

# Readiness Proposal

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**with Sultan Qaboos University for the Sultanate of Oman**

10 March 2017 | Country Programming & Entity Support



**GREEN  
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# Readiness and Preparatory Support Proposal

## How to complete this document?

- A [readiness guidebook](#) is available to provide information on how to access funding under the GCF Readiness and Preparatory Support programme. It should be consulted to assist in the completion of this proposal template.
- This document should be completed by National Designated Authorities (NDAs) or focal points with support from their delivery partners where relevant.
- Please be concise. If you need to include any additional information, please attach it to the proposal.
- Information on the indicative list of activities eligible for readiness and preparatory support and the process for the submission, review and approval of this proposal can be found on pages 11-13 of the guidebook

## Where to get support?

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

### Note: Environmental and Social Safeguards and Gender

Throughout this document, when answering questions and providing details, please make sure to pay special attention to environmental, social and gender issues, in particular to the situation of vulnerable populations, including women and men. Please be specific about proposed actions to address these issues. Consult page 4 of the readiness guidebook for more information.

SECTION 1: SUMMARY	
<b>1. Country submitting the proposal</b>	<p>Country name: <b>Sultanate of Oman</b>            Name of institution (representing National Designated Authority or Focal Point): <b>Ministry of Environment and Climate Affairs</b>            Name of official: <b>Mr. Ibrahim Ahmed Al Ajmi</b> Position: <b>General Director</b>            Telephone: +(968) 24 40 47 91 Email: <b>sajad95@hotmail.com</b>            Full Office address: <b>Ministry of Environment and Climate Affairs P.C. : 100</b>            P.O. Box : 323, Muscat, Sultanate of Oman</p>
<b>2. Date of initial submission</b>	26/10/2016
<b>3. Last date of resubmission (if applicable)</b>	13/02/2017
<b>4. Which entity will implement the Readiness and Preparatory Support project? (Provide the contact information if entity is different from NDA/focal point)</b>	<p><input type="checkbox"/> National Designated Authority <input checked="" type="checkbox"/> Delivery partner <input type="checkbox"/> Accredited entity            Name of institution: Center of environmental Studies and Research, Sultan Qaboos University            Name of official: <b>Dr. Yassine Charabi</b> Position: <b>Director</b>            Telephone: <b>+(968) 96 44 93 08</b> Email: <b>yassine@squ.edu.om</b>            Full Office address: <b>Po. Box 17. Pc 123, Al-koudh, Muscat Sultanate of Oman</b></p>
<b>5. Title of the Readiness and Preparatory Support Proposal</b>	<p>1-Strategic frameworks for engagement with the Fund, including the preparation of country programmes            2-Selection of implementing entities or intermediaries, and support for accreditation</p>
<b>6. Brief summary of the request (200 words)</b>	<p>The Sultanate of Oman occupies the southeastern corner of the Arabian Peninsula. The country encompasses an area of about 309,500 km<sup>2</sup>, and is characterized by a diverse range of topography including mountain ranges, arid deserts and fertile plains. Even though Oman is an arid region, due to its complex topography, the country has a number of local climates ranging from hyper-arid conditions in the Empty Quarter and along coasts and plains, to arid conditions in foothills and highlands, to semi-arid conditions along the slopes and summits of the Hajar Mountains in the north.</p> <p>The threat from the potential impacts of climate change in the Sultanate has growing with the recent tropical cyclones that had affected the country and caused loss of life and substantial damage throughout the coastal areas of Oman. Most recently, in June 2007, the super cyclone Gonu tracked into the Sea of Oman. This cyclone is the strongest on record in the Arabian Sea, with 900 mm of rain falling on a single day (5 June 2007) and average wind speeds reaching about 130 km/h. 50 people were killed because of Gonu in Oman, with damages of about \$4.2 billion. Three years later, on 4 June 2010, the cyclone Phet made landfall in Oman, dropping 450 mm over northeastern Oman. In Oman, 24 people died with damages of about \$0.8 billion. Intensity of tropical cyclones and severity of their impact may increase in future warmer climate. Further, sea-level rise and threats to a long coastline and habitations.</p> <p>As a rapidly growing country with a high rate of growth, Sultanate of Oman envisages to pursue its development goals following a low-carbon economy and climate resilience pathway. Sultanate of Oman has been actively pursuing both international and national action on combating climate change. The government</p>

	<p>has started to place climate change related issues at the core of its development plans and in addition to putting in place for various adaptation strategies. At International level, Oman has submitted their Intended Nationally Determined Contribution (INDC) to UNFCCC, aiming to reduce their GHG emission by 2% (88714 Gg) during the period from 2020 to 2030. At the national level, process is in place to implement plans and programmes leading directly or indirectly to tackling climate change.</p> <p>In order to implement the national plans and programmes, for Sultanate of Oman, there will be a need for significant resources. Attracting international climate financing on a sufficient scale is a challenge, which is because of constantly changing landscape of climate finance and the limited institutional capacity at different levels to leverage, utilize and monitor emerging climate finance opportunities. Therefore, Sultanate of Oman needs to strengthen institutional capacities to manage Green Climate Fund, including the capacity to develop strategic frameworks, to identify implementing entities at various levels along with capacity development including a pipeline of potential projects/programmes aligned with country objectives and investment criteria of the Green Climate Fund.</p>
<p><b>7. Total requested amount and currency</b></p>	<p>US\$ 300,000</p>
<p><b>8. Anticipated duration</b></p>	<p>01/04/2017 – 31/03/2018 (12 Months)</p>
<p><b>9. Is the country receiving other Readiness and Preparatory Support related to the GCF?</b></p>	<p><input checked="" type="checkbox"/> No</p> <p>If yes, please attach the relevant scope of work, and briefly (100 words) describe the scope of support provided by other institutions</p>

## SECTION 2: COUNTRY READINESS LOGICAL FRAMEWORK

Please complete the table below, which enables a country to assess its readiness for the GCF and set targets for strengthening its readiness, including proposed outputs and activities to improve the country's readiness. For further guidance on completing the table, please refer to the guidebook "Accessing the GCF Readiness and Preparatory Support Programme".

OUTCOMES <sup>1</sup>	BASELINE	TARGET	ACTIVITIES <i>(including key outputs or deliverables where applicable)</i>
<b>1. Country capacity strengthened</b>	<b>0-8</b>	<b>0-8</b>	
1.1 NDA/focal point lead effective coordination mechanism	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2	Strengthening institutional capacities so that the NDA or focal point can effectively fulfil its role.
1.2 No objection procedure established and implemented	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2	Some elements of no objection procedure exist now, will established and implemented.
1.3 Bilateral agreements between the country and the GCF executed	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	At the moment discussion on bilateral agreements not advanced, efforts will be made to advance such agreements.
1.4 Monitoring, oversight and streamlining of climate finance	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	Currently, some sources of internal and external climate finance is being monitored, mechanism and streamlining is required.
<b>2. Stakeholders engaged in consultative processes</b>	<b>0-8</b>	<b>0-8</b>	
2.1 Stakeholders engaged in consultative processes	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2	Some stakeholders being consulted on ad hoc basis but stakeholders will be engaged in consultative process.
2.2 Country programmes, including adaptation priorities, developed and continuously updated	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2	Now no country programme developed, this project will provide an opportunity to establish consultation procedures.
2.3 Stakeholder consultations conducted with equal representation of women	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	Gender equality measures will be considered in part of consultation through the readiness support program.
2.4 Annual participatory review of GCF portfolio in the country organized	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	Processes for the annual participatory review will be developed.
<b>3. Direct access realized</b>	<b>0-8</b>	<b>0-8</b>	
3.1 Candidate entities identified and nominated for accreditation	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	Now, no direct access entities are nominated for accreditation, this project will start process of identifying the direct entities to be nominated.
3.2 Direct access entity accredited	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	Nomination of direct access entity will be identified and streamlined.
3.3 Entity/ies annual/multi-annual work programme developed	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	Development of the annual work programme initiated but not submitted to GCF, it will be done through the readiness support.

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

2016

3.4 Funding proposals through enhanced direct access modality approved	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	EDA funding proposals will be developed and submitted through the support of readiness program.
<b>4. Access to finance</b>	<b>0-8</b>	<b>0-8</b>	
4.1 Structured dialogue between the NDA/Accredited Entities and the GCF Secretariat organized	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	Dialogues exist between NDA and some entities, process will be activated and streamlined with the support of readiness program.
4.2 Country programmes, concept notes, including on adaptation, developed that implement high-impact priorities identified in INDCs and other national strategies or plans	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	Now, no country program developed country programmes will be developed and submitted to GCF.
4.3 Project/programme preparation support, including for adaptation, to develop funding proposals provided	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	Proposal for project preparation support including project preparation facility will be submitted to GCF through the support of readiness program.
4.4 Funding proposals, including for adaptation, that are aligned with country priorities approved	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	Funding proposals aligned with the country priorities will be developed and submitted to GCF through the support of readiness program.
<b>5. Private sector mobilization</b>	<b>0-8</b>	<b>0-8</b>	
5.1 Private sector engaged in country consultative processes	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	Some private sector actors are engaged in some consultative processes will be streamlined and activated through the support of readiness program.
5.2 Enabling environment for crowding-in private sector investments at national, regional and international levels exists	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	Some private sector investments seen recently by the international entities, through this program, local entities will be identified and streamlined.
5.3 Funding proposals for private sector projects/programmes, including for adaptation, approved	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	Funding proposals from the private sectors will be developed and submitted through the support of readiness program.
5.4 Funding proposals under the Private Sector Facility programmes (small- and medium-sized enterprises and mobilizing funds at scale) submitted and approved	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	Some private entities funding proposals will be developed and submitted through the support of readiness program.
<b>TOTAL</b>	<b>0-40</b>	<b>0-40</b>	

### SECTION 3: ADDITIONAL INFORMATION

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

The Sultanate government has delegated the Ministry of Environment and Climate Affairs (MECA) for the coordination of Green Climate Fund (GCF). Therefore, the MECA acts as a main National Designated Agency (NDA) and is working in close cooperation with other Ministries namely Ministry of Regional Municipalities and Water Resources, Ministry of Agriculture and Fisheries and the Diwan of Royal Court etc. in order to integrate the climate change considerations in the country's development strategy.

The government of Sultanate has developed few policies and programmes at the National level as well as some of the programs are under process of development to address climate change adaptation and mitigation though most are in the early stages of implementation due to inadequate resources and limited capacity. It is pertinent to have access of funding on the scale required to address Sultanate's adaptation and mitigation needs and the challenges for the Sultanate is the limited institutional capacity at different levels to manage, monitor and utilize GCF related activities. Given the opportunity and the importance of early actions to benefit from funds like 'Green Climate Fund', the preparatory and the readiness activities in the Sultanate need to begin on urgent basis.

The GCF's readiness program support to NDA in the Sultanate will help enable NDA to plan, access, mobilise, disburse, and track GCF related activities in the country. Through awareness raising of the Fund's guidelines and procedures, engagement on country program, and capacity to coordinate multiple stakeholders, the NDA will also be able to identify and guide other interested entities to identify, plan and execute projects programmes with support from the GCF. In order to more efficiently utilize various opportunities under the GCF program with the involvement of concerned stakeholders at the national and governorate level, the MECA needs to; develop strategic frameworks for engagement with the Fund, engage with regional, national and governorate level institutions, initiate pipelines for projects and proposals development along with enhancing the capacity of NDA's human resources to support the objectives of GCF.

It is important to highlight that staff at the Ministry of Environment and Climate Affairs (MECA) involved in carrying out multiple responsibilities through other programs in addition to acting as focal points for number of funding and projects with implementing partners. Therefore, there will limited human resources for dedicated support to coordinate across the National and governorate level entities in the Sultanate. The readiness proposal will therefore support human resource development, raise the awareness level of the financial sector and provide technical assistance for the NDA to strengthen its capacity to effectively engage with the GCF, support stakeholder coordination and engagement, and provide overall monitoring and oversight of the GCF related activities at the country level.

On the other hand, the FP/NDA lacks human capacity to review and compile national climate policies and programs in order to establish the country strategic framework, which will be a basis for the cooperation between the Government of Sultanate and the Fund. Readiness support will then allow the FP/NDA to set and implement the required mechanisms and environment that will promote proper nominations of potential implementing entities and submission of project proposals.

The readiness proposal also seeks to support development of a country programme by identifying strategic investment priorities for GCF funding through a consultative process. The country program will



reflect the priorities identified in the national climate policy. Furthermore, the NDA requires capacity to coordinate across the diverse sub-national socio-economic contexts including multiple groups to identify potential priority projects and intended funding support from the GCF. Through the Country Programme, the readiness support will therefore facilitate the identification of specific programme priorities; will eventually translate into full projects with sound business models and financing structures that will facilitate tapping into the financial resources available in the private sector as well.

Lastly, in order to avoid duplication or overlap of GCF related readiness activities, the FP/NDA (MECA) will be cooperating with the Center for Environmental Studies and Research (CESAR) at the Sultan Qaboos University (SQU) plan for implementation of the activities presented in this proposal in a manner that is complementary with previous or ongoing activities.



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

OUTCOMES (same as in section 2)	ACTIVITIES (same as in section 2)	TOTAL COST (per activity)	COST CATEGORIES				EXPENDITURE AND IMPLEMENTATION SCHEDULE (add columns if >24 months)			
			Consultants	Travel	Workshops/ Trainings	Others	6m	12m	18m	24m
1. Country capacity strengthened	1.1 NDA/focal point lead effective coordination mechanism	16,625	15,625	0	1000	0	16,625			
	1.2 No objection procedure established and implemented	16,625	15,625	0	1000	0	16,625			
	1.3 Bilateral agreements between the country and the GCF executed	16,625	15,625	0	1000	0	16,625			
	1.4 Monitoring, oversight and streamlining of climate finance	16,625	15,625	0	1000	0	16,625			
2. Country Program Development	2.1 Stakeholders engaged in consultative processes	29,651	28,651	0	1000	0		29,651		
	2.2 Country programmes, including adaptation priorities, developed and continuously updated	29,651	24,651	4,000	1000	0		29,651		
	2.3 Stakeholder consultations conducted with equal representation of women	29,651	28,651	0	1000	0		29,651		
	2.4 Annual participatory review of GCF portfolio in the country organized	23,155	22,155	0	1000	0		23,155		
	2.5 Country programmes, concept notes, including on adaptation, developed that implement high-impact priorities identified in INDCs and other national strategies or plans	46,969	41,969	4,000	1000	0		46,969		
	2.6 Private sector engaged in country consultative processes	46,423	45,423	0	1000	0		46,423		
<b>CONTINGENCY (UP TO 5%)</b>		1000	1000	0	0	0	500	500		



**READINESS AND PREPARATORY SUPPORT  
PROPOSAL TEMPLATE**

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<b>PROJECT MANAGEMENT COSTS (UP TO 10%)</b>		27,000	27,000	0	0	0	13,500	13,500		
<b>TOTAL</b>		300,000	282,000	8,000	10,000	0	80,500	219,500		

**Procurement plan**

The following table provides, the procurement plan:

#	General Description	Contract value (US\$)	Number of Consultants	Recruitment Method	Date of Advertisement	Comments
1	Project Manger (12 Months)	27,000	1	Competitive bidding based on RFP issued to nominated experts. Evaluation by a committee consisting of the NDA and CESAR	May 2017	Invitation to be sent to national experts who will be nominated by various ministries of Oman government and the chamber of commerce
2	Local consultants (10 Months for each local consultants).  Local consultant will be highly qualified with PhD degree, having experience of more than 10 years in the filed of energy, industries, climate change, climate finance, stakeholders engagement, legislation and policy	240,000	5		May 2017	
3	International consultants (2 Months for one international consultant)	15,000	1		May 2017	
4	Travel	8,000		All travels and trips, receive the appropriate approvals, to ensure that expenditures are necessary, prudent, and as economical as possible. Personnel involved in the project undergo approvals, stay within established spending limits, and comply with other requirements established in travel policy.		Sultan Qaboos University, has a travel and ticketing department Under the Directorate of Procurement. The Travel and ticketing department arrange flights booking based on lowest cost and most direct route.
5	Venue and Workshops	10,000		Access to Sultan Qaboos University facilities		Sultan Qaboos University has a well equipped facilities for holding meeting and workshops. For each event the University charges 1000 USD including snacks and working lunch etc..

- In addition, Sultan Qaboos Univesity/CESAR, will make arrangement for Visa and accommodation for free for the international consultants.
- Detailed Terms of Reference for the various tasks, which will be subcontracted during the preparatory phase, will be developed under the guidance of the NDA to include the tasks outlined in this proposal. Items such as venues and travel for stakeholder workshops to be organized will also be procured consistent with SQU's procurement rules and regulations.
- For managing the financial and human resources of the project Vision Financial System will used.



**Disbursement schedule**

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

The disbursement will be made to the Delivery Partner (CESAR) in two instalments

- The first disbursement, which amounts **US\$150,000** will be transferred upon approval and signing the contract with NDA.
- The second disbursement of **US\$100, 000** will be transferred upon submission of an interim progress report and financial report.
- A final disbursement of **US\$ 50,000** upon submission of the final completion report and the audit report.

**Additional information**

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

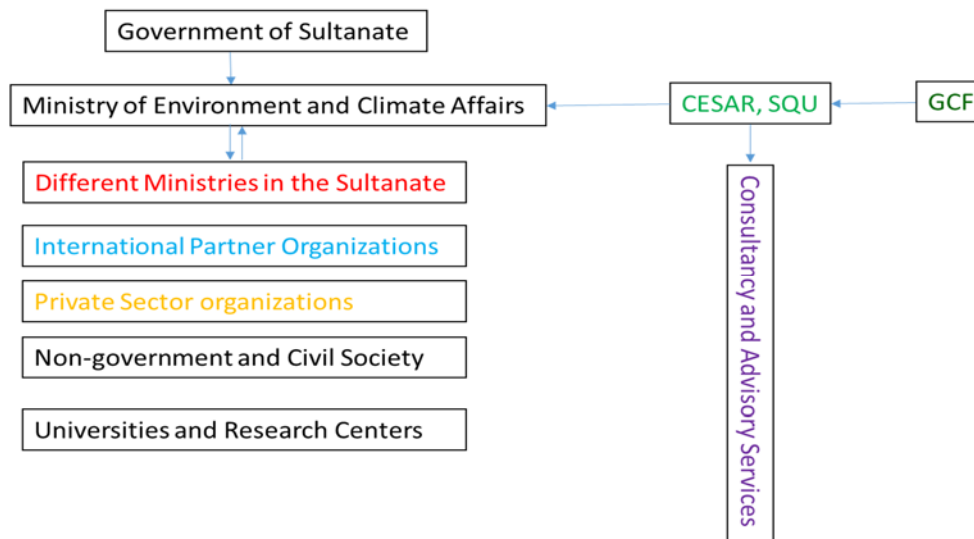
**SECTION 5: IMPLEMENTATION ARRANGEMENTS AND OTHER INFORMATION**

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

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

The GCF’s readiness and preparatory program support in all requested areas will be implemented through the Center for Environmental Studies and Research (CESAR) at the Sultan Qaboos University (SQU) under the delegated leadership and guidance of the National Designated Authority/Focal Point i.e. Ministry of Environment and Climate Affairs (MECA), Muscat, Sultanate of Oman. The following diagram shows the institutional framework for Sultanate’s GCF Readiness and Preparatory support.

**GCF’s Readiness and Preparatory Support will have following Institutional Arrangements for timely execution**



Other relevant information

### RISK AND MITIGATION MEASURES

- Coordination with multiple ministries and other stakeholders may cause delay. However, it is expected that Formation of Committees with the participation of all the stakeholders will ensure coordination and timely delivery of outputs.
- There might be some exchange rate risks due to the financial/economic dependency of the country on oil prices at the global market. Therefore, the Delivery Partner shall receive the GCF funding and plan activities based on the exchange rate of the fund remittance date.
- There might be delay in identifying priority project/programmes for consideration of the GCF. However, coordinated efforts will be made to enhance the awareness on GCF modalities and support states in identifying quality projects/programmes.
- The delivery partner will be liable to the GCF for the implementation of the approved activities and delivery of proposed outcomes. Should exchange rate fluctuations become an obstacle, in such cases, the delivery partner will provide evidence and justifications for substantive alterations to the approved implementation plan.