

Readiness Proposal

**with World Agroforestry Centre (ICRAF)
for the Democratic Socialist Republic of Sri Lanka**

14 June 2018 | Strategic Frameworks



**GREEN
CLIMATE
FUND**

Readiness and Preparatory Support Proposal

How to complete this document?

- A Readiness Guidebook is available to provide information on how to access funding under the GCF Readiness and Preparatory Support programme. It should be consulted to assist in the completion of this proposal template.
- This document should be completed by National Designated Authorities (NDAs) or focal points with support from their delivery partners where relevant.
- Please be concise. If you need to include any additional information, please attach it to the proposal.
- Information on the indicative list of activities eligible for readiness and preparatory support and the process for the submission, review and approval of this proposal can be found on pages 11-13 of the guidebook.
- For the final version submitted to GCF Secretariat, please delete all instructions indicated in italics in this template and provide information in regular text (not italics).

Where to get support?

- If you are not sure how to complete this document, or require support, please send an e-mail to countries@gcfund.org. We will aim to get back to you within 48 hours.
- You can also complete as much of this document as you can and then send it to countries@gcfund.org. We will get back to you within 5 working days to discuss your submission and the way forward.

Note: Environmental and Social Safeguards and Gender

Throughout this document, when answering questions and providing details, please make sure to pay special attention to environmental, social and gender issues, particularly to the situation of vulnerable populations, including women and men. Please be specific about proposed actions to address these issues. Consult page 7 of the readiness guidebook for more information.

The purpose of this Readiness and Preparatory Support proposal is therefore to also support MMDE and other relevant stakeholders in government, civil society, academia and the private sector to develop a Strategy and build capacity for climate action nationwide, but with specific focus on the upper watersheds of Sri Lanka's 'Water Towers'.

GCF support is being sought to lay the strategic planning foundations of climate action in the upper watershed especially ecosystem-based adaptation by:

1. Developing an inclusive, evidence based and risk sensitive planning process to design a Strategy for Climate Resilience in Sri Lanka's Upper Watersheds following principles of ecosystem-based adaptation
2. Building the capacity of stakeholders across relevant institutions and sectors to support the delivery of an inclusive, gender and youth sensitive strategy, including identifying existing policy constraints and opportunities
3. Developing the basis for a specific monitoring, information sharing and reporting system to support the adaptive implementation of the strategy
4. Delivering a first draft of the transformative strategy for ecosystem-based adaptation of the upper-watersheds as a key pillar of the country programme
5. Identifying and outlining a pipeline of projects that would form the foundation for the implementation of the strategy.

The proposal will strengthen national level readiness as well as specifically grow the portfolio of GCF projects in the Upper watershed regions of Sri Lanka. The choice of the focus on upper watersheds is a strategic one meant to complement on going GCF investments in the Dry zone and with a view to focusing next year's readiness on the coastal areas- enabling strategic coverage of the main areas of the country. Given current Arabian and Multilateral Bank investments and GCF investments (FP106) in the Dry Zones of Sri Lanka, it was deemed necessary to focus on the Upper Catchment areas (Water Towers) of Sri Lanka as part of broader national programming for 2019 Readiness funds. Subsequent readiness requests for 2020 would be focused largely on the coastal zone of the country, thereby strategically enabling climate actions across relevant climatic zones of Sri Lanka.

The bulk of Sri Lanka's agriculture and urban development is threatened by changes to the distribution of rainfall (NE 'Maha' and SW 'Yala' monsoons), rising temperatures and rapid siltation of irrigation and drinking water reservoirs as a result of erosion in the upper catchments of the Highlands, from the Central Highlands to the Knuckles/Moragahakanda watersheds, with impacts on agriculture and urban settlements downstream. The Designated National Authority (NDA) to the Green Climate Fund (GCF) within the Ministry of Mahaweli Development and Environment (MMDE) has recognised that only through a strategy that addresses the drivers of degradation, transforming land-use, natural resources management and value chains in the upper catchments based on principles of ecosystem based adaptation, can the vulnerability to climate change of people, both upstream and downstream, be addressed. It is therefore proposed that 2018 GCF Readiness funds also be used to undertake a strategic, evidence-based analysis of adaptation and mitigation potentials, and of climate investment opportunities, in the upper watersheds that significantly influence the agriculture and urban development of the country.

In the context of this proposal 'inclusive' is taken to mean equitable representation and voice with respect to gender, religion, ethnicity, sector, income and age of participants.

	<p>This strategy would build on existing plans and strategies, such as the Nationally Determined Contributions to the Paris Agreement related to mitigation and adaptation, the National Action Plan (NAP) for UNCCD, the National Adaptation Plan (NAP) for climate change.</p> <p>This proposal is intended to be part of a multi-project and multi-regional approach to climate smart development. This proposal will focus on the Central Highlands while next year's Readiness will focus on the Coastal Reefs oriented mitigation. This proposal is aligned to and intended to complement major development efforts including the Arabian (Lower River Basin Development), World Bank (Transport Connectivity and Asset Management Project) and GCF Investments (Dry Lands Water Management and Resilience project with UNDP) in the country. Strategic plans and projects conceived as part of readiness will seek to build on these efforts.</p> <p>As a result of the strategic planning process, the capacity of the NDA to engage meaningfully with the GCF will be strengthened, Sri Lankan stakeholders across private and government sectors, Ministries and local-government will be made aware of the opportunities the GCF presents to combat deleterious impacts of climate change and ultimately to increase the resilience of Sri Lanka to address climate change impacts.</p> <p>The outputs identified for the 12 month period have been designed to provide a stable platform of essential components from which the NDA can operate and continue to develop. This platform will be directed towards monitoring and guiding EBA type projects linked especially to the highlands. The nature of the information infrastructure set up during the 12 month period will be such that it can be extended into future projects. Additional investments in NDA capacity will however be required to deal adequately with other aspects of adaptation and especially mitigation. But thanks to this initial 12 month period a stable and capacitated command structure will be in place to develop these capacities confidently.</p> <p>It is also expected that next years readiness proposal would build on national level elements and therefore further develop capacity especially on coastal issues and mitigation.</p> <p>Main direct project beneficiaries will include the NDA, Nominated DAEs, GoSL Ministries, local governments (9 Provincial and District), private sector and civil society.</p>
<p>8. Total requested amount and currency</p>	<p>USD 919,649 (Nine hundred nineteen thousands, seven hundred twenty USD)</p>
<p>9. Anticipated duration</p>	<p>01/07/2019 – 30/06/2019 (12 months request)</p>

SECTION 2: LOGICAL FRAMEWORK

Please complete the table below by including proposed outcomes, baseline situations, the targets for implementation period, and the activities to be undertaken, including key outputs or deliverables. Please add rows for additional outcomes as needed. For further guidance on completing the table, please refer to the guidebook “Accessing the GCF Readiness and Preparatory Support Programme”, including specific Outcomes to select from.

OUTCOMES ¹	BASELINE	TARGET	ACTIVITIES <i>(including key outputs or deliverables where applicable)</i>
1. Country capacity strengthened	0-8	0-8	
1.1 NDA lead effective coordination mechanism	■0 □1 □2	□0 ■1 □2	<p>To develop an effective coordination and delivery mechanism to lead the process by NDA, the following activities will be carried out, and outputs will be delivered.</p> <ul style="list-style-type: none"> a) Selection of personnel (national and international experts) to form review committee, development of standard operating procedure and coordination mechanism, support organizing validation workshop and any other activities. In addition, national and international experts will consult key stakeholders and actors during development of standard operating procedure and support other tasks for NDA strengthening (e.g. procedures for no objection letter of activity 1.2). b) Analysis by review committee of organizational arrangements and coordination mechanism of successful NDAs and GCF structure, comparison with the legal, administrative institutional arrangements of Sri Lanka and recommendations of the best option for Sri Lanka. c) Based on the outcomes of the review committee session, a standard operating procedure will be drafted detailing roles and responsibilities of National Designated Authority (NDA) of Sri Lanka and the coordination mechanism. This document will clearly outline the process to be followed and tools to be used by the NDA while performing their duties as well as monitoring activities of NDA, and mechanism for effective coordination with key actors within country,

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

			<p>accredited entities and GCF secretariat. The document will be circulated to selected stakeholders for comments and observations, finalized and adopted by the Government. The NDA operational procedure will ensure equal participation opportunities for men and women.</p> <p>d) Organize a multi-stakeholder workshop to share final standard operating procedure and coordination mechanism of NDA, Sri Lanka. Final standard operating procedure and coordination mechanism document will be translated in Sinhala and Tamil.</p> <p>e) Train NDA staff on GCF procedures, proposal preparation, project management, no-objection letters procedures, IT, GIS, communications, climate drivers, including participation in GCF meetings and training events.</p> <p>f) Establish a reference multimedia library to include content on climate science, green economy and all relevant sector practice areas and distance learning facility to support NDA, line ministries and key stakeholders in the development and evaluation of climate change projects.</p> <p>Outputs/deliverables:</p> <ul style="list-style-type: none"> • 1 Review Committee established (with at least 2 -3 being women out of 7); • Draft NDA operational procedure; • 1 Draft NDA Procedures Validation workshop held (report); • NDA and affiliated agency staff trained in various aspects of the operation procedure-including at least 30% women; • 1 multi-media library established at the NDA
<p>1.2 No objection procedure established and implemented</p>	<p><input checked="" type="checkbox"/>0 <input type="checkbox"/>1 <input type="checkbox"/>2</p>	<p><input type="checkbox"/>0 <input type="checkbox"/>1 <input checked="" type="checkbox"/>2</p>	<p>To develop an inclusive and transparent procedure and mechanism for issuance of no objection letters, the following activities will be carried out and outputs will be delivered.</p>

			<p>a. Committee established in activity 1.1 reviews existing successful ad-hoc procedures and mechanisms practiced by other NDAs and develops a procedure and mechanism for issuance of no objection letters in Sri Lanka. This will include methodology and key elements to be applied for technical review including social and environmental safeguards, types of stakeholders to be engaged for different types of proposals, project preparation, facility application including concept proposal, and full funding projects, composition of evaluation committee and tools to be used by evaluation committee for evaluate proposals and submit recommendation to NDA, etc.</p> <p>b. Carry out consultations between the NDA and other key agencies to request comments on the mechanism and procedure for issuance of no-objection letter and finalize mechanism and procedure;</p> <p>c. Include a session in the multi-stakeholder workshop of Output 1.1 to share the procedure and mechanism for issuance of no objection letter with relevant agencies and Government entities.</p> <p>d. Organize a technical training workshop for technical evaluation committee members and other actors including NDA and staff to be involved in issuance of No-objection letter;</p> <p>e. Recruitment of a team of permanent national experts to act as the evaluation committee; to evaluate project proposals as needed and make recommendations to the NDA.</p> <p>Outputs/deliverables:</p> <ul style="list-style-type: none"> • No-Objection letter procedure established; • Training session(s) for NDA staff on no-objection procedure (Report)- to include at least 30% women; • 1 Evaluation Committee established; and • Awareness raising material on no-objection procedures developed
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<p>1.3 Tools for project submission, monitoring and oversight of project pipeline</p>	<p><input checked="" type="checkbox"/>0 <input type="checkbox"/>1 <input type="checkbox"/>2</p>	<p><input type="checkbox"/>0 <input type="checkbox"/>1 <input checked="" type="checkbox"/>2</p>	<p>a. Design and procure infrastructure – servers, computers, mobile devices, software and connective infrastructure - for monitoring centre at NDA that has capacity to collate, analyse data and provide access to all relevant stakeholders. This will help in analytics on potential project pipeline features such as emissions potential, number of people whose resilience is enhanced, areas of ecosystems potentially restored, efficiency parameters etc. As such this infrastructure and facility will be key to enhancing the capacity of the NDA to effectively monitor pipelines, projects and their outcomes and take adaptive and corrective action in a timely manner.</p> <p>b. Develop a national mechanism for collating and updating at regular time intervals activity data on climate change mitigation and adaptation</p> <p>c. Development of an Information Dashboard and Platform and GCF portfolio database. This will require the following kinds of activities and outputs to be delivered:</p> <ul style="list-style-type: none"> • Design and install multi-media, data platform at NDA to collate all climate-related data from different local and international institutions including local research studies to enable public, private and multilateral institutions to prepare concept papers and project proposals effectively • Develop a web-based dashboard that allows mobile access to communicate status of projects as well as concept notes and proposals submitted under other information managed by the NDA. • Train relevant staff from NDA and line ministries on the use of the M&E platforms and tools <p>d. Establish a monitoring framework for the assessment of accomplishment of mitigation and adaptation goals, objectives</p>
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			<p>and activities in the NDCs, climate action plan and extending to the project level (See 4.2 below).</p> <p>e. Recruitment of a small team of national and international experts to develop data Centre, multimedia platform, monitoring templates, online project portfolio database, and organize a training workshop for staff of NDA and other line ministries.</p> <p><u>Deliverables:</u></p> <ul style="list-style-type: none"> • <u>1</u> Dashboard and data/information platform; • Report on design specifications of Information management system; • 1 Training workshop for NDA staff on M&E / dashboard and on information dashboard platform management-to include at least 30 women; • Hardware and software required for the platform/information centre procured (Report)
2. Stakeholders engaged in consultative processes	0-8	0-8	
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 checked="" type="checkbox"/> 2	<p>To develop stakeholder engagement strategy for Sri Lanka, the following activities will be carried out, and outputs will be delivered.</p> <p>a. Recruit a team of national experts to develop stakeholder engagement strategy. This team will also support organizing national level consultation workshops and provide training.</p> <p>b. Review existing stakeholder engagement mechanisms in successful NDAs and develop a local stakeholder engagement strategy and framework, based on the Sri Lankan legal, administrative and institutional arrangements, which will ensure wide participation of relevant actors and stakeholders including youth, elderly groups, minorities and other relevant social groups during different stages of the project cycle starting from project development to project implementation. The stakeholder engagement strategy will ensure equal representation of men and</p>

			<p>women. These would culminate into a stakeholder analysis, mapping and options for engagement.</p> <p>c. Stakeholder consultation carried out using developed protocols and by NDA core team, with support of ICRAF team through a series of meetings.</p> <p>d. Carry out SHARED workshop with relevant stakeholders to design stakeholder strategy [note this workshop will contribute to other outputs as well under Outcome 4 and will not be costed here]</p> <p>e. Develop a draft strategy based on these outcomes identifying relevant decisions that require stakeholder engagement and partner outreach</p> <p>f. Finalize and share strategy online in English, Sinhala and Tamil languages</p> <p>g. Stakeholder engagement team identified and capacitated at NDA and protocols developed for effective engagement</p> <p>Outputs/deliverables:</p> <ul style="list-style-type: none"> • Stakeholder analysis, mapping and engagement options assessed (Report); • Stakeholders engagement strategy and framework developed and available in English, Tamil and Sinhala; • Stakeholders trained in stakeholder engagement including NDA, Government, private sector and civil society participants (with at least 30% women)
<p>2.2 Country programmes, including adaptation and mitigation priorities, developed and continuously updated</p>	<p><input type="checkbox"/>0 <input checked="" type="checkbox"/>1 <input type="checkbox"/>2</p>	<p><input type="checkbox"/>0 <input type="checkbox"/>1 <input checked="" type="checkbox"/>2</p>	<p>To update country programming for accessing Green Climate Funds through dialogues and a strategic plan for the upper watersheds. The</p>



READINESS AND PREPARATORY SUPPORT

PROPOSAL TEMPLATE

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			<p>following activities will be carried out on a regular basis, and outputs will be delivered.</p> <ul style="list-style-type: none">a. Carry out biannual dialogue to engage line ministries, Multilateral Development Banks, UN Agencies and other accredited entities to set country priorities and develop the project pipeline. Project ideas will be built on priority areas already identified in the National Adaptation Plan (NAP), Nationally Determined Contribution (NDC), Climate Change Strategy and other related national and sectoral documents. The GCF Secretariat will be invited to participate.b. Facilitate at least one exchange visit for NDA and associated staff to exchange a country that has been successful at GCF project submission and approval. Country will be chosen in collaboration with the GCF Secretariat.c. Organize, on behalf of NDA, Climate Change Secretariat the above stated consultation workshops both at national and provincial levels. A national expert will be engaged to support Climate Change Secretariat for organizing national and provincial level workshops.d. Develop a climate smart/green growth strategy for the Highlands of Sri Lanka. This will include the following activities: (i) Hold a vision workshop; (ii) scenario modelling- gender sensitive development and climate impacts; (iii) Strategy development workshop- validate scenarios, identify strategies and pathways; and (iv) strategy writeshop. This process will draw from the many plans that exist in the country, to derive a set of feasible and context relevant climate smart options that will form the basis for GCF concept notes to be developed in outcome 4.2.
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			<p>Outputs/deliverables:</p> <ul style="list-style-type: none"> • 2 National level cross-sectoral programming meetings (Reports); • 1 Exchange visit to a foreign country (Report); • Reviewed and updated country priorities; • A Climate Smart Development / Green Growth strategy for the Highlands of Sri Lanka
2.3 Stakeholder consultations conducted	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	<p>These gender equitable meetings will be carried out as per Outcomes 2.1 and 2.2 above <i>[No additional cost]</i></p>
2.4 Annual participatory review of GCF portfolio in the country organized	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	<p>The participatory review of the GCF portfolio is a key step towards inclusive adoption of plans and strategies. NDA will organize a day long annual review meeting with relevant stakeholders including participants from nine provinces back to back with one of the national workshop to be held under activity 2.2. Project portfolio database developed under activity 1.4, outputs of activities 2.2 will be used as main inputs during the annual review.</p> <p>Outputs/deliverables: Reviewed and accepted country portfolio. Outputs of the annual review will be a main input to update project portfolio database.</p>
3. Direct access realized	0-8	0-8	
3.1 Accreditation Readiness for Nominated DAE enhanced	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2	<p>To support DAE nominees access accreditation. the following activities will be carried out, and outputs will be delivered.</p> <ol style="list-style-type: none"> Joint assessment of institutional capacity to fulfil DAE role. (Based on GCF accreditation standards) Jointly develop an action plan for enabling accreditation. Could include two main components- a capacity and institutional upgrade and an a set of steps to enable accreditation; Limited training, capacity and institutional support to enable implementation of action plan. An exchange event to involve GCF secretariat, one or two DAE s from Asia. Green Climate Fund to make presentation on accreditation process, fiduciary standards

			<p>and other requirements. Asia DAEs to share their experiences and learning about accreditation including challenges and how have they overcome those. Participants will be drawn from two nominated and NDA.</p> <p>Outputs/deliverables:</p> <ul style="list-style-type: none"> • Institutional Capacity Assessment Reports for 2 nominated DAEs; • Accreditation Action Plans for two DAEs; • Capacity and Exchange workshop (Report);
4. Strengthened Project Portfolio Development Capacity	0-8	0-8	
4.1 Country programme/Concept note development, including on adaptation	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	<p><i>Strengthening the capacity of key stakeholders and partners across relevant institutions and sectors to support the Country Programme and MMDE to deliver projects for the highland. This will be done through two workshops and support activities. A national workshop aimed at targeting EbA activities with high mitigation potential and a regional workshop in Kandy for local partners targeting the upper watersheds. It is intended to involve local stakeholders from various provincial and district levels, as well as local NGOs, broader civil society and private sector (including for example tea plantations).</i></p> <p>The ICRAF team of international and local consultants will work with Government experts and local resource persons to deliver both trainings and support to enable better understanding of the information, resources, processes and networking opportunities for building transformative projects.</p> <p>It is important that stakeholders, across sectors and levels of government are equipped with an understanding and an ability to use tools that can help with generating data, information and insights related to developing an effective, equitable and efficient Country Programme and in this instance the sustainable management of upland watersheds, the impacts those management approaches have on siltation levels and climate</p>

			<p>resilience. This outcome will seek to build the capacity of a cross section of about 70 stakeholders to carry out analyses, interrogate information systems and develop climate smart actions / projects.</p> <ol style="list-style-type: none"> a. National Capacity workshop on Ecosystem-based adaptation (EbA). This will specifically train on exploring and analyzing existing climate and land-use information and identify information needs, policy constraints or opportunities. This will include gender sensitive analysis and planning. Secondly, it would explore Major EbA options for Sri Lanka with participants. Participants will be drawn from Nominated DAEs, NDA, key Government departments, civil society and private sector across the country. At least 30 participants. b. Regional capacity development training will focus on local provincial and district level institutions across all sectors as well as private sector and civil society. In addition to the aspects done at the national level, this will specifically include designing a potential monitoring framework for ecosystems-based adaptation and climate mitigation in the upper watersheds. With training on tools that can be used for rapid, synoptic assessment of response to policy and investment interventions using tools such as the Land Degradation Surveillance Framework (see Section 3 for a description of LDSF) and capacity strengthened for a rapid scale out during implementation of projects <p><u>Deliverables:</u></p> <ul style="list-style-type: none"> • Synthesis report on existing information relevant to Country Programme/Strategy for the management of Highlands; • Guidelines for using tools for developing baselines and climate sensitive planning; • Training Reports on EbA (National and Regional)
<p>4.3 Project preparation support, including for adaptation projects/programmes</p>	<p><input checked="" type="checkbox"/>0 <input type="checkbox"/>1 <input type="checkbox"/>2</p>	<p><input type="checkbox"/>0 <input checked="" type="checkbox"/>1 <input type="checkbox"/>2</p>	<p><i>Develop a set of Concept Notes for EbA in the Central Highlands of Sri Lanka as part of the Country Programme</i></p>

			<p>Drawing on previous deliverables this activity will focus on delivering a set of concept notes for potential GCF projects for the upper watersheds. It will draw mainly from the Climate Smart Development / Green Growth Strategy for the upper watersheds developed in 2.2 above and on capacity training from 4.1 above.</p> <p>Two project development workshops/ writeshops to be held in the central highlands. Projects and Concept Notes could include the following areas:</p> <ul style="list-style-type: none"> a. Climate smart management of critical upland watersheds b. Improving adaptation and climate resilience of smallholder agriculture in rain fed upland systems c. Climate smart agriculture in irrigated systems d. Flood risks in sensitive water basins and related DRR e. Rehabilitation and upgrading of irrigation infrastructure to meet climate safety expectations <p><u>Deliverables:</u> Project development workshop / writeshop reports; 4 Project concept notes (at least); and 4 actions plans for taking concept notes forward</p>
TOTAL	0	13	

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. Please refer to the Guidebook for more specific information on completing this section.

The Government of Sri Lanka has designated the Ministry of Mahaweli Development and Environment as its National Designated Authority (NDA) to the Green Climate Fund (GCF). At present, the National Designated Authority (NDA) of Sri Lanka is under-capacitated and relies excessively on outside capacities and cannot optimally fulfil its foreseen responsibilities and accountabilities. Therefore, there is a need for NDA to develop an effective coordination mechanism both at national and provincial level, and coordinate activities with the Green Climate Fund (GCF) Secretariat and accredited entities. Currently the National Designated Authority (NDA) of the Government of Sri Lanka is using the National Expert Committee on Climate Change Adaptation (NECCCA), and the National Expert Committee on Climate Change Mitigation (NECCCM) for technical review of project concepts and/or proposals submitted by any entity to NDA for issuance of no objection letters. This currently is an ad-hoc arrangement. There is a lack of methods and tools available for committee members to review concepts or project proposals as well as mechanism of stakeholder engagement in the reviewing process for issuance of no-objection letters.

A GCF specific stakeholder engagement strategy and framework developed through a wide participation of relevant actors and stakeholders is necessary. It must be aligned with national requirements while developing and implementing GCF projects. It is also necessary for the NDA to make this stakeholder engagement strategy and framework available through the NDA website (including procedures in outcome 1 in English, Sinhala and Tamil languages). This stakeholder engagement strategy and mechanism will be annexed to the standard operational procedure of NDA which will be developed under activity 1.1. Under the National Adaptation Plan (NAP) for Sri Lanka, action plans for each priority sector, including types of adaptation interventions, were prepared. The NAP also mentions that the government will regularly update the NAP, including sector specific action plans. However, no GCF specific country programme for accessing funds from GCF has been prepared to date. Therefore, all vulnerable sectors and provincial governments should be engaged to discuss and develop country programme and follow a process for updating country programme on a regular basis.

Regarding direct access modalities of GCF, the level of awareness about accreditation requirements among potential candidates in Sri Lanka is limited. Further, the NDA is yet to organize information events for potential entities about accreditation requirement, increase their awareness and solicit expression of interest from potential entities to apply for accreditation to Green Climate Fund (GCF). Therefore, awareness should be raised among potential direct access entities in Sri Lanka before the government nominates any entity for accreditation.

Sri Lanka's Country Programme must include, as a strong pillar, a strategy to effectively 'nudge' economic development of upper watersheds back to types of land use and agriculture that reduce erosion and surface flow, increases water storage in soils and slow release into the rivers that arise in these water towers and feed into downstream dams and tank systems and are therefore climate resilient and adapted. Implementation of this strategy will build productive resilience of economic, environmental and livelihood systems, even as they adapt to climate change, and seek to reverse drivers and pressures of deleterious change. This will be an inclusive Country Programme and Strategy, so that it can build on a broad societal consensus as behaviours will have to change. Finally, the strategy, projects and capacities that result must be based on and

validated by science in order for Sri Lanka to meet its sustainable development goals and fulfil its international commitments. This calls for developing the capacities within the NDA and its partners to implement a transparent, inclusive and evidence based process by which such a strategy can be developed and iteratively improved based on new information, emerging insights and changing policy priorities. While the process is adequately described in Section 2 under '4. Access to finance', we offer some additional information here on some of the key approaches and tools that will underpin the delivery of an inclusive, evidence-based, rigorous and scientifically sound process. A well-defined strategy and enhanced will lead to an optimisation in the use of GCF funds to deliver climate resilient outcomes.

How the Proposed Funding Proposal complements the NAP and NDC

This project is aligned and anchored to the GoSL National Climate Change Policy, its National Climate Change Adaptation Strategy and Action Plan, as well as to the Nationally Determined Contributions under the Paris Agreement.

It directly addresses two of the eight sectors in the NAP- namely water and Ecosystems and biodiversity, and indirectly addresses food security and ecotourism and recreation.

It specifically responds to priority actions in each of the sectors as follows:

Water:

- Develop and implement watershed management plans for critical watersheds;
- Assess the current practice of the water management for climate resilience and identify ways of improving them;
- Design rational intra-basin and trans-basin strategies to harness periodic surpluses of water storage facilities;

Ecosystems and Biodiversity:

- Prepare recovery plans for highly threatened ecosystem species;
- Prepare adaptive management plans for climate sensitive ecosystems;
- Establish a comprehensive programme to monitor climate change impacts on key natural ecosystems and biodiversity;
- Conduct Research aimed at enhancing ecosystems and biodiversity;
- Enhance the capacity across institutions

The proposed actions support the Sri Lanka's NDCs in the forestry, Agriculture, water, Irrigation and biodiversity sectors. All of these sectors highlight catchment protection and management as a priority, while the forest and agriculture sectors emphasize restoration of degraded forests and hilltops, and management of river basins especially the central highlands respectively. In addition, we choose an ecosystems-based adaptation approach because it is the adaptation approach with the most mitigation co-benefits in terms of emissions reduction, given that the NDC underlines that adaptation approaches that generate mitigation co-benefits would be prioritized.

How the Funding Proposal Complements the GCF Funded project (FP016)

The proposed activities herein- directly complement the activities and objectives of the project “Strengthening the resilience of smallholder farmers in the dry zone to climate variability and extreme events through an integrated approach to water management” in the following ways:

1. Given that the water supply in the Dry Zone in Sri Lanka is dependent largely on the watersheds in the highlands as the principal source for its river systems, enhancing water management upstream would enhance resilience and reduce risks for the smallholder farmers targeted within the project; and
2. The stakeholder and training forums planned nationwide within the project is likely to enhance the knowledge and capacity of stakeholders through information access, new skills and networking with other partners across the country;

ICRAF’s Experience in Sri Lanka

ICRAFs has been working in Sri Lanka for more than 10 years with a diverse set of partners ranging from Government, through Academia and civil society delivering impact particularly in the areas of coconut production and research, development of high quality tree germplasm and home garden improvements.

Fighting Coconut Disease in Sri Lanka: ICRAF worked with the Coconut Research Institute of Sri Lanka to solve a serious outbreak of phytoplasma disease that impacted coconut and affected more than 320000 trees in Galle, Matara and Hambantota districts in 2007. Since this disease was first observed some 20 years ago in Kerala, India, and a lot of research had been carried out to deal with it, South Asia Regional Program (SARP) of ICRAF lost no time to connect Sri Lanka’s Coconut Research Institute (CRI) to the Central Plantation Crops Research Institute (CPCRI) in Kerala. Researchers and policymakers from Sri Lanka visited CPCRI to develop strategies to contain and control the disease, including the creation of a 3-km-wide barrier around the three worst affected districts. Diseased trees were felled, and CRI in collaboration with Indian partners and ICRAF, began a programme to breed disease-resistant coconut trees. Given that hundreds of thousands of resource-poor farming families depend on coconut as a key source of food, income and insurance against the possible failure of staple food crops due to extreme weather and adverse effects of climate change, finding a solution was very impactful for many and prevented a wider catastrophe for coconut farming nationwide. ICRAF’s contribution to tackling the disease through technical support to maintain the health of coconut-based agroforestry systems in Sri Lanka was acknowledged on the World Coconut Day, 12 October 2012, when the Sri Lankan Ministry of Coconut Development and Janatha Estate Development presented a special award and a certificate of appreciation to Dr Ravi Prabhu, ICRAF’s Deputy Director General for Research, and Dr V.P. Singh, then Regional Coordinator of ICRAF’s South Asia Programme

Introduction of improved varieties of Indian Gooseberries, development of a system to produce Quality Planting Material (QPM), and establishing a value chain with linkages to market: In collaboration with University of Peradeniya, Kandy SARP has successfully implemented a program to introduce the high yielding and vitamin C rich varieties of Indian Goose Berries in Sri Lanka. After completing the domestication, capacity was built to maintain mother plants, and produce QPM within the national system and the private sector. Private nursery owners were trained in producing QPM and marketing the same. Due to high yielding capacity of the introduced varieties,

the production of gooseberries went up by several folds leading to development of a value chain, including the processing and marketing of various fruit-based products. Jam of Indian Gooseberries are popularly sold as “Nelli Jam” in Sri Lanka markets.

Home Gardens: ICRAF’s South Asia Regional Programme has worked with national scientists in Sri Lanka to identify critical gaps in knowledge and how to fill them and develop policy recommendations to optimize the benefits of home gardens.

Partnerships in Sri Lanka:

ICRAFs main partners in Sri Lanka include: Ministry of Coconut and Janatha Estate Development; Coconut Research Institute; Kurunegala Plantation Ltd.; Ministry of Environment and Natural Resources; Ministry of Agriculture; Department of Agriculture; Forest Department; International Water Management Institute (IWMI); Jay Health Foods (Pvt) Ltd.; Sarvodaya (NGO); Saraketha (NGO); Green Movement (Sri Lanka) and the University of Peradeniya

Methods / Tools / Approaches

- 1. Land Degradation Surveillance Framework (LDSF):** Developed by ICRAF and successfully implemented in about 20 countries on 5 continents, this tool will use locally calibrated, global models (based on data from over 40,000 locations) to generate predictive maps of key land health indicators, including **soil organic carbon, erosion prevalence and vegetation degradation** status. These data and spatial assessments will then be used to target interventions to restore degraded areas, or to avoid future degradation, and to co-develop **Dashboard** tools with stakeholders in Sri Lanka to enhance the evidence base for decisions, including prioritisation, land-use planning and the selection of restoration options. These tools will also form the backbone of a monitoring and reporting system for tracking progress on outcomes.
- 2. Other baseline development tools, including syntheses of existing evidence:** for the assessment of livelihoods (e.g. Rural Household Multi-Indicator Survey, RHoMIS), farm systems analysis, behavioural economic analysis and value chain analysis with resulting market intervention options, including Payment-for-Ecosystem Schemes (PES). This expertise will enable the identification and addressing of barriers, including issues of non-inclusion or disempowerment that previously obstructed a transformative change within the socio-ecological system. Syntheses of existing evidence and gaps related to runoff, siltation, sediment transport, Probable Maximum Floods, tenure, rights, vulnerabilities, food security, health and land-use and land-management (especially among small-holders) etc.
- 3. Land restoration technologies.** This includes an understanding of the constraints and barriers to the adoption of specific technologies, such as agroforestry, conservation agriculture or erosion control mechanisms, as well as in the design of incentive mechanisms and restoration pathways, such as in the use of multi-cropping in plantation crops to improve ecosystem service outcomes as options for consideration in the development of climate smart projects and plans.
- 4. The Stakeholder Approach to Risk Informed and Evidence Based Decision Making (SHARED)** is a decision-making hub, specialising in the structure and implementation of evidence-based decision making for sustainable development outcomes developed by ICRAF. It pays close attention to a) socio-ecological systems; b) creating spaces for facilitated deliberation and interaction between stakeholders including governments, civil society and scientists; c) enhancing and coordinating cross-sectoral relationships; d) the process of knowledge creation and its strategic use and accessibility; e) developing capacity for integration and synthesis across knowledge domains; and f) bridging the experiential, behavioural and analytical aspects of decision making. It ensures the inter-relationship among social, environmental and economic dimensions is clearly taken into account within the complexity of decision-making.
- 5. Information and Innovation platforms:** Combining SHARED with the development of Dashboard tools in an “Options x Context” approach, stakeholders will be empowered to make good decisions for themselves and for the environment, thereby steering land management on to a sustainable “green” pathway. We will also consider

value-chain innovations here that are climate resilient. This will link to investments made in the accompanying Readiness proposal on computing infrastructure for the platform, from servers through to PDAs and software. Note that the platform will be executed in open source software thereby avoiding licencing issues and costs/

6. **LUMENS:** Was specifically developed to empower multi-stakeholder negotiations for planning sustainable landscapes that can support livelihoods and development while maintaining and restoring environmental services, especially in tropical countries. It is a framework based on a user-friendly, parsimonious and publicly available software. It supports inclusive, integrated and informed negotiations about land use. It is a spatially-explicit, semi-agent-based model that accommodates a broad range of scenarios that requires minimal input data, recognizing the scarcity of reliable data in developing countries. Used extensively in Indonesia, Peru and intended for adoption in 10 ASEAN countries, such a tool will give Sri Lanka a solid foundation for its partnership with the GCF as well as in the implementation of its own programs.

7. **Systems approaches to climate smart land management:** ICRAF's research, analysis and capacity building strengths will be placed at the disposal of MMDE and the NDA in delivering outputs and outcomes that are viewed as legitimate, equitable, salient, robust, and fully implementable to serve the national interest.

8. **Capacity strengthening and mobilization:** Throughout all the activities listed above and reflected in the deliverables and outputs is the underlying aim of building the capacity of the NDA and related Sri Lankan stakeholders in the use of methods and approaches not currently available in the country but also the mobilisation – through facilitation and other means – of undoubted capacities in the country that have not yet been connected effectively.

4.3. Disbursement schedule

Specify the proposed schedule for requesting disbursements from the GCF, including amounts and periodicity. For amounts requested, keep to multiples of USD 5,000, and for periodicity, specify whether it's quarterly, bi-annually or annually only.

Disbursement will proceed as follows:

- **1st Tranche: USD 735,720 (Seven hundred thirty-five thousand seven hundred twenty US Dollars)** only will be disbursed upon or after effectiveness of the Grant Agreement and also upon fulfilment of the disbursement conditions specified in the Grant Agreement and Standard Conditions.
- **Final Tranche: USD 183,929 (One hundred eighty-three thousand nine hundred twenty-nine US Dollars)** only, will be transferred upon submission of a project completion report and final Audit Report. Submission of a completion and audit report will be furnished no later than three (3) months after the completion of the Readiness Support and also upon fulfilment of the disbursement conditions specified in the Grant Agreement and Standard Conditions.

4.4. Additional information

This box provides an opportunity to include further explanations related to the budget, procurement plan and disbursement schedule, including any details on the assumptions to justify costs presented in the budget.

RISKS

Risk of changes in government appointments and therefore change in NDA mid-project was envisaged as the only risk for the project with potential supervisory and coordination impacts. Hence, the decision to mitigate the same with a Project Steering Committee composed of NDA and other government positions.

REPORTING

As DP, ICRAF will report directly to the PSC and work under the supervision of the NDA. The NDA will review draft reports prior to submission to the GCF.

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.

ICRAF will manage the funds for the activities under this readiness agreement. ICRAF will agree on a plan with Ministry of Mahaweli Development and Environment of the Govt. of Sri Lanka to monitor the implementation of the activities using the grant proceeds. However, ICRAF will be responsible for the implementation of the activities under this readiness and preparatory support proposal.

As the DP for this project, ICRAF will oversee the implementation and evaluation of the project in coordination with the Project Steering Committee (PSC) and the national Project Manager (PM), including M&E reports, a Mid-term Review and a Terminal Evaluation. The DP will report to the PSC and works under the supervision of the NDA. The NDA will review reports and deliverables. Reporting to the GCF is the responsibility of the DP.

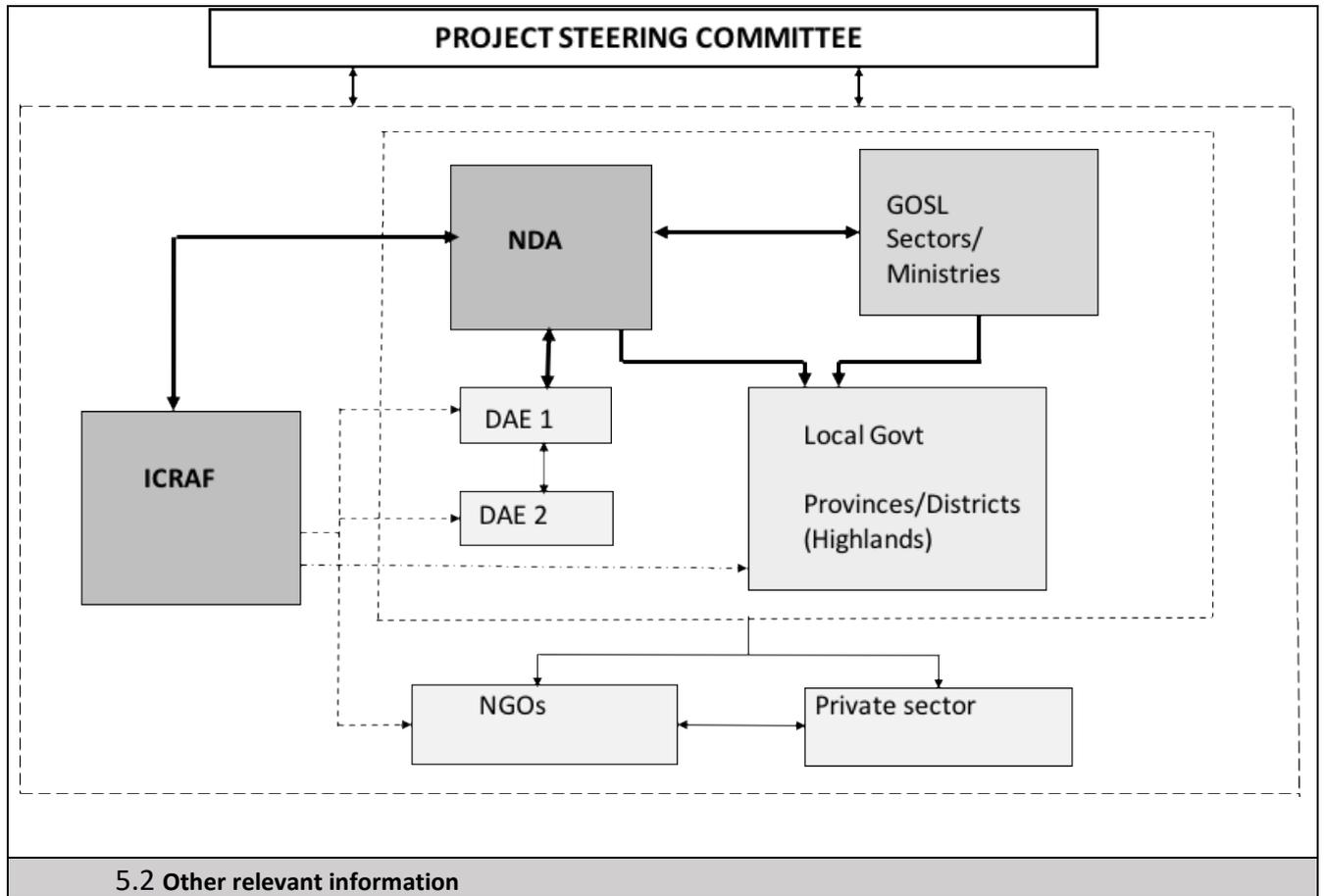
The central premise of this Readiness proposal is that it aims at the mobilization of capacities, rather than the creation of new capacities. Thus the intention will be to work within existing institutional arrangements as far as possible, aligning them more clearly to the mandate and remit of a strengthened NDA and mobilizing and updating existing capacities and technologies through more recent and more effective ones. The committees will draw from and build on existing committees. Projects developed as a result of this Readiness will include design elements intended to ensure flow of information, if not other resources to the NDA and the other institutional platforms strengthened as a result of the Readiness. Maintenance of databases and their integrity will be an explicit feature of such project planning, so that databases are accessible even to the extent they are distributed and maintained by competent and mandated agencies. Sustainability planning will therefore be central to this Readiness.

An ICRAF Senior Staff member will be responsible for project supervision to ensure consistency with GCF and ICRAF policies and procedures. The functions of the PM will include the following: a) participation in the Annual Project Steering Committee (PSC) meetings; b) facilitation of the mid-term and final evaluations; c) the clearance of Progress Reports and d) the technical review of project deliverables.

Further, the Ministry of Mahaweli Development and Environment (MMDE) as NDA has indicated that the Climate Change Secretariat (CCS), in coordination with ICRAF, will execute project activities which will ensure effective and efficient use of resources. The FMCA has been completed and has been delivered to GCF with all relevant supporting documents.

Most international consultants are going to be ICRAF staff for two important reasons – economic and technical, Economic: The specialized expertise required to deliver the outputs listed in the Readiness proposal is difficult to find, thus resulting in time delays in recruitment with high costs for the skillsets involved. Technical: More importantly, the central reason that the Govt of Sri Lanka requested the services of ICRAF as a delivery partner was the attraction of the transfer of ICRAF’s tested, cutting edge technologies to the NDA and MMDE. This was the outcome of site visits to ICRAF’s laboratories at its headquarters in Nairobi and interactions with senior scientists involved in developing the technologies to be transferred (LDSF, SHARED, LUMENS, Decision Dashboards etc.), many of whom have agreed to act as the ‘international consultants’ concerned. In a sense, this is a lab to land transfer via testing and evidence based results in third countries. The training imparted by ICRAF staff to national consultants and others is therefore a central element of the transfer of technology strategy at the heart of this Readiness.

The figure below summarizes the relationships between institutions.



It is to be noted that there is annual provision to carry out an audit. The scope of the audit will primarily cover issues related to the compliance of procurement policy, rules and procedure. A ToR will be developed by ICRAF in close consultation with the Climate Change Secretariat for the audit. The Climate Change Secretariat will hire an independent audit firm in close consultation with ICRAF to carry out this annual audit.

In terms of sustainability, ICRAF will work with local Sri Lankan consultants as part of its staff delivering on the project, hence expertise will largely stay in Sri Lanka as a result. It is hoped that built in trainings that will be jointly done with Ministry experts and civil society resources persons and possibly resource persons from the nominated DAEs will help ensure that there is co-learning and that knowledge and skills transfer is achieved and resulting in capacity to move this forward within country.

Outcomes/ outputs	M	M	M	M	M	M	M	M	M	M	M	M
	1	2	3	4	5	6	7	8	9	10	11	12
1.1 NDA/focal point lead effective coordination mechanism	■	■										
1.2 No objection procedure established and implemented		■	■									
1.3. Bilateral agreements between the country and the GCF executed			■	■								
1.4 Monitoring, oversight and streamlining of climate finance					■	■						
2.1 Stakeholders engaged in consultative processes			■	■	■	■	■					
2.2 Country programmes developed including climate smart green growth strategies			■	■	■	■	■					
2.3 Stakeholder consultations conducted						■	■	■				
2.4 Annual participatory review of GCF portfolio in the country organized						■	■	■				
3.1 Nominated DAE readiness capacity strengthened			■	■	■	■	■					
4.1 Country programme/Concept note development, capacity strengthened								■	■			
4.2 Project preparation support, including for adaptation projects/projects programmes										■	■	■

5.1 Budget Plan

Please add rows for Outcomes, Outputs and Cost Categories as required. Additional budget categories may be added by manually typing them on the Budget Category sheet.

Outcomes		Detailed Budget (in US\$)					Disbursement Plan								
		Budget Categories <small>choose from the drop-down list</small>	Unit	# of Unit	Unit Cost	Total Budget <small>(per budget category)</small>	Total Budget <small>(per sub-outcome)</small>	Total Budget <small>(per outcome)</small>	6m	12m	18m	24m	30m	36m	
1. Country capacity strengthened	1.1 NDA/focal point lead effective coordination mechanism	ICRAF Staff Costs	W/Day	35	600.00	21,000.00	59,000.00	286,734.00	12,600.00	8,400.00					
		Consultant - Individual - Local	W/Day	45	400.00	18,000.00			10,800.00	7,200.00					
		Travel - International	Trip	3	1,667.00	5,001.00			2,500.50	2,500.50					
		Workshop/Training	Per Workshop	2	5,000.00	10,000.00			5,000.00	5,000.00					
		Office Supplies	Lumpsum	1	4,999.00	4,999.00			2,499.50	2,499.50					
	1.2 No objection procedure established and implemented	ICRAF Staff Costs	W/Day	20	600.00	12,000.00	60,334.00		7,200.00	4,800.00					
		Consultant - Individual - Local	W/Day	55	400.00	22,000.00			13,200.00	8,800.00					
		Travel - International	Trip	2	1,667.00	3,334.00			1,667.00	1,667.00					
		Travel - Local	Trip	2	2,000.00	4,000.00			2,000.00	2,000.00					
		Workshop/Training	Per Workshop	3	5,000.00	15,000.00			7,500.00	7,500.00					
	1.3. Bilateral agreements between the country and the GCF executed	Workshop/Training	Per Workshop	1	5,000.00	5,000.00	5,000.00		2,500.00	2,500.00					
		Office Supplies	Lumpsum	1	4,000.00	4,000.00			2,000.00	2,000.00					
	1.4 Monitoring, oversight and streamlining of climate finance	ICRAF Staff Costs	W/Day	46	600.00	27,600.00	162,400.00		16,560.00	11,040.00					
		Consultant - Individual - Local	W/Day	35	400.00	14,000.00			8,400.00	5,600.00					
		Travel - International	Trip	2	1,667.00	3,334.00			1,667.00	1,667.00					
		Workshop/Training	Per Workshop	3.5	5,000.00	17,500.00			8,750.00	8,750.00					
Multi-media, web-based, Information Dashboard, Platform and GCF portfolio database.		Lumpsum	1	99,966.00	99,966.00	49,983.00		49,983.00							
2. Stakeholders engaged in consultative processes	2.1 Stakeholders engaged in consultative processes	ICRAF Staff Costs	W/Day	15	600.00	9,000.00	40,465.00	175,100.00	5,400.00	3,600.00					
		Consultant - Individual - Local	W/Day	30	400.00	12,000.00			7,200.00	4,800.00					
		Travel - International	Trip	2	1,667.00	3,334.00			1,667.00	1,667.00					
		Travel - Local	Trip	1	2,000.00	2,000.00			1,000.00	1,000.00					
		Workshop/Training	Per Workshop	2	5,000.00	10,000.00			5,000.00	5,000.00					
	2.2 Country programmes developed including climate smart green growth strategies	Office Supplies	Lumpsum	1	4,131.00	4,131.00	2,065.50		2,065.50						
		Consultant - Individual - Local	W/Day	65	400.00	26,000.00	15,600.00		10,400.00						
		ICRAF Staff Costs	W/Day	45	600.00	27,000.00	16,200.00		10,800.00						
		Travel - International	Trip	5	1,667.00	8,335.00	4,167.50		4,167.50						
		Travel - Local	Trip	6	2,000.00	12,000.00	6,000.00		6,000.00						
	2.3 Stakeholder consultations conducted	Workshop/Training	Per Workshop	8.5	5,000.00	42,500.00	21,250.00		21,250.00						
		Office Supplies	Lumpsum	1	7,000.00	7,000.00	3,500.00		3,500.00						
	2.4 Annual participatory review of GCF portfolio in the country organized	Other	Lumpsum	0	-	-	-		-						
		Consultant - Individual - Local	W/Day	17	400.00	6,800.00	11,800.00		4,080.00	2,720.00					
		Workshop/Training	Per Workshop	1	5,000.00	5,000.00			2,500.00	2,500.00					
	3.1 Nominated DAE readiness capacity strengthened	Consultant - Individual - Local	W/Day	60	400.00	24,000.00			80,835.00	80,835.00	14,400.00	9,600.00			
ICRAF Staff Costs		W/Day	30	600.00	18,000.00	10,800.00	7,200.00								
Travel - International		Trip	5	1,667.00	8,335.00	4,167.50	4,167.50								
Travel - Local		Trip	4	2,000.00	8,000.00	4,000.00	4,000.00								
Office Supplies		Lumpsum	1	10,000.00	10,000.00	5,000.00	5,000.00								
Workshop/Training		Per Workshop	2.5	5,000.00	12,500.00	6,250.00	6,250.00								
Other		Lumpsum	0	-	-	-	-								
4.1 Country programme/Concept note development capacity strengthened		ICRAF Staff Costs	W/Day	117	600.00	70,200.00	149,368.00	247,036.00			42,120.00	28,080.00			
	Consultant - Individual - Local	W/Day	55	400.00	22,000.00	13,200.00			8,800.00						
	Workshop/Training	Per Workshop	7.5	5,000.00	37,500.00	18,750.00			18,750.00						
	Travel - International	Trip	4	1,667.00	6,668.00	3,334.00			3,334.00						
	Travel - Local	Trip	5	2,000.00	10,000.00	5,000.00			5,000.00						
	Office Supplies	Lumpsum	1	3,000.00	3,000.00	1,500.00			1,500.00						
	Other	Lumpsum	0	-	-	-			-						
	4.2 Project preparation support, including for adaptation projects/projects programmes	ICRAF Staff Costs	W/Day	65	600.00	39,000.00			97,668.00		23,400.00	15,600.00			
		Consultant - Individual - Local	W/Day	42.5	400.00	17,000.00					10,200.00	6,800.00			
		Travel - International	Trip	4	1,667.00	6,668.00				3,334.00	3,334.00				
Travel - Local		Trip	5	2,000.00	10,000.00	5,000.00	5,000.00								
Workshop/Training		Per Workshop	5	5,000.00	25,000.00	12,500.00	12,500.00								
Total Outcome Budget									789,705.00	433,412.50	356,292.50				
Project Management Cost (PMC) <small>Up to 7.5% of Total Activity Budget</small>	Consultant - Individual - Local	Months	12	1,500.00	18,000.00	50,000.00	Percentage of PMC requested: 6.3%								
	Audit Fee	Lumpsum	1	2,000.00	2,000.00										
	Project assistants	Months	12	750.00	9,000.00										
	Office Supplies	Lumpsum	1	9,000.00	9,000.00										
	Travel - Local	Trip	6	2,000.00	12,000.00										
	Other	Lumpsum	0	-	-										

FOR GREEN CLIMATE FUND SECRETARIAT'S USE ONLY

Breakdown (per budget category)	Total (per budget category)
Audio Visual & Printing	-
Audit Fee	2,000.00
Consultant - Individual - International	-
Consultant - Individual - Local	179,800.00
Professional Services - Companies/Firm	-
IT Equipment	-
Office Supplies	42,130.00
Travel - International	45,009.00
Travel - Local	58,000.00
Workshop/Training	180,000.00
Other	-
Multi-media, web-based, Information Dashboard, Platform and GCF portfolio database.	99,966.00
Project assistants	9,000.00
ICRAF Staff Costs	223,800.00
Total Outcome Budget + PMC	839,705.00

FOR GREEN CLIMATE FUND SECRETARIAT'S USE ONLY

Total Outcome Budget		789,705.00
Project Management Cost (PMC)	6.3% requested	50,000.00
Contingency	1% requested	7,897.05
<hr/>		
Sub-Total (Total Outcome Budget + Contingency + PMC)		847,602.05
Delivery Partner Fee (DP) - Up to 8.5% of the Sub-Total		72,046.17
<hr/>		
Total Project Budget (Total Activity Budget + Contingency + PMC + DP)		\$ 919,649.00

5.2 Procurement Plan

For goods, services, and consultancies to be procured, please list the items, descriptions in relation to the activities in Section 3, 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 and provide a full procurement plan for the entire duration of the implementation period if available at this stage.

Item	Item Description	Estimated Cost (US\$)	Procurement Method	Thresholds (Min-Max monetary value for which indicated procurement method must be used)	Estimated Start Date	Projected Contracting Date
Goods and Non-Consulting Services						
Travel	International travel: ICRAF experts will travel from ICRAF offices in their home bases in Nairobi, Bogor and Delhi. Each flight is a low value procurement. All flights in economy class	51,677.00	Low value procurements	Less than 10,000 USD	3-Jul-2019	3-Jul-2019
Travel	Local travel: Workshops. An estimated 30-60 participants are expected to travel to workshops from home bases in Colombo, Kandy and elsewhere. The number of participants differs on the type of workshop though it always is between 30 to 60 max.	10,000.00	Low value procurement	Less than 10,000 USD	7-Jul-2019	1-Jul-2019
Travel	Local travel: Missions for consultations, surveys, baselines etc.	69,000.00	Low value procurement	Less than 10,000 USD	3-Aug-2019	3-Aug-2019
Office supplies	Office materials i.e. stationary, etc.	42,130.00	Low value procurement	Less than 10,000 USD	3-Jul-2019	3-Jul-2019
Sub-Total (US\$)		\$ 172,807.00				
Consultancy Services						
National experts	National experts : These are nationals of Sri Lanka working with ICRAF experts on the project	187,600.00	Recruitment	All	3-Jul-2019	3-Jul-2019
Personnel/Consultant	National Coordinator	18,000	Recruitment	12 months	4-Jul-2019	4-Jul-2019
Personnel/Consultant	Auditor	2,000	Recruitment	All	4-Jun-2020	4-May-2020
Personnel/Consultant	Project Execution (PMU) (Two assistants)	18,000	Recruitment	12 months each	4-Jul-2019	1-Jul-2019
Multimedia and dashboard	Development of multimedia products and services such as information platform and information dashboard.	99,966.00	Open tender and low value procurement	All	4-Oct-2019	1-Oct-2019
Sub-Total (US\$)		\$ 325,566.00				

Position Name	Output -Deliverables Details	Outcome	Monthly Cost (2019)	Daily Rate	Estimated number of engagement days	Project Cost (USD)
Governance & Institutional Capacity	Lead Negotiations with GoSL; Constitution of Project Steering Committee	1.1, 1.2,2.2	25,456.68	850.00	16	13,600
Climate Smart Landscapes and Governance Specialist	Overall Coordination; Quality assurance; Review Committee established, Draft NDA operational Procedure, Draft NDA Operational Procedure Validated; no objection letter procedure established; training for no-objection letter procedure completed; evaluation committee established; EbA trainings at national level and reports on EbA Trainings; Reporting (Substantive)	1.1,1.2, 1.3, 1.4, 2.1,2.2, 2.4, 3.1, 4,2,	16,858.34	766.29	42	32,184
Climate Smart Landscapes and EBA Specialist	EbA trainings at national level and reports on EbA Trainings	1.4,2.1, 2.2,2.4, 3.1, 4,2,	12,248.99	556.77	42	23,384
Climate Scientist	National Level cross-sectoral programming meetings; 1 Exchange visit to a foreign country; Review and update of country portfolios;		7,040.82	320.04	22	7,041
Capacity Building Specialist	Support to all training in the project; Institutional capacity Assessment Reports for 2 nominated DAEs; accreditation plans for two DAEs; Capacity and Exchange workshops;	1.1,1.2, 1.3, 2.1, 2.4, 3.1, 4,2,	14,338.29	651.74	36	23,463
SHARED- Stakeholder & Policy	Stakeholder analysis and mapping; stakeholder engagement strategy and framework developed and validated; Prepare, Train and Carry out SHARED workshops;	2.1, 2.3	16,048.23	729.47	31	22,613
SHARED- Stakeholder & Policy	International	2.1, 2.3	7,454.19	338.83	32	10,842
LDSF- Geospatial Tools	LDSF Training and Reporting in the highlands; Guidelines for using tools for developing baselines and climate sensitive planning; Synthesis report on existing information relevant for country strategy management in the highlands.	4.1	17,275.42	785.25	20	15,787
LDSF- Geospatial Tools	LDSF Training and Reporting in the highlands; Guidelines for using tools for developing baselines and climate sensitive planning; Synthesis report on existing information relevant for country strategy management in the highlands.	4.1	11,135.44	506.16	20	10,123
Knowledge Management and Data Specialists	1 Multi-media library established at NDA;1 Multi-media library established at NDA; 1 dashboard and data / information platform; report on design specifications of information management system; 1 training workshop on M&E and dashboard; support hardware and software procurement for dashboard;	1.3	16,681.50	758.25	22	16,682
Knowledge Management and Data Specialists	1 Multi-media library established at NDA;1 Multi-media library established at NDA; 1 dashboard and data / information platform; report on design specifications of information management system; 1 training workshop on M&E and dashboard; support hardware and software procurement for dashboard;	1.3	16,398.09	745.37	22	16,398
LUMENS- Green Growth Planning Model Specialist	Develop a climate smart / green growth strategy for Highlands; scenario modelling; strategy development workshop; strategy writeshop; strategy validation	2.3	9,185.20	417.51	22	9,185
LUMENS- Green Growth Planning Model Spatial Analyst	Develop a climate smart / green growth strategy for Highlands; scenario modelling; strategy development workshop; strategy writeshop; strategy validation	2.3	2,133.55	96.98	52	5,043
LUMENS-Green Growth Planning Economist	Develop a climate smart / green growth strategy for Highlands; scenario modelling; strategy development workshop; strategy writeshop; strategy validation	2.3	7,494.82	340.67	25	8,517
LUMENS-Green Growth Planning Institutional and ES specialist	Develop a climate smart / green growth strategy for Highlands; scenario modelling; strategy development workshop; strategy writeshop; strategy validation	2.3	8,371.63	401.72	22	8,838