

Readiness Proposal

The Kingdom of Swaziland

2015.12.08



**GREEN
CLIMATE
FUND**



	<p>The country is classified as a middle income country and has limited access to resources from both the national budget and from bi/multilateral support for green economy initiatives. Through the years, the country has leveraged support through the Global Environment Facility (GEF) and development partners such UNDP, the Common Market for Eastern and Southern Asia (COMESA) and UNEP to address some of its climate change obligations, including National Communications (NCs) to the UNFCCC.</p> <p>The GCF Readiness support requested will, in complement to the readiness programme of the Africa Climate Change Fund (ACCF) described in this proposal, ensure that the capacity of the NDA is strengthened.</p>
Anticipated Duration	01/04/2016 – 31/03/2018 (24 months)
Estimated total cost	US\$ 300,000

SECTION A: RATIONALE FOR REQUEST

A.1

Background

Please provide country overview including initiatives related to climate finance e.g. NAMAs NAPs... etc.

Swaziland ratified the UNFCCC on the 7th October 1996 and subsequently ratified the Kyoto Protocol on the 13th January 2006. In line with the UNFCCC, the initial and second National Communications (NC) have been prepared and submitted in 2002 and 2012, respectively. The country is currently engaged in the development of the third NC (TNC). In addition, coherent to the post 2020 climate regime, the country submitted its Intended National Determined Contributions (INDCs) to the UNFCCC Secretariat on Sep 29th 2015

<http://www4.unfccc.int/submissions/INDC/Published%20Documents/Swaziland/1/Swaziland's%20INDC.pdf>.

With support from COMESA and UNDP, the National Climate Change Committee (NCCC) facilitated an inclusive development of the draft National Climate Change Policy (NCCP) and the National Climate Change Strategy and Action for 2014 to 2019 (NCCS). These strategies identified the GCF as a support for climate change adaptation and mitigation undertaking in the country. The draft climate change strategy and action plan identified climate finance readiness as a priority to enhance the country's capacity to plan, access, deliver, monitor and report on climate finance in a catalytic and integrated manner. The NCCC facilitated the development of the first readiness proposal to the Africa Climate Change Fund (ACCF)² which is aimed at enhancing the country's readiness for investment in low carbon and climate resilient development. The main activities of the ACCF are focused on assessment of the country's needs and barriers to climate investment and capacity building of stakeholders involved in climate response action in planning, management, monitoring and reporting of climate projects. The ACCF proposal also aims at developing an investment ready project proposal to be submitted to the GCF.

The NDA will ensure complementarity between GCF Readiness activities and the proposed ACCF project activities.

The NDA will also aim to develop synergies (to avoid duplication) with other relevant on-going projects and country initiatives to enable an efficient exchange of information between projects and full use of their results. These will include:

- (1) the Intended Nationally Determined Contributions (INDCs) and any related subsequent project,
- (2) the Third National Communication (TNC),
- (3) Lower Usutu Swaziland Irrigation Project (LUSIP)- GEF project and Climate Change Adaptation (CCA) water sector project,
- (4) GEF-funded Strengthening the National Protected Areas Systems of Swailand (SNPAS) project,
- (5) Technology Needs Assessment, etc.

Swaziland aims to identify an implementing entity to nominate for GCF accreditation and to align it with the GCF's accreditation guiding framework, including through the strengthening of its fiduciary standards as may be necessary, thereby affording the country a direct access channel to Climate Funds.

A.2

Justification for request

Please explain how the readiness request will have an impact in your country and align with the goals of the readiness program. Please also discuss how the proposed activities are aligned with country priorities and strategies, and how link with existing climate finance initiatives in country.

² The ACCF readiness proposal focuses on Enhancing Climate Finance Readiness for Low Carbon and Climate Resilient Development in Swaziland through capacity building of potential project developers and development of an investment plan.

The Ministry of Tourism and Environmental Affairs (MTEA) is the Designated NDA for Swaziland and Mr. Emmanuel Dlamini is the Focal Person. The day to day management and coordination of the NDA's engagement with the GCF is situated in the Department of Environment and Climate Change (DECC), within the MTEA.

The DECC is the lead policy-making institution of the government tasked to coordinate, monitor and evaluate government programs and ensure mainstreaming of climate change in national and sectoral development plans towards a climate-resilient and low carbon Swaziland. Currently the DECC has three full time staff members coordinating and managing these objectives with support from three short term contract staff engaged through different projects. At present, no additional staff have been added to develop the country's engagement with the GCF and further work needs to be done internally to fully comprehend and establish the processes necessary to fulfil its role as the NDA

The DECC has experience in engaging with various multilateral and national institutions in coordinating climate change activities. However, as the GCF is a new multilateral fund, there is a lack of the necessary capacities to perform all the responsibilities required to effectively engage with the GCF, and facilitate the engagement of stakeholders in the country with the GCF. In this context, the readiness support will be used to augment and strengthen the capacities of the NDA to leverage greater participation of different stakeholders at national level, including the private sector, and support appropriate oversight of Fund activities at the country level, particularly through the national climate change committee with its different sub committees.

The support requested from the GCF will build the necessary national capacity to undertake GCF-related activities and enable national institutional capacity to implement and handle GCF projects and programmes. The ACCF and GCF readiness support programme will also enable the NDA to develop the tools and provide the platforms for broad dissemination of information relevant to improve the country's access to international climate finance, particularly the GCF.

SECTION B: SCOPE OF WORK

B.1

Description of activities (*Please provide detailed logical framework as an annex. See Annex I for content to build from*).

If consultancy service is required to undertake proposed activities, please also include a brief terms of reference of the service in this section or as an annex.

Area 1: NDA Capacity strengthening

1. The NDA will hire consultants for a period of two years. The consultants are expected to build the capacity of the team within the NDA that will be responsible for coordinating with other ministries on the Green Climate Fund. The consultants will support the NDA in undertaking the following tasks:
 - a. Developing an initial assessment (baseline) on the capacities of NDA to fulfil its role and functions.
 - b. Building the knowledge and capacity of the NDA on matters related to the Fund;
 - c. Supporting the NDA in coordinating with other Ministries on Fund-related matters;
 - d. Creating awareness and knowledge among key/national stakeholders on the GCF and its operations, focusing this awareness and knowledge-building effort on the NDA and the National Climate Change Committee (NCCC), which will serve as steering committee for the implementation of the readiness activities presented in this proposal as described in Section D.1.
 - e. Establishing GCF national management arrangements and guidelines within the NDA, including identification of roles and responsibilities for the partnerships for government, private sector, parastatals, non-governmental organisations, and development partners in the programming of GCF-prioritised interventions. This would include the operationalisation of the roles and responsibilities to be assumed by the NDA (e.g. planning, facilitation, interface with the GCF and coordination and no objection procedures for proposals).
 - f. Holding national consultations on climate change for systemic coordination through multi-stakeholder and multidisciplinary engagement to identify and prioritise potential programmes, projects and entities ensuring complementary partnerships to enable Swaziland's access to, and adequate use of, Fund's resources.

- g. Leading the development of content for awareness-raising and communications material directed at key stakeholders.
- h. Leading the development of the country programme as outlined in activity area 2 below.

The NDA may also add other activities in accordance with the Fund's defined resource envelope and scope of work in the Standardised Package for NDA or Focal Point Strengthening, available at:

http://www.gcfund.org/fileadmin/00_customer/documents/Accreditation/Scope_of_Work_Package_1_NDA_Strengthening.pdf

Area 2: Strategic frameworks and preparation of country programmes

Development of the country programme as stated above in point (h) will include the following activities:

1. Reviewing of Swaziland's national development strategies, frameworks, existing and planned interventions and identification of gaps and opportunities for a climate change integrated national investment trajectory coherent with GCF provisions and objectives, together with the review of necessary readiness capacities.
2. Identifying prospective public and private sector entities that have potential to be accredited by the Fund and to implement Swaziland's programming priorities with respect to the Fund;
3. Conducting stakeholder dialogues and consultation workshops: Organising trainings, workshops and consultations with relevant non-state actors from the civil society (including representatives of indigenous people), academia and private sector (micro, small, medium enterprises) in areas relevant to the objectives of the GCF, including consultations on the development of a country programme.
4. Develop a country programme to among other things; develop a clear sense of Swaziland's climate investment priorities which may later be advanced through subsequent readiness requests to the Fund.

Other needful activities could be added in a manner that is consistent with the Fund's resource envelope and scope of work defined in the Standardised Package for Country Strategic Frameworks, available at:

http://www.gcfund.org/fileadmin/00_customer/documents/Accreditation/Scope_of_Work_Package_2_Country_Programme.pdf.

B.2	Expected results
<p>This proposal is aligned with the objectives of the Draft NCCP and Strategy presented in Section D.1, both representing an initial framework for tackling climate change in Swaziland. Moreover, the proposal supports the main thematic areas of focus of the National Development Strategy (The Country's Vision 2022). As a result of the activities to be implemented through the GCF readiness programme, the country will have an articulated framework for engagement with the Fund that will lead to the preparation of project/programme funding proposals in priority sectors identified within the Draft NCCP and Strategy and other relevant policy instruments, promoting country ownership and facilitating multi-stakeholders engagement. The proposed activities therefore aim at supporting the Government of Swaziland in steering the country to a low carbon and resilient development pathway for its long-term economic development.</p> <p>These readiness activities will integrate a gender perspective in the identification of transformational investment opportunities. In addition the development of a GCF Country Programme will assist in aligning the national GCF approach with existing National, Regional and International strategies and plans. Most importantly, the Country Programme will provide a solid and clear direction for policy makers and for the private sector, whose cooperation will be critical to successfully delivering on implementation of projects. The Country Programme will further create buy-in and ownership among all the actors that need to collaborate in making these initiatives successful. The readiness support programme will also assist in identifying and exploring synergies with ongoing initiatives and identifying and upscaling them to make significant impacts to the regions and communities of Swaziland.</p>	

SECTION C: BUDGET *(include total cost and share of GCF funding)*

Please use the separate budget template provided to detailed relevant line items.

Category	Total (USD)
Consultancy	125,000
Travel	35,000
Workshop and Training	90,000
Project Management	27,200
Other (including audit costs)	9,600
Contingency	13,200
Grand Total	300,000

Note: please refer to the Fund's guide on indicative budgets for the standardised packages for activity 1 and activity 2.

SECTION D: IMPLEMENTATION PLAN

D.1 Implementation arrangements

UNDP, under the leadership and guidance of the NDA, will serve as delivery partner and will oversee the implementation of this readiness programme over its 24-month period through the UNDP country office. The NCCC will work with the MTEA to provide policy and strategic direction to the implementation of the GCF readiness programme.

The NDA will organise information sharing and awareness events and build capacity with regard to climate-related programmes and projects. The process will involve identification, appraisal and preparation of key investments addressing climate adaptation and mitigation sectoral engagement. Key stakeholders will include:

- Civil society e.g. Coordination Assembly for NGOs, as these work closely with vulnerable groups and communities
- Academic and research institutions given their role in science, technology and innovation.
- Private sector companies and Industry, including through their federations.
- Financing Institutions such as: Banks, Funds and Parastatals.
- Swaziland Investment Promotion Authority (SIPA).

A Project Coordinator, reporting through the DECC Chief Environment Coordinator, will be recruited as part of the consulting team presented in Section B.1 to provide the day-to-day management of the activities on the readiness project. The Project Coordinator will be responsible for coordination of the activities, project management and stakeholder mobilization, monitoring and reporting. He/she will endeavour to find synergies and guarantee avoidance of duplicated efforts/initiatives between the GCF Readiness programme and the proposed ACCF project in order to ensure overall implementation of readiness efforts in an efficient manner.

A multi-sectoral NCCC, headed by the GCF and UNFCCC focal point (Principal Secretary of MTEA) and composed of representatives from key relevant national government ministries, agencies and non-state actors, will serve as the project's steering committee, providing guidance to execution of GCF readiness activities. In so doing, the NCCC may choose to designate a smaller sub-committee to serve as the steering committee on its behalf. Furthermore, the NCCC will provide technical support to the project through its thematic subcommittees which shall serve as technical working groups. In so doing, the NCCC may co-opt additional members to a thematic subcommittee as may be necessary.

Other sectoral ministries, such as the Ministry of Economic Planning and Development (MEPD), Development, Natural Resources and Energy, Finance, Agriculture, Transport and Public Works, Education and Training etc., will play an important role in the implementation of this process their respective sectors.

An additional team of consultants, as presented in Section B.1, will be recruited to support the technical achievement of the key activities detailed in this proposal. UNDP, serving as the delivery partner, will provide fiduciary management and procurement support under the leadership and guidance of the MTEA.

D.2	Disbursement and implementation schedule
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The funds will be transferred and managed through the delivery partner, the UNDP Swaziland Country Office, in three (3) tranches:

- The first disbursement, which amounts US\$ 120,000, will be transferred upon the submission of an inception document from delivery partner and the NDA, in form and substance acceptable to the Fund, which includes detailed implementation plan, procurement plan and budget;
- The second tranche of US\$ 130,000 will be transferred upon submission of an interim progress report and financial report, in form and substance acceptable to the Fund, including an audited expenditure statement; and
- The final disbursement of \$50,000 will be made upon submission of a completion report and financial report, including an audited expenditure statement.

D.3	Procurement plan
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Under the leadership and guidance of the NDA, UNDP will manage the readiness funding and be responsible for providing and contracting the services described in this proposal, as well as reporting on the progress of this implementation. The procurement will be processed in accordance with the procurement guidelines and policies of UNDP. The Swaziland UNDP country office, under the guidance of the NDA, will competitively procure services consistent with UNDP’s procurement policies for:

- Technical support services, through recruitment of international and/or national consultants as per Terms of Reference (ToRs) developed under the guidance of the NDA. The NDA may also add other tasks to the ToRs of the consultants in accordance with the Fund’s defined scopes of work and within the resource envelopes for this proposal and any supplementary resources secured from other sources, and
- Conferencing facility services

Information on the process and the results of procurement to be undertaken will be included in the Inception Document where such information can be provided in advance, and in any case, in interim progress or completion reports once such procurement has been undertaken and completed.

SECTION E: MONITORING & REPORTING PLAN

Please describe the frequency and responsibility for monitoring the indicators, the source of information that will be used to measure the indicators and the timing for submitting the interim and final reports of the activities implemented and outputs and outcomes achieved.

The reports to be submitted will observe the presented disbursement and implementation schedule and will include reporting against the logical framework included in Annex I.

SECTION F: RISK & MITIGATION MEASURES

Please describe the expected risks (external and internal) that could influence the timing and quality of the deliveries. Highlight if there might be critical risks that could compromise the overall implementation. For each risk, identify the possible early corrective measures that will be in place to avoid or mitigate any negative impact.

Description or risk	Risk level	Mitigation measures
1. Delays in approval of documents especially at political levels.	low	Engage all key stakeholder for sensitization and mobilise for prompt approval where required and also involve the political leaders at inception stage to ensure ownership and understanding.
2. Lack of interest from private sector stakeholders.	Medium	Sensitisation activities on climate finance opportunities for the private sector will be undertaken.

Risks assessments and mitigation measures may be further evaluated and described in the Inception Document.

Annex I. Logical Framework

	PROJECT SUMMARY	INDICATORS	BASELINES
OUTCOMES	1. NDA capacity to undertake Fund-related responsibilities and engage national stakeholders strengthened	1.1 Capacity to coordinate across stakeholders and facilitate effective consultation and communication 1.2 Knowledge on climate and finance priorities strengthened 1.3 System for reviewing proposals and issuing recommendations (or no-objections) established 1.4 Capacity and systems to monitor, evaluate and report on the activities of the Fund and other relevant finance mechanisms and institutions established 1.5 Information, including in local languages, on procedures of the Fund to disseminated to country stakeholders	
	2. Strategic framework for engagement with the Fund developed	2.1 Engagement of private sector, civil society, government and local government stakeholders on priorities for engagement with the fund 2.2 Priorities for project and concepts to be developed for accessing the fund 2.3 Country programming document developed and published in adherence with the initial guidance from the Fund	

OUTPUTS	<p>1.1 A process for supporting coordination across stakeholders and facilitating engagement (including periodic meetings / workshops)</p> <p>1.2 Annual report on activities of the Fund and other relevant funding mechanisms and institutions in the country</p> <p>1.3 Information materials on the operational procedures of the Fund in local languages (where relevant) and distribution lists of recipients</p>	<p>1.1.1 Write up of the coordination process, and convening schedule</p> <p>1.1.2 Meeting minutes and participant lists documenting engagement of at least xx groups</p> <p>1.2.1 Electronic copy of the annual report, and details of public dissemination channels</p> <p>1.3.1 Links to electronic copies of presentations, information materials, climate and development information disseminated to distribution lists where relevant.</p> <p>1.3.2 At least xx information materials on the fund developed and disseminated to at least xx people</p>	
	<p>2.1 Country programme, including elements provided in the Fund's Initial Guidelines for Country Programmes</p> <p>2.2 Summaries of meetings of multi-stakeholder engagement, including list of participants</p>	<p>2.1.1 Copy of country programme, completed using the initial guidance on country programmes prepared by the GCF secretariat</p> <p>2.1.2 Background documentation on the programme, and links to public dissemination channels</p> <p>2.2.1 Agendas and summaries from workshops convened as part of the country programme process</p> <p>2.2.2 Short note on lessons learned from country programming, and good practices in stakeholder engagement</p>	