

- (c) Enhancing collaboration with other funds through the implementation of the operational framework on complementarity and coherence for aligning programming at the national level;
- (d) Providing support for the development of MRV systems for tracking internal and external climate finance flows; Supporting development and/or transfer of climate technology, through the identification and prioritization of appropriate climate technology solutions and strengthening the enabling environment for climate technology deployment, and;
- (e) Enhancing dissemination of process-oriented and results area guidelines.

136. To this end, in 2019, the Secretariat is structuring a framework of technical assistance support with a work outflow intended to support the formulation of Country Programmes and maintain a country's strategic engagement framework with the GCF ("CP TA"). The CP TA should support a country to fully understand the requirements of, and to articulate, a country strategy to undertake low-emission and climate-resilient development in alignment with its national priorities. The Country Programme resulting from the support provided through the CP TA will identify investment priorities, including prospective sources of funding and areas for engagement, in a manner that effectively promotes country ownership, including by considering and integrating gender, ESS and IP issues. This will drive the process for programme and project pipeline development in line with the ambitious goals of the GCF.

137. Through this CP TA, the Secretariat will provide comprehensive support to countries to undertake the entire spectrum of activities required to develop their Country Programme, while also providing ad-hoc support at specific entry points to countries in the form of expert inputs and technical review toward the improvement of the quality of their Country Programmes.

7.4 Objective 3: Adaptation planning

138. Supporting the formulation of adaptation planning processes is contributing to high quality planning, project pipelines with strong articulation of adaptation rationale, and strategies to catalyze action and investment in developing countries. This investment provides a crucial foundation of information, planning and engagement that for achieving the overarching global goal on adaptation.

139. The articulation of GCF standards and technical guidance in 2017 for proposals to formulate adaptation planning processes has contributed to significantly improved quality of proposals upon submission. These improvements have also contributed to the reduced the time and increase efficiency for Secretariat review, as well as NDA resubmission leading to greater numbers of approval in 2018. In 2018, based on learning gained with NDAs, delivery partners and other actors to date, the Secretariat has further sharpened to the GCF Review Criteria, articulation of good practices for each criterion, and outcomes and outputs that can be supported. The good practices highlight a focus on enhancing private sector engagement in adaptation, use of a strategic diversity of financing instruments to catalyze adaptation, and sub-national planning. This increased alignment helps ensure the scientific basis for articulation of climate rationale across the GCF programing and project cycle, including Country Programming and formulation of funding proposal pipelines. This increased alignment helps ensure the scientific basis for articulation of climate rationale across the GCF programming cycle, including country programming and formulation of funding proposal pipelines.

140. In 2019, the Secretariat plans to continue building on this foundation of guidance and learning, by further sharpening the focus of GCF adaptation planning support to underpin the climate rationale in GCF project pipelines and corresponding investment strategies, including with the private sector. GCF support for adaptation planning processes with also increasingly

build from Country Programmes in strengthening project pipelines, as these programmes are increasingly produced and refined by countries. Specifically, the GCF plans to approve 25 additional adaptation planning proposals with total funding about USD 62.5 million to catalyze action and investment based on key elements of adaptation rationale. We also intend to support NDAs upon their request who wish to use national or regional Delivery Partners to develop and implement their NAP proposal, including by providing coordinated technical assistance to at least 15 countries on the development of their strategies and proposals.

141. Furthermore, support for the formulation of NAP and other adaptation planning processes will continue and increasingly to build from priorities identified in Country Programmes to provide science-based information for strengthening climate rationale in pipelines of GCF funding proposals. NAPs will also actively deepen engagement with private sector actors in planning, as well as design of viable investment strategies based on climate evidence.

7.3 Objective 4: Pipeline development

142. The revisions to the Readiness Programme place new emphasis on the development of paradigm shifting pipelines of projects and programmes, based on the concept of country ownership. Activities in 2019 in this regard will look to support the pipeline from the perspective of NDAs and direct access entities. Support under this objective will include:

- (a) Supporting processes to identify and prioritize interventions to strengthen a project/programme pipeline and identify potential financing for each, through training, south-south exchange and best practice approaches
- (b) Deploying independent technical experts from an established roster to support NDAs and accredited direct access entities in a short timeframe on core aspects of PPF applications, CN and FP development, including for SAP, and;
- (c) Providing tailored support to different groups of countries to accelerate readiness to access resources by those with least capacities with the understanding that some countries, including LDCs and SIDS, require more foundational support, with SAP-specific technical support as a pilot, and;
- (d) Enhancing collaboration with other funds through increased coherence at the activity level to expedite the process of identifying opportunities for sequencing finance or scaling-up interventions.

7.3.2 Enhanced support to accredited DAEs

143. Direct access entities are important for promoting country ownership, understanding national priorities and channelling technical and financial resources towards corresponding low-emission and climate-resilient development pathways. Developing country private sector entities at all levels, in particular, can be important partners in promoting private sector climate action. With GCF financing, private sector entities can help in de-risking the delivery of private capital and scaling up private sector investment flows for low carbon and climate resilient development.

144. In the course of 2019, the Secretariat will provide support to all DAEs for:

- (a) Development of DAE concept notes and funding proposals aligned with country programming priorities, enhanced direct access (EDA) and other RFP proposals and Project Preparation Facility (PPF) requests;
- (b) Addressing accreditation conditions, including through a roster of environmental and social and gender experts, and expanding to include a roster of fiduciary experts and;

- (c) DAE-focused training programmes/sessions and long-term support to DAEs for project development and implementation support, starting with 10 DAEs.

7.5 Objective 5: Knowledge and information sharing

145. The Initial Strategic Plan of the GCF prioritizes the availability of resources under the Readiness Programme to facilitate and support a structured dialogue involving the Secretariat, NDAs, relevant AEs, and other country stakeholders including the private sector, to develop country programmes and determine which priorities identified by country strategies are the best match for GCF support.

146. In 2019, DCP will organize five Structured Dialogues respectively with four regions, i.e. Asia & Pacific, Africa, Eastern Europe and Central Asia, Latin America and the Caribbean, and with the SIDS. In addition, based on the valuable lessons learned from the Empowering Direct Access Workshop in May 2018 and the Global NDA Conference in October 2018, the Secretariat to organize these two conferences to bring all regions together to exchange the best practice, learn from each other, strategize the Readiness Programme, and develop solutions to overcome the obstacles faced by the countries.

147. Taking lessons learned from all the structured dialogues, the Secretariat will consolidate a set of recommendations to improve the strategic value and outcomes from the events and develop appropriate metrics/indicators to assess their outcomes consistently.

7.6 Readiness Programme operations

148. Following the Readiness Review conclusions & recommendations and related B.22 Board decisions, DCP will develop detailed operation plan of the Readiness Phase 2, revise related guidelines and templates, organize trainings and provide technical assistance to countries as briefly summarized as the above. Measured by the outputs and results of the Readiness, e.g. the institutional capacity and coordination mechanism, numbers and quality of country programmes, direct access to climate finance, number and quality of climate finance strategies and project pipeline, and national adaptation plans, by the end of 2019, the Readiness Programme has become a stronger, more effective and efficiently operated programme, Readiness Phase 2.

149. In conjunction with the Work Programme, DCP will also develop a Country Engagement Strategy, Entity Engagement Strategy, and five Guidance notes on ESS, gender policy and indigenous peoples policy. These foundational strategic documents will guide DCP's work in the future with particular relevance and strategic importance for the Readiness Programme.

150. In addition, the Readiness Programme will develop tailored knowledge products for the end users of countries, disseminate knowledge and lessons learnt through webinars and workshops and other user-friendly online tools.

151. As outlined in section 5.1 under estimated grant approvals in 2019, the Secretariat is anticipating a total of 75 requests to be committed across four objectives of the revised Readiness Programme, in the amount of USD 122.5 million. As of January 2019, the balance of funds allocated for Readiness support that remained uncommitted totalled USD 10.59 million. When taking submitted Readiness and adaptation planning requests into account, the pipeline represents an aggregate request of USD 144 million. Table 8 below shows the detailed breakdown.

Table 8: Estimated budget breakdown for 2019 through Q1 2020

| Budget Category | Budget (millions USD) |
|---|------------------------------|
| Adaptation planning | 62.5 |
| Single-year other Readiness | 20 |
| Multiple-year other Readiness | 25 |
| Professional services, structured dialogues, trainings, learning and knowledge exchange | 15 |
| Grand Total | 122.5 |

Annex I: Draft decision of the Board

The Board, having considered document GCF/B.22/08 titled “Readiness and Preparatory Support Programme: Revised work programme and forward budget”:

- (a) *Reaffirms* that the Readiness and Preparatory Support Programme is a strategic priority for the Fund to enhance country ownership and access to the Fund;
- (b) *Takes note* of the document and the analysis and recommendations within the document;
- (c) *Also notes* that the revision to the Readiness and Preparatory Support Programme as mandated by B.19/15 paragraph (f) is based on the outcome of the conclusions of the Secretariat’s initial review and of the independent evaluation of the Readiness and Preparatory Programme;
- (d) *Recalls* decision B.08/11 paragraph (g) and *reaffirms* that readiness requests will be assessed to ensure complementarity with existing readiness and climate finance capacity building activities;
- (e) *Adopts* the proposed revision to the Readiness and Preparatory Support Programme as contained in the document;
- (f) *Decides* that the provisions contained in previous decisions [B.08/11, B.12/32 and B.13.32], and their related annexes, of the Board with respect to the Readiness and Preparatory Support Programme remain in effect to the extent not inconsistent with the provisions in annex IV;
- (g) *Notes* the request for funding for 2019;
- (h) *Also notes* the estimated resource allocation for 2020 and 2021;
- (i) *Approves* a budget of USD 122.5 million to be made available for the execution of the Readiness and Preparatory Support Programme in 2019; and
- (j) *Requests* the Secretariat to report in detail annually on the implementation of the revision to the Readiness and Preparatory Support Programme at the first meeting of every calendar year.

Annex II: Key recommendations from the reviews undertaken by Dalberg, the Independent Evaluation Unit and the Secretariat

1. Key recommendations by Dalberg Review and by the independent evaluation of IEU

1. Following the adoption of decision B.18/09, the Secretariat commissioned Dalberg to support it in conducting an initial review of the Readiness Programme. Dalberg presented its recommendations from the design and execution perspective, separating them as intermediate and longer-term priorities.
2. From the design of the Programme perspective, Dalberg recommended to develop a Theory of Change that articulates the activities, outputs, outcomes and vision of the Programme, to clearly communicate and promote flexibility in the scope of activities supported by the Programme and to enable long-term, strategic approaches to Readiness by supporting gap assessments and/or providing more flexible funding under the larger category.
3. Dalberg recommended that numerous actions to be taken in the execution of the Programme. Namely, the following were suggested by Dalberg:
 - (a) To clarify the lines of authority within GCF for Readiness programme areas and the processing of individual applications;
 - (b) To clarify roles and responsibilities of all Readiness programme stakeholders and support coordination at national levels;
 - (c) To increase capacity of Secretariat and regional advisors to improve outreach and support to countries;
 - (d) To strengthen available capacity of technical experts at national levels to deliver Readiness activities;
 - (e) To streamline and provide more transparency on application process and timelines;
 - (f) To enable submission and translation of non-English Readiness proposals;
 - (g) To enhance communications and ensure clear, consistent guidance and assessment criteria are available in multiple languages; and
 - (h) To strengthen emphasis on peer-to-peer learning.
4. The evaluation conducted by the Fund's Independent Evaluation Unit (IEU) provided the following group of recommendations:
 - (a) There are required changes in capacity building, outreach and support to countries and country programmes and in-country support, focused at the Secretariat and processes and outputs of the Secretariat in the immediate term. The overall focus is to ease access to GCF support, decrease financial costs and improve the efficiency of the programme;
 - (b) To build a vision and specific targets for the Readiness Programme and manage for results, targeted at improving the effectiveness of the programme; and
 - (c) To discontinue business-as-usual and develop a specific strategy for Readiness Programme Phase 2.
5. In comparing the two analyses, there are some similar recommendations suggested for the Secretariat to address and take on, in developing a new strategy for Readiness Programme. Some of the common recommendations include:

- (a) To build and articulate a vision, outcome, output of the Programme and a Theory of Change to support this;
- (b) To provide more flexibility in supporting the countries by enabling long-term strategic through more flexible funding;
- (c) To encourage peer-to-peer learning and enhance capacity building through appropriate technical assistance;
- (d) To clarify the standard operating procedure of the Programme, as well as the roles and responsibilities within the Secretariat; and
- (e) To provide more transparency in the application process, both to the NDAs/FPs and delivery partners.

2. Key suggestions by the Secretariat

6. Based on the analysis done by the Secretariat on the key challenges and lessons learned since inception noted in Section 1.2, the Secretariat conducted its initial review in December 2017 and January 2018 and proposed a set of solutions to strengthen the design and implementation of the Readiness Programme.

7. The Secretariat proposed the following solution areas in the design-level of the programme:

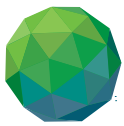
- (a) Strengthen clarity of the outcomes and specific activity areas supported by the GCF Readiness Programme, and quality of associated guidance provided to countries for accessing this support;
- (b) Enhance coherence and enable long-term planning for Readiness support with other relevant support initiatives;
- (c) Optimize resources allocation;
- (d) Improve the scoring of Readiness proposal targets and indicators;
- (e) Prioritize funding; and
- (f) Improve focus and increase extent of knowledge management and sharing.

8. The Secretariat proposed the following solution areas in the implementation-level of the programme:

- (a) Increase support to NDAs/FPs and national Readiness delivery partners to strengthen design of their Readiness Proposals;
- (b) Expedite GCF Readiness proposal elaboration, review and approval processes;
- (c) Strengthen support for NDA/FP designation;
- (d) Address high demand for accreditation of direct access entities (DAEs) and the need to support them in accessing GCF resources; and
- (e) Improve quality and ambition of countries' strategic frameworks for addressing climate change.

Annex III: Recommendations from the independent evaluation of the Readiness programme by the IEU related sections in the paper

| Recommendations from the Independent Evaluation | Related sections and/or related objectives/outcomes |
|---|--|
| 1A. Capacity building, outreach and support to countries | |
| Outreach to countries should be improved, by translating the Readiness Guidebook and associate templates at least into French and Spanish, regularly updating it (in all languages) and enabling opportunities for timely and continuous learning about changes to the Programme | <ul style="list-style-type: none"> ▪ Section 4.4 Improved operating procedures and policies of Readiness Programme implementation, particularly section 4.4.1 and 4.4.3 |
| Opportunities for peer learning should be encouraged. Peer-to-peer learning among countries and DAEs should be privileged more, in Structured Dialogues and also via sub-regional meetings; | <ul style="list-style-type: none"> ▪ Objective 5 |
| Post accreditation support and capacity strengthening: Provision should be made for strengthening the capacities of NDA/FPs and offering post-accreditation support for DAEs, in particular for the preparation of concept notes with clear climate rationales | <ul style="list-style-type: none"> ▪ Outcomes: 1.1, 1.2, 4.1, 4.2 |
| Capacity building: Countries should be provided with financial support plus advisory services (i.e. capacity building and technical assistance) for meeting their needs and priorities | <ul style="list-style-type: none"> ▪ Section 4.2.5 Sector-specific planning and project preparation technical clinics ▪ Section 4.2.3 Direct support to NDAs ▪ Section 4.2.4 Enhanced support to DAEs incl post-accreditation |
| More long-term national consultants should be funded to provide support to weak NDA/FPs in LDCs, SIDS and in Africa | <ul style="list-style-type: none"> ▪ Section 4.2.3 Direct support to NDAs |
| Greater capacity-building support should be provided on gender and ESS to ensure that countries are able to develop RPSP and Funded Project proposals in line with the gender, ESS and indigenous peoples policies of the GCF. With respect to gender, a concerted effort should be made in Africa | <ul style="list-style-type: none"> ▪ Section 4.4.4: Compliance and policy tools |
| 1B. country programmes and in-country support | |
| Country programmes: Clear guidelines for country programmes should be provided, with a focus on developing clear priorities and concrete concept notes, taking into account fully the policies of the GCF regarding gender, ESS and indigenous people, and strengthening climate rationales, while articulating the overall outcomes of country programmes and their value-added and managing expectations. | <ul style="list-style-type: none"> ▪ Outcome 2.1 |
| Direct access entities and country ownership: Criteria should be developed to determine if some countries need several DAEs to pursue their objectives. | <ul style="list-style-type: none"> ▪ Section 4.1: Country readiness assessment ▪ Outcome 1.2 |
| Coordination and firewalls to prevent conflicts of interest: Within countries, specific expectations and requirements for intra-governmental coordination and stakeholder consultations should be formulated, similar to the Country Coordination Mechanism of the Global Fund. | <ul style="list-style-type: none"> ▪ Outcomes 1.1, 1.3 |
| 1C. Secretariat level process changes | |



| | |
|---|---|
| Post-approval flexibility: Greater flexibility should be allowed for project-level adjustments after approval, in response to changing conditions and circumstances on the ground | <ul style="list-style-type: none"> Section 4.4.1 Readiness request management procedures and policies |
| Roles and responsibilities: The roles and responsibilities of RAs, Associate Professionals, Country Dialogue Specialists and other related staff and consultants should be articulated, developing synergies between them and making best use of expanded regional resources; | <ul style="list-style-type: none"> Section 4.4.1 Readiness request management procedures and policies Section 4.6 Roles and responsibilities for revised Readiness Programme implementation |
| Standard Operating Procedures for the Readiness Programme need to be more clearly articulated (and in some cases developed), both with respect to the readiness value chain within the Secretariat (i.e. how different entities work together) and in terms of the relationship between the Secretariat, NDA/FPs, AEs, DAEs, DPs and others (e.g. on expected turnaround times) | <ul style="list-style-type: none"> Section 4.4 Improved operating procedures and policies of Readiness Programme implementation, particularly section 4.4.1 and 4.4.3 |
| Results-oriented planning and reporting for RPSP activities should be introduced and implemented, including also periodic evaluations | <ul style="list-style-type: none"> Section 3.2 Theory of Change |
| 2. Build a vision and specific targets for the RPSP and manage for results | |
| Define vision: What does it mean for a country to be 'ready' (i.e. to be ready to access GCF funding for a project, for accessing climate finance more broadly, for addressing climate change within countries)? This requires developing a clear vision and defining a niche for the RPSP | <ul style="list-style-type: none"> Section 3.2 Theory of Change Section 4.1: Country readiness assessment and country-specific work programme |
| Define strategy and targets: When is a country 'ready'? This requires the development of readiness targets; | <ul style="list-style-type: none"> Section 3.2 Theory of Change Section 4.1: Country readiness assessment and country-specific Readiness plan |
| Build the capacity of countries to receive and manage climate finance globally rather than focus only on the GCF; | <ul style="list-style-type: none"> Outcomes 2.1, 2.2, 3.4 |
| Increase post-accreditation support for DAEs, in particular for the development of project proposals with clear climate rationales; | <ul style="list-style-type: none"> Outcomes: 1.2, 2.3, 4.1, 4.2 |
| Support the preparation of projects (including pilot and demonstration projects); | <ul style="list-style-type: none"> Outcomes: 3.4, 4.1, 4.2 |
| Use country programmes to assist countries to build their capacity to accurately and transparently measure their progress on INDCs; | <ul style="list-style-type: none"> Section 4.1: Country readiness assessment and country-specific work programme Outcome 2.1 |
| Establish complementarity and coherence with unfunded elements of Investment Plans under the CIFs (and potential others), in particular through the PPF and NAP support windows, and report on this as well; | <ul style="list-style-type: none"> Outcomes: 2.1, 2.3, 4.1, 4.2 |
| Identify and remove barriers to crowding-in private sector investments, while defining and supporting the creation of conducive policies for private sector participation | <ul style="list-style-type: none"> Outcomes: 2.2, 2.4 |
| Develop comprehensive strategies to catalyze investments to deploy and scale-up prioritized climate technology solutions | <ul style="list-style-type: none"> Outcome 2.2 |
| Enable more flexible cooperation with the private sector, rooted in a strategy for engaging with the private sector that is based in greater alignment with its sectoral practices; | <ul style="list-style-type: none"> Outcomes: 1.3, 2.4 |



Engage with additional parts of the government (e.g. ministries of agriculture, forestry, and meteorology departments).

- Outcomes: 1.1, 1.3

Annex IV: Objectives and outcomes with indicative outputs and associated indicators

| Objective | Outcome | Indicative Outputs | Associated Indicators |
|--|--|--|---|
| <p>Objective 1: Capacity Building</p> <p>By 2025, GCF recipient countries have set up adequate systems – human, technical and institutional – that enables them to fulfil their roles and responsibilities towards the GCF, including the capacity to observe GCF operational and safeguard policies & procedures and drive low-emission and climate resilient development.</p> | <p>Outcome 1.1: Country NDAs or focal points and the network/ systems that enable them to fulfil their roles, responsibilities and policy requirements are operational and effective.</p> | <p>Ongoing multi-stakeholder consultation mechanism is established. Effective inter-ministerial, inter-institutional and other relevant stakeholder coordination mechanisms are established for planning, accessing and deploying climate finance;</p> | <p>Number of NDAs/FPs with improved human resource and technical capacity in project/programme development</p> |
| | | <p>No objection procedure is established;</p> | <p>Number of NDAs/FPs with improved human resource and technical capacity in procurement/ accounting/ oversight, including integration of ESS, gender and IP issues</p> |
| | | <p>Bilateral agreements on P&Is;</p> | <p>Number of NDAs/FPs with improved human resource and technical capacity in M&E processes</p> |
| | | <p>Knowledge management and sharing platforms and systems are operational;</p> | <p>Number of NDAs/FPs that have established NoL procedures</p> |
| | | <p>Coherence and complementarity with other climate finance delivery channels are established to promote coordinated programming;</p> | <p>Number of NDAs/FPs that have established DAE nomination procedures</p> |
| <p>NDA has familiarity with both mitigation and adaptation efforts and needs in the country and systematically contributes to and drives national development strategies and plans;</p> | | | |
| <p>NDA has built a network with relevant institutions and stakeholders in the country, including as appropriate with multilateral and bilateral institutions, civil society organizations, indigenous people and gender groups, private sector, academia and sub-national,</p> | | | |

| Objective | Outcome | Indicative Outputs | Associated Indicators |
|-----------|--|---|---|
| | | <p>national or regional entities that may be potential candidates for accreditation as intermediaries or implementing entities;</p> <p>NDA has the capacity to monitor and evaluate in accordance with relevant guidelines of the GCF</p> <p>NDA has established systems to maintain overview of:</p> <ul style="list-style-type: none"> ▪ Activities of other relevant multilateral, bilateral, regional and global funding mechanisms and institutions working in the country; ▪ All requests for GCF funding relating to the country <p>NDA has been sensitized to gender, ESS and IP issues</p> <p>NDA has established institutional mechanisms and process to ensure that women and men (vulnerable groups) equally and effectively participate and have equal access to decision-making processes</p> | <p>Number of NDAs/FPs that have developed project and programme prioritization criteria/tools</p> <hr/> <p>Number of recipient countries that have established institutional coordination mechanisms, including with NDEs for technology, that respond to country needs and include input from stakeholder groups</p> |
| | <p>Outcome 1.2: Direct access applicants and accredited entities (DAEs) have established capacity to meet and maintain the GCF's accreditation standards; and accredited DAEs have the capacity to develop a pipeline of projects and effectively implement GCF-funded activities</p> | <p>Direct Access Entities accreditation conditions fulfilled on time (prior to deadline).</p> <p>Institutional mechanisms strengthened or established within the Direct Access Entities that would help them in accessing climate finance from various funds.</p> <p>Increase in submission of proposals (readiness, concept notes, PPF and FPs) from Direct access entities to GCF that is well aligned with country programmes; and implemented successfully.</p> | <p>Number of direct access entities accredited, and conditions closed</p> <hr/> <p>Reduced number of iterations and comments on concept notes and PPF including on ESS, Gender and IP assessment and action plans, applications from DAEs</p> |

| Objective | Outcome | Indicative Outputs | Associated Indicators |
|-----------|--|---|--|
| | | | <p>Number of project concept notes submitted by DAEs cleared for further GCF support</p> <p>Number of PPF applications submitted by DAEs to strengthen concept notes</p> <p>Number of funding proposals submitted to the Board from DAEs</p> <p>Number of SAP CNs/FPs submitted to the Board from DAEs</p> |
| | <p>Outcome 1.3: Relevant country stakeholders (which may include executing entities, civil society organizations and private sector) have established adequate capacity, systems and networks to support the planning, programming and implementation of GCF-funded activities.</p> | <p>Active engagement of CSOs and the private sector in planning and programming of GCF-funded activities</p> <p>Relevant stakeholders have adequate capacity to undertake participatory and integrated planning and monitoring in support of country programming for the GCF.</p> <p>They participate in national processes, policies, strategies, reporting and planning.</p> <p>They have adequate skills and capacity to support active community involvement in planning, decision-making and service delivery.</p> | <p>Number of inputs from diverse stakeholders in the development of GCF-related policies and plans</p> <p>Number of GCF-funded activities that enhanced by the participation of stakeholders developed and implemented</p> |

| Objective | Outcome | Indicative Outputs | Associated Indicators |
|--|---|--|---|
| | | <p>They have adequate capacity for data collection and analysis to enhance monitoring, reporting and decision-making? In this regard, is there a system to inform analysis and decision-making.</p> <p>Mechanisms for Monitoring and Review:</p> <ul style="list-style-type: none"> - They have agreed development strategies with targets that are specific, measurable, achievable, relevant and time-based. - They can convey this strategy in a legitimate and representative way. - They have established review mechanisms (e.g. national peer reviews; internal peer reviews; etc.) | <p>Number of CNs/PPF submitted to GCF that feature stakeholders including representatives of vulnerable groups</p> <hr/> <p>Number of workshops/trainings conducted with participation of stakeholders</p> |
| <p>Objective 2: Strategies</p> <p>By 2025, GCF recipient countries have developed robust strategies to guide GCF investment in complementarity other climate financiers</p> | <p>Outcome 2.1:</p> <p>GCF recipient countries have developed initial country programmes to guide GCF investment and programming of GCF Readiness and Preparatory resources.</p> | <p>Country Programme is developed and:</p> <ul style="list-style-type: none"> ▪ Articulates a country strategy to undertake low-emission and climate-resilient development in alignment with the country’s national priorities. ▪ Addresses gender, ESS and IP issues as aligned to country national priorities ▪ Identifies investment priorities including prospective sources of funding and areas for engagement in a manner that effectively promotes country ownership ▪ Drives the process for programme and project pipeline development in line with the ambitious goals of the GCF | <p>Number of stakeholder engagements conducted in the formulation of country programmes</p> <hr/> <p>Number of established national processes for the periodic participatory review and updating of country programmes</p> <hr/> <p>Number of country programmes endorsed by GCF recipient country governments</p> <p>Quality of country programs in terms of the integration of gender ESS and IP issues</p> |

| Objective | Outcome | Indicative Outputs | Associated Indicators |
|-----------|--|--|--|
| | <p>Outcome 2.2: GCF recipient countries have developed or enhanced strategic frameworks to address policy gaps, improve sectoral expertise, and enhance enabling environments for GCF programming</p> | <p>Policies and regulations designed to enable public and private sector investment</p> <p>Monitoring, reporting and verification systems developed for tracking internal and external climate finance flows</p> <p>Carbon reduction assessments including integration in decision-making process</p> <p>Gender issues mainstreamed in climate financing programming</p> <p>Appropriate climate technology solutions identified and prioritized in accordance with national strategies and plans</p> <p>Enabling environment for supporting technology deployment strengthened, including market preparation and development of strategy for scaling-up deployment</p> | <p>Number of countries with national, subnational or sectoral adaptation and mitigation priorities elaborated and action plans implemented</p> <p>Number of countries with policies and regulations designed to remove barriers to public and private sector investment</p> <p>Number of countries with MRV systems developed for tracking internal and external climate finance flows</p> <p>Number of countries with carbon reduction potential assessed and integrated in decision-making process</p> <p>Number of countries with gender, IP and ESS issues mainstreamed in climate financing programming</p> |

| Objective | Outcome | Indicative Outputs | Associated Indicators |
|-----------|--|--|---|
| | | | <p>Number of countries with feasibility of selected climate technologies for mitigation and adaption assessed and incorporated into planning processes</p> <p>Number of countries with appropriate climate technology solutions identified and prioritized in accordance with national strategies and plans for climate adaptation and mitigation</p> |
| | <p>Outcome 2.3: Entity Work Programmes of accredited direct access entities developed, that are aligned with the priorities of the countries, including country programmes and the GCF result areas</p> | <p>DAEs have an elaborated Entity Work Programme drafted and aligned with the country programme within the first 6 months after being accredited.</p> <p>DAEs have established pipeline of projects based on early engagement programming exercise; focusing on their mandate and sectoral capacity.</p> <p>DAEs have identified their institutional and technical capacity gaps to undertake the tasks as indicated in the entity work programme including on ESS, IP and Gender issues; and as relevant developed readiness proposals to address the gaps.</p> | <p>Number of Entity Work Programmes submitted to GCF</p> |

| Objective | Outcome | Indicative Outputs | Associated Indicators |
|--|---|---|--|
| | <p>Outcome 2.4: Strategies for transforming and attracting private sector investment for low emissions and resilience developed and being used</p> | <p>Policies created or updated for enabling greater private sector investment in reduced emissions and climate resilience.</p> <p>Development of business cases for transforming practices and increasing investment</p> <p>Awareness strategies for targeted private sector transformation and investment.</p> | <p>Number of countries with assessments of private sector actors (domestic and international) that can support the country to meet its overall goals</p> <p>Number of engagement road maps and/or action plans on how to engage the private sector over the short, medium and long terms</p> <p>Number of targeted climate policy and frameworks lending support developed for relevant public sector institutions</p> |
| <p>Objective 3: Adaptation Planning</p> <p>By 2025, GCF recipient countries have established integrated adaptation planning and monitoring systems that enable climate resilience across sectors, as well as strengthen impact and catalyze the scale of public and private adaptation finance, based</p> | <p>Outcome 3.1: Adaptation planning governance and institutional coordination strengthened</p> | <p>Inter and intra-institutional coordination and decision-making mechanisms</p> <p>Stakeholder engagement frameworks and agreements Adaptation impact monitoring, evaluation and learning systems</p> <p>National, sub-national and/or sectoral plans</p> | <p>Number of inter and intra-institutional coordination and decision-making mechanisms established or strengthened</p> <p>Number of stakeholder engagement frameworks and agreements developed or strengthened</p> <p>Number of adaptation impact monitoring, evaluation and learning</p> |

| Objective | Outcome | Indicative Outputs | Associated Indicators |
|--|--|---|--|
| on strong climate rationale and active stakeholder engagement | | | systems established or strengthened |
| | | | Number of national, sub-national and/or sectoral plans produced or strengthened |
| | Outcome 3.2: Evidence basis produced to design adaptation solutions for maximum impact | Climate impact, vulnerability and risk studies; Platforms and forums consolidating and sharing climate studies Climate studies communicated to relevant public, private and civil society decision-makers and other stakeholders | Number of studies produced or strengthened on specific climate impacts, hazards, vulnerabilities and risks |
| | | | Number of platforms created or strengthened to consolidate and share climate vulnerability and risk studies |
| | | | Number of climate vulnerability and risk studies communicated to key public, private and civil society decision-makers |
| | Outcome 3.3: Private sector engagement in adaptation catalyzed | Policy guidelines or regulations to remove barriers and incentivize adaptation investment Private sector actors engaged in national, sectoral and/or sub-national adaptation planning Adaptation planning for climate resilience of individual businesses and supply chains | Number of policy guidelines or regulations developed or strengthened |
| Number of private sector actors with adaptation plans for their businesses and supply chains | | | |

| Objective | Outcome | Indicative Outputs | Associated Indicators | |
|-----------|---|--|---|--|
| | | <p>Technical support to commercial financial institutions to developing loan products for SMEs to finance adaptation and insure for climate resilience</p> | <p>Number of private sector actors engaged in design of national, sub-national and/or sectoral adaptation plans</p> | |
| | | <p>Marketplaces and other means of identifying and matching private financiers with bankable adaptation solutions</p> | <p>Number of private finance and insurance actors developing products to finance adaptation and insure for climate resilience</p> | |
| | | <p>Support for private sector to access GCF finance through the SAP</p> | | |
| | <p>Outcome 3.4: Adaptation finance increased</p> | | | <p>Number of private finance actors engaged in considering investing in climate resilient activities</p> |
| | | | <p>Project and programme concept notes targeting a range of sources, including the GCF</p> | <p>Number of financing strategies designed or strengthened for specified adaptation priorities</p> |
| | | <p>Financing strategies for specific adaptation priorities</p> | <p>Number of systems established or strengthened for prioritizing adaptation project ideas based on objective criteria</p> | |
| | | <p>Systems for prioritizing adaptation project/programme ideas based on objective criteria</p> | | |
| | | <p>Systems for tracking adaptation finance</p> | <p>Number of systems created or strengthened for tracking adaptation finance</p> | |

| Objective | Outcome | Indicative Outputs | Associated Indicators |
|---|---|--|---|
| | | | Number of public and private financing for adaptation |
| <p>Objective 4: Pipeline Development</p> <p>By 2025, emanating from country strategies and entity work programmes, an increase in concept notes and funding proposals by countries with least capacity, including LDCs, SIDS and African states, and direct access accredited entities</p> | <p>Outcome 4.1: By 2025, an increase of project concept notes developed and submitted from accredited Direct Access Entities</p> | <p>Increase in submission of concept notes and PPF applications from accredited direct access entities and private sector that are aligned with country priorities and including gender, IP and ESS issues.</p> <p>Structured trainings targeted to strengthen the capacity of the accredited direct access entities on thematic sectors organized and conducted periodically.</p> <p>A roster of consultants/experts established, that are ready to be deployed to support accredited direct access entities in a short timeframe</p> | <p>Number of concept notes submitted by DAEs to the GCF aligned with EWP and country priorities</p> <p>Number of concept notes submitted by countries with least capacity, including LDCs, SIDS and African states</p> <p>Number of concept notes submitted by the private sector</p> |
| | <p>Outcome 4.2: By 2025, an increase of funding proposals developed and submitted from accredited Direct Access Entities</p> | <p>Increase in submission of funding proposals from accredited direct access entities and private sector that are aligned with country priorities.</p> <p>Structured trainings targeted to strengthen the capacity of the accredited direct access entities on thematic sectors organized and conducted periodically and access to SAP.</p> <p>A roster of consultants/experts established, that are ready to be deployed to support accredited direct</p> | <p>Number of funding proposals, including SAP proposals, submitted by direct access accredited entities to the Board</p> <p>Number of Structured sectoral trainings organized in partnership or by GCF to strengthen the capacity of accredited direct access entities</p> |

| Objective | Outcome | Indicative Outputs | Associated Indicators |
|---|---------|---|--|
| | | <p>access entities for a 3 to 5 year period as a pilot during this phase including support to submit SAP proposals.</p> <p>Approved projects by the GCF successfully implemented by the accredited direct access entities.</p> | <p>Number of readiness support (via in country readiness proposals or via consultants/experts deployed) provided to accredited direct access entities</p> |
| <p>Objective 5: Knowledge sharing and learning</p> <p>By 2025, all GCF recipient countries have benefited from increased levels of awareness, knowledge sharing and learning that contribute to their developing and implementing transformational projects in low-carbon and climate-resilient development pathways</p> | | <p>Outputs will be produced across all objectives to strengthen awareness of key actors about opportunity to catalyze climate action through the GCF, share knowledge about good practices, and learn based on purposeful monitoring and evaluation systems. Types of outputs and corresponding activities produced for this objective will include Structured Dialogues, sector-specific and other issue-focused technical clinics, south-south exchanges, web-based knowledge sharing, and development good practice guidance. South-south knowledge sharing modalities will be used as much as possible for conducting these activities.</p> | <p>Number of Structured Dialogues conducted</p> <p>Number of sector-specific or other similarly focused training sessions/clinics held</p> <p>Number of unique visitors for online knowledge platforms and/or web-based training modules</p> <p>Number of Readiness requests, including Adaptation planning, PPF applications, CNs or FPs, including for the SAP, submitted reflecting added value of South-South exchange</p> |