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# GCF guidebook

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## **Accessing the GCF Readiness and Preparatory Support Programme**

An introduction and how-to guide

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**GREEN  
CLIMATE  
FUND**

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*The purpose of this guidebook is to provide NDAs and focal points with information on how to access funding under the GCF Readiness and Preparatory Support Programme. It should be used to assist in the completion of the [Readiness and Preparatory Support Proposal template](#).*

## 1. Essential terms

**Accredited Entities (AEs):** Institutions or organizations accredited to the Green Climate Fund (GCF) to carry out a range of activities including developing and submitting funding proposals and overseeing the management and implementation of projects and programmes.

**Adaptation Planning:** The identification of adaptation priorities and development of strategies and programmes to address these priorities in a continuous, dynamic and iterative process. GCF support for adaptation planning processes may have a national, sub-national and/or sectoral focus, and could contribute to an integrated national vision for climate resilience.

**Country Programme:** A GCF Country Programme is a living document that presents a country's climate change priorities with the GCF, including a pipeline of projects that the country would like to develop with the Fund. It provides an action plan that details how projects and programmes are to be developed, the type of entity to partner with, and the readiness and project preparation support needs required.

**Delivery Partners:** Institutions selected by the National Designated Authority (NDA) or focal point to implement activities approved under the Readiness and Preparatory Support Programme. Delivery partners provide services such as: development of readiness request proposals; implementation and supervision; fiduciary management; progress reporting; and project completion and evaluation. Delivery partners may be AEs or other institutions assessed to meet the financial management capacities requirements of the Fund.

**Direct Access Entities:** Institutions that apply for accreditation through the direct access modality. They are regional, national and sub-national institutions that are required to provide evidence of a nomination from a NDA or focal point with their application documents. Entities that are accredited under the direct access modality, or wish to be accredited, may be eligible to receive support under the Readiness Programme at the request of its NDA or focal point.

**Environmental and Social Safeguards (ESS):** A set of criteria that aims to address key environmental and social risks in the implementation of activities to be funded by GCF. The Fund has adopted [interim ESS](#) while it develops a comprehensive environmental and social management system (ESMS).

**Fiduciary Standards:** Refers to the basic and specialized fiduciary requirements of the GCF that accredited entities and readiness partners need to comply with depending on the nature of the activities funded by the GCF. The Fund's initial fiduciary standards are set out in [Annex II of GCF/B.07/11](#).

**Gender Policy:** The Fund's Gender policy aims to ensure the GCF will efficiently contribute to gender equality and will, in turn, achieve greater and more sustainable climate change results. The gender policy is applied to all the Fund's activities, whether implemented by international, regional, national or subnational, public or private entities or institutions that access GCF's resources.

**National Adaptation Plan (NAP):** The United Nations Framework Convention on Climate Change (UNFCCC) established the national adaptation plan (NAP) process to facilitate adaptation planning in least developed countries (LDCs) and other developing countries.

**National Designated Authorities or focal points:** NDAs are government institutions that serve as the interface between each country and the Fund. They provide broad strategic oversight of the GCF's activities in the country and communicate the country's priorities for financing low-emission and climate-resilient development. Further information on guidelines for NDAs or focal points is available in [Annex XIII of GCF/B.08/45](#). A directory of NDAs is available on the [GCF website](#).

## 2. The GCF Readiness and Preparatory Support Programme

The Readiness and Preparatory Support Programme (the Readiness Programme) is a funding programme to enhance country ownership and access to the Fund. The Programme provides resources for strengthening the institutional capacities of NDAs or focal points and direct access entities to efficiently engage with the Fund. Resources may be provided in the form of grants or technical assistance.

All developing countries can access the Readiness Programme, and the Fund aims for a floor of 50 per cent of the readiness support allocation to particularly vulnerable countries, including least developed countries (LDCs), small island developing States (SIDS), and African States.

The Readiness Programme provides:

- **Up to USD 1 million per country per year.** Of this amount, NDAs or focal points may request up to **USD 300 000 per year** to help establish or strengthen a NDA or focal point to deliver on the Fund's requirements. For an overview of eligible costs, consult Annex II.
- **Up to USD 3 million per country** for the formulation of adaptation plans.

It is important to note that within these specific funding caps, countries may submit multiple proposals over multiple years, to best meet the needs of the country over time. Multiple proposals may be implemented by direct access accredited entities, international accredited entities and/or delivery partners, to best address comparative areas of expertise and opportunities. This applies to all readiness activities, including adaptation planning.

## 3. Requesting support under the Readiness Programme: Process overview

This section provides a step-by-step overview of the process to access the Readiness Programme.

### 1. Submit a Readiness proposal

- The [readiness template](#) should be completed by the NDA or focal point with support from their delivery partner where relevant.
- The completed template should be submitted to [countries@gcfund.org](mailto:countries@gcfund.org).
- The [Financial Management Capacity Assessment](#) (FMCA) questionnaire should be completed by entities not accredited to the GCF.



### 2. Review of the Readiness proposal

- The GCF Secretariat reviews the request, planned activities, and the proposed budget. It also reviews the FMCA where applicable.
- In the process of its review, the GCF Secretariat may request the NDA or focal point to provide additional information, and may also propose revisions.
- The final proposal is submitted by the NDA or focal point to the GCF Secretariat.



### 3. Legal arrangements and first disbursement

- Following approval, legal arrangements are concluded in the form of a [grant agreement](#) with the grant recipient which include and incorporate the [Standard Conditions](#).
- To make the grant agreement effective, a [legal opinion](#) on the agreement needs to be communicated to the GCF Secretariat. The grant recipient must also submit a [Letter of Authorization](#) to confirm that authorized/designated officers may submit [requests for disbursements](#) under the grant agreement. Such a letter must be accompanied with evidence to verify the signatures of the officers (for example, copy of passport personal information page).
- Alternatively, approved proposals may also be covered under executed Readiness Framework Agreements with delivery partners.
- The GCF Secretariat will notify the NDA or focal point and the grant recipient (if not the NDA or focal point) on the effectiveness of the legal arrangements. This date will generally be at the start of the relevant quarter, i.e. 1 January, 1 April, 1 July, or 1 October.
- When the legal arrangements come into force and effect, the GCF Secretariat releases the first tranche of funding. Readiness resources are received to the bank account of the signing party of the grant agreement.



### 4. Implementation, monitoring and reporting

- Readiness activities are implemented in line with the specifications of the agreed work plan (including deliverables and timeline) and budget.
- A financial management system should be maintained, with separate accounts (i.e. bank account or ledger) and records for readiness support.
- The grant recipient reports to GCF, on an agreed schedule, against the work plan, budget, and agreed targets; and proposes potential revisions or adaptations, as required, to future implementation plans.
- Financial statements should be prepared in accordance with consistently applied accounting standards, audited on an annual basis by reputable independent auditors, and furnished to the GCF Secretariat in accordance with the reporting requirements set in the grant agreement.
- Reports submitted to the GCF Secretariat will be disclosed on the GCF website in accordance with the GCF interim disclosure policy.



### 5. Completion and grant closure

- Towards the end of the readiness grant implementation period, the GCF Secretariat and the grant recipient take stock of achievements and progress, and agree on next steps.
- When relevant, GCF proceeds to close the readiness grant.

*Note: Additional information on monitoring and reporting, and completion and grant closure will be developed and provided in a revised version of this guidebook.*

#### 4. Completing the Readiness support proposal: Additional information and tips

##### **Environment and Social Safeguards and Gender Policy**

The resources of the GCF must be managed in line with the Fund's [Environmental and Social Safeguards](#) and its [Gender Policy](#). Information contained within these two documents are to be consulted when completing the Readiness and Preparatory Support proposal template.

This section provides information on completing the Readiness support proposal template.

#### **SECTION 2: LOGICAL FRAMEWORK**

Requests for GCF Readiness and Adaptation Planning support should closely match needs and gaps identified through relevant national documents. To help countries prioritize needs and focus on the most strategic areas of development, a logical framework has been developed and is included in the GCF Readiness and Preparatory Support Proposal template. This logical framework is an opportunity for NDAs and their partners to reflect on their level of readiness, gaps, and priorities for the future.

This logical framework includes:

- **Outcomes:** Refers to key results to be achieved to be able to access GCF finance, deliver and implement GCF projects and programmes, as well as monitor, report and verify finance flows. Please select relevant outcomes from **Annex III** of the guidebook for GCF Readiness or from **Annex IV** for Adaptation Planning.
- **Baseline:** The country's current capacities in regard to achieving the chosen outcomes. Please refer to **Annex III** for GCF Readiness baselines. For Adaptation Planning proposals, this section may be left blank until further notice.
- **Targets:** Progress that the country intends to make with the support that will be provided. Please refer to **Annex III** for GCF Readiness targets. For Adaptation Planning proposals, this section may be left blank until further notice.
- **Activities:** Specific activities to be undertaken to achieve the outcomes. **Annex I** of this guidebook provides an indicative list of activities. Additional activities can be proposed as specifically relevant to adaptation planning.
- **Deliverables:** Indicate at least one specific deliverable output for each activity (e.g. technical assessment, recommendations, workshop report, etc.), and the month (in number format) in which it will be delivered to GCF, e.g. Develop operational guidelines/manuals for the functioning of the NDA, including a procedure to establish an effective coordination mechanism. Deliverable: Manual for NDA operations. Completed two months after first disbursement.

#### **SECTION 3: ADDITIONAL INFORMATION**

This section provides an opportunity for additional information to be included in the proposal template to describe the context, need and opportunity (*max 500 words*).

As part of this additional information, please describe the baseline of other relevant Readiness and/or Adaptation Planning support to be provided by the GCF and/or other institutions, if applicable, including the scope and complementarity of each with the GCF activities requested in this proposal. Please attach the relevant documents.

NDAAs or focal points may also wish to include further information on the country's baseline situation regarding GCF Readiness and/or Adaptation Planning support, as well as how the support will help the country deliver the proposed outcomes.

For proposals focused on Adaptation Planning, please provide additional specific information on how the activities will:

- a) Address vulnerability and anticipated impacts of climate change, in time, through improved planning
- b) Complement other adaptation planning activities that are completed, underway, or foreseen, including:
  - NAPAs, NAPs, and/or other national adaptation plans;
  - relevant sub-national adaptation plans; and/or
  - relevant sector-specific adaptation plans.
- c) Integrate adaptation planning activities with other relevant national, sub-national and sector-specific planning
- d) Enable inclusive gender responsive stakeholder engagement mechanisms and inter-institutional arrangements across relevant levels of government and sectors, including with women-lead groups, indigenous peoples' organizations, minority communities, and private sector actors
- e) Contribute to:
  - reduce vulnerability to impacts of climate change, including by building adaptive capacity and resilience; and
  - facilitate the integration of climate change adaptation, in a coherent manner, into relevant new and existing policies, programmes and activities, in particular development planning processes and strategies, within all relevant sectors and at different levels, as appropriate.<sup>1</sup>

The GCF recognizes that countries have and are undertaking approaches to national adaptation planning.

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

##### *Sub-section 4.1 – Budget Plan*

- “Outcomes” and “Activities” should be the same as in section 2 of the template.
- “Total costs” must be provided for each activity, and broken down by the “cost categories” provided in the template, i.e. Consultants, Travel, Workings/Trainings, Others. Please provide sufficient breakdown of costs to effectively evaluate the value for money, with particular detail for activities valued over USD 50,000.
- “Expenditure and Implementation Schedule”: “m” refers to months. For “6m”, this is the initial period that encompasses the start date of activities as per the readiness grant agreement. Additional months may be added in multiples of 6 months. If the activity is beyond 24 months, add additional columns.

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<sup>1</sup> Agreed COP objectives of the national adaptation plan process (Decision 5/Cp.17, paragraph 1).



- In addition to the cost per activity, amounts may be included for:
  - Contingency: Up to 5 per cent of total operation costs;
  - Delivery Partner fee: Up to 10 per cent of total operation costs;<sup>2</sup> and
  - Project management costs (PMCs) (*interim guidance effective 4 May 2017*): These costs are provided to accredited entities or delivery partners to pass through to other entities executing a Readiness or PPF grant:
    - PMCs are capped based on the following two thresholds:
      - For grants less than USD 2 million – PMCs up to 10 per cent; and
      - For grants greater than USD 2 million – PMCs up to 5 per cent
    - As a baseline, accredited entities and delivery partners should refrain from charging PMCs, as an administrative fee is already provided to them. However, should countries request execution services from an accredited entity or delivery partner, justifiable PMCs will be considered on a case-by-case basis.
    - PMCs should include the cost of preparing externally audited expenditure statements; and
    - PMCs should be disaggregated by their constituent parts and justified accordingly.

#### *Sub-section 4.2 – Procurement Plan*

- The section on the procurement plan must be completed in accordance with the procurement policies and procedures of the entity implementing the readiness project. It may cover the full amount requested or at least for the first tranche of disbursement to be requested. Where the procurement plan only covers the first tranche of disbursement, a procurement plan for the remaining disbursement must be submitted along with the disbursement request for subsequent tranches.

### **SECTION 5: IMPLEMENTATION ARRANGEMENTS AND OTHER INFORMATION**

- An “*Implementation map*” aims to provide an at-a-glance overview of the key actors in the implementation of the readiness grant to enhance transparency as well as accountability. It offers a visual representation or diagram that maps the entities involved in the project, the legal relationships between them, and the flow of funds/information within the project.
- The implementation map should clearly articulate the division of labour between the grant recipient, the delivery partner and other actors that may be involved in the implementation of readiness support. It should also identify any risks or mitigation measures to be introduced during implementation.
- A clear set of milestones should be provided for at least the first 6 months of the implementation period, to enable effective monitoring of the readiness grant.

#### **5. Feedback and learning**

An important aspect of the GCF Readiness Programme is receiving feedback from NDAs or focal points, accredited entities, and delivery partners to improve the support provided. Comments can be sent to [countries@gcfund.org](mailto:countries@gcfund.org).

<sup>2</sup> Please refer to [B.11/25 Annex III Paragraph 4](#) (page 75).

This guidebook is a living document and will be updated to reflect feedback, learning gained, as well as policy and operational changes. Key resources mentioned in this guidebook include:

- [Readiness and Preparatory Support Proposal template \(including adaptation planning\)](#)
- [Financial Management Capacity Assessment \(FMCA\) questionnaire](#)
- Progress Update and Disbursement Request template (*forthcoming*)

For more information about getting accredited to GCF, visit:

<http://www.greenclimate.fund/gcf101/getting-accredited/accreditation-process>

<b>Annex I: Indicative list of activities that can be supported by the Readiness and Preparatory Support Programme</b>
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Please note that these are indicative examples of activities for consideration. Countries are encouraged to formulate their activities based on their specific needs and as consistent with the objective of the GCF Readiness Programme. This list will be expanded and refined over time, based on learning and experience captured.

**Establishing and strengthening national designated authorities or focal points**

- Enabling national designated authority (NDA) coordination mechanisms with accredited entities to identify and prioritize national priorities for country programming;
- Strengthening institutional capacities so that the NDA or focal point can effectively fulfill its role;
- Developing national arrangements for promotion, consideration and facilitation of funding proposals;
- Funding for training of NDA or focal point staff members in areas relevant to the objectives of the GCF such as project and programme development, international procurement, accounting, oversight, planning and monitoring and evaluation processes;
- Supporting the ongoing engagement of stakeholders at national and subnational levels, including government, civil society and private sector actors;
- Engaging in and holding dialogues with existing and prospective accredited entities;
- Extracting lessons learned from other countries (including through exchange visits, workshops, etc.);
- Supporting the appropriate oversight of GCF activities at the national level; and
- Developing and disseminating informational and awareness-raising materials.

**Strategic frameworks, including the preparation of country programmes**

- Developing a country programme that identifies strategic priorities for engagement with the GCF, disseminating information and engaging stakeholders in the country programme;
- Identifying strategic investment priorities and taking stock of existing strategies, policies, and needs assessments, including intended nationally determined contributions, low-emission development strategies, nationally appropriate mitigation actions, national adaptation plans, and national adaptation programmes of action;
- Identifying programmes and projects that advance national priorities and align with the results management framework of the GCF, including support for ensuring an appropriate enabling environment for projects or programmes;
- Developing tools, methods and templates to scale up successful models through programmatic approaches and across geographies;
- In the context of country programmes, formulating concept notes, drawing on intended nationally determined contributions and other climate strategies and plans;
- Activities that would crowd in private and capital market financing for the implementation of country programmes; including providing institutional support to enhance the efficiency of the procurement and tendering processes; and
- Enabling private sector participation, including by supporting the preparation of preliminary studies, tender documents or advisory services for the establishment of public-private partnerships.

**Support for accreditation and accredited direct access entities**

- Raising awareness of the GCF accreditation process, fiduciary standards and environmental and social safeguards (ESS);
- Understanding the roles of existing institutions and identifying potential accredited entities;
- Conducting an institutional gap analysis of potential applicants against the fiduciary standards and ESS;
- Developing and implementing a personalized readiness and preparatory support plan that will support applicant institutions to address identified gaps to comply with the fiduciary standards and ESS (may include the development of new policies and procedures);

- Enabling lesson-learning from other institutions that have been through similar accreditation processes; and
- 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.

**Formulation of national adaptation plans and/or other adaptation planning processes**

Countries are encouraged to indicate specific activities of direct relevance to adaptation planning, based on national context.

**Annex II: Eligible costs to help establish a NDA or focal point and deliver on the Fund's requirements<sup>3</sup>****1.1 Parameters for NDA or focal point funding**

- (a) In recognition of their important role in strengthening country ownership and alignment with national priorities, NDAs or focal points may request direct support by the Fund of up to USD 300,000 to cover eligible costs for a one-year period;
- (b) Funding requests may be submitted year-round without an application deadline;
- (c) NDAs or focal points must commit to using Green Climate Fund readiness support solely for the purpose described in the funding request and in accordance with the approved budget; and
- (d) NDAs or focal points applying for funding must submit the following documents to the Secretariat:
  - (i) An online funding request form which includes:
    - A detailed one-year budget outlining the NDA or focal point activities to be supported; and
    - A performance framework including targets and milestones that describes how the proposed activities will contribute to strengthening the institutional capacity of the NDA or focal point and in-country coordination and consultation processes.
  - (ii) One month after completion of year 1 of the funding period, the NDAs or focal points must submit a progress update describing (1) results achieved against intended targets; (2) expenditures incurred (broken down by cost category and performance area) including an analysis of any variance between budgeted and actual expenditures.

**1.2 Eligible Costs for direct NDA or focal point funding**

- (a) Eligible costs include the following items
  - (i) Human resources development: Funding for human resources development will include cost for training NDA or focal point staff members in areas relevant to the objectives of the Fund such as project and programme development, international procurement, accounting, oversight, planning and monitoring and evaluation processes. This may include short-term or provisional assignments for external contractors to support NDAs or focal points in exercising their functions outlined in decision B.04/05 (e).
  - (ii) Technical assistance: Technical Assistance can be used for costs directly related to technical or management assistance to support core NDA or focal point functions including development of strategic priorities for engagement with the Fund, programme and project oversight and alignment with other national bodies' stakeholder engagement (such as civil society, academia and the private sector), dialogues with implementing entities and intermediaries.
  - (iii) Planning and administration: This category includes the following costs:

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<sup>3</sup> Based on GCF Board document "GCF/B.08/11", c.f. Annex XVIII, and reflecting amendments as outlined in Decision B.12/32.

- Organization of inter-ministerial coordination processes for GCF-related activities, including to assess consistency with national plans, as per decision B.04/05 (e);
- Travel-related costs for members or invited experts to attend NDA or focal point meetings; and
- Necessary information technology or other technical infrastructure.

Limitations: A maximum of three inter-ministerial meetings per year should be budgeted.

(iv) Other meeting expenses, training, workshops, consultations: This category includes:

- Training and workshop organization and facilitation; and
- Consultations with non-governmental constituencies only (e.g. civil society, academia and the private sector) and processes to promote and improve the quality of stakeholder participation, including travel costs and per diems for civil society participation.

Limitations: An annual cap of USD 100,000 for stakeholder meetings

(v) Communication materials: This category includes: printing, communication and IT costs associated with functions related to performing functions mentioned in decision B.04/05 (e).

### **1.3 Screening and review process**

(a) In reviewing a request for direct NDA or focal point funding, the Secretariat will verify that the costs to be supported are eligible, reasonable and consistent with national operating costs. Applicants may be contacted by the Secretariat for clarifications; and

(b) Funds will be approved for disbursement upon the submission of accurate and verifiable information provided by the NDA or focal point and upon signing of the NDA or focal point funding agreement by all parties.

### **1.4 4 Financial review and audit**

(a) The NDA or focal point is requested to include in its proposal the arrangements for receipt and accounting of the funds in a transparent manner. The Secretariat and the NDA or focal point will consult to identify a suitable disbursement arrangement that:

- (i) Is accountable, transparent and verifiable; and
- (ii) Facilitates access to NDA or focal point funding.

(b) The Fund reserves the right to conduct an external/independent financial review, audit or evaluation or to take any other action that it deems necessary to ensure accountability in the use of funds.

<b>Annex III: Readiness Logical Framework Methodology<sup>4</sup> (Outcomes, Sub-Outcomes, Baseline, Targets)</b>
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<b>1</b>	<b>Country capacity strengthened</b>	
1.1	<b>Effective coordination mechanism</b>	
	NDA does not have an established coordination mechanism	0
	NDA is in the process of establishing a coordination mechanism, meetings are conducted, however not regularly	1
	NDA/focal point leads an effective coordination mechanism, allowing for an overview of all operational sectors and meets regularly	2
1.2	<b>No objection procedure</b>	
	No objection procedure is not established	0
	Some elements of the no objection procedure exist, however, it has not been fully implemented (e.g. not translated/disseminated into local languages)	1
	No objection procedure established, disseminated in local languages and implemented	2
1.3	<b>Bilateral agreements on privileges and immunities</b>	
	Discussions on the bilateral agreements have not been advanced	0
	Discussion on the bilateral agreements have been advanced and the execution is envisaged	1
	Bilateral agreements between the country and the GCF signed and ratified	2
1.4	<b>Monitoring, oversight and streamline of climate finance flows</b>	
	Monitoring and oversight of climate finance flows is not established	0
	Some sources of internal and external climate finance is being monitored, however further oversight mechanism and streamlining of climate finance flows is required	1
	Monitoring, oversight systems for all sources of internal and external climate finance established, streamlined and operational	2
<b>2.</b>	<b>Stakeholders engaged</b>	
2.1	<b>Stakeholder engaged in consultative processes</b>	
	Stakeholders are not engaged in decision making processes	0
	Some stakeholders are being consulted on an ad-hoc basis, however a formal consultation process is not established	1
	Stakeholders engaged in consultative processes (governments, private sector, associations, civil society, academia and others)	2
2.2	<b>Country programmes, including adaptation priorities, developed and continuously updated</b>	
	No country programme developed	0
	Development of country programme has started, however consultation procedures not yet established	1
	Country programmes developed and continuously updated and progress assessed regularly in a consultative manner	2
2.3	<b>Gender considerations</b>	
	Gender considerations are not mainstreamed in stakeholder consultations processes	0
	Gender equality measures are considered in parts of stakeholder consultation processes	1
	Stakeholder consultations conducted with equal representation of women	2
2.4	<b>Annual participatory review</b>	
	No annual participatory review organized	0
	Processes for the annual participatory review are under development	1

<sup>4</sup> Based on GCF Board decisions B.08/10, annexes XII, XIII & XIV; B.08/11; B.11/10, annex I; B.12/20, annex I.

	Annual participatory review of GCF portfolio in the country organized with local stakeholders, including project affected-people and communities, and women and civil society	2
<b>3.</b>	<b>Direct access realized</b>	
<b>3.1</b>	<b>Direct access entities' nomination</b>	
	No direct access entities are nominated for accreditation	0
	Process for identifying the direct access entities started, however no entities have been nominated	1
	Candidate sub-national, national or regional entity/ies for accreditation identified and nominated for accreditation	2
<b>3.2</b>	<b>Accreditation of direct access entities</b>	
	Nominated direct access entity has not applied for accreditation	0
	Nominated direct access entity has submitted an application	1
	Nominated direct access entity's application for accreditation submitted to the GCF and approved	2
<b>3.3</b>	<b>Direct access entity's annual work programme</b>	
	No annual/multi-annual work programme developed by the accredited direct access entity	0
	Development of the annual/multi-annual work programme has been initiated, however not submitted to the GCF	1
	Entity/ies annual/multi-annual work programme developed describing projects, programmes and other activities, including capacity building needed, indicative costs, and fit for country and the GCF	2
<b>3.4</b>	<b>Enhanced direct access (EDA)</b>	
	No EDA funding proposals developed	0
	EDA funding proposals submitted	1
	EDA funding proposals approved	2
<b>4.</b>	<b>Access to finance</b>	
<b>4.1</b>	<b>Structured dialogue</b>	
	Consultations between the NDA/FP and the GCF Secretariat ongoing, however accredited entities operating in the country are not involved	0
	Separate ad-hoc dialogues existing between NDA/FP and some accredited entities	1
	Accredited entities operating in the country engaged in a structured dialogue with the NDA/FP and the GCF Secretariat along with other country stakeholders annually.	2
<b>4.2</b>	<b>Country programme/Concept note development, including on adaptation</b>	
	No country programme/concept notes developed or submitted to the GCF	0
	Country programme developed and submitted	1
	Concept notes developed and submitted	2
<b>4.3</b>	<b>Project preparation support, including for adaptation projects/projects programmes</b>	
	No project/programme preparation support is sought from the GCF	0
	Proposal for project preparation support, including project preparation facility, is submitted to GCF	1
	Project/programme preparation support to develop funding proposals approved	2
<b>4.4</b>	<b>Funding proposal development, including for adaptation projects/programmes</b>	
	No funding proposals are being developed	0
	Funding proposals aligned with the country priorities submitted to the GCF Secretariat	1
	Funding proposals are aligned with country priorities and approved	2



<b>5.</b>	<b>Private sector mobilization</b>	
<b>5.1</b>	<b>Private sector engagement</b>	
	No private sector engagement in the country	0
	Some private sector actors are engaged in consultative processes, however no structured dialogue established (e.g. some private sector events organized)	1
	Private sector engagement is systematically part of the country consultative processes and structured dialogues with the NDA/FP, accredited entities and the GCF Secretariat	2
<b>5.2</b>	<b>Crowding-in private sector investments</b>	
	No enabling environment exist for private sector investments	0
	Some private sector (e.g. only international) investments happening in the country, however no local private sector entities involved	1
	Enabling environment for crowding-in private sector finance at national, regional and international levels exists	2
<b>5.3</b>	<b>Funding proposals developed by the private sector, including adaptation projects/programmes</b>	
	No funding proposals developed by the private sector	0
	Funding proposals from the private sector submitted	1
	Funding proposals for private sector projects/programmes approved	2
<b>5.4</b>	<b>Private sector engagement in the GCF Private Sector Facility (PSF) call for proposals</b>	
	No private sector entities participating in the call for proposal by the PSF	0
	Some private sector entities are developing a funding proposals under the two PSF programmes	1
	Funding proposal under the PSF programmes is submitted and approved	2

<b>Annex IV: Adaptation Planning Logical Framework – Sample Outcomes and Sub-Outcomes</b>
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Please note this is an illustrative list of examples of possible outcomes that can be supported. Countries should formulate their adaptation planning outcomes based on their specific needs, consistent with the objectives of the Readiness Programme.

These examples of possible outcomes have been developed to take into consideration NAP technical guidelines. The UNFCCC NAP technical guidelines are a useful reference to assist countries in their adaptation planning efforts. The GCF recognizes the NAP technical guidelines are not intended to be prescriptive and countries may use them in accordance with their national context. The GCF also recognizes that countries have and are undertaking different approaches to national adaptation planning, including NAPAs, NAPs and other national undertakings.

Specific adaptation planning baseline examples are forthcoming, based on learning being captured.

<b>1.</b>	<b>Effective adaptation governance and coordination established</b>
1.1	National mandate and strategy for adaptation planning processes developed
1.2	Institutional arrangements to support adaptation planning processes in place
1.3	Stakeholder engagement process (or processes) designed to ensure stakeholders engaged (governments, private sector, associations, civil society, academia and others)
1.4	Mechanism for regularly reviewing and updating adaptation plan in place
<b>2.</b>	<b>Climate impact and adaptation investment information and capacity to analyze it strengthened</b>
2.1	Available information on climate change impacts, vulnerability and adaptation investments (stocktaking) identified, increased and/or shared
2.2	Climate change impacts, vulnerabilities, and adaptations options identified and prioritized at sector, sub-national, and/or national levels
2.3	Current and future climate change risks identified and prioritized
2.4	Analytical framework and inter-institutional process for identifying and/or prioritizing adaptation actions designed
2.5	Capacity gaps and needs for design and implementation of adaptation actions assessed
<b>3.</b>	<b>Adaptation knowledge management, information sharing, and communication</b>
3.1	System (or coordinated systems) developed for gathering, organizing and updating relevant data and information on adaptation
3.2	Relevance, progress and outputs of adaptation planning communicated to stakeholders based on a developed adaptation strategy
3.3	Mechanism(s) for sharing climate information at appropriate scales and timeframe and in accessible formats established
<b>4.</b>	<b>Alignment of country's overall development policy and strategy</b>
4.1	Adaptation actions/measures integrated into national, sectoral or subnational development strategies, plans and budgets
4.2	National, sectoral or subnational adaptation strategies and/or plans produced, validated and/or published
4.3	Implementation strategies for adaptation developed at national, sectoral and/or subnational levels
4.4	Transparent mechanism to help create an enabling environment for sectoral or sub-national actors to access adaptation finance established
<b>5.</b>	<b>Enhanced adaptation finance action plan</b>
5.1	Financing plans for prioritized adaptation actions developed (including public/private, domestic/international)
5.2	GCF country programme linked to adaptation finance action plan
5.3	Concept notes developed for priority interventions developed

5.4	Roadshow with potential financiers for priority interventions undertaken
<b>6.</b>	<b>Monitoring, evaluation, and learning capacity and system developed</b>
6.1	Monitoring and evaluation framework or system for the adaptation planning process and its effectiveness established
6.2	Metrics / indicators and methods for monitoring the adaptation planning process and/or adaptation outcomes defined
6.3	Options for systematically gathering lessons and integrating them into future iterations of the adaptation planning process identified

## Annex V: Adaptation Planning Good Practices and Review Considerations

An indicative list of good practices has been identified to support NDAs and their Delivery Partners in developing Readiness proposals to the GCF for NAPs and/or other national adaptation planning processes. These good practices are based on learning gained from proposals submitted so far to the GCF Readiness Programme for support to formulate NAPs and/or other adaptation planning processes, as well as the UNFCCC NAP technical guidelines. The good practices also form the basis of a set of criteria that are used by the Secretariat when reviewing new proposals.

The objective of GCF adaptation planning support is to contribute to (i) reduce vulnerability to impacts of climate change, including by building adaptive capacity and resilience; and (ii) facilitate the integration of climate change adaptation, in a coherent manner, into relevant new and existing policies, programmes and activities, in particular development planning processes and strategies, within all relevant sectors and at different levels, as appropriate.<sup>5</sup>

GCF review criteria	Indicative examples of good practice
<b>1. Strategic focus of the proposal within a national vision</b>	<ul style="list-style-type: none"> <li>• Articulating how the adaptation planning support will respond to and advance NDCs and national development plans.</li> <li>• Articulating focus of the proposal based on specified gaps in information and planning, including based on NAP stocktaking and situational analysis where relevant.</li> <li>• Deepening sectoral, geographic, or hazard-specific planning within the context of a broader national vision, to produce more precise and implementation-ready action plans.</li> <li>• Building on and strengthening current policy and institutional frameworks that will support implementation of adaptation programmes and projects.</li> <li>• Considering multiple adaptation planning proposals to the GCF over time for iterative phases of increasingly sectoral or local planning, potentially with different Delivery Partners to access most relevant and targeted technical expertise. More than one proposal for adaptation planning support through the GCF Readiness Programme may be submitted and be implemented at the same time.</li> </ul>
<b>2. Plan to address specific vulnerabilities and climate impacts</b>	<ul style="list-style-type: none"> <li>• Designing activities to address specific climate impacts and vulnerabilities based on localised climate risk mapping and assessment.</li> <li>• Engaging private sector actors and public decision-makers, including at local levels, in planning based on accessible and easy-to-use climate impact and vulnerability information.</li> <li>• Identifying and prioritising adaptation actions as well as explicit programmes and project ideas to address the specified impacts and vulnerabilities.</li> </ul>
<b>3. Implementation financing strategy</b>	<ul style="list-style-type: none"> <li>• Defining a strategy that defines high potential funding sources for specified areas of adaptation action, including private and public, domestic and international sources.</li> </ul>

<sup>5</sup> UNFCCC Conference of the Parties Decision 5/CP.17, paragraph 1.

	<ul style="list-style-type: none"> <li>Developing a prioritised pipeline of adaptation programmes and project ideas, as well as concepts notes for submission to GCF, drawing relevant prioritisation criteria as needed from existing methodologies. To avoid any possible conflict of interest deriving from the Delivery Partner's role as an Accredited Entity to the GCF, the prioritization of projects for GCF funding should be made through a broad consultation process with relevant stakeholders, under the leadership of the NDA.</li> <li>Defining a sustainability strategy explaining how relevant outputs will be sustained after the GCF funds are spent, including the updating of datasets, retention of knowledge, complementarity with existing web-based platforms, and capacity of officials trained through the process.</li> </ul>
<b>4. Theory of Change</b>	<ul style="list-style-type: none"> <li>Illustrating how each outcome and their outputs and activities will achieve the stated objectives, ideally using a simple graphic.</li> <li>Articulating how the proposed adaptation planning will address priorities identified in the NDC, as well as address or build from the GCF Country Programme, and result in specific programmes and projects for investment, including with the GCF.</li> <li>Defining how the adaptation planning support requested will contribution to strengthening enduring institutional capacities to implementation adaptation planning programmes and projects.</li> </ul>
<b>5. Avoidance of duplication of effort</b>	<ul style="list-style-type: none"> <li>Starting where other NAP and/or other adaptation planning processes left off.</li> <li>Focussing any new assessments and methodologies (especially vulnerability and impact assessments) on critical identified information gaps, and institutionalising these approaches.</li> <li>Prioritising the use of existing information to communicate and engage with private and public decision-makers at different levels.</li> <li>Articulating how new GCF funding will build on and link with previous, existing national and sub-national planning processes.</li> <li>Describing if the country has already assessed capacity and information needs at the sub-national level.</li> </ul>
<b>6. Stakeholder engagement</b>	<ul style="list-style-type: none"> <li>Defining the mechanism to enable stakeholder engagement and coordination throughout the iterative adaptation planning process, including a focus on private sector, sub-national governments and civil society organisations.</li> <li>Establishing and/or strengthening existing institutional arrangements to increase the effectiveness of local adaptation implementation.</li> <li>Integration of stakeholder engagement processes within existing planning and coordination mechanisms.</li> </ul>
<b>7. Gender considerations</b>	<ul style="list-style-type: none"> <li>Building social dimensions, including differences based on gender, into proposed activities.</li> <li>Articulating how social dimensions, including differences based on gender, will be integrated into the proposed activities.</li> <li>Collecting and managing sex-disaggregated information to inform adaptation planning.</li> </ul>
<b>8. Private sector investment strategy</b>	<ul style="list-style-type: none"> <li>Producing financial analysis that supports the business case for investing in climate resilience.</li> <li>Defining a sustainable finance sector investment strategy.</li> <li>Communicating tailored climate information to attract</li> <li>Designing strategies with the finance sector for climate-smart financial products and services.</li> <li>Catalysing private-public partnerships for adaptation action.</li> </ul>

<p><b>9. Measures and evaluation</b></p>	<ul style="list-style-type: none"> <li>• Designing a results-based framework supported by quantitative indicators to track and monitor progress and evaluate performance against specified adaptation targets over time, across sectors and scales.</li> <li>• Establishing a mechanism for operationalising adaptation impact measures and evaluation across different sectors, agencies and levels of government.</li> <li>• Integrating adaptation planning measures and evaluation within existing mechanisms.</li> <li>• Defining a contingency plan for monitoring risks that can affect implementation of adaptation efforts.</li> <li>• Strengthening approaches to learning and iterative management based adaptation measures and evaluation.</li> </ul>
<p><b>10. Coherence and complementarity with other funds</b></p>	<ul style="list-style-type: none"> <li>• Indicating the financial support that has been received or is foreseen from other sources for the development of a NAP or other national adaptation planning processes, including but not limited to the Global Environment Facility and Adaptation Fund, as well as GCF Readiness support provided by other funding sources.</li> <li>• Describing the nature of that support and how additional resources proposed to the GCF will be complementary to and build on other sources of funding.</li> </ul>

**Annex VI: Social Inclusion and Gender Considerations for Readiness and Adaptation Planning support**

The GCF recognizes the importance of social and gender considerations for Readiness and Adaptation Planning Support, including the aspects below.

- **National Coordination:** Participation of gender-related mechanisms in national, sub-national and sectoral coordination efforts on readiness and adaptation planning.
- **Participatory:** Active engagement and empowerment of stakeholders at all levels, including sub-national authorities and local organizations.
- **Consideration of vulnerable groups, communities and eco-systems:** Provision for entry points of vulnerable groups, including women, to participate in adaptation planning processes.
- **Transparency:** Open and clear disclosure of information, plans, processes and actions. Timely, accurate, relevant and accessible information to enable different stakeholders to engage with relevant adaptation processes and actions for affected communities.
- **Gender sensitivity:** Recognition that women and men can experience the impacts of climate change differently, and they may have different needs and capacities for adaptation. Vulnerability risk assessments may consider gender and social inequalities, which may inform adaptation planning.
- **Local monitoring mechanisms:** Sub-national monitoring mechanisms can enable communities and local stakeholders to strengthen their ownership of and support to adaptation planning process, which can thereby strengthen the rigor of the plans and likelihood of successful implementation.

## Annex VII: Example of Gantt Charts

## A. Monthly Gantt Chart (for project duration up to 24 months)

Implementation Schedule of Outcomes and Activities (Gantt Chart)																								
Outcomes <sup>6</sup>	Activities (Brief description)	Anticipated Duration: From: Click or tap to enter a date. To: Click or tap to enter a date.																						
		Monthly Implementation Plan of Activities (Number of columns can be adjusted depending on the agreed project duration.)																						
		1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23
<b>[Example] 1. Country capacity strengthened</b>																								
<i>[Example]</i> 1.1 NDA/focal point lead effective coordination mechanism	<i>[Example]</i> 1.1.1 Develop operational guidelines/manuals for the functioning of the NDA, including a procedure to establish an effective coordination mechanism  Deliverable: An operational manual defining and describing NDA's roles and functions																							
	Deliverable: An operational manual defining and describing NDA's roles and functions																							
	<i>[Example]</i> 1.1.2 List activity 2  Deliverable																							
	Deliverable																							
1.2 Sub-outcome																								
<b>2. Outcome</b>																								
2.1 Sub-outcome																								
2.2 Sub-outcome																								

<sup>6</sup> Please adjust the outcomes, sub-outcomes, activities and deliverables based on Section 2: Logical Framework of the proposal.



## B. Quarterly Gantt Chart (for project duration more than 24 months)

Implementation Schedule of Outcomes and Activities (Gantt Chart)																	
Outcomes <sup>6</sup>	Activities (Brief description)	Anticipated Duration: From: Click or tap to enter a date. To: Click or tap to enter a date.															
		Quarterly Implementation Plan of Activities (Number of columns can be adjusted depending on the agreed project duration.)															
		3	6	9	12	15	18	21	24	27	30	33	36	39	42	45	48
<b>[Example] 1. Country capacity strengthened</b>																	
<i>[Example]</i> 1.1 NDA/focal point lead effective coordination mechanism	<i>[Example]</i> 1.1.1 Develop operational guidelines/manuals for the functioning of the NDA, including a procedure to establish an effective coordination mechanism  Deliverable: An operational manual defining and describing NDA's roles and functions																
	<i>[Example]</i> 1.1.2 List activity 2  Deliverable		June														
1.2 Sub-outcome																	
<b>2. Outcome</b>																	
2.1 Sub-outcome																	
2.2 Sub-outcome																	
<b>3. Outcome</b>																	
3.1 Sub-outcome																	
3.2 Sub-outcome																	

<sup>6</sup> Please adjust the outcomes, sub-outcomes, activities and deliverables based on Section 2: Logical Framework of the proposal.