



**GREEN
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Readiness and Preparatory Support Programme: Work Programme

Summary

The document provides an overview of the budget utilization since the inception of the Readiness and Preparatory Support Programme, a detailed work programme for 2017 and elements of a work programme for 2018.

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

I. Background

1. This document builds on the *Readiness and Preparatory Support: Progress Report* to present an updated 2017 work programme with further details compared to the plans presented at the sixteenth Board meeting. It also includes elements of a work programme for 2018.

II. Recommended action by the Board

2. It is recommended that the Board:
- (a) Takes note of the information presented in document GCF/B.17/Inf.07 titled “Readiness and Preparatory Support Programme: Work Programme;” and
 - (b) Approves the draft decision presented in annex I.

III. Introduction

3. To lay the context, a summary of resources approved by the Board for the execution of the Readiness and Preparatory Support Programme, resources committed, disbursed and spent is included in table 1 below. Of the total amount of USD 80 million approved by the Board, USD 30.8 million has been committed to countries, and an additional USD 4.37 million has been spent on activities such as events both regionally and targeting direct access entities, on regional consultants advising and supporting countries, and on visits by NDAs to the GCF headquarters. This leaves a total amount of USD 45.55 million available for the further execution of the Programme.

Table 1: Programme budget utilization upto 31 May 2017 (in millions USD)

Items	2014	2015	2016	2017	Total
Approved by Board (a)	16.00	14.00	50.00	-	80.00
Available for execution (b)	16.00	29.60	69.17	51.66	80.00
Requests submitted by countries (c)	-	12.18	23.44	55.33	90.95
Committed to countries (d)	-	9.18	15.14	5.76	30.08
Disbursed (e)	-	0.31	3.08	2.62	6.02
Other expenses or commitments (f)	0.4	1.25	2.37	0.35	4.37
Total committed or spent (g) = (d) + (f)	0.4	10.43	17.51	6.11	34.45
Balance available for commitments (h) = (b) - (g)	15.6	19.17	51.66	45.55	45.55

Notes:

(a) includes amounts approved by the Board at B.06, B.08, B.11 and B.15 for execution of the Programme

(b) includes amounts approved by the Board plus budget available for execution from the previous year

(c) includes requests officially submitted as proposals by NDAs/focal points for all activities to date

(d) includes resources committed by way of approvals of grants and technical assistance (i.e. PWC support for direct access entities)

(e) includes resources disbursed

- (f) includes other expenses incurred or committed towards the organization of events, hosting NDAs visiting the Secretariat and in-kind support provided by consultants
(g) includes all commitments and expenditures
(h) balances available for further commitments

IV. 2017 work programme

4. Against the backdrop of the resources available, committed and disbursed, in 2017, the Readiness Programme will aim to achieve the following objectives:
- (a) Accelerate implementation of readiness activities by increasing the pace of approvals and disbursements, including by strengthening capacity and processes to consider and approve new types of readiness activities, particularly adaptation planning and support to direct access entities;
 - (b) Build capacity and systems required to monitor the portfolio of readiness activities supported to facilitate timely implementation and delivery of funded activities;
 - (c) Streamline submissions, approvals and monitoring by automating workflows and performance tracking, further developing guidance materials and document good practices; and
 - (d) Strengthen knowledge-sharing across countries and direct access entities with the aim of organizing structured dialogues in all regions and events for direct access entities to strengthen their pipelines with the GCF.
5. In achieving these objectives, the Programme will improve its efficiency and effectiveness, and by focusing on the quality of outputs and outcomes make the Programme more impactful by improving the capacity of the GCF's NDAs and direct access pipelines and the quality of funding proposals derived from country-driven programmes and pipelines.

4.1.1 Accelerating implementation

6. In the first two quarters of 2017, the Secretariat has received 76 submissions and processed all of them. Twenty-four proposals have been approved and an additional 21 requests have been endorsed for approval in the second quarter and are expected to be approved by the end of June. This would take the total number of requests approved by the end of June to 45 out of 76 submissions (59%) totalling USD 23 million out of USD 60 million requested (38%). The tables below include data on the number of requests and the USD values of submissions and approvals (first four columns) in the first two quarters of 2017 by region (Table 1) and by readiness activities (Table 2).
7. The Secretariat is receiving a number of newer types of readiness proposals such as for adaptation planning, capacity building of accredited direct access entities, and pipeline building with the public and private sector. Such proposals are also requesting higher amounts than previous proposals. These factors are resulting in somewhat higher lag times between submissions and approvals. To assist in expediting these types of proposals, the Secretariat is improving its guidance to countries and augmenting its capacity, including by drawing on expertise within different divisions as needed. Furthermore, a senior specialist to manage the programme and a support officer to help expedite processes is currently being hired. In addition, a senior specialist covering adaptation planning has joined the team, and an accredited entity specialist to support direct access entities is in its final stages of the hiring process.

Table 1: Actual and projected quarterly requests and approvals (upto 31 May 2017) by region
(number of requests, USD values in brackets)

Regions	Actuals				Projections for submissions	
	Q1		Q2		Q3	Q4
	Submitted	Approved	Submitted	Approved		
Africa	11 (9,087,646)	3 (808,000)	20 (12,987,138)	2 (63,137)	15 (24,400,000)	16 (24,400,000)
Latin America and the Caribbean	13 (9,644,981)	9 (2,894,191)	8 (9,752,868)	1 (29,722)	1 (300,000)	1 (3,000,000)
Eastern Europe	4 (3,836,914)	1 (300,000)	1 (3,000,000)	-	-	4 (12,000,000)
Asia Pacific	10 (9,475,361)	7 (3,155,691)	9 (2,550,613)	1 (28,208)	8 (2,830,000)	19 (28,482,570)
Total	38 (32,044,902)	20 (7,157,882)	38 (28,290,619)	4 (121,067)	24 (27,530,000)	40 (67,882,570)

Table 2: Actual and projected quarterly requests by activities (number of requests, USD values in brackets)

Activities	Actuals				Projections for submissions	
	Q1		Q2		Q3	Q4
	Submitted	Approved	Submitted	Approved		
NDA strengthening and country programming	23 (8,695,159)	15 (5,707,749)	13 (4,179,711)	-	14 (5,180,000)	15 (5,432,570)
Support to direct access entities	4 (1,153,000)	2 (508,000)	8 (1,828,014)	4 (121,062)	-	4 (2,100,000)
Strategic frameworks	4 (1,292,133)	3 (942,133)	10 (5,193,953)	-	3 (1,350,000)	4 (1,350,000)
Adaptation planning	7 (20,904,610)	-	7 (17,088,941)	-	7 (21,000,000)	17 (51,000,000)
Total	38 (32,044,902)	20 (7,157,882)	38 (28,290,619)	4 (121,067)	24 (27,530,000)	40 (67,882,570)

Abbreviation: NDA = national designated authority.

8. For the latter half of 2017, the Secretariat estimates that it will receive an additional 64 requests (last two columns of Table 1 and 2). This estimate is based on information coming out of the Secretariat's day-to-day dialogues with countries, and information shared by delivery partners supporting countries. A subset of these requests totalling USD 61.25 million is included in Annex III. The Secretariat expects to continue to accelerate the pace of approvals. With additional capacity and with efficiencies gained through learning, it is feasible to process for approval another 40-50 requests totalling USD 30-50 million during the remainder of 2017.

9. The Programme has also accelerated disbursements disbursing a total of USD 2.6 million in the first 5 months of 2017. Table 3 below shows the quarterly disbursements made since 2015 to end of May.

Table 3: Quarterly disbursements since 2015 upto May 2017 (USD)

Quarters (Q)	2015	2016	2017
Q1	77,306	328,913	1,520,768
Q2	56,748	696,400	1,102,009
Q3	15,950	399,815	-
Q4	163,668	1,657,800	-
Total	313,672	3,082,928	2,622,777

Note: The amount for 2017 Q2 includes disbursements upto 31 May 2017 only

10. To make the process more efficient, the Secretariat has developed internal checklists, and also reviewing the process to bring further efficiencies. Additional measures planned for the year that will also improve the pace of disbursements include building on the procedures and templates of UNOPS for legal arrangements and disbursements, as well as automating workflows. The Secretariat is targeting finalizing contractual arrangements with UNOPS by the end of June.

4.1.2 Building monitoring capacity and systems

11. During the second quarter, the Secretariat has added monitoring capacity in the Portfolio Management Unit to support monitoring activities funded under the Programme. An interim template for receiving monitoring reports has been developed, and further improvements to the template will be undertaken in the third quarter in consultation with NDAs and Readiness delivery partners.

12. The Secretariat received interim progress reports from 10 countries as of June 19, 2017. The Secretariat is in the process of reviewing the reports and, upon review, will process the second disbursements for these grants. A few grants have been experiencing delays in implementation, and the Secretariat has been working closely with these grantees to improve their performance. Some reasons cited for the delays include changes, particularly for readiness grants managed directly, are changes in leadership in the governments or the agencies implementing the grants, or inability to find competent consultants.

13. For the remainder of 2017, the Secretariat expects to receive the first portfolio reports in July 2017 from delivery partners such as UNDP and GIZ for the grants these institutions are implementing for the countries, in addition to several other grants implemented directly. To effectively monitor grants, particularly to countries implementing their readiness grants directly, UNOPS will also support the monitoring and completion procedures of these grants, and report to the Secretariat on a portfolio basis. This will enable the Secretariat to use its own capacity to support NDAs in developing and submitting new proposals, and to process them for approval.

4.1.3 Streamlining processes and automating workflows

14. As the number of readiness proposals submitted grow, the Secretariat is undertaking efforts to streamline its processes and improve efficiencies in its workflows, including through automation. In 2017, the Secretariat moved to quarterly submission cycles under the Programme with the aim of receiving, approving and disbursing proposals within a quarter before receiving the next batch of submissions. The quarterly submission cycles will also enable the streamlining of subsequent monitoring and disbursements.

15. The Secretariat has also updated the Readiness Guidebook to include further guidance on completing the readiness proposal templates. This includes addressing recurring issues such as information required in the budgets, including the new interim guidance on project management

costs. A version of the guidebook to provide additional guidance on adaptation planning is also in the process of being finalized and is expected to be published by the end of June.

16. Additionally, work started in December 2016 to move the readiness workflow to an online system has continued during the first two quarters of 2017 with support from the ICT team. Phase I covering the submission and approval process has been completed and is in the testing phase. Data migration has been completed, which will enable a transition from tracking data in Excel spreadsheets to an online system. During the testing phase, to maintain data integrity, data is being tracked both on the system and maintained in Excel spreadsheets.

17. The migration to the online system will enable the Secretariat to make available data and dashboards on readiness progress on a real-time basis. The implementation of phase II has been planned for the remainder of 2017, which will include automating the reporting and completion processes.

4.1.4 Knowledge-sharing across countries

18. During the first five months of 2017, the Secretariat organized three events, two regional ones covering countries in Asia, Central Asia and Eastern Europe, and one targeting the direct access entities (as reported in the readiness progress report and in the report on country and entity programmes).

19. In the latter half of 2017, the Secretariat plans to cover the remaining regions with regional meetings, including the following structured dialogues:

- (a) The Caribbean Structured Dialogue, which will be held in Placencia, Belize, from 19 to 22 June 2017;
- (b) The Pacific Structured Dialogue, which will be held in Tongatapu, Tonga, from 18 to 21 July and will be attended by 14 Pacific countries;
- (c) The Latin America Structured Dialogue, which is being planned for September; and
- (d) The Structured Dialogues for Africa, which will be held in Bamako, Mali, in December.

20. The events organized and planned aim to strengthen peer-to-peer learning, facilitate country-driven programming, and through a strategic and proactive approach, build the countries' pipelines to align with the GCF impacts and investment criteria. The focus on direct access entities is also to facilitate an increase in the proposals from them in the GCF pipeline.

V. Elements of the 2018 work programme

21. In 2018, the Readiness Programme will aim to achieve the following objectives:

- (a) Maintain the higher pace of approvals and disbursements reached in 2017, and standardize modules of support offered in areas where needs appear to be similar across a wide range of countries;
- (b) Focus on closely monitoring the portfolio of readiness activities supported to enable timely implementation and delivery, as well as to harvest lessons and best practices;
- (c) Implement recommendations of the independent evaluation to further improve processes and the impact of the Programme;
- (d) Fully migrate to automated systems for workflows and performance tracking; and
- (e) Continue to strengthen knowledge-sharing across countries and direct access entities through the structured dialogues and other events, including through more thematically-focused events to strengthen learning across regions.

22. Elements of activities to achieve these objectives are highlighted briefly below, and the Secretariat will develop a more detailed work programme for 2018 in the coming months with a view to presenting it to the Board at its eighteenth meeting.

23. With around 78 countries having accessed readiness as of mid-2017, a similar number of countries are expected to access such support in 2018. While countries have continued to request readiness support to strengthen their NDAs, develop country programmes and support direct access, the Secretariat saw an increasing number of new requests in 2017 on strategic frameworks for the identification of programmes and projects that advance national priorities and align with the results management framework of the GCF, and expects to see such requests increase in 2018.

24. Based on the projected needs of and emerging demand from countries, table 3 below presents an estimate of the Readiness and Preparatory Support Programme's resource requirements for 2018.

Table 3: Indicative projections of readiness requests in 2018 by type of activity

Readiness activities	Requests			Projected disbursements
	Number	Estimated average value (USD)	Total (USD)	
Adaptation planning/programming	45	3,000,000	135,000,000	37,000,000
National designated authority support, including the development of country programmes	80	300,000	24,000,000	7,535,000
Strategic frameworks for GCF programming, including B.14 mandates on REDD-plus and technology	50	400,000	20,000,000	5,310,000
Capacity-building support to accredited direct access entities	20	300,000	6,000,000	2,600,000
Accreditation support to potential direct access entities	40	40,000	1,600,000	835,000
Structured dialogues and other knowledge-sharing/learning activities	25	276,000	6,900,000	6,900,000
Total	260	744,230	193,500,000	60,180,000 (31%)

Abbreviation: B.14 = fourteenth meeting of the Board.

25. While in 2017, some of the early ready readiness activities would have reached completion, in 2018, readiness activities in several more countries will reach completion. Thus, close monitoring of the activities will be necessary to ensure that the results of the activities funded are achieved, and more importantly, the lessons learned and best practices are harvested and shared with other countries. During the latter half of 2017, the Secretariat would have also gained valuable lessons from monitoring readiness activities funded, and a key task would be to develop more proactive guidance for countries in early 2018 to enable more effective implementation of activities.

26. The Secretariat expects that the independent evaluation of the Programme scheduled to be carried out in the latter half of 2017 will provide recommendations that will enable the Programme to improve its efficiency and effectiveness. A key area of focus for the Secretariat will

be to implement the recommendations emerging from the independent evaluation in a systematic manner during the course of 2018.

27. With the transition to automation expected to be completed in 2017, the Secretariat expects the Programme to move to fully automated processes and performance tracking in 2018. As it is still new to many users, the Secretariat will plan to systematically educate users and also make improvements to the system with experience gained. A key task in 2018 will be to systematically also make data and information on the Programme available to countries and to wider stakeholders on a real-time basis where available thus further improving the transparency of the Programme.

28. The Secretariat will continue its efforts under the Programme to strengthen knowledge-sharing and learning, as well as to strengthen the strategic and proactive approach to pipeline-building through the structured dialogues and events focusing on direct access entities. Furthermore, the Secretariat will also consider organizing some of these events with a thematic focus to also foster learning across regions. Such themes would be explored further during the latter half of 2017.

Annex I: Draft Decision of the Board

The Board, having considered document GCF/B.17/10 titled “Readiness and Preparatory Support Programme: Work Programme”:

Approves the work plan of the Readiness and Preparatory Support Programme for 2018 as contained in annex II.

Annex II: 2018 Work Programme for the Readiness and Preparatory Support Programme

1. In 2018, the Readiness Programme will aim to achieve the following objectives:
 - (a) Maintain the higher pace of approvals and disbursements reached in 2017, and standardize modules of support offered in areas where needs appear to be similar across a wide range of countries;
 - (b) Focus on closely monitoring the portfolio of readiness activities supported to enable timely implementation and delivery, as well as to harvest lessons and best practices;
 - (c) Implement recommendations of the independent evaluation to further improve processes and the impact of the Programme;
 - (d) Fully migrate to automated systems for workflows and performance tracking; and
 - (e) Continue to strengthen knowledge-sharing across countries and direct access entities through the structured dialogues and other events, including through more thematically-focused events to strengthen learning across regions.
2. Elements of activities to achieve these objectives are highlighted briefly below, and the Secretariat will develop a more detailed work programme for 2018 in the coming months with a view to presenting it to the Board at its eighteenth meeting.
3. With around 78 countries having accessed readiness as of mid-2017, a similar number of countries are expected to access such support in 2018. While countries have continued to request readiness support to strengthen their NDAs, develop country programmes and support direct access, the Secretariat saw an increasing number of new requests in 2017 on strategic frameworks for the identification of programmes and projects that advance national priorities and align with the results management framework of the GCF, and expects to see such requests increase in 2018.
4. Based on the projected needs of and emerging demand from countries, table 4 below presents an estimate of the Readiness and Preparatory Support Programme's resource requirements for 2018.

Table 4: Indicative projections of readiness requests in 2018 by type of activity

Readiness activities	Requests			Projected disbursements
	Number	Estimated average value (USD)	Total (USD)	
Adaptation planning/programming	45	3,000,000	135,000,000	37,000,000
National designated authority support, including the development of country programmes	80	300,000	24,000,000	7,535,000
Strategic frameworks for GCF programming, including B.14 mandates on REDD-plus and technology	50	400,000	20,000,000	5,310,000
Capacity-building support to accredited direct access entities	20	300,000	6,000,000	2,600,000

Accreditation support to potential direct access entities	40	40,000	1,600,000	835,000
Structured dialogues and other knowledge-sharing/learning activities	25	276,000	6,900,000	6,900,000
Total	260	744,230	193,500,000	60,180,000 (31%)

Abbreviation: B.14 = fourteenth meeting of the Board.

5. While in 2017, some of the early ready readiness activities would have reached completion, in 2018, readiness activities in several more countries will reach completion. Thus, close monitoring of the activities will be necessary to ensure that the results of the activities funded are achieved, and more importantly, the lessons learned and best practices are harvested and shared with other countries. During the latter half of 2017, the Secretariat would have also gained valuable lessons from monitoring readiness activities funded, and a key task would be to develop more proactive guidance for countries in early 2018 to enable more effective implementation of activities.

6. The Secretariat expects that the independent evaluation of the Programme scheduled to be carried out in the latter half of 2017 will provide recommendations that will enable the Programme to improve its efficiency and effectiveness. A key area of focus for the Secretariat will be to implement the recommendations emerging from the independent evaluation in a systematic manner during the course of 2018.

7. With the transition to automation expected to be completed in 2017, the Secretariat expects the Programme to move to fully automated processes and performance tracking in 2018. As it is still new to many users, the Secretariat will plan to systematically educate users and also make improvements to the system with experience gained. A key task in 2018 will be to systematically also make data and information on the Programme available to countries and to wider stakeholders on a real-time basis where available thus further improving the transparency of the Programme.

8. The Secretariat will continue its efforts under the Programme to strengthen knowledge-sharing and learning, as well as to strengthen the strategic and proactive approach to pipeline-building through the structured dialogues and events focusing on direct access entities. Furthermore, the Secretariat will also consider organizing some of these events with a thematic focus to also foster learning across regions. Such themes would be explored further during the latter half of 2017.

Annex III: Readiness and preparatory support pipeline by region as at May 2017

Region	Country	Activity	Amount (USD)	Duration (months)
Africa	Burkina Faso	Strategic frameworks	342,815	18
	Burundi	NDA strengthening and country programme	500,000	24
	Cameroon	NDA strengthening and country programme	300,000	12
	Central African Republic	Strategic frameworks	328,020	18
	Congo	Strategic frameworks	820,000	12
	Democratic Republic of the Congo	Adaptation planning	2,999,646	36
		Entity support	700,000	18
		Entity support	349,965	24
	Equatorial Guinea	Strategic frameworks	398,764	24
		NDA strengthening and country programme	300,000	12
		Adaptation planning	50,000	4
	Gabon	Adaptation planning	50,000	4
	Guinea-Bissau	NDA strengthening and country programme	300,000	12
	Kenya	Adaptation planning	3,000,000	36
	Madagascar	NDA strengthening and country programme	300,000	12
		Adaptation planning	2,994,276	36
	Malawi	NDA strengthening and country programme	300,000	24
	Morocco	Entity support	300,000	24
		Entity support	370,000	9
	Mozambique	NDA strengthening and country programme	300,000	36
	Namibia	NDA strengthening and country programme, entity support	300,000	24
	Niger	NDA strengthening and country programme	300,000	18
		Adaptation planning	3,000,000	36
Seychelles	NDA strengthening and country programme	300,000	13	
	Entity support	756,987	24	
Sierra Leone	NDA strengthening and country programme	300,000	12	
South Africa	Entity support	380,000	24	
South Sudan	NDA strengthening and country programme	300,000	18	
United Republic of Tanzania	Adaptation planning	3,000,000	36	
Zimbabwe	Strategic frameworks	983,174	6	
Asia Pacific	Cook Islands	NDA strengthening and country programme, entity support	694,900	24

Region	Country	Activity	Amount (USD)	Duration (months)
	Indonesia	NDA strengthening and country programme	300,000	12
	Jordan	NDA strengthening and country programme	300,000	18
	Kazakhstan	NDA strengthening and country programme	300,000	12
	Lao People's Democratic Republic	NDA strengthening and country programme	300,000	12
	Maldives	NDA strengthening and country programme	300,000	12
	Marshall Islands	NDA strengthening and country programme	300,000	12
		Adaptation planning	2,969,670	36
	Mongolia	Strategic frameworks	382,500	12
		Strategic frameworks	350,000	6
		Strategic frameworks	338,680	12
	Myanmar	NDA strengthening and country programme	300,000	18
	Pakistan	Adaptation planning	3,000,000	36
	Samoa	Strategic frameworks	77,743	6
	Tajikistan	NDA strengthening and country programme	300,000	18
	Viet Nam	NDA strengthening and country programme	299,711	24
	Antigua and Barbuda	Adaptation planning	3,000,000	36
		Entity support	265,000	24
	Argentina	Adaptation planning	2,932,426	36
		NDA strengthening and country programme	300,000	24
	Chile	Strategic frameworks	700,000	12
	Colombia	NDA strengthening and country programme	380,000	12
		Adaptation planning	2,683,977	30
	Dominica	NDA strengthening and country programme	487,410	24
	Dominican Republic	Adaptation planning	2,112,239	36
	Ecuador	Adaptation planning	3,000,000	36
	Grenada	NDA strengthening and country programme	372,900	18
	Haiti	NDA strengthening and country programme	300,000	12
	Uruguay	Adaptation planning	2,998,380	36
		Adaptation planning	2,936,914	48
Eastern Europe	Armenia	NDA strengthening and country programme	300,000	24
	Bosnia and Herzegovina	Adaptation planning	3,000,000	36
		TOTAL	60,856,097	-