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# Progress and outlook report of the Readiness and Preparatory Support Programme

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## **Summary**

The Progress and Outlook Report of the Readiness and Preparatory Support Programme gives an overview of progress made with the Programme since its inception.

The Board is requested to take note of the information provided in this document.

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## I. Introduction

1. The Board approved the operationalization of the Readiness and Preparatory Support Programme by decision B.08/11 and requested the Secretariat to report bi-annually to the Board on the progress of the Programme. Given the interest in the early progress of the Programme, the Secretariat has been reporting to the Board at each meeting. This report builds on the last one presented to the Board at its twelfth meeting, and provides updates on the cumulative progress achieved since the launch of the Programme up to May 2016.

## II. State of Play

2. As at May 2016, the Secretariat has received 141 nominations for NDAs or focal points in developing countries.<sup>1</sup> The GCF has approved proposals for readiness support in 49 countries under activity areas 1–4 and the Project Preparation Facility (PPF), totalling USD 13 million (see figure 1 for summary).<sup>2</sup> Thirty-four of the 49 countries are small island developing States, the least developed countries and African States.

**Figure 1: Status of readiness support as at May 2016 (number of countries)**

Status	All areas	Activity area 1+2	Activity area 3	Activity area 4 & PPF
Requests submitted	106	80	32	27
Proposals submitted	75	65	18	3
Proposals approved	49 USD 13,094,000	42 USD 11,802,000	12 USD 555,000	3 USD 2,237,000
Legal arrangements completed	24 USD 4,442,000	13 USD 3,750,000	12 USD 555,000	1 USD 137,000
Resources disbursed	21 USD 1,395,000	9 USD 936,000	12 USD 389,000	1 USD 70,000

**Note:** As some countries have requested support in multiple areas, the total number of countries is lower to avoid double-counting countries.

3. Some of the key activities undertaken since the last report include:
- A week-long event titled “Accelerating Direct Access” (Readiness Week) was organized from 25-29 April at the GCF headquarters bringing together 27 countries and 13 direct access entities, thus kick-starting the mandate in the strategic plan to organize structured dialogues, and initiate the process of piloting the development of country programmes and entity work programmes;
  - First two readiness proposals for pipeline development approved for Senegal with the International Finance Corporation (IFC) and for Vanuatu with Secretariat of the Pacific Regional Environment Programme (SPREP), and first tranche of USD 70,000 disbursed to SPREP;

<sup>1</sup> <http://www.greenclimate.fund/ventures/readiness#who-are-ndas>

<sup>2</sup> Activity area 1 refers to strengthening the national designated authorities (NDAs) and focal points, activity area 2 refers to developing country programmes, activity area 3 refers to strengthening entities for accreditation, and activity area 4 refers to building the project/programme pipeline of countries for the GCF.

- (c) In their draft entity work programmes, accredited direct access entities identify 16 projects in the short-term (less than 12 months) totalling around USD 1.2 billion requesting GCF funding of USD 400 million, and 18 projects in the long-term (more than 12 months) totalling around USD 1.8 billion with an indicative GCF funding of USD 600 million; and
- (d) Readiness disbursements for support to NDAs and focal points to strengthen their capacity and develop their country programmes reaches USD 936,000, including USD 580,000 disbursed for six countries (Antigua and Barbuda, Bolivia, the Democratic Republic of Congo (DRC), the Federated States of Micronesia (FSM), Mali and Zambia) since the last report.

### III. Status of implementation of approved readiness activities

#### 3.1 Support to NDAs/focal points and preparation of country programmes (activity areas 1 and 2)

4. As of May 2016, the Secretariat has approved readiness support for 42 countries, totalling USD 11.8 million to strengthen the institutional capacity of their NDAs or focal points and to develop country programmes (see annex I for details). Twenty-one countries are accessing this support directly (15 through national entities and six through regional entities) and the rest through international entities. The financial management capacity of all these entities have been assessed and deemed sufficient by the Secretariat.

##### 3.1.1 Status of implementation with countries accessing support directly or through local or regional delivery partners

5. Thirteen countries have already signed grant agreements, while nine have completed an inception report. A total of over USD 936,000 has been disbursed to these nine countries, Antigua and Barbuda, Bolivia, the Cook Islands, DRC, Ethiopia, FSM, Mali, Rwanda, and Zambia.<sup>3</sup> The amounts disbursed for each country, and the outputs expected or delivered are summarized in annex II. During Readiness Week, 16 of the countries that are accessing readiness support directly started the process of developing their country programmes and shared initial drafts piloting a standard template developed by the Secretariat.

##### 3.1.2 Status of implementation with countries accessing support through international delivery partners

6. For the 21 countries accessing readiness support through the Food and Agriculture Organization, Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH (GIZ), United Nations Development Programme (UNDP) and United Nations Environment Programme (UNEP), legal arrangements are under discussion with these international delivery partners. A draft framework agreement with GIZ has been developed and is under review, and similar framework agreements could be developed with the UN agencies and other international organizations (see section IV).

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<sup>3</sup> The proposals and inception reports have been published on the GCF website at: <http://www.greenclimate.fund/ventures/readiness/fine-print>.

## 3.2 Support for accreditation and accredited direct access entities (activity area 3)

7. The Secretariat has provided in-kind accreditation support to 59 entities nominated by the NDAs/focal points of 37 countries in all three regions (see list of countries in annex III). Among them, 15 entities nominated by 12 countries have been receiving substantial support for in-depth assessments of their institutional capacity, and fiduciary, environmental and social safeguards (ESS) and gender standards to meet GCF accreditation requirements (see annex II for details). Arrangements to support all 15 entities are in place and, as of May 2016, USD 389,000 has been disbursed for the implementation this support.

8. Nearly four hundred users, including NDAs/focal points considering nominating entities, have accessed the online GCF Accreditation Self-Assessment tool (latest update as of May 2016) developed in partnership with GIZ and WRI, and 75 of them have full completed it.<sup>4</sup> Based on feedback received from users and lessons learned, the Secretariat is working with GIZ and WRI to develop a second version of the tool.

### 3.2.1 Status of implementation

9. In-depth assessments have been completed for nine entities, action plans finalized for six entities nominated by four countries Benin, Brazil, Colombia and Honduras.

10. Of the six entities whose actions plans were finalized, three entities nominated by Brazil, Colombia and Honduras have submitted their accreditation applications and are at Stage I of the accreditation process. In addition, two entities from Colombia and Honduras are working to close gaps identified in order to submit their application in coming months, and the sixth entity nominated by Benin is in discussion with the NDA to receive additional readiness support to implement the action plan.

11. The Secretariat has also finalised a process to build a roster of institutions that will provide technical and capacity-building support to applicant and accredited direct access entities in environmental, social and gender aspects. The roster of institutions has been selected and notified of their selection, and the legal arrangements are in progress.

### 3.2.2 Activities to support accredited direct access entities

12. As mandated by the Board decision B.12/32 paragraph (h), annex IV includes support to accredited direct access entities, particularly to build their capacities in areas related to adaptation, mitigation, environmental and social safeguards, gender, and monitoring and evaluation, among others. The scope of such activities may include:

- (a) Coordination with the NDA/focal points in relation to country programming;
- (b) Development of their annual/multi-annual work programme;
- (c) Strengthening in-house expertise on adaptation and mitigation, environmental and social safeguards, gender, monitoring and evaluation and other areas to effectively implement relevant GCF policies; and
- (d) Knowledge sharing and participation in annual reviews of GCF portfolio in the country organized with local stakeholders.

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<sup>4</sup> The tool was developed in collaboration with Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH and the World Resources Institute and is available here: <[www.askallo.com/w6408kfx/survey.html](http://www.askallo.com/w6408kfx/survey.html)>.

13. During the Readiness Week, all 13 direct access entities started the process of developing entity work programmes piloting a standard template developed by the Secretariat. Based on this exercise, 10 accredited direct access entities have identified capacity building needs as follows:
- (a) Four entities are requesting support, in the form of consultants or training of existing staff, to improve their institutional expertise to enhance their capacities in the GCF's standards, policies, and frameworks – in particular in environmental and social safeguards, gender, and monitoring and evaluation;
  - (b) Five entities are requesting support, in the form of consultants or training of existing staff, to strengthen their climate change expertise, develop projects aligned with national priorities and plans, facilitate the crowding-in of private sector finance, stakeholder engagement, implement methodologies and tools for project identification and formulation, as well as for monitoring and evaluation; and
  - (c) Four entities are requesting support, in the form of consultants or training of existing staff, to upgrade their accreditation type in relation to the size of projects/programme, specialized fiduciary criteria, and environmental and social risk category. These entities were accredited for a lower category than they had applied for and the Accreditation Panel had recommended further strengthening of their capacity and procedures before they apply to upgrade their accreditation type.

### 3.3 Support for pipeline development through activity area 4 and/or the Project Preparation Facility

14. The Secretariat maintains active engagement with NDAs/focal points and direct access entities to support them in developing their pipelines and prepare projects for the GCF (activity area 4/PPF). The readiness proposals developed by the NDAs of two countries—Senegal and Vanuatu—in partnership with IFC and SPREP have been approved for USD 600,000 and USD 137,000 respectively. A PPF application submitted by the accredited entity Ministry of Natural Resources of Rwanda (MINIRENA) was approved by the Board at its twelfth meeting.

15. The legal agreements have been initiated for all three countries, and has been completed with SPREP for Vanuatu's readiness proposal. The first tranche of USD 70,000 was disbursed to SPREP in May 2016, and the activities are due to be completed and results delivered by October 2016. The objective of this support is to determine the climate information services needs of policy developers, planners and decision-makers in Vanuatu through targeted in-country consultations to further develop the funding proposal for the project titled "Pacific Climate Adaptation Policy and Planning Support through Applied Climate Information Services."

16. In addition, during Readiness Week, in developing initial drafts of country programmes and entity work programmes, the NDAs or focal points and direct access entities have also identified a number of projects and programmes they wish to develop for the GCF in the short-term (less than 12 months) and long-term (more than 12 months). They are now in the process of updating and refining these documents in consultations with relevant stakeholders.

17. These projects and programmes need further preparation to measure their potential impact in terms of enhancing resilience and reducing greenhouse emissions. The pipeline is promising in its potential to be paradigm-shifting with proposed programmes, among others, targeting the agriculture sector in Chile and Morocco, the water sector in India, and potential EDA proposal in Namibia.

18. In terms of numbers, the entities have identified 16 projects in the short-term totalling around USD 1.2 billion and have requested GCF funding of around USD 400 million. They have also identified 18 projects in the long-term totalling USD 1.6 billion with an indicative GCF

funding of USD 600 million. Of the 34 projects identified, 32 of them totalling around USD 2.7 billion with an indicative GCF funding of USD 900 million may require readiness or PPF support. The Secretariat is also in the process of sizing up the demand as identified by NDAs/focal points in their draft country programmes. Additional information on the GCF pipeline based on the submissions of funding proposals are included in document GCF/B.13/Inf.10.

19. The Secretariat also launched an expression of interest to create a roster of qualified institutions or firms that will provide technical support in funding proposal and pipeline development to accredited entities and countries. The Secretariat has received several proposals and are in the process of reviewing them.

### 3.4 Knowledge-sharing and learning (activity area 5)

#### 3.4.1 Events organised or planned, including regional workshops

20. Since the last report, the Secretariat organized Readiness Week bringing together the NDAs/focal points of 27 countries, 13 direct access entities, the readiness delivery partners of countries accessing readiness directly as well as various international readiness partners also supporting countries. The event focused on accelerating project identification and development by the direct access entities through structured dialogues between the entities, the NDAs/focal points, and the Secretariat. The week also included sessions focussed on gender and south-south experience sharing.

21. The Secretariat, in consultation with the Government of Fiji and in partnership with the Government of Australia, Japan International Cooperation Agency and the Pacific Island Forum Secretariat, is planning regional structured dialogue in the Pacific scheduled to be held in Suva, Fiji, from 1-4 August. In addition, in consultation with the Government of Ecuador, the Secretariat is also planning a regional structured dialogue for countries and entities operating in the Latin America region.

22. Further opportunities for organizing similar events in other regions are being explored with various countries, regional and international partners. A key objective of these events would be to implement the action plan set out in the strategic plan, particularly to facilitate structured dialogues between NDAs/focal points, accredited entities and the Secretariat.

#### 3.4.2 Developing regional hubs and strengthening expertise in regions to support countries

23. As requested by the Board in decision B.12/32 paragraph (j), the Secretariat is in the process of extending some of its consultants based in regions to provide full-time support to countries and direct access entities in the region. In addition, the Secretariat is also in the process of building a roster of experts based in the regions that countries and direct access entities may draw upon to meet their specific capacity, pipeline development and project preparation needs.

### 3.5 Working with other partners delivering GCF-specific readiness support

24. At the margins of the twelfth Board meeting, the Secretariat organized a full-day working session with partners in the GCF's Readiness Coordination Mechanism to develop its workplan for 2016.<sup>5</sup> During the meeting, the partners agreed to collaboratively develop a set of tools and

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<sup>5</sup> The members include the African Development Bank, GIZ, KfW, UNDP, UNEP and WRI. Other institutions including the Commonwealth Secretariat, the Climate Technology Centre Network, the UN Food and Agriculture Organization,

information products, including case studies, which could be used by all partner institutions when providing readiness support to countries and entities.

25. A number of partners participating in the Readiness Coordination Mechanism are supporting a range of readiness activities. While some are in the initial stages, others are further advanced. As requested in decision B.12/32 paragraph (j), an overview of activities undertaken by readiness partners is provided below based on information provided by them:

- (a) The Climate Finance Readiness Program (CF Ready) is supported by the German Federal Ministry for Economic Cooperation and Development (BMZ) and implemented jointly by GIZ and the KfW Development Bank.
  - (i) The GIZ component is further supported by the US Agency for International Development (USAID) and the Ministry of Environment of the Czech Republic, and has a total funding volume of EUR 15 million over six years (2012 – 2018). The programme works in twelve countries (Cambodia, Bangladesh, Georgia, Morocco, Namibia, Peru, Zambia, South Africa, Tajikistan, Tanzania, Uganda and Vietnam) and the Caribbean region. The programme has supported the GCF NDA/Focal Point designation process in six countries and currently supports NDAs/ Focal Points in seven countries in becoming functional and enabling them to better coordinate and guide climate finance flows, e.g. through the development of a no-objection procedure. One institution supported for accreditation has been accredited for direct access and the programme currently works with three further national institutions on the accreditation process.
  - (ii) The KfW component comprises EUR 10 million to support countries from 2013-2018 in accessing international climate finance. KfW assists 10 countries (Bangladesh, Morocco, Namibia, Peru, Zambia, South Africa, Tajikistan, Tanzania, Uganda and Vietnam) and the Caribbean region in the development of GCF project ideas, with a focus on pre-feasibility and feasibility studies. So far, ten pre-feasibility studies and four feasibility studies have been supported, approximately half adaptation and half mitigation focused. The financing of further studies and services supporting GCF project development are planned until end of 2018. In addition, KfW is providing support to one regional and three national development banks in preparing for the GCF accreditation as implementing entities.
- (b) The German Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety (BMUB) is supporting the GCF Readiness Programme with EUR 15 million over three years. The Programme is implemented by UNEP, UNDP and WRI and active in nine countries (Benin, Colombia, El Salvador, Fiji, Ghana, Kenya, Nepal, Philippines and Uzbekistan).
  - (i) Support is delivered to National Designated Authorities to establish a national institutional structure to engage with the GCF. The Programme is supporting NDAs to select national entities to nominate for accreditation and project pipelines.
  - (ii) The Programme also supports the accreditation of national entities and has assisted one national entity to be accredited by the GCF, and has engaged or is engaging with nine other candidate national entities in six countries.

- (iii) In addition, the Programme also supports NDAs and direct access entities in the development of eight project concepts (four adaptation, two mitigation and two cross-cutting) in five countries for possible submission to the GCF.

## IV. Cumulative commitments and projections

26. As at May 2016, the Readiness and Preparatory Support Programme has committed a cumulative total of around USD 15 million and disbursed (grants and technical assistance) or spent (in-kind) around USD 3 million. The cumulative demand up to 30 September 2016 is estimated to be around USD 20 million, and around USD 30 million up to 31 December 2016.

27. The GCF expects to have sufficient resources available to meet the projected demand up to the fourteenth meeting of the Board, and anticipates requesting the Board to consider the further release of resources at its fourteenth meeting.

## V. Update on Board mandates to simplify processes and accelerate disbursements

### 5.1 Alternative arrangements to readiness grant agreements

28. As requested in decision B.11/04, paragraph (e), to improve and simplify the readiness process, the Secretariat had initiated the process revising the readiness grant agreement template to address the challenges faced by countries and their readiness delivery partners. As further mandated by decision B.12/32, the Secretariat proposes two alternatives to the initial template of the readiness grant agreement – a bipartite grant agreement template for each readiness grant and a framework agreement template for international delivery partners supporting multiple countries. The Secretariat is also exploring other arrangements, including framework agreements for each country accessing readiness support directly, that could help simplify and streamline the legal arrangements necessary for managing readiness grants to those countries accessing readiness support directly through national or regional institutions.

#### 5.1.1 Bipartite grant agreement template

29. The Secretariat has proposed a revised version of the readiness grant agreement template making it a bipartite agreement, instead of a tripartite one. In doing so, the GCF will contract only with the recipient of the funds whose financial management capacity has been assessed and will be accountable for the management of the resources disbursed for the country. The revised agreement also revises provisions to enable such agreements to be concluded in a more expeditious manner.<sup>6</sup>

#### 5.1.2 Framework agreement template for international delivery partners

30. In addition, the Secretariat has also proposed bilateral framework agreements for readiness with international delivery partners supporting multiple countries. With such framework legal arrangements, there will be efficiencies in the management of the readiness grants. The international delivery partners will be expected to report to the GCF quarterly for the portfolio of readiness grants it manages, and will transmit key outputs of the readiness support

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<sup>6</sup> See the revised grant agreement template at: <http://www.greenclimate.fund/ventures/readiness/fine-print>

from each country such as the country programmes to the Secretariat. In doing so, the GCF can streamline the disbursements and reporting.

31. Initially, such a framework agreement has been developed for GIZ and similar ones may also be developed for UNDP, UNEP and other international delivery partners. Such agreements with international readiness delivery partners will be concluded upon the resolution of a few issues also under consideration in the Accreditation Master Agreements.

## 5.2 Measures to improve and simplify the process

32. As requested in decision B.11/04, paragraph (e), to improve and simplify the readiness process, the Secretariat has also revised the readiness proposal template thus reducing the number of templates an NDA/focal point or its delivery partner may need to complete to access readiness support. A meeting with some NDAs/focal points and delivery partners was organized during Readiness Week to collect feedback from them on the new template, which has now been finalized and is available on the GCF website.<sup>7</sup> Further improvements in the process are being undertaken to simplify and strengthen the readiness process, and will also build on any recommendations emerging from the independent evaluation scheduled to be launched by the Board at its fourteenth meeting.

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<sup>7</sup> See the revised readiness proposal template at: <http://www.greenclimate.fund/ventures/readiness/fine-print>

## Annex I: Readiness support approved as at May 2016

	Country	Activity area	Delivery partner/service provider	Access type	Amount (USD)	Duration (months)	Status
1	Antigua and Barbuda	1+2	Ministry of Health and Environment	Direct	300,000	12	Under implementation
2	Bangladesh	2	UNDP	International	150,000	12	Legal agreement in process
3	Benin	1	UNEP	International	150,000	24	Legal agreement in process
		3	PwC	na	37,000	-	Under implementation
4	Bolivia (Plurinational State of)	1+2	Ministry of Development Planning	Direct	300,000	24	Under implementation
5	Brazil	3	PwC	na	37,000	-	Under implementation
6	Cambodia	3	PwC	na	37,000	-	Under implementation
7	Central African Republic	1+2	UNDP	International	300,000	12	Legal agreement in process
8	Chad	1+2	UNDP	International	300,000	24	Legal agreement in process
9	Chile	1+2	Ministry of Finance	Direct	300,000	12	Legal agreement in process
10	Colombia (2 entities)	3	PwC	na	74,000	-	Under implementation
11	Comoros	1+2	UNEP	International	300,000	24	Legal agreement in process
12	Cook Islands	1	Ministry of Finance and Economic Management	Direct	150,000	12	Under implementation
13	Costa Rica	1+2	UNDP	International	300,000	12	Legal agreement in process
14	Côte d'Ivoire	1+2	UNDP	International	300,000	24	Legal agreement in process
15	Democratic Republic of the Congo	1+2	CSE	Direct	300,000	24	Under implementation
16	Djibouti	1+2	CSE	Direct	300,000	24	Legal agreement in process
17	Dominican Republic	1+2	UNDP	International	300,000	12	Legal agreement in process

<b>18</b>	El Salvador	1+2	Deputy Ministry for Development Cooperation, Ministry of Foreign Affairs	Direct	300,000	18	Legal agreement in process
<b>19</b>	Ethiopia	1+2	Ministry of Finance and Economic Cooperation	Direct	300,000	24	Under implementation
<b>20</b>	Gabon	1+2	CDC-Gabon	Direct	300,000	12	Legal agreement in process
<b>21</b>	Guatemala	1+2	Food and Agriculture Organization	International	300,000	12	Legal agreement in process
<b>22</b>	Guyana	1+2	Caribbean Community Climate Change Centre	Direct	300,000	12	Pending disbursement request
<b>23</b>	Guinea	1+2	UNDP	International	300,000	24	Legal agreement in process
<b>24</b>	Honduras (2 entities)	1+2	UNDP	International	300,000	12	Legal agreement in process
		3	PwC	na	74,000	-	Under implementation
<b>25</b>	India	1+2	UNDP	International	300,000	12	Legal agreement in process
<b>26</b>	Kenya	1	Kenya National Treasury	Direct	150,000	12	Legal agreement in process
		3	PwC	na	37,000	-	Under implementation
<b>27</b>	Liberia	1+2	UNDP	International	300,000	24	Legal agreement in process
<b>28</b>	Mali	1+2	Sahel Eco	Direct	300,000	24	First grant completed; second grant under implementation
<b>29</b>	Mauritius	1+2	Ministry of Finance and Economic Development	Direct	300,000	12	Legal agreement in process
<b>30</b>	Mexico	3	PwC	na	37,000	-	Under implementation
<b>31</b>	Micronesia (Federated States of) (2 entities)	1+2	Secretariat of the Pacific Community	Direct	300,000	24	Under implementation
		3	PwC	na	74,000	-	Under implementation
<b>32</b>	Mongolia	1+2	GIZ	International	300,000	12	Legal agreement in process
<b>33</b>	Niue	3	PwC	na	37,000	-	Under implementation
<b>34</b>	Pakistan	1+2	GIZ	International	300,000	6	Legal agreement in process

		3	PwC	na	37,000	-	Under implementation
<b>35</b>	Palau	3	PwC	na	37,000	-	Under implementation
<b>36</b>	Peru	1+2	GIZ	International	300,000	6	Legal agreement in process
<b>37</b>	Philippines	1+2	Climate Change Commission	Direct	300,000	12	Inception report in process
<b>38</b>	Republic of Congo	1+2	UNDP	International	300,000	24	Legal agreement in process
<b>39</b>	Rwanda	1+2	Environment and Climate Change Fund	Direct	300,000	12	Under implementation
<b>40</b>	Senegal	1+2	CSE	Direct	300,000	18	Legal agreement in process
		4	IFC	International	600,000	12	Legal agreement in process
<b>41</b>	Seychelles	3	PwC	na	37,000	-	Under implementation
<b>42</b>	Swaziland	1+2	UNDP	International	300,000	18	Legal agreement in process
<b>43</b>	Thailand	1	GIZ	International	102,000	6	Legal agreement in process
<b>44</b>	Timor Leste	1+2	UNDP	International	300,000	24	Legal agreement in process
<b>45</b>	Togo	1+2	CSE	Direct	300,000	24	Legal agreement in process
<b>46</b>	Tunisia	1+2	The Sahara and Sahel Observatory	Direct	300,000	24	Legal agreement in process
<b>47</b>	United Republic of Tanzania	1+2	Ministry of Finance and Economic Planning	Direct	300,000	12	Legal agreement in process
<b>48</b>	Vanuatu	1+2	GIZ	International	300,000	24	Legal agreement in process
		4	SPREP	Direct	137,000	5	Under implementation
<b>49</b>	Zambia	1+2	Ministry of Finance	Direct	300,000	24	Under implementation
					<b>Total</b>	<b>13,094,000</b>	

**Abbreviations:** CSE = Le Centre de Suivi Ecologique, GIZ = Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH, na = not applicable, NDA = national designated authority, PwC = PricewaterhouseCoopers, UNDP = United Nations Development Programme, UNEP = United Nations Environment Programme.

## Annex II: Expected results from the readiness resources disbursed under activity areas 1 and 2

Country (USD disbursed)	Outputs	Due
Antigua and Barbuda Ministry of Health and Environment (USD 120,000)	<ul style="list-style-type: none"> <li>Internal processes for project management, reporting and participatory project identification improved;</li> <li>Knowledge management, communication and public awareness improved</li> <li>Country programme developed</li> </ul>	May 2017
Bolivia Ministry of Development Planning (USD 60,000)	<ul style="list-style-type: none"> <li>Strengthening of the NDA capacity on knowledge management, procedures and systems regarding GCF operations</li> <li>Country Programme prepared</li> </ul>	October 2017
Cook Islands Ministry of Finance and Economic Management (USD 75,000)	<ul style="list-style-type: none"> <li>Online materials on the nomination of direct access entities and a no-objection procedure developed; and</li> <li>Assessment of the country's priorities in line with the principles of the GCF, identified through stakeholder consultations</li> </ul>	September 2016
Democratic Republic of Congo Le Centre de Suivi Ecologique (USD 120,000)	<ul style="list-style-type: none"> <li>Coordination process among stakeholders improved; and</li> <li>Country programme prepared</li> </ul>	February 2018
Ethiopia Ministry of Finance and Economic Cooperation (USD 120,000)	<ul style="list-style-type: none"> <li>Coordination process among stakeholders established;</li> <li>Training provided to NDA on the operations of the GCF;</li> <li>Communication plan prepared; and</li> <li>Country programme prepared</li> </ul>	September 2017
Federated States of Micronesia Secretariat of the Pacific Community (USD 120,000)	<ul style="list-style-type: none"> <li>Coordination process among stakeholders improved;</li> <li>Country programme prepared</li> </ul>	December 2017
Mali Sahel Eco (USD 141,000)	<ul style="list-style-type: none"> <li>Workshop on country programming priorities</li> </ul>	Completed April 2015
	<ul style="list-style-type: none"> <li>Country programme prepared; and</li> <li>NDA capacity for project prioritization improved</li> </ul>	October 2016
Rwanda Environment and Climate Change Fund (USD 120,000)	<ul style="list-style-type: none"> <li>Country programme prepared;</li> <li>Process for supporting coordination across stakeholders established; and</li> <li>A no-objection procedure established</li> </ul>	December 2016
Zambia Ministry of Finance (USD 60,000)	<ul style="list-style-type: none"> <li>Country programme developed; and</li> <li>NDA capacity to assess projects or programmes for GCF financing improved</li> </ul>	October 2017

**Abbreviation:** NDA = national designated authority.

### **Annex III: Countries whose national designated authorities/focal points nominated entities that are receiving in-kind accreditation support as at May 2016**

<b>Africa</b>	<b>Asia and the Pacific</b>	<b>Latin America and the Caribbean</b>
Benin	Bangladesh (2)	Argentina (2)
Ethiopia	Cambodia	Belize
Kenya (3)	China	Brazil (2)
Mauritius	Fiji (2)	Bolivia (Plurinational State of)
Morocco (3)	India (4)	Colombia (3)
Namibia (2)	Indonesia (3)	El Salvador
Rwanda	Jordan	Guatemala
Seychelles	Marshall Islands	Haiti
Senegal	Micronesia (Federated States of) (2)	Honduras (2)
South Africa	Mongolia	Mexico
Tunisia (3)	Republic of Palau	Panama
	Niue	Peru (2)
	Pakistan (2)	
	Viet Nam	

**Note:** Numbers in parentheses are the number of entities.

## **Annex IV: Indicative list of activities to be included in the readiness programme**

### **Establishing and strengthening national designated authorities (NDAs) or focal points**

- Strengthening institutional capacities so that the NDA or focal point can effectively fulfil its role;
- Convening stakeholders to identify appropriate NDA or focal point arrangements;
- Supporting ongoing engagement of stakeholders at national and sub-national level, including government; civil society and private sector actors;
- Engaging and holding dialogue with existing and prospective implementing entities (IEs)/intermediaries;
- Extracting lessons learned from other countries (including through exchange visits, workshops, etc.);
- Supporting the appropriate oversight of Fund activities at the country level;
- 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 Fund, disseminating information and engaging stakeholders in the country programme; and
- Identifying strategic investment priorities and taking stock of existing strategies, policies, and needs assessments, including intended nationally determined contributions (INDCs) low-emission development strategies, Nationally Appropriate Mitigation Actions, National Adaptation Plans, and National Adaptation Programs of Action;
- Identifying programmes and projects that advance national priorities and align with the results management framework of the Fund, 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 to be considered by the Project Preparation Facility, drawing from INDCs 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 efficiency of procurement and tendering processes;
- 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 Fund's accreditation process, fiduciary standards and environmental and social safeguards (ESS);
- Understanding the roles of existing institutions and identifying potential IEs and intermediaries;
- 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 in order to comply with the fiduciary standards and ESS (may include development of new policies and procedures);
- Enabling lesson-learning from other institutions that have been through similar accreditation processes;
- Building the capacity of accredited direct access entities in areas related to adaptation, mitigation, environmental and social safeguards, gender, monitoring and evaluation;

#### **Information sharing, experience exchange and learning**

- Conducting regional workshops with NDAs or focal points, existing and potential IEs, civil society and other stakeholders to raise awareness of the emerging modalities of the Fund and opportunities to engage;
  - Convening of stakeholders at a regional level to share lessons and experiences from their readiness activities; and
  - Distilling lessons from experience of readiness programming to support practical implementation at country level and facilitating access to these knowledge products and those of other actors in the international climate finance space (e.g. through online platforms, webinars, etc.).
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