

# Readiness Proposal

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**with National Environment Management Authority of Kenya (NEMA)  
for Republic of Kenya**

2 May 2018 | Entity Support



**GREEN  
CLIMATE  
FUND**

**NEMA capacity strengthening programme towards accessing climate finance from the Green Climate Fund**

SECTION 1: SUMMARY	
<b>1. Country submitting the proposal</b>	<p>Country name: Kenya            Name of institution (representing National Designated Authority or Focal Point): The National Treasury            Name of official: Dr. Kamau Thugge , EBS            Position: Principal Secretary            Telephone: 020 - 2252299            Email: ps@treasury.go.ke            Full Office address: The National Treasury,            PO Box 30007            Nairobi Kenya</p>
<b>2. Date of initial submission</b>	18/06/2017
<b>3. Last date of resubmission (if applicable)</b>	26/07/2017
<b>4. Which entity will implement the Readiness and Preparatory Support project? (Provide the contact information if entity is different from NDA/focal point)</b>	<p><input type="checkbox"/> National Designated Authority <input type="checkbox"/> Delivery partner x Accredited entity</p> <p>Name of institution: <b>National Environment Management Authority</b>            Name of official: <b>Prof.Geoffrey Wahungu&amp;Wangare Kirumba</b>            Position: <b>Director General &amp; NIE coordinator</b>            Telephone: <b>254 020 665522, 254 712 815514</b>            Email: <a href="mailto:pwahungu@nema.go.ke">pwahungu@nema.go.ke</a>, <a href="mailto:wkirumba@nema.go.ke">wkirumba@nema.go.ke</a>            Full office address: <b>Po Box 67839 Nairobi Kenya</b></p>
<b>5. Title of the Readiness and Preparatory Support Proposal</b>	<b>NEMA capacity strengthening programme towards accessing climate finance from the Green Climate Fund</b>
<b>6. Brief summary of the request(200 words)</b>	<p>The requested readiness grant totalling to USD <b>431,060</b> is targeted at institutional strengthening for NEMA towards expediting its role as an accredited entity to GCF.</p> <p>Currently, NEMA has engaged on proposal design process, without significant success in relation to securing approvals, thereby necessitating the need for readiness technical grant. NEMA has identified certain aspects as the existing barriers to its ability to operationalise its GCF accreditation, and meet the aspirations of the Kenya Government and the Green Climate Fund on working towards low carbon growth and Climate Change resilience building. These aspects are</p>

	<ol style="list-style-type: none"> <li>1. Operational capacity Constraints,</li> <li>2. Knowledge and institutional policy gaps on GCF ESS</li> <li>3. Knowledge gap/ inadequate technical capacity on GCF gender policy.</li> <li>4. GCF programme design Capacities</li> <li>5. Finances to meet the costs of requisite programme design studies and stakeholder consultation processes</li> </ol> <p>The proposed readiness programme seeks to address these gaps by introducing support to GCF operations at NEMA, building requisite technical capacities; filling in knowledge gaps that on ESS and Gender issues and meeting consultancy costs of Grant award accreditation application. Further, NEMA has two main accreditation conditionality's related to capacity strengthening on ESS and Gender Policies. This readiness support has been designed to address these two conditionality's. NEMA proposes to use this grant to hire consultants to review NEMAs ESMS system and thereafter develop and deliver the necessary systems, processes, protocols, tools and procedures towards an effective Environmental and Social management system that meets GCF thresholds. Thereafter a training will be delivered to all NEMA staff, and targeted stakeholders and potential Executing Entities. The same approach will be used to meet the gender policy, and with this, it is anticipated that NEMA will generate the requisite institutional strength to efficiently deliver GCF programme, thereby actualising the aspirations of the Green Climate Fund, and the people of Kenya.</p>
<p><b>7. Total requested amount and currency</b></p>	<p>USD <b>431,060</b></p>
<p><b>8. Anticipated duration</b></p>	<p>2 years</p>
<p><b>9. Is the country receiving other Readiness and Preparatory Support related to the GCF?</b></p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Kenya through the NDA is a beneficiary of capacity support from the Government of Germany through UNEP, WRI, and UNDP programme. The scope of this support is Accreditation Support, GCF Programme design support, Executing Entity capacity Strengthening, NDA capacity Strengthening and Accredited entity capacity strengthening. This project also is targeting improving awareness of climate finance by subnational entities and national stakeholders, and generate knowledge for national policy support and for up-scaling internationally.</p> <p>The proposed readiness request seeks to compliment the work done under the above described readiness work. To illustrate this, through the above readiness work, Kenya received training on Good Adaptation Practices, and tools for adaptation prioritisation. This process also trained NEMA staff on GCFs's ES policy. In this readiness request, the capacity desired is specific to building NEMAs system capacity by developing policies procedures and operations towards implementing the ES policy, especially in relation to current and anticipated GCF Programming.</p>

SECTION 2: COUNTRY READINESS LOGICAL FRAMEWORK			
OUTCOMES <sup>1</sup>	BASELINE	TARGET	ACTIVITIES <i>(including key outputs or deliverables where applicable)</i>
<b>1. Country capacity strengthened</b>	<b>0-8</b>	<b>0-8</b>	
1.1 NDA/focal point lead effective coordination mechanism	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	N/A
1.2 No objection procedure established and implemented	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	
1.3 Bilateral agreements between the country and the GCF executed	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	
1.4 Monitoring, oversight and streamlining of climate finance	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	
<b>2. Stakeholders engaged in consultative processes</b>	<b>0-8</b>	<b>0-8</b>	
2.1 Stakeholders engaged in consultative processes	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	Stakeholders consultation strengthened during programme development through GCF related trainings
2.2 Country programmes, including adaptation priorities, developed and continuously updated	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<ol style="list-style-type: none"> <li>NEMA s capacity to develop and submit GCF programmes strengthened through training</li> <li>More country priorities including adaptation priorities addressed through Grant award accreditation by NEMA</li> </ol>

<sup>1</sup> Based on decisions: B.08/10, annexes XII, XIII & XIV; B.08/11; B.11/10, annex I; B.12/20, annex I

2.3 Stakeholder consultations conducted with equal representation of women	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<ol style="list-style-type: none"> <li>Enhanced equal representation of women in GCF processes in Kenya through strengthened Gender policy at NEMA,</li> <li>Programmes developed effectively engendered through gender related trainings</li> <li>Gender policies and action plan at NEMA aligned to GCF thresholds</li> </ol>
2.4 Annual participatory review of GCF portfolio in the country organized	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	N/A
<b>3. Direct access realized</b>	<b>0-8</b>	<b>0-8</b>	
3.1 Candidate entities identified and nominated for accreditation	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	N/A
3.2 Direct access entity accredited	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	
3.3 Entity/ies annual/multi-annual work programme developed	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	
3.4 Funding proposals through enhanced direct access modality approved	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<ol style="list-style-type: none"> <li>NEMA s capacity to develop and submit GCF programmes strengthened though GCF related training</li> <li>Increased number of funding proposals developed, due to increased GCF related knowledge</li> <li>More country priorities addressed through Grant award accreditation by NEMA</li> </ol>
<b>4. Access to finance</b>	<b>0-8</b>	<b>0-8</b>	
4.1 Structured dialogue between the NDA/Accredited Entities and the GCF Secretariat organized	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	
4.2 Country programmes, concept notes, including on adaptation, developed that implement high-impact priorities identified in INDCs and other national strategies or plans	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<ol style="list-style-type: none"> <li>NEMA s capacity to develop and submit GCF programmes strengthened though GCF related training</li> <li>NEMAs accreditation conditions resolved</li> <li>Increased number of funding proposals developed, due to increased GCF related knowledge</li> <li>More country priorities identified in INDC addressed through Grant award</li> </ol>

			accreditation by NEMA
4.3 Project/programme preparation support, including for adaptation, to develop funding proposals provided	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<ol style="list-style-type: none"> <li>1. NEMAs accreditation conditions resolved</li> <li>2. NEMA s capacity to develop and submit GCF programmes strengthened though GCF related training</li> <li>3. Increased number of funding proposals developed, due to increased GCF related knowledge</li> <li>4. More country priorities addressed through Grant award accreditation by NEMA</li> </ol>
4.4 Funding proposals, including for adaptation, that are aligned with country priorities approved	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<ol style="list-style-type: none"> <li>1. NEMAs accreditation conditions resolved</li> <li>2. NEMA s capacity to develop and submit GCF programmes strengthened though GCF related training</li> <li>3. Increased number of funding proposals developed, due to increased GCF related knowledge</li> <li>4. More country priorities addressed through Grant award accreditation by NEMA</li> </ol>
<b>5. Private sector mobilization</b>	<b>0-8</b>	<b>0-8</b>	
5.1 Private sector engaged in country consultative processes	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	N/A
5.2 Enabling environment for crowding-in private sector investments at national, regional and international levels exists	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	
5.3 Funding proposals for private sector projects/programmes, including for adaptation, approved	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	
5.4 Funding proposals under the Private Sector Facility programmes (small- and medium-sized enterprises and mobilizing funds at scale) submitted and approved	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	



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PROPOSAL TEMPLATE

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TOTAL	0-40	0-40	
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### SECTION 3: ADDITIONAL INFORMATION

Please explain how this grant will help deliver on the country's readiness needs as identified above and build on institutions, processes or existing work already underway in the country (*maximum 500 words*)

This readiness request is hinged on three GCF Readiness outcomes namely:

1. Building the capacity of accredited direct access entities in relation to the GCF activities, in areas such as ESS, the GCF gender policy and action plan, and monitoring and evaluation.
2. Enabling lesson-learning from other institutions that have been through similar accreditation processes;
3. Conducting an institutional gap analysis of potential applicants against the fiduciary standards and ESS; (It is noteworthy here that this section does not refer to new application by NEMA, rather its referring to NEMA's intended application for an added finance instrument; Grant **Award**. The gap analysis referred to in here is therefore in relation to NEMA's readiness for grant award accreditation type)

**Outcome 1: Building the capacity of accredited direct access entities in relation to the GCF activities, in areas such as ESS, the GCF gender policy and action plan, and monitoring and evaluation.**

Enhanced capacity for NEMA, as an accredited entity, on GCF policies is imperative towards making contribution to Kenya's national capacity to access climate finance. NEMA being a national institution offers a long-term sustainable platform for Kenya to implement programmes towards actualising the long-term goal of THE GOVERNMENT OF Kenya, and the GCF fund, which is to orient economies to low carbon growth and resilience building. NEMA seeks to establish robust systems, processes, on ESS, Gender and Monitoring and Evaluation in its readiness for GCF programming and implementation. NEMA also seeks to build operational capacities in the initial start-up phase of GCF programming to achieve a successful take off.

Towards achieving the above outcome, this readiness request has been conceived around three pillars/objectives as follows:

**Pillar 1: Addressing NEMAs accreditation recommendation (conditions),**

**Pillar 2: Building requisite readiness for GCF programming at NEMA**

**Pillar 3: Support NEMA's accreditation upgrade to grants award application**

To actualise the above objectives, NEMA proposes an implementation approach as follows:

**Pillar 1. Addressing accreditation recommendation (conditions):**

NEMA has two accreditation conditions which relate to Environment and Social System, and Gender policy and action plan. In addressing these two conditions, NEMA, in this readiness plan proposes to respond systemically to the scenario that informed these conditions. The Accreditation panel appraised NEMAs ESS capacity as not adequate enough, to be able to use internal capacity to develop projects that invoke the PS 2 to 8. To address this, NEMA proposes to hire a consultant for 40 consulting days whose TOR is to develop a robust Environmental



and Social Management System for NEMA. (20 days to review manuals/policies, 10 days to develop new manual/guidelines, 8 days to develop training modules and to do training, 2 days report writing). The TOR has been crafted to respond to this capacity gap at NEMA, to build requisite knowledge, and internal rules and processes (ESMS) that can adequately manage PS 1-8.

The cost of consultant per day is proposed at 300 USD per day. After developing this ESMS, this consultant will utilise 10 days to deliver training to NEMA officers on the same and identified executing entities. The trainings shall be split into two, such that the consultant will have 4 days to prepare the training modules and six days to deliver two trainings. The consultants referred to here are to be procured domestically, and budgeting has been done to suit the scenarios. The travel dates are guided by the consultants schedule to undertake activities such as, data collection and stakeholders' consultations.

In meeting the gender capacity gap, NEMA will employ a similar approach as above. The terms of reference (TORs) for the ESS expert and the Gender expert is attached

**Pillar 2: Building requisite capacity and readiness at NEMA for GCF programming and implementation.**

In this component, the readiness request herein is intended to train relevant NEMA staff on GCF policies and procedures with the goal of imparting relevant Knowledge and awareness. The intention here is to build a body of knowledge at NEMA on Green Climate Fund. The kind of content conceived for this training relates to the green climate fund itself, its formation, its procedures, its operational policies, the types of projects, the investment criteria, creating understanding on the FP templates, writing an FP, disclosure policy, GCF Governance, expected annexes for project preparation, economic analysis etc. This training will greatly enhance NEMA's capacity to develop GCF programmes. To achieve this, NEMA will hire a consultant, themed as GCF expert, who will deliver training on GCF processes and also on monitoring and Evaluation. This consultant will be hired for 40 days at 300 USD per day and will be expected to use 10 days to develop the training modules, 5 days per each for the proposed 2 trainings. Identified executing Entities will also be targeted for this training.

Under this pillar also, towards developing systemic capacities, NEMA proposes to have staff undertake expert courses (short courses). The staff identified to be trained are certain key staff who will be directly engaged with GCF work. The proposed courses are; Advanced accounting on Multilateral Funds; Monitoring and Evaluation; Contract Monitoring; Knowledge management; Communications for projects; Gender mainstreaming in projects. These courses shall be undertaken in government accredited institutions namely ESAMI or Kenya school of Government. The costs of these courses are estimated at 10000 USD per course, and 30000 will be to support staff accommodation and travel. Some capacity on this expertise exists at NEMA, but with this readiness, NEMA proposes to expand these capacities.

**Outcome 3: Conducting an institutional gap analysis of potential applicants against the fiduciary standards and ESS;**

**Pillar 3: Support NEMA's accreditation upgrade to grant award application**

NEMA seeks to make an accreditation application on grant award, and proposes to apply the readiness funds to undertake a gap analysis to assess NEMA's readiness for grant award accreditation scope. Beyond undertaking a gap analysis NEMA will develop requisite procedures and policies. This activity is related to the outcome one above which is on support for accreditation.

In supporting NEMA grant award application a national consultant shall be hired to undertake the gap analysis against the fiduciary standards and ESS, support preparation of the relevant documentation for this application, develop necessary policies to implement the ongranting work at NEMA, and also train NEMA staff on the same. This consultant shall be hired for a maximum of 40 days at 300 USD per day; 10 days will be to review the current setup/system at NEMA, 20 days to identify relevant documents/policies, 5 days to prepare the requisite policies, and 5 days to deliver related training to NEMA staff.

Additional consultants' cost includes the consultants Daily Subsistence Allowance - DSA and travel costs. The travel costs are inclusive of either car hire or fuel costs facilitate local movements; the DSA budget cost is to cater for local consultant allowance for the days out of the duty station. To actualize this activity, practically the consultant will individually go through the existing policies, so as to identify gaps, and thereafter develop draft procedures for grant award. But in developing and tailoring the procedures for NEMA, the consultant will hold workshop with relevant NEMA units/sections so that he/she can systematically guide NEMA staff in finalizing the proposed procedures and tailor them to suit NEMA operational and governance structures. This can only be done in a consultative workshop set up.

The budget for this readiness plan is informed by :

1. NEMA has 47 field offices, in all the 47 Counties in Kenya, Further NEMA has 4 regional offices and the headquarters in Nairobi. The targeted officers for this training includes field officers who will need to travel from their counties to a specified city.
- 2 All workshops/Trainings have been calculated using 30 participants per workshop each costing 140 USD for travel and accommodation per day and 60 USD conferencing per day. Each workshop is budgeted for 4 days.
- 3 Conference centres are service providers who will host the trainings and the workshops. These have been costed at 60 dollars per participant per day. Typically these are hotels or training institutions.
4. In relation to the proposed training of EEs, a minimum of 2 participants from 10-15 EEs has been factored, the budget has been done with 30 participants in the training
5. It is desirable that the trainings on Gender, ESS and M@E are executed separately to achieve maximum impact



**SECTION 4: BUDGET, PROCUREMENT, IMPLEMENTATION AND DISBURSEMENT**

4.1. Budget Plan											
Please provide a breakdown of cost estimates and implementation schedule analysed according to the activities suggested in Section 2. Please feel free to replicate this table on Excel spreadsheet if needed.											
OUTCOMES <small>(same as in section 2)</small>	NEMAS Specific Outcome	ACTIVITIES <small>(same as in section 2)</small>	TOTAL COST <small>(per activity)</small>	COST CATEGORIES				EXPENDITURE AND IMPLEMENTATION SCHEDULE <small>(add columns if &gt;24 months)</small>			
				Consultants	Travel Allowance – Daily Subsistence DSA	Workshops / Trainings	Others	6m	12m	18m	24m
Building the capacity of accredited direct access entities in relation to the GCF activities, in areas such as ESS, the GCF gender policy and action plan, and monitoring and		Deliver a comprehensive ESMS system for NEMA towards compliance with GCF safeguards	16,860	40days @ 300 = <b>12000</b> USD – Develop the ESMS  (10 days to review manuals. 10 days data collection in NEMA field offices 10 days to develop	Travel for 18 days @USD 100 = <b>1800</b>  (Travel for 10 days visit and analysis at NEMA field offices, and 8 days training)  <b>DSA</b> at USD 170 for 18 days = <b>3060</b>	-	-	16,860			



evaluation.	NEMA enhanced capacity on compliance to GCF ES Policy			new manual/guidelines. 8 days to develop training modules and to do training. 2 days report writing)								
		Review existing systems procedures and tools for implementing the ESMS, towards harmonising with ES policy of the Fund.	24000	The consultant will hold a workshop with relevant NEMA officials so as to establish gaps existing in NEMA in having an effective ESMS.	Accommodation and Travel 30 Pax @ 140 USD for 4 days= <b>16,800</b>	Conference package 30 Pax @ 60 USD for 4 days= <b>7,200</b>		24000				
		Train and Induct 30 NEMA staff from 47 field offices on GCF/NEMA ESS	24000		Accommodation and Travel 30 Pax @ 140 USD for 4 days= <b>16,800</b>	Conference package 30 Pax @ 60 USD for 4 days= <b>7,200</b>	-	24000				
		Train Identified EEs on GCF/NEMA ESS	24000		Accommodation and Travel 30 Pax @ 140 USD for 4 days= <b>16,800</b>	Conference package 30 Pax @ 60 USD for 4 days= <b>7,200</b>	-	24000				



NEMAs Compliance to Accreditation Conditionality on Gender	Review of NEMAs Gender Policy to assess harmony with GCF Gender Policy	14,160	40 days @ 300 USD= <b>12000</b> – (20 days to review manuals/policies. 10 days to develop new manual/guidelines. 8 days to develop training modules and to do training. 2 days report writing)	Travel for 8 days @USD 100= <b>800</b>  <b>DSA@ USD 170 for 8 days=1,360</b>  (Travel 4 days to develop tools, protocols procedures, and 4 days to train NEMA staff on NEMA and GCF gender policy)	-	-	15,160			
	Develop Tools, Protocols Procedures for actionalising provisions of Gender policy in Design and execution of GCF related programmes	24000	The consultant (gender expert) will hold a workshop with relevant NEMA officials so as to establish gaps existing in NEMA in having an effective gender policy.	Accommodation and Travel 30 Pax @ 140 USD for 4 days= <b>16,800</b>	Conference package 30 Pax @ 60 USD for 4 days= <b>7,200</b>	-	-	24000		



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		Train NEMA Field staff on NEMA and GCF gender Policy	24000	The consultant will train 30 field NEMA officers on implementing the gender policy	Accommodation and Travel 30 Pax @ 140 USD for 4 days= <b>16,800</b>	Conference package 30 Pax @ 60 USD for 4 days= <b>7,200</b>	-	24000			
		Train Proposed Executing NEMA and Entities on GCF Gender Policy	24000	The consultant will train 30 (NEMA head quarter officers and proposed executing entities) on gender policy	Accommodation and Travel 30 Pax @ 140 USD for 4 days= <b>16,800</b>	Conference package 30 Pax @ 60 USD for 4 days= <b>7,200</b>	-	24000			
<b>Sub-Total</b>			<b>175,020</b>	<b>24,000</b>	<b>107,820</b>	<b>43,200</b>		<b>176,020</b>			
Conducting an institutional gap	Enhanced NEMA	Expert courses for relevant NEMA staff	80000	-	-	80000		40000		40000	



analysis of potential applicants against the fiduciary standards and ESS;	Operational Capacity for GCF operationalization	Train NEMA County Officers on GCF Policies and Processes	25,800	6 days @ 300 USD= <b>1800</b>	Accommodation and Travel 30 Pax @ 140 USD for 4 days= <b>16,800</b>	Conference package 30 Pax @ 60 USD for 4 days= <b>7,200</b>	-			25,800	
		Train NEMA and Potential Executing Entities on ME systems in line with the nationally set MRV systems	25,800	6 days @ 300 USD= <b>1800</b>	Travel 30 Pax @ 140 USD for 4 days= <b>16,800</b>	Conference package 30 Pax @ 60 USD for 4 days= <b>7,200</b>				25,800	
		Undertake gap analysis for NEMA towards on-granting accreditation application	15,240	40 days @ 300 USD= <b>12,000</b> support to NEMA to On granting accreditation	Travel for 12 days @ USD 100= <b>1,200</b> DSA@ USD 170 for 12 days= <b>2,040</b>					16,240	
		Development of necessary policies to fill in this gap On-granting accreditation application	24,000	The consultant (GCF Expert) will hold a workshop with relevant NEMA officials so as to establish gaps existing in NEMA towards on granting	Travel 30 Pax @ 140 USD for 4 days= <b>16,800</b>	Conference package 30 Pax @ 60 USD for 4 days= <b>7,200</b>				24000	



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				mechanism.						
		Train NEMA on on-granting mechanism	24,000	The consultant (GCF Expert) will train relevant NEMA officials on executing on-granting mechanism	Travel 30 Pax @ 140 USD for 4 days= <b>16,800</b>	Conference package 30 Pax @ 60 USD for 4 days= <b>7,200</b>				24000
<b>Sub-Total</b>			<b>194,840</b>	<b>15,600</b>	<b>70,440</b>	<b>108,800</b>		<b>40,000</b>		<b>155,840</b>
<b>TOTAL</b>			<b>369,860</b>	<b>39,600</b>	<b>178,260</b>	<b>152,000</b>		<b>216,020</b>		<b>155,840</b>
<b>DELIVERY PARTNER FEE (UP TO 10% OF THE TOTAL)</b>			<b>36,900</b>	<b>3960</b>	<b>18026</b>	<b>15,200</b>		<b>21,602</b>		<b>15,584</b>





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<b>CONTINGENCY<sup>2</sup> (UP TO 5% OF TOTAL ACTIVITIES)</b>			<b>18,500</b>					<b>10,801</b>		<b>7,792</b>	
<b>AUDIT COST</b>			<b>5800</b>					<b>2900</b>		<b>2900</b>	
<b>GRAND TOTAL</b>			<b>431,060</b>					<b>251,323</b>		<b>182,372</b>	

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<sup>2</sup> "Contingencies will be disbursed upon request subject to approval by GCF. The contingencies line item is intended to cover unforeseen cost increases due to changes in law and/or the regulatory, unfavorable exchange rate fluctuations".



<b>4.2. Procurement Plan</b>						
For goods, services, and consultancies to be procured, please list the items, descriptions in relation to the activities in section 2, estimated cost, procurement method, relevant threshold, and the estimated dates. Please include the procurement plan for at least the first tranche of disbursement requested below. Also, please feel free to replicate this table on Excel spreadsheet if needed.						
<b>ITEM</b>	<b>ITEM DESCRIPTION</b>	<b>ESTIMATED COST (US \$)</b>	<b>PROCUREMENT METHOD</b>	<b>THRESHOLDS</b> <i>(Min-Max monetary value for which indicated procurement method must be used)</i>	<b>ESTIMATED START DATE</b>	<b>PROJECTED CONTRACTING DATE</b>
<b>Goods and Non-Consulting Services</b>						
	Travel and Accommodation	178,260	Direct/RFP/RFQ			
	Conference facilities	152,000	Direct/RFP/RFQ			
	Expert training	80000	Direct Procurement (Government to Government)			



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SUB-TOTAL (US \$)		410,260				
<b>Consultancy Services</b>						
	Gender	12000	Restricted tender	Up to 20000 USD	Dec 2017	September 2017
	ES Policy	12000	"	"	Dec 2017	September 2017
	GCF Expert	12,000	Restricted tender	Over 20000 USD	Dec 2017	September 2017
SUB-TOTAL (US \$)		<b>36,000</b>				
TOTAL COST (US \$)						<b>446,260</b>

**4.3. Disbursement schedule**

NEMA proposes to have annual disbursements for this project. It is anticipated that the project will take place for two years. For this reason, the disbursement is proposed as follows

1st Tranche: USD Two Hundred and Fifty Eight Thousand, Six Hundred and Thirty Six Dollars (US\$258,636) the first disbursement will be made upon or after effectiveness of the Grant Agreement and also upon fulfilment of the disbursement conditions specified in the Grant Agreement and Standard Conditions.

2nd Tranche: USD One Hundred and Twenty Nine Thousand, Three Hundred and Eighteen Dollars (US\$129,318only) will be transferred (provided that at least 70% of the 1<sup>st</sup> Tranche has been delivered) upon submission of an interim progress report and Audited Financial Report and also upon fulfilment of the disbursement conditions specified in the Grant Agreement and Standard Conditions.

3rd Tranche: USD Forty Three Thousand and One Hundred and Six Dollars (US Dollar 43,106 only) will be transferred upon submission of completion and audit report and also upon fulfilment of the disbursement conditions specified in the Grant Agreement and Standard Conditions.

**4.4. Additional information**

As discussed earlier, this readiness request is hinged on three pillars/objectives as follows:

**Pillar 1: Addressing NEMA’s accreditation conditionality,**

**Pillar 2: Building requisite readiness for GCF programming at NEMA**

**Pillar 3: Support NEMA’s accreditation upgrade to grant award application.**

**BUDGET NOTES FOR CONSULTANCIES**

A)

The total consultancy days for the whole readiness plan is 120 days, aggregated as follows; 40 days for an ESS expert to deliver an ESMS, 40 days for Gender expert to deliver an aligned NEMA Gender policy, and gender action plan, and 40 days for a GCF expert to undertake training and support NEMA for grant award accreditation. The total cost is USD 36000

<u>Consultancy</u>	<u>Description</u>	<b>No. of Days</b>	<b>Rate per Day in USD</b>	<b>Total</b>

<u>1</u>	<b>ESS Expert</b>	NEMA proposes to hire a consultant for 40 consulting days whose TOR is to develop a robust Environmental and Social Management System for NEMA. (20 days to review manuals/policies, 10 days to develop new manual/guidelines, 8 days to develop training modules and to do training, 2 days report writing). The TOR has been crafted to respond to this capacity gap at NEMA, to build requisite knowledge, and internal rules and processes (ESMS) that can adequately manage PS 1-8.	40	300	12000
<u>2</u>	<b>Gender Expert</b>	<u>Same as above</u>	40	300	12000
3	<b>GCF Expert</b>	In supporting NEMA grant award application a national consultant shall be hired to undertake the gap analysis against the fiduciary standards and ESS, support preparation of the relevant documentation for this application, develop necessary policies to implement the ongranting work at NEMA, and also train NEMA staff on the same. This consultant shall be hired for a maximum of 40 days at 300 USD per day; 10 days will be to review the current setup/system at NEMA, 20 days to identify relevant documents/policies, 5 days to prepare the requisite policies, and 5 days to deliver related training to NEMA staff.	40	300	12,000
<b>TOTALS</b>					<b>36,000</b>

**B) Budget notes for Travel Category; USD 180,500**

The travel category has three main cost drivers namely;

1. Workshops,
2. Consultancies' and
3. Peer to peer Learning mission.

It is worth noting that the quoted 140 USD per participant includes accommodation.

**1. Workshops**

	<u>No. of Workshops/trainings</u>	<u>No of PARTICIPANTS</u>	<u>Cost of travel and accommodation</u>	<u>No. of Days per Workshop</u>	
1	10	30	140	4	



**READINESS AND PREPARATORY SUPPORT**

**PROPOSAL TEMPLATE**

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***\*NEMA policy on consultants' rates is market driven. The process of identifying consultants must be competitive bidding governed by Kenya's procurement law.***

## SECTION 5: IMPLEMENTATION ARRANGEMENTS AND OTHER INFORMATION

### 5.1. Please attach an “implementation map” or describe how funds will be managed by the NDA/FP or delivery partner

If the entity implementing the readiness support is not an accredited entity of the GCF, please complete the [Financial Management Capacity Assessment \(FMCA\)](#) questionnaire and submit it with this proposal.

This readiness plan will be executed by NEMA. NEMA as an accredited entity has the requisite financial standards, including procurement capacities to execute a grant. NEMA shall procure consultants employing appropriate procurement methods as guided by national laws. Further NEMA shall dedicate resources towards supervising the work of the consultants. The consultants shall be required to report to the Director General NEMA. The terms of reference of the Consultants have been attached to this application.

NEMA has the legal mandate to contract and the legal capacity to execute a contract. All the consultants shall be legally contracted under the Kenyan Laws, to ensure that they deliver on the TORs. The terms of engagement with the

### 5.2. Other relevant information

This box provides an opportunity to include any important information you wish to bring to the attention of the GCF Secretariat, but did not have an opportunity to provide in the sections above.

The proposed GCF expert consultancy shall undertake the proposed GCF training and support NEMA grant award accreditation application. The TOR for these two activities has been combined.