

**Annex III:** Appendices Volume I and II to the Independent Evaluation of the Green Climate Fund's Readiness and Preparatory Support Programme by the Independent Evaluation Unit.



**APPENDICES VOLUME I & II**  
**THE INDEPENDENT EVALUATION**  
**OF THE GREEN CLIMATE FUND'S**  
**READINESS AND PREPARATORY**  
**SUPPORT PROGRAMME**

*OCTOBER 2018*

Final report



**GREEN  
CLIMATE  
FUND**

Independent  
Evaluation  
Unit

TRUSTED **EVIDENCE.**  
INFORMED **POLICIES.**  
HIGH **IMPACT.**



## APPENDICES VOLUME I

### CONTENTS

Appendix I: Timeline of key events in the GCF and RPSP .....	4
Appendix II: Readiness activities.....	8
Appendix III: Complete methodology .....	13
Appendix IV: Work plan.....	27
Appendix V: Theory of Change .....	29
Appendix VI: Evaluation matrix .....	42
Appendix VII. Selected data on RPSP implementation.....	47
Appendix VIII: Principal findings from the meta-analysis and benchmarking exercise .....	62
Appendix IX: Supporting materials – Country ownership.....	86
Appendix X: Supporting materials – Effectiveness .....	88
Appendix XI: Cross-cutting – Gender .....	104
Appendix XII: Supporting materials – Efficiency .....	110
Appendix XIII: RPSP grants process maps (18 July 2017) .....	116
Appendix XIV: RPSP improvement measures of the Secretariat .....	120
Appendix XV: Survey results .....	121
Appendix XVI: List of documents consulted.....	143
Appendix XVII: List of stakeholders consulted.....	162
Appendix XVIII: Terms of Reference .....	176

## APPENDICES VOLUME II

Contents.....	186
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## APPENDIX I: TIMELINE OF KEY EVENTS IN THE GCF AND RPSP

YEAR	GREEN CLIMATE FUND	READINESS AND PREPARATORY SUPPORT PROGRAMME
2010	(December) The sixteenth session of the United Nations Framework Convention on Climate Change (UNFCCC) in Cancun (COP 16) decides to establish a Green Climate Fund (GCF), to be designated as an operating entity of the financial mechanism of the Convention under Article 11.	
2011	(December) COP 17 in Durban, South Africa, adopts the Governing Instrument of the Green Climate Fund, designates the World Bank to serve as the Interim Trustee of the GCF, and requests the UNFCCC and Global Environment Facility (GEF) secretariats to provide administrative arrangements for the Interim Secretariat of the GCF, as an autonomous unit with the UNFCCC Secretariat premises.	
2012	(B.1. 23–25 August) The first meeting of the Green Climate Fund Board takes place in Geneva, Switzerland. (B.2. 18–20 October) The second meeting of the Board, held in Songdo, Republic of Korea, selects the Republic of Korea to host the GCF Secretariat. (15 November) The heads of the UNFCCC and GEF secretariats appoint Mr. Ajay Mathur – Director General of the Bureau of Energy Efficiency of the Government of India – as head of the Interim Secretariat.	
2013	(B.4. 26–28 June) The Board selects Hela Cheikhrouhou as the first Executive Director of the GCF Secretariat. A Tunisian national, she is currently Director of the Energy, Environment and Climate Change Department at the African Development Bank (AfDB). She started work on 9 September 2013. (28 June) The Board calls for nominations from developing countries of National Designated Authorities (NDAs) or Focal Points (FPs), to help ensure that country ownership and a country-driven approach are core operational principles of the GCF. (B.5. 8–10 October) The Board agrees on a roadmap to mobilize resources for the GCF. (4 December) The permanent headquarters of the GCF are officially open for business in Songdo.	(B.3. 13–15 March) The Board adopts modalities for readiness and preparatory support and decides to explore options for making short-term progress on readiness, including the initiation of work on operationalizing a readiness phase. This included identifying and engaging with existing initiatives and programmes on readiness and preparatory support, in order to enhance learning and ensure coherence. (B.5. 8–10 October) The Board decides that the GCF will provide readiness and preparatory support to: <ul style="list-style-type: none"> <li>• Enable the preparation of country programmes;</li> <li>• Strengthen in-country, GCF-related institutional capacities; and</li> <li>• Enable implementing entities to meet the fiduciary standards and environmental and social safeguards of the GCF.</li> </ul>
2014	(B.6. 18–21 February) The Board reaches agreement on key parameters and guidelines for allocating its resources during its initial phase: <ul style="list-style-type: none"> <li>• A 50:50 balance between mitigation and adaptation over time;</li> <li>• A floor of 50 per cent of the adaptation allocation for particularly vulnerable countries, including Least Developed Countries (LDCs), Small Island Developing States (SIDS), and African States;</li> <li>• A significant allocation to the Private Sector Facility in order to maximize engagement with the private sector and to provide incentives that encourage a paradigm shift towards low-carbon development; and</li> <li>• To be a leader on gender mainstreaming.</li> </ul>	(B.6. 18–21 February) The Board conceptualizes a detailed work programme on readiness, with four priority activities: <ul style="list-style-type: none"> <li>• Establishing National Designated Authorities/Focal Points (NDA/FPs);</li> <li>• Strategic frameworks, including the preparation of country programmes;</li> <li>• Selection of intermediaries or implementing entities; and</li> <li>• Initial pipelines of programme and project proposals.</li> </ul> The Board allocates USD 1 million to the Secretariat to prepare a detailed programme of work on readiness.

YEAR	GREEN CLIMATE FUND	READINESS AND PREPARATORY SUPPORT PROGRAMME
	<p>(B.7. 18–21 May) The Board reaches agreement on key frameworks to support its initial resource mobilization, including (i) a results management framework, (ii) the initial proposal approval process, (iii) the guiding framework and procedures for accrediting entities, and (iv) the financial risk management and investment frameworks of the GCF.</p> <p>(18–21 July) The GCF launches its initial contribution process with two days of discussions in Oslo, Norway, between senior officials from 24 developed and developing countries interested in contributing to the GCF, and holds discussions on policies for contributions.</p> <p>(B.8. 14–17 October) The Board approves policies for receiving contributions and for accrediting the organizations through which it will disburse funds. The Board also decides only to consider funding proposals that are submitted with a formal letter of “no objection”, to ensure consistency with national climate strategies and plans, and with country-driven approaches.</p> <p>(17 November) GCF Secretariat opens its online accreditation system for national and international entities.</p> <p>(20 November) The GCF concludes its first Pledging Conference in Berlin, Germany, with governments pledging a total of up to USD 9.3 billion equivalent. Pledges were made by 21 countries, including contributions from four developing countries.</p> <p>(December) Pledges from five more countries bring the total to USD 10.2 billion.</p>	<p>(May) GCF Secretariat issues the first version of the Readiness and Preparatory Support Programme (RPSP) proposal template.</p> <p>(B.8. 14–17 October) The Board reaffirms that GCF-related readiness and preparatory support is a strategic priority for the GCF to enhance country ownership and access during the early stages of its operationalization, and may help countries to meet GCF objectives. Funding for the RPSP will be used to support activities including:</p> <ul style="list-style-type: none"> <li>• Supporting NDAs/FPs;</li> <li>• Developing strategic frameworks for national engagement with the GCF;</li> <li>• Enabling regional, national and sub-national institutions to meet the accreditation standards of the GCF; and</li> <li>• Supporting the development of initial pipelines of programme and project proposals.</li> </ul> <p>The Board also decides:</p> <ul style="list-style-type: none"> <li>• That all developing countries will have access to readiness support with at least 50 per cent of readiness support allocated to particularly vulnerable countries, including SIDS, LDCs and African states;</li> <li>• That readiness commitments will be limited to USD 1 million per country per calendar year, including up to USD 300,000 to help establish an NDA/FP; and</li> <li>• To allocate USD 15 million for the Readiness Programme, and an additional USD 14 million after receipt of the next semiannual report.</li> </ul>
2015	<p>(B.9. 24–26 March) The Board approves the first seven Accredited Entities (AEs), including the Asian Development Bank (ADB), KfW Development Bank, the United Nations Development Programme (UNDP), and four regional and national Direct Access Entities (DAEs).</p> <p>(21 May) GCF receives paid-in contributions equal to 58.5 per cent of amounts pledged in November 2014, thereby passing the 50 per cent threshold for declaring the GCF “effective” and enabling it to approve its first projects before the Paris Climate Summit.</p> <p>(B.11. 2–5 November) The Board approves the first eight investments before the Paris Climate Summit – USD 168 million of GCF funding for projects and programmes worth USD 624 million.</p> <p>(November) COP 21 in Paris passes the landmark international climate agreement, with the GCF as the dedicated operating entity of its financial mechanism.</p>	<p>(May) The GCF Secretariat issues the second version of the RPSP proposal template.</p> <p>(B.10. 6–9 July) The Board:</p> <ul style="list-style-type: none"> <li>• Recognizes the importance of enhancing country ownership, country drivenness and the role that NDAs can play in this regard;</li> <li>• Affirms that all efforts should be made to strengthen the role of NDA/FPs: <ul style="list-style-type: none"> <li>– in the formulation of country programme/project pipelines, the consideration of implementation partners, and financial planning;</li> <li>– in monitoring and providing feedback regarding the impact of GCF operations within countries; and</li> <li>– in the coordination of the engagements of the GCF within countries.</li> </ul> </li> <li>• Reaffirms the RPSP as a mechanism for enhancing country ownership.</li> </ul> <p>(B.11. 2–5 November) The Board reaffirms that the RPSP may support a voluntary country-driven national adaptation planning process.</p>
2016	<p>(B.12. 8–10 March) The Board adopts the first Strategic Plan of the GCF, its Work Plan for 2016, and the accreditation of 13 new entities. The Strategic Plan sets out the vision of the GCF, its operational priorities, and an action plan to be implemented by 2018. It links the GCF to the Paris Agreement, and reconfirms the importance of the RPSP.</p>	<p>(B.13. 28–30 June) The Board adopts a revised indicative list of activities that the Readiness Programme can support. These include:</p> <ul style="list-style-type: none"> <li>• Establishing and strengthening NDA/FPs;</li> <li>• Strategic frameworks, including the preparation of country programmes;</li> <li>• Support for accreditation and accredited DAEs;</li> </ul>

YEAR	GREEN CLIMATE FUND	READINESS AND PREPARATORY SUPPORT PROGRAMME
	<p>(B.13. 28–30 June) The Board decides that Mr. Javier Manzanera, the current Chief Financial Officer and Director of Support Services, will serve as Executive Director ad interim when H��la Cheikhrouhou’s term concludes on 29 August.</p> <p>(B.14. 12–14 October) The Board selects Howard Bamsey as the second Executive Director of the GCF Secretariat. An Australian national, he is the former Director-General of the Global Green Growth Institute.</p>	<ul style="list-style-type: none"> <li>• Information-sharing, experience exchange and learning; and</li> <li>• Formulation of national adaptation plans and/or other adaptation planning processes.</li> </ul> <p>The Board also decides to defer the independent evaluation of the RPSP to 2017.</p> <p>(28 July) The GCF Secretariat issues the third version of the RPSP proposal template, including a logical framework of intended outcomes.</p> <p>(B.15. 13–15 December) The Board decides to allocate an additional USD 50 million for the execution of the RPSP.</p>
2017	<p>(B.17. 5–6 July) To this date, the GCF Board has approved USD 2.2 billion in funding for 43 projects to be implemented in 64 countries. The Board considers lessons learned from the initial five rounds of funding proposals and endorses a number of actions to improve the proposal-approval process. Drawing on the experience gained from the initial rounds of funding proposals, the Board also agrees on a number of new policies and guidelines to be developed to strengthen and scale up the pipeline of proposals of the GCF.</p> <p>The Board also approves the accreditation of six new partner organizations, including four national-level DAEs from developing countries, which brings the number of GCF AEs to 59.</p>	<p>(16 June) The GCF Secretariat issues the fourth version of the RPSP proposal template.</p> <p>(B.17. 5–6 July) The Board adopts the “Guidelines for Enhanced Country Ownership and Country Drivenness” (GCF/B.17.14, 30 June 2017).</p> <p>The Board also invites the Independent Evaluation Unit (IEU) to undertake an independent evaluation of the RPSP.</p> <p>(B.18. 30 Sept–2 Oct) The Board approves an additional USD 50 million for the execution of the RPSP.</p>
2018	<p>(B.20. 1–4 July) The Board concludes a difficult and disappointing meeting in which it was not able to add to its portfolio of 76 projects, nor reach consensus on new policies in support of its investment criteria, nor add new partners as AEs. Executive Director Howard Bamsey also steps down at the end of the meeting with immediate effect. The Board begins the process for the appointment of a new Executive Director.</p>	<p>(B.19. 26 February–1 March) The Board:</p> <ul style="list-style-type: none"> <li>• Takes note of the findings of the initial review of the RPSP made by the Secretariat (Dalberg Report);</li> <li>• Approves an additional USD 60 million for the execution of the RPSP; and</li> <li>• Approves the terms of reference for the independent evaluation of the RPSP.</li> </ul>

Sources: GCF Board decisions and press releases.

### Key dates during which the findings of the RPSP were shared with key stakeholders.

Action	Date
Draft Inception report sent to DCP	6-Jul-18
Comments received on draft report from DCP	19-Jul-18
Revised inception report sent back to DCP (with detail responses on how comments were addressed)	30-Jul-18
Second round delayed comments on inception report received from DCP	8-Aug-18
RPSP evaluation draft report sent to DCP	20-Aug-18
Comments received on first evaluation draft report from DCP, OPM and RWG	1-Sep-18
Presentation of evaluation findings to DCP and OPM staff	4-Sep-18
Revised RPSP evaluation report shared with DCP (together with detail responses to the first round of comments) for corrections only on facts	11-Sep-18

Draft RPSP evaluation report circulated to Board members for consultation	11-Sep-18
Second round of comments received from DCP	17-Sep-18
Presentation of evaluation findings to Secretariat SMT	18-Sep-18
Meeting with DCP and OPM senior teams to discuss findings	17-Sep-18
Three webinars on RPSP evaluation findings to Board members and advisors	13-Sep-18
Two webinars on RPSP evaluation findings to CSO observers	19-Sep-18
Follow up with DCP to enquire for any missing factual comments	21-Sep-18
Final copy of report with recommendations sent for posting	24 <sup>th</sup> of September

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## APPENDIX II: READINESS ACTIVITIES

The following are indicative lists of activities to be included in the Readiness Programme.

### From Annex XVI of the Eighth Meeting Report

#### *Activity 1: Establishing and strengthening National Designated Authorities (NDAs) or Focal Points (FPs)*

- Strengthening institutional capacities so that the NDA or FP can effectively fulfil its role;
- Convening stakeholders to identify appropriate NDA or FP 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 GCF activities at country level; and
- Developing and disseminating informational and awareness-raising materials.

#### *Activity 2: Strategic frameworks, including the preparation of country programmes*

- Developing a country programme that identifies strategic priorities for engagement with the GCF, disseminating information and engaging stakeholders in the country programme; and
- Identifying strategic investment priorities and taking stock of existing strategies, policies, and needs assessments, including low-emission development strategies, Nationally Appropriate Mitigation Actions, National Adaptation Plans, and National Adaptation Programmes of Action.

#### *Activity 3: Selection of intermediaries or implementing entities and support for accreditation*

- Raising awareness of the accreditation process of the GCF, 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); and
- Enabling lesson-learning from other institutions that have been through similar accreditation processes.

#### *Activity 4: Initial pipelines of programme and project proposals*

- Identification of programmes and projects that advance national priorities and align with the results management framework of the GCF, including support for ensuring appropriate enabling investment conditions for specific projects or programmes;
- Project and/or programme preparation;
- Risk assessments including technical, institutional, operational, financial, social and environmental components; and
- Identification of programme- and project-level indicators aligned with the results management framework of the GCF, and support for the monitoring and evaluation of impacts.

#### *Activity 5: Information sharing, experience exchange and learning*

- Conducting regional workshops with NDAs or FPs, existing and potential IEs, civil society and other stakeholders to raise awareness of the emerging modalities of the GCF 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.).

### **From Annex XVIII: Updated list of indicative activities eligible for readiness and preparatory support**

*Source:* Readiness and Preparatory Support Guidebook, Version 3.0, 15 June 2017 (from Annex VII, B.13).

Please note that these are indicative examples of activities for consideration. Countries are encouraged to formulate their activities based on their specific needs and as consistent with the objective of the GCF Readiness Programme. This list will be expanded and refined over time, based on learning and experience captured.

#### *Establishing and strengthening NDAs or FPs*

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

- Supporting the appropriate oversight of GCF activities at the national level; and
- Developing and disseminating informational and awareness-raising materials.

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

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

*Support for accreditation and accredited Direct Access Entities*

- Raising awareness of the GCF accreditation process, fiduciary standards and environmental and social safeguards (ESS);
- Understanding the roles of existing institutions and identifying potential AEs;
- Conducting an institutional gap analysis of potential applicants against the fiduciary standards and ESS;
- Developing and implementing a personalized readiness and preparatory support plan that will support applicant institutions to address identified gaps to comply with the fiduciary standards and ESS (may include the development of new policies and procedures);
- Enabling lesson-learning from other institutions that have been through similar accreditation processes; and
- Building the capacity of accredited direct access entities in relation to GCF activities, in areas such as ESS, the GCF gender policy and action plan, and monitoring and evaluation.

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

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



## From Annex 5: Indicative list of activities that can be supported by the Readiness and Preparatory Support Programme

Source: Readiness and Preparatory Support Guidebook, June 2018.

Please note that these are indicative examples of activities that can be considered for Readiness funding. Countries are encouraged to formulate their activities based on their specific needs that are consistent with the objective of the GCF Readiness Programme. This list will be expanded and refined over time, based on learning and experience captured.

### *Establishing and strengthening NDAs or FPs*

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

### *Strategic frameworks, including the preparation of the country programme*

- Developing a country programme that identifies strategic priorities for engagement with the GCF, disseminating information and engaging stakeholders in the country programme;
- Identifying strategic investment priorities and taking stock of existing strategies, policies, and needs assessments, including intended nationally determined contributions, low-emission development strategies, nationally appropriate mitigation actions, national adaptation plans, and national adaptation programmes of action;
- Identifying programmes and projects that advance national priorities and align with the results management framework of the GCF, including support for ensuring an appropriate enabling environment for projects or programmes;
- Developing tools, methods and templates to scale up successful models through programmatic approaches and across geographies;
- In the context of the country programme, formulating concept notes, drawing on intended nationally determined contributions and other climate strategies and plans;

- Activities that would crowd in private and capital market financing for the implementation of the country programme, including providing institutional support to enhance the efficiency of the procurement and tendering processes; and
- Enabling private-sector participation, including by supporting the preparation of preliminary studies, tender documents or advisory services for the establishment of public-private partnerships;

#### *Support for accreditation and accredited Direct Access Entities*

- Raising awareness of the GCF accreditation process, fiduciary standards and ESS;
- Understanding the roles of existing institutions and identifying potential AEs;
- Conducting an institutional gap analysis of potential applicants against fiduciary standards, ESS and gender;
- Developing and implementing a personalized readiness and preparatory support plan that will support Direct Access Entities to address identified gaps, to comply with fiduciary standards, ESS and gender (may include the 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 relation to GCF activities, in areas such as ESS, the GCF gender policy and action plan, and monitoring, reporting and evaluation; and
- Strengthening the institutional capacities of accredited direct access entities through structured trainings, support in developing their entity work programme and strengthening the capacities of sub-national institutions/executing entities.

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

- Countries are encouraged to indicate specific activities of direct relevance to adaptation planning, based on the national context. Countries are further encouraged to refer to the adaptation planning indicative outcomes and outputs in annex III, as well as the adaptation planning review criteria and associated good practices in annex IV of this document.

## APPENDIX III: COMPLETE METHODOLOGY

### Process followed

Early in the inception period, members of the evaluation team met in Songdo, Republic of Korea, to outline the trajectory and approach of the evaluation. Together, team members met with a total of 15 individuals from different divisions across the GCF, and in particular those most familiar with the Readiness and Preparatory Support Programme (RPSP). Additionally, during this stage, the evaluation team held meetings with 31 individuals in Da Nang, Viet Nam, including one Board member and a regional advisor (RA), both from Asia. The evaluation team facilitated one focus group discussion (FGD) with 50 participants (including national designated authorities or focal points [NDA/FPs], delivery partners [DPs], and two Board members), and had brief consultations with several other stakeholders.<sup>1</sup> Additionally, four RAs responded to a series of emails, informing the country sampling approach.

A total of 13 other key experts were consulted throughout the inception process, through face-to-face discussions and phone/videoconferencing. The 13 included relevant staff from the Adaptation Fund (AF), Climate Investment Funds (CIF), Forest Carbon Partnership Facility (FCPF), Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ), United Nations Development Programme (UNDP), Global Environment Facility (GEF), United Nations Environment Programme (UNEP) and the World Bank. These early meetings and consultations were pursued with the intention of informing our understanding of the evaluation's purpose and of stakeholder priorities and aspirations for this mandate, discussing our methodological approach, and developing the questions contained within the evaluation matrix and the sampling approach used.

A preliminary document review was also conducted which included Board decisions; reports and discussions; relevant audits and evaluations (including the Dalberg Global Development Advisors report); readiness completion reports; readiness midterm progress reports; readiness proposals; country programme briefs; readiness portfolio reports and readiness templates. The evaluation team also developed, refined and drew upon an Independent Evaluation Unit (IEU) database of the GCF readiness portfolio, in preparation for a comprehensive examination of the RPSP.

The preliminary document and portfolio review served an evaluability function, informing our team about the documents and data available for this review. It enabled our team to better understand the RPSP, as well as its components and its relevance to the GCF and stakeholders; it also gave a first insight into the strengths and limitations of the RPSP (e.g. on matters of country ownership, consultation and approval processes). This preliminary document review was key to informing the proposed sample for country missions.

### Guiding principles

This evaluation has been underpinned by a series of principles, each of which is discussed below.

#### *Utilization-focused*

Given the learning orientation of this evaluation, the evaluation team adopted a utilization-focused approach and framework, with the main objective of being useful to its intended users in terms of providing learning, informing decision-making and improving performance overall. This approach responds to the clear priority, as expressed in the Terms of Reference (TOR), that this is to be a

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<sup>1</sup> In this report, the notion of “stakeholder” will be used to designate any party that can affect or be affected by the GCF, and which has a stake in the implications of this being done.

“learning-oriented assessment”. The GCF Board, the Secretariat – including but not limited to the Division of Country Programming (DCP), Office of Portfolio Management (OPM, formerly Portfolio Management Unit), Division of Mitigation and Adaptation (DMA), Private Sector Facility (PSF) and Office of Risk Mitigation and Compliance (ORMC) – NDAs/FPs, accredited entities (AEs), direct access entities (DAEs) and other DPs have all been identified as key actual and potential users of this evaluation.

### *Participatory*

In line with the overall utilization-focused framework, the evaluation team has worked closely with relevant stakeholders to ensure the exercises carried out have been appropriately participatory, consultative and engaging. Ensuring key stakeholder representatives participate in a diverse range of ways throughout this evaluation has ensured that the insights and recommendations generated are useful to all and foster appropriation, ownership and buy-in. The team has undertaken the following:

- Designed the evaluation in line with the objectives and criteria articulated by the Board in its Decision B.19/16;
- Determined key priorities and questions for this evaluation, in part from inception-phase conversations with key GCF Secretariat staff (including the Deputy Executive Director, staff from DCP, OPM, DMA, PSF, and ORMC) and key external stakeholders. These informed the evaluation team’s understanding of the RPSP and of the readiness programmes of comparable organizations;
- Consulted with key stakeholders (including at the level of the GCF Board) and selected country stakeholders (including NDA/FPs, DPs, AEs, DAEs and others) through semi-structured interviews and an online perception survey;
- Participated in the May 2018 DAE workshop in Songdo, Republic of Korea, using this as an opportunity to engage with DAEs, RAs and additional Secretariat staff in data collection and learning processes (e.g. experience-sharing FGDs and interviews);
- Participated in the April 2017 Structured Dialogue with Asia, the July-August 2017 Structured Dialogue with the Pacific as well as the September 2017 Structured Dialogue with Eastern Europe and Central Asia, to both collect data and share insights and findings with key stakeholders;
- Planned and conducted all country case studies with the direct involvement of NDA/FPs, while also sharing key insights through a debriefing at the term of every mission and/or through opportunities for NDA/FPs to comment on draft case study reports. This acted as an important learning and validation opportunity for both NDA/FPs and also evaluation team members;
- Constructed a retrospective Theory of Change (ToC) through a process that enables stakeholders to inform the ongoing development of this ToC;
- Reported to the IEU at several important and agreed-upon moments, at different stages of the evaluation and in regular (weekly) contact. A process that enables the Board to review draft versions of the evaluation has been put into place, ensuring that the evaluation report is useful to them and is adjusted accordingly;
- Maintained a flexible approach and adjusted the trajectory of the work performed as required; and
- Adopted a learning-oriented disposition throughout the evaluation, which included learning and improving our work throughout.

The team has developed and deployed several approaches, methods and tools which focused the evaluation on utilization and learning, ensured participation at key steps in the process, and delivered rigorous and credible findings. This evaluation included qualitative and quantitative methods for data collection, dataset building and data analysis.<sup>2</sup> Sources of data used included a programme, a policy and project document and database review, a global online perception survey, interviews and FGDs, and a series of country case studies. Each evaluation question has thus been answered through a systematic and traceable use of all relevant information sources in a way that maximizes triangulation.

## Specific approach

### *Theory-based evaluation*

As far as outcomes are concerned, the approach adopted for this work came about through a theory-based evaluation (TBE). This approach consisted of reconstructing and testing the ToC of the RPSP. Within the ToC, some causal links received special attention because they corresponded to major learning needs or represented potential bottlenecks. These causal links were submitted to process tracing (PT) tests (see subsection below), a method that helped to assess the strength of the causal links. The evaluation also included a meta-analysis and benchmarking exercise. Each of these technical elements is discussed below.

### *Retrospective theory of change*

The evaluation TOR included the development of a ToC of the RPSP. An extensive discussion of the ToC analysis is included as Appendix V of this report.

### *Process tracing*

This evaluation checked causal links through a theory-based approach. Some causal links received special attention because they corresponded to learning needs. These causal links were subjected to Process Tracing (PT) tests, an innovative method that helps assess the strength of the causality for the links identified by evaluators as being important for the analysis.<sup>3</sup>

Most evaluators are familiar with statistical approaches to analyzing causality. Such approaches proceed by inducing conclusions from observed regularities and associations. Theory-Based Evaluation and PT proceed otherwise: causality is established as a starting point in the form of a hypothesized theory; that theory is tested against facts; and, most often, the tests end in improving the theory rather than clearly confirming or refuting it. This may be disappointing if the evaluation is mainly done for accountability purposes. However, theory improvement is an excellent way of generating lessons learned, which is particularly relevant in this evaluation.<sup>4</sup>

Process Tracing tests are demanding in terms of data collection. With a programme the breadth of the RPSP, it is impossible to test all causal assumptions in great detail. In order to be able to undertake a rigorous analysis of causality, the evaluation team identified what we consider to be some of the most important and challenging causal links within the ToC (based on inception period interviews and the document and database review, in particular), and we have concentrated our testing efforts on these areas. We considered that focusing analytical efforts on some key areas was

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<sup>2</sup> The term “data” is understood to mean “facts and statistics collected together for reference or analysis”.

<sup>3</sup> This is informed by Beach and Pedersen, 2013; Bennett, 2008; Patton, 2008; CDI Practice Paper 10; Oxfam, 2013; and others.

<sup>4</sup> The PT method was originally developed by historians. It is being transferred into the evaluators’ toolbox, but the approach is still in development. Most references to PT relate to evaluation works that have a research or pilot dimension.

fully relevant in such a learning-oriented evaluation, especially by concentrating our PT tests on areas where there was a major need for learning.

In this way, the evaluation team selected some causal assumptions within the ToC in a learning perspective, with the aim of bridging knowledge gaps that are thought to be particularly challenging. Seven “major learning needs” are identified in Table 1.

**Table 1** *Focusing the analysis on selected causal relationships*

MAJOR LEARNING NEEDS	CAUSAL RELATIONSHIP TO BE SUBMITTED TO PT TESTS
N1	Extent to which readiness grants have enabled NDA/FPs to lead effective intra-governmental coordination mechanisms, including the establishment of the no-objection procedure.
N2	Extent to which readiness grants have enabled NDA/FPs to effectively engage stakeholders in consultative processes, including the preparation of coherent country programmes.
N3	Extent to which readiness technical assistance has enabled nominated candidates to achieve accreditation as DAEs.
N4	Extent to which information-sharing and experience-sharing events and processes have contributed to the ability of countries and DAEs to engage effectively with the GCF.
N5	Extent to which readiness grants have enabled countries to develop National Adaptation Plans (NAPs) that build on existing country strategies and plans.
N6	Extent to which readiness grants have enabled NDA/FPs and AEs to develop concept notes and/or project proposals to access climate finance that address high-impact priorities identified in the country programme.
N7	Extent to which private sector engagement in country-consultative processes has helped improve the enabling environment for crowding-in private-sector investments

Each major learning need (or learning area) corresponds to a causal assumption (a link of a causal chain in the ToC) that was tested against factual evidence drawn from the country visits (and from other sources). Factual evidence took the form of short narratives, with narratives relating to each of the learning areas. For each of the learning areas, the following steps were undertaken, although not necessarily in linear fashion:

- Step 1: Referring to the latest version of the ToC, identifying the hypothesized causal pathways at work and predicting some facts that should be observed for the theory to be confirmed or falsified. If “A” was assumed to cause “B,” then we (i) refined the definition of A and B in a precise enough manner as to make them observable, and (ii) predicted a series of facts that should be observed if A is one of the causes of B. This was the preparatory step;
- Step 2: This second step consisted of testing the causal assumption associated with each narrative, based on data that was gathered. The evaluation team analysed factual evidence for assessing whether A occurred (yes, no, to a certain extent), whether B occurred (yes, no, to a certain extent), and whether the predicted facts were observed; and
- Step 3: A comparison of all tested narratives related to a causal assumption across case study countries was undertaken, allowing for certain conclusions to be drawn related to whether and how the tested causal assumption worked under certain conditions and not in others. That synthesis created fresh knowledge, which then informed the conclusions, scenario building, and recommendations developed in this study. Insights also fed into an improved version of the ToC. To the extent possible, the evaluation team drew on the concept of the “mechanism” to reflect on the degree to which confirmed causal links worked in many contexts.

### *Meta-analysis and benchmarking*

The GCF operates in an environment of many global, regional, multilateral and bilateral climate funds, each with their individual and shared objectives and characteristics such as scope, scale, governance arrangements, funding mechanisms and organizational processes. Other global funds include the GEF and two related funds (the Least Developed Countries Fund for Climate Change and the Special Climate Change Fund), the CIF, the Multilateral Fund for the Implementation of the Montreal Protocol (MLF), the AF, and various carbon funds such as the FCPF. The multilateral development banks, UNDP and other United Nations agencies are also playing significant roles, both directly and as implementing agencies for these funds. German development assistance such as that provided by GIZ has been prominent among bilateral climate change initiatives.

The evaluation has conducted a meta-analysis to benchmark the RPSP against similar activities being undertaken by other initiatives, and specifically by the GEF, MLF, AF, CIF and FCPF. This provided a focus on documenting and comparing the GCF and the RPSP with other climate-related global funds and their readiness activities to identify both similarities and differences with the RPSP. It also included information on other initiatives to the extent that these provided comparators or lessons of experience for the RPSP. The meta-analysis comprises (i) an overview of the main features of the comparators, (ii) the findings of relevant evaluation reports to the extent that these are available, and (iii) consultations with the key responsible staff in each comparable organization.

The key questions addressed included:

- How do the design and operational processes of the RPSP compare with the readiness activities of other climate-related funds?
- What are the perceived comparative advantages, value added, or core competencies of the GCF and RPSP relative to the other climate-related funds?
- What are the respective ToCs of readiness activities among the climate-related funds, to the extent that these are available?
- What complementarities exist between the RPSP and the readiness activities of other climate change initiatives?
- To what extent have comparable global funds established effective cooperation to exploit synergies and avoid overlap among their respective readiness activities?
- What are the identification, review and approval mechanisms for proposed activities among the comparable global funds?
- What has been the relative efficiency of these processes among the comparable global funds, to the extent that such secondary information is available?
- What are the respective delivery mechanisms among the comparable organizations?
- What are the respective incentive structures at the national level resulting from the way in which each comparable organization operates? How do these compare in relation to aid-effectiveness principles such as country ownership, alignment, harmonization and mutual accountability?
- How do the readiness and preparatory support activities of the GCF feed into the regular programming of the comparable organizations?
- What are the progress reporting, monitoring and evaluation processes of the comparable organizations?



- What has been the relative effectiveness of these processes for the comparable global funds, to the extent that such information is available?

### *Detailed methods*

The evaluation process consisted of three main parts, which also coincided with the three stages of the work plan. These are as follows:

- Inception and planning;
- Information and data collection and management; and
- Analyses and reporting.

Each stage is discussed accordingly, including our use of different methods.

## **Stage 1: Inception and planning**

The eight-week inception period served the purpose of ensuring that preparation and planning could be undertaken appropriately. During this time, the evaluation team undertook the activities described below.

### *Inception meetings*

The Universalia Team Leader for this evaluation, Eric Abitbol, participated in a three-day inception mission at GCF Headquarters in Songdo, Republic of Korea.<sup>5</sup> These meetings afforded the evaluation team as a whole the opportunity to define clearly shared priorities for this evaluation, to establish working relations, develop common systems, and generally launch the evaluation process.

A series of meetings was undertaken with 15 high-level stakeholders at the GCF Secretariat, including with Deputy Executive Director Javier Manzanares and with staff from DCP, OPM, DMA, PSF, Internal Audit and ORMC. Mr. Abitbol participated in a presentation on the Direct Climate Action Platform (DCAP).<sup>6</sup>

During the following week, Senior Consultant Ansgar Eussner and a Support Programme Evaluation Expert along with IEU colleagues participated in the four-day GCF Structured Dialogue in Asia, which took place in Da Nang, Viet Nam. During the initial inception phase of this evaluation, participation in the Structured Dialogue afforded the evaluation team the opportunity to meet and engage with 31 individuals directly, including high-level stakeholders. The evaluation team facilitated an FGD with 50 participants (which was primarily composed of NDA/FPs, but also included several DPs and two Board members) and had brief exchanges with other stakeholders. Discussions in Da Nang notably included one Board member and one RA, both from Asia. Additionally, four RAs responded to a series of emails to inform the overall sampling of countries for this assignment.

Subsequent to inception meeting interviews and FGDs, Senior Consultant Christopher Gerrard undertook 12 interviews with key informants and stakeholders, either face-to-face or by phone/videoconferencing. These interviews were with relevant staff from the AF, CIF, FCPF, GIZ, UNDP, GEF, UNEP and the World Bank. These interviews directly informed the meta-analysis and benchmarking work (discussed above), and also provided an understanding of the complementarities (where they exist) between the RPSP and the readiness activities of other agencies, funds and organizations.

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<sup>5</sup> Contractual matters were finalized on 6 April 2018, and inception meetings began in Songdo, Republic of Korea, on 9 April 2018.

<sup>6</sup> This was led by Jessica Jacob of the GCF.

The range of meetings, interviews, FGDs, and formal and informal events in which the evaluation team participated – and extensive email exchanges with diverse stakeholders – provided a firm understanding of stakeholder priorities for both the RPSP overall and the current evaluation more specifically (see Appendix XVII for a list of stakeholders consulted). It informed the evaluation matrix designed for this evaluation (as found in Appendix VI). This contributed to our understanding of the different components of the RPSP, which helped us develop a retrospective ToC and select the different sample countries for the study.

### *Document review*

The document review undertaken early in the assignment ensured the evaluation team was familiar with the document landscape of the GCF, as relevant for the evaluation.

This review included Board decisions; reports and discussions; relevant audits and evaluations (including the Dalberg Global Development Advisors report); readiness completion reports; readiness midterm progress reports; readiness proposals; country programme briefs; readiness portfolio reports; readiness templates and others. A document guide (i.e. a structured bibliography) was used to continually update the bibliography in real time.

### *Drafting the evaluation matrix*

An evaluation matrix was prepared, which acted as the “backbone” of this evaluation (see Table 2 for an abridged matrix). It was based on the TOR approved by the Board for this evaluation. The matrix was further informed by inception meetings, interviews, an FGD and event participation, as well as through a preliminary document review. Finally, the draft evaluation matrix was refined through a review process among the evaluation team members.

**Table 2** *Abridged evaluation matrix*

CRITERIA	KEY QUESTIONS
Relevance	What is the relevance of the RPSP?
Coherence	What is the coherence of the RPSP in climate finance delivery?
Effectiveness of programme	To what extent has the RPSP been effective in delivering results, as per the activity and outcome priorities of the programme?
Unexpected Results	Is there any evidence of unexpected results from the RPSP, both positive and negative?
Country Ownership	To what extent is the RPSP contributing to heightening country ownership of GCF projects and programmes?
Cross-Cutting Issues	To what extent has the RPSP integrated key cross-cutting issues (gender and inclusiveness, environment), as per the priorities of the GCF?
Innovativeness	To what extent is the RPSP contributing to/enabling a paradigm shift towards low-emission and climate-resilient development pathways?
Impact	What is the likelihood of sustained impact from the RPSP?
Potential for Building Scale	To what extent can RPSP activities be scaled up in other locations within the country or replicated in other countries?
Efficiency	To what extent are RPSP processes efficient?

### *Sampling and stakeholder identification*

The evaluation team pursued a purposive sampling approach to identify countries for field missions and to identify stakeholders to be interviewed individually and in FGDs. The methods are discussed below.

#### *Sampling – countries of focus*

The following attributes of countries were considered to create an overall purposive sample:

- Disbursement levels: Countries that showed substantial disbursements for various activities;
- Vulnerability: Least Developed Countries (LDCs) and Small Island Developing States (SIDS);
- Size of countries by area: Large and small countries;
- Regional representation: Countries in Asia, Africa, Latin America, the Caribbean, and the Pacific;
- Progress along the project pipeline: Countries with differing approval dates;
- Delivery Partners: Readiness support implemented by different DPs, AEs and DAEs (international, regional and domestic); and
- Readiness activities: The sampling also takes into consideration the six standard activities approved as per the latest GCF progress report on the RPSP (GCF/B.19/15/Rev.01, including Annex III) and progress along them, as discussed in an earlier section:
  - Establishment of non-objection procedures;
  - National stakeholders' engagement processes;
  - Capacities (including accreditation) and pipelines of DAEs;
  - Strategic frameworks, including country programme and pipeline development;
  - Private sector engagement and mobilization; and
  - National adaptation planning (i.e. NAPs) and/or other adaptation planning processes.

This approach has proven to be reflective of the diversity of standard activities, and also of diversity in the progress of these standard activities.

The data presented in Table 3 for sampling are mainly based on the then-latest available progress report on the Readiness Programme (GC/B.19/15/Rev.01). The two main criteria for inclusion in the table were that at least three of the six standard activities were approved and that some disbursement was achieved for activities 1–5, as an indicator of implementation progress.<sup>7</sup> In three cases (Bangladesh, Kenya and Mongolia), activity 6 (i.e. preparation of an NAP) had been approved, but no disbursements had been made at that point. An exception was made for Antigua and Barbuda, which was selected opportunistically by the evaluation team given that one IEU team member was on mission there during the evaluation.

The final list of countries chosen for field missions (see Table 3) is as follows: Antigua and Barbuda, Bangladesh, Haiti, Kenya, Mongolia, Namibia, Paraguay, Senegal and Vanuatu.

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<sup>7</sup> Activity 6 (NAPs) has not been considered as a selection criterion because only three countries had first disbursements for NAPs at the time of the inception phase of this study.

In the process of selecting case studies, our main concern was to reach the highest possible degree of diversity based on a purposive sampling, rather than to achieve statistical representativeness. As the evaluation approach is theory based, our focus was on testing assumed causal relationships. If the theory is well defined and the testing of causal links well done (i.e. with PT), the strength of the tests depends on the diversity of cases. Corollary, the list of countries selected for field missions and case studies was reflective of our abovementioned decisions, and reflects the confidence thereby generated in the suitability of the selection.

**Table 3 Overview of disbursements and profile of RPSP activities in case study countries**

COUNTRY	COUNTRY CATEGORY AND REGION	DATE OF APPROVAL	APPROVED AMOUNT ('000)	TYPE OF ACTIVITIES UNDERWAY	DISBURSEMENT RATES (%)	DELIVERY PARTNER(S), ACCREDITED ENTITIES AND DIRECT ACCESS ENTITIES
Antigua and Barbuda	SIDS, Latin America and the Caribbean	2015 2017 2017 2017	300 620 30 3000	2 1 1 1	83% 38% 41% -	Ministry of Health and Environment
Bangladesh	Asia	2015 2016 2017 2017	300 37 336 3000	1–2 3 3, 0 6, 0	87 96 (completed) 0 0	NRSP PwC GIZ UNEP
Haiti	LDC, SIDS, Carib	2016 2017	430 350	1–3 1, 5	50 50	UNDP
Kenya	Africa	2015 2015 2018	150 37 3000	1 3 6	0 92 (completed) 0	Kenya National Treasury PwC FAO
Mongolia	Asia	2015 2017 2017 2018	300 350 368 2895	1–5 1–4 4 6	83 83 0 0	XacBank (with IFC) GGGI UNEP
Namibia	Africa	2016 2017	391 300	1–5 3–4	62 63	EIF Namibia EIF Namibia
Paraguay	LA	2016 2017	300 370	3 1–5	0 92	PwC CAF
Senegal	LDC, Africa	2015 2016 2017 2017	300 600 205 30	1–2 4 3 3	40 0 68 99	CSE IFC CSE PwC
Vanuatu	LDC, SIDS, Pacific	2015 2016 2016	300 137 370	1–2 4 1–2, 4	40 97 80	GIZ SPREP GGGI

*Notes:* See list of the six approved standard activities.

Abbreviations: CSE = Centre De Suivi Ecologique; EIF = Environment Investment Fund; GGGI = Global Green Growth Institute; IFC = International Finance Corporation; NRSP = National Rural Support Programme; SPREP = Secretariat of the Pacific Regional Environment Programme

*Source:* Annex III of the Readiness and Preparatory Support Programme: progress report, doc GCF/B.19/15/Rev. 01 and the Fluxx database.

### *Sampling – stakeholders*

The sampling methodology snapshot below (Table 4) provides a comparison of the types of stakeholders, the sample size, and the data collection method(s) which were proposed and implemented. While we intended to engage with about 156 stakeholders through interviews and FGDs, we more than doubled that number to 341 by the end of the evaluation.<sup>8</sup>

**Table 4** *Sampling methodology snapshot – stakeholders*

TYPE OF STAKEHOLDER	SAMPLING SIZE AND DATA COLLECTION METHOD – PROPOSED IN INCEPTION	ACTUALLY INTERVIEWED
GCF Board	Globally (Total of 12 – including alternates) – Interviews	26 (including alternates and advisors)
RWG members	Key Programme actors (6) – Interviews	> 10
Key leadership at GCF Secretariat (in addition to the Readiness Working Group [RWG], DCP, OPM, DMA, ORMC, Finance, Legal)	Key Programme actors (6) – Interviews	22
RAs	Key Programme actors (6) – Interviews, FGDs	3 (with multiple consulted through written processes)
NDA /FPs	Key Programme actors (16) (2 per country) – Interviews, survey	243
International Accredited Entities (IAEs)	Key Programme actors (6) – Interviews, survey	
DAEs	Key Programme actors (16) (2 per country) – Interviews, survey	
DPs (additional)	Key Programme actors (4) – Interviews, survey	
Additional national-level stakeholders, including Civil Society Organizations (CSOs)	Key Programme actors (64) (8 per country) – Interviews	39
Additional (informed external actors; e.g. UNFCCC/COP, GEF, GIZ, WRI, CIF, MLF, AF, FCPF, UNDP)	External actors (20) – Interviews	

### *Drafting and finalizing Inception Report*

The Inception Report was an important tool for the evaluation team, and thus every effort was made to ensure that it was reflective of the management requirements and methodological needs of the evaluation. This was undertaken through a three-step process that included refining the proposed methodology and work plan, producing a Draft Inception Report and then a Final (revised) Inception Report. The Inception Report included an evaluation matrix, which was the basis for the development of most tools for undertaking data collection. This report also outlined the plan for country visits as per our sampling approach. Overall, the Inception Report provided a comprehensive roadmap for the evaluation as a whole.

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<sup>8</sup> This includes interviews undertaken during the inception, data collection and analysis phases of the evaluation.

## Stage 2: Data collection and data management

### *Preparation of data collection and data management tools*

Once the evaluation matrix was approved as part of the inception process, the evaluation team developed data collection tools directly informed by the evaluation matrix. The tools included:

- Document review protocol;
- Interview guide, adaptable to different categories of stakeholders;
- Process Tracing tool;
- Meta-analysis and benchmarking tool;
- An online perception survey; and
- Continued development of the ToC.

We also prepared our data management system, drawing on a technical and online tool known as Dedoose.<sup>9</sup> Dedoose enabled the coding of different media (interview reports, documents of all kinds, etc.), so as to enable the analysis of this material in thematically specific ways, and according to “descriptors” (e.g. by stakeholder type, by country and by gender).

### *Document review*

A thorough document review, drawing on a multiplicity of sources, informed every component of the methodology for this evaluation. These documents included GCF-specific programme documents, process-related documents on the RPSP specifically, as well as a whole range of portfolio documentation. Such documentation informed the development of the ToC and the overall assessment undertaken as per the evaluation matrix. As part of this review, the quality of the country and partner reports (e.g. AEs, DAEs) were examined. Additionally, relevant external documentation was used to inform the meta-analysis and benchmarking exercise, including documentation about the readiness programmes of comparable organizations.

### *IEU portfolio review*

As noted in the main report, the evaluation team developed a new “IEU Database”, which is the collection of GCF data related to the RPSP (including information on individual grants based on proposal properties), compiled into a spreadsheet. This quantitative database has been the main source of information for comprehensively reviewing the RPSP portfolio.

### *Interviews with stakeholders*

During this phase, the evaluation team scheduled and undertook a series of interviews with selected, key, high-level stakeholders who are well positioned to provide insights on the questions and sub-questions of this assignment. These stakeholders included the heads and the staff of the DCP, OPM, DMA and others at the GCF Secretariat (both within and outside the Readiness Working Group [RWG]), as well Board members. Additional interviews were undertaken with some external resource persons with a good understanding of the GCF and other readiness programmes. In some cases, these interviews were planned a priori (e.g. for the meta-analysis and benchmarking; for field missions), while for others they were opportunistic (e.g. in the field) or the result of snowballing sampling (e.g. where key people are suggested to the evaluation team along the way).

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<sup>9</sup> Available at <<https://www.dedoose.com/>>.

### *Participation in the Direct Access Entity Workshop*

During the week of 28 May–1 June 2018, the evaluation team participated in a workshop of DAEs at GCF headquarters in Songdo, Republic of Korea. This workshop provided an opportunity for the evaluation team to engage with DAE representatives directly, through an FGD and informally. This also enabled the team to hold discussions with those who were operating in areas that had not been identified as field mission locations for the evaluation. Additionally, the evaluation team used this opportunity to undertake two FGDs with RAs, and to interview Secretariat staff.

### *Field mission to country of focus – pilot testing*

Immediately following the inception phase, the evaluation team undertook one field mission to a country of focus, namely Mongolia. The purpose of this mission was to field test the evaluation matrix and the PT approach of the team. Doing so also informed the retrospective ToC analysis, as well as our approach to the remaining eight field missions and to the refinement of our proposed methodology and overall work plan.

### *Field visits*

Building on the first pilot country case study, the evaluation team (including staff from Universalis and/or IEU team members) undertook field missions in the eight countries of focus. The purpose of country missions was to collect detailed information which enabled us to test the ToC through PT tests, and allowed us to address the range of questions in the evaluation matrix. Case studies from the nine field missions were used as inputs for the overall assessment of the RPSP – building on careful comparisons across cases – and also served to inform the reconstruction of the ToC and PT tests. We ensured coverage and triangulation through engagement with a wide range of stakeholders in-country (i.e. through interviews and FGDs). The country case studies are stand-alone reports and are appendices included in this final report.

### *Online survey*

The evaluation team prepared and deployed an online perception survey with the aim of gathering perceptual data from stakeholders on the various dimensions of the RPSP. A five-point scale Likert-style survey – including questions that made it possible for respondents to rank preferences as well as provide write-in responses – was conducted for NDA/FPs and DAEs, and was further analyzed according to participant country classification and region. The survey assessed several of the following points: extent of satisfaction with the RPSP in general and with its various activities; satisfaction by region; perceptions of effectiveness in general, and by activity/region; opinions on the programme's strongest/weakest components; and other satisfaction-based criteria. Space was provided for open-ended write-in responses, which allowed for additional content analysis of responses. The survey was delivered in English, French and Spanish.

**Table 5** *Survey respondents – classification of respondents*

Africa	15
LDC	12
SIDS	7
LDC, SIDS, Africa	23
Other	17
<b>All</b>	<b>40</b>

*Note:* This survey is referenced throughout this report, and notably in the Effectiveness section.



Conversely, the DAE survey that was administered received only seven responses. This was deemed inadequate for inclusion in statistical analysis and reporting. However, open-ended responses were taken into consideration during the analysis and triangulation stage, given their qualitative value.

### *Progress reporting*

The evaluation team continually provided internal and external updates on the progress of the evaluation in several ways:

- The evaluation team held weekly meetings for key team members from the IEU and Universalia;
- Asia Structured Dialogue: The evaluation team delivered an in-person presentation and engaged actively during the Asia Structured Dialogue in Da Nang, Viet Nam, from 17–20 April 2018;
- DAE Event: The evaluation team made an in-person presentation and engaged actively during the DAE meeting in Songdo, South Korea, from 28 May–1 June 2018;
- The evaluation team was present at the B.20 Board Meeting and has engaged with Board members formally and informally about progress throughout;
- Pacific Structured Dialogue: The evaluation team delivered an in-person presentation and engaged actively during the Pacific Structured Dialogue in Pohnpei, Federated States of Micronesia, from 30 July–2 August 2018;
- Eastern Europe and Central Asia Structured Dialogue: The evaluation team delivered an in-person presentation and engaged actively during the Eastern Europe and Central Asia Structured Dialogue in Dushanbe, Tajikistan, from 11–14 September 2018; and
- A series of webinar presentations about the evaluation report were made to the DCP, the Board and other key stakeholders throughout September 2018.

The purpose of these meetings and presentations was to ensure that the evaluation team was operationally and substantially on track, and that the evaluation was socialized within the GCF community.

### **Stage 3: Data analysis and reporting**

The third and final stage of the evaluation comprised the analysis and synthesis of data, report writing and the delivery of a final presentation (see

Table 6).

*Analysis and synthesis of data*

The evaluation team undertook a process of data analysis and synthesis rooted in a triangulation of all sources. Trends and outliers in the data were identified, with respect to programme activities, regional disparities, and others (e.g. using R programming language to compute statistical properties of quantitative and qualitative data). In doing so, the RPSP was situated within the wider institutional and programmatic landscape of the GCF. For qualitative data management and analysis, the evaluation team used Dedoose.

An overall analysis was undertaken on the relevance of the RPSP, its coherence in climate finance delivery (within a wider landscape), its effectiveness, gender sensitivity and inclusiveness, its environmental sustainability, the efficiency of its processes, and its preliminary impact. In areas of in-depth investigation (i.e. major learning needs), the analysis included PT tests.

**Table 6** *Stages of reporting*

STAGE	ACTION
Factual report – draft	The evaluation team drafted a factual report, submitted on 11 August 2018. The draft report comprised the main report only and did not include recommendations. This report was circulated within a limited group, with the purpose of ensuring that a subsequent version was free of factual errors. Internally, consolidated written feedback on the report was provided on 21 August 2018.
Full report – draft	The evaluation team prepared a full report for submission on 1 September 2018. This report comprised the main report, a presentation of scenarios, and recommendations for the RPSP moving forward. The report did not include case studies for each of the field missions, nor did it include an executive summary. This version of the report was circulated to Board members, providing them with an opportunity to comment. The Board provided the evaluation team with consolidated, written feedback on the report on 21 September 2018.
Slide deck for socialization	The evaluation team prepared a slide deck of findings and recommendations on 1 September 2018. The slide deck was used for the purposes of presenting and discussing the draft findings and recommendations.
Non-glossy final report	Feedback from the Board was integrated in an updated “non-glossy” final report, prepared for 5 October. It was shared with the Board and circulated appropriately within GCF circles.
Final presentation	The final report (along with a PowerPoint presentation) was presented by the evaluation team in person to the Board at its B.21 meeting on 17–20 October 2018.
Glossy final report	Comments were received by the evaluation team on the non-glossy final report by 2 November, and were integrated into the Glossy Final Report, completed by 22 November 2018.

## APPENDIX IV: WORK PLAN

The work plan for this assignment is structured in three stages:

- Stage 1: Inception and planning;
- Stage 2: Data collection and data management; and
- Stage 3: Data analysis and reporting.

These are mapped to the three methodological components detailed for this evaluation. In this way, the work plan focuses on the flow of the assignment. It is presented in the form of a GANTT chart.

N°	Activity																																				
		April				May				June					July				August					September				October					November				
		Wk 1	Wk 2	Wk 3	Wk 4	Wk 5	Wk 6	Wk 7	Wk 8	Wk 9	Wk 10	Wk 11	Wk 12	Wk 13	Wk 14	Wk 15	Wk 16	Wk 17	Wk 18	Wk 19	Wk 20	Wk 21	Wk 22	Wk 23	Wk 24	Wk 25	Wk 26	Wk 27	Wk 28	Wk 29	Wk 30	Wk 31	Wk 32	Wk 33	Wk 34	Wk 35	Wk 36
Stage 1 - Inception and Planning																																					
1,1	Inception activities: Missions to Songdo, South Korea and Vietnam																																				
1,2	Document Review - Stage 1																																				
1,3	Drafting Evaluation Matrix																																				
1,4	Sampling and Stakeholder Mapping																																				
1,5	Retrospective Theory of Change Analysis																																				
1,6	Draft Inception Report																																				
1,7	Revision and Submission of Final Inception Report																																				
Stage 2 - Data Collection and Data Management																																					
2,1	Preparation of Data Collection and Data Management Tool																																				
2,2	Document Review																																				
2,3	Interviews with Stakeholders																																				
2,4	Participation in DAE Workshop																																				
2,5	Field Mission to 1 Country of Focus - Pilot																																				
2,6	On-line Survey																																				
2,7	Field Visits																																				
2,8	Field Visit Report Writing/ Case Studies																																				
2,9	Meta-Analysis / Benchmarking																																				
2,10	Analysis and ToC Updating																																				
Stage 3 - Reporting																																					
3,1	Presentation to Board Members in Songdo																																				
3,2	Webinar to Pacific Structured Dialogue																																				
3,3	Development and Submission of Factual Report and Full Report - Draft																																				
3,4	Slidedeck for Socialization																																				
3,5	Full Report to the Board for Comment																																				
3,6	Non-glossy Final Report																																				
3,7	Final Presentation																																				
3,8	Glossy Final Report																																				
*	Deliverables																																				
	Review time (comments and feedback)																																				

## APPENDIX V: THEORY OF CHANGE

### Introduction

The evaluation TOR called for the development of a ToC for the RPSP. Following on from earlier GCF Secretariat ToC-building work, the evaluation team undertook a first series of efforts during the inception phase, including the presentation of Version 0 at an FGD meeting in Songdo, and the submission of Version 1 as part of the Inception Report of this evaluation. Version 1 of the ToC was used to guide the data collection process for this evaluation, in line with the evaluation's overall TBE approach. Building on the collected data, and especially on the country case studies, the evaluation team prepared Version 2 of the ToC, which is consistent with factual observations. The ToC-building process and its end results are presented below.

### RPSP ToCs of the GCF Secretariat

Before launching the present evaluation, the GCF Secretariat had started reflecting on a ToC for the RPSP. Two draft pieces of work were available at the beginning of the present evaluation, one by DCP and another by OPM (formerly PMU; see Figure 5 and Figure 6 at the end of the present appendix).

The two efforts share many similarities. They are both constructed in a log frame format, displaying a hierarchy of logical levels (activities, outputs, outcomes and vision) and a list of assumptions and risks. They present successive causal links in a linear manner. They cover the whole range of theorized changes, from those that are RPSP-specific to much wider ones, for example, “low-emission and climate-resilient development led by a country-owned programming process”. They are also highly detailed, presenting 41 and 33 “changes” respectively. Neither of the two models makes a clear-cut distinction between changes stemming from the GCF and RPSP, specifically, and changes that are related to climate finance in a broader sense.

There are also some substantial differences between the two:

- Certain changes are located at different logical levels in the figures. For instance, the country programme is variably an output (from OPM) or an intermediate outcome (from DCP).
- Logical chains are not presented in the same way. The OPM figure suggests that the RPSP may strengthen country capacity through one or more of four parallel paths: strengthening NDA/FPs, developing strategic frameworks, strengthening DAEs, and accessing finance. While mentioning similar parallel pathways, the DCP figure also suggests that there is a sequential path which starts from strengthening the NDA/FP and developing a strategic framework, which continues with DAE candidates being nominated by NDA/FPs for accreditation, and which ends in identifying projects and accessing finance.

### Version 1 of the ToC at the inception phase

While a ToC may look like a log frame, it goes further in making causal links explicit. Instead of clustering outcomes according to logical levels, a ToC displays all specific changes together with their causal connections. Instead of listing “assumptions and risks” at each logical level, a ToC refers to “external factors” that apply to each causal link specifically. Such a demanding effort at eliciting causality makes it possible to use a ToC for testing causal assumptions in the field. This is called “Theory-Based Evaluation” (TBE).

The evaluation team presented Version 1 of the ToC in its Inception Report. This reflected a shift from the log frame approach to that of TBE, something which entailed five differences in comparison with previously noted GCF efforts.

First, the whole logic of the RPSP was presented in the form of boxes and arrows. By displaying 37 changes (boxes), the logical model had the same degree of detail as the previous GCF efforts (41 and 33 changes, respectively). However, the model included detailed assumptions about causal connections between changes (arrows), something which could not be displayed in just one picture. Version 1 needed five figures to fully describe all the causal chains, from RPSP implementation to successive levels of outcomes and to the overall GCF vision. A more simplified figure summarized the logical model with 10 changes only.

Second, the ToC approach was simpler than log frame-like efforts in the sense that there was no need to categorize logical steps as activities, outputs, or various types of outcomes. All were called “changes”. This second difference made it possible to avoid potentially long and unhelpful discussions.

Third, the TBE approach was quite demanding in terms of clarifying changes. As a prerequisite for testing causal assumptions in the field, the ToC needed to express changes in a testable manner. In this respect, a systematic effort was made at clarifying “what changed for whom”. This third difference entailed difficult but useful clarification efforts, such as the distinction between changes that were related to the GCF specifically, and changes that were related to climate finance in a broader sense.

Fourth, a choice had to be made between the two draft models: that of parallel logical pathways (as suggested by OPM) or that of a sequential model (as suggested by DCP). The latter option was chosen with a sequential pathway including three successive levels of change: (i) strengthening NDA/FPs and DPs; (ii) developing plans, strategies, procedures and processes; and (iii) accessing GCF climate finance.

Finally, the fifth difference related to “external” factors, i.e. causes which might contribute expected changes, either positively or negatively, and which were not under direct programme control. Previous GCF efforts presented one single shortlist of “assumptions and risks” (log frame terminology). Version 1 of the ToC refined the assumptions into longer lists of external factors attached to specific causal links.

### **Revising Version 1 of the ToC**

The evaluation team used Version 1 of the ToC for guiding the data collection process of the evaluation, in line with the TBE approach. The analysis of collected data, and especially the country case studies, showed that there was a discrepancy between the hypothesized model and perceived reality. As stated above, Version 1 of the ToC included a sequential pathway with three successive levels of change: (i) strengthening NDA/FPs and DPs; (ii) developing plans, strategies, procedures, and processes; and (iii) identifying projects and accessing GCF climate finance. In fact, the country case studies have shown that RPSP activities contribute readiness and ownership through other causal pathways. A few insights from the case studies are noteworthy, and are outlined below.

In Mongolia, a domestic private sector bank (XacBank) became accredited and obtained two GCF loans without RPSP support. Later, it served as the DP for the first RPSP activity aimed at strengthening the NDA/FP, which at that time was understaffed. Two other domestic banks are also seeking accreditation without RPSP support. At present, several readiness activities – submitted, approved or in progress – are helping to prepare funded project proposals to seek support for advancing national adaptation planning, while also aiming to improve the enabling environment by

strengthening sustainable finance practices by non-bank financial institutions. In these cases, RPSP contributions to readiness and ownership are following logical pathways that are quite different from, and somewhat opposite to, the hypothesized logical model.

In Bangladesh, there was a high level of readiness for climate finance – and ownership of it – prior to initial RPSP support. Pre-existing capacities included a suitably strong NDA/FP, good strategic frameworks, and highly capable national consultants. Readiness and Preparatory Support Programme grants were used for adapting these pre-existing capacities to GCF standards, sometimes at the cost of some duplication. Again, RPSP activities contributed to enabling the country to engage with the GCF, but not through the hypothesized logical model.

In Senegal, three funded projects were approved before stakeholder consultations were organized and the country programme was drafted. These were initiated by International Accredited Entities (IAEs) and built on previous projects or project ideas emanating from other strategy documents. Nevertheless, they have become stuck before being effective and implemented, for various reasons.

In other cases (e.g. Haiti), it seems that RPSP grants have been used more or less in line with the hypothesized logical model.

These observations from the country case studies are consistent with the findings of an FGD with the RAs held in Songdo in May 2018, over the course of this evaluation. Participants pointed out that Version 1 of the ToC was too linear, and that RPSP contributions to changes should not be seen as sequential, but rather as a specific response to country needs, taking into account capacity at entry and political will (or its lack thereof). Changes move back and forth on the logical pathways, rather than progressing in a linear manner.

Considering these observations, there was a need to reconsider the structure of the ToC. Instead of highlighting a sequential pathway to readiness and ownership, a ToC for the RPSP had to recognize that the programme aims to change the “country system” through one or several pathways, depending on the current state of that system. Therefore, a revised Version 2 of the ToC shifts from linear causality to systemic causality in its approach.

### **The country systems being changed**

Given the revised approach, how should the “country system” be understood? Any system is made up of connected components within a boundary. The following paragraphs display the system components, their mutual connections, and the system boundaries.

Readiness and Preparatory Support Programme activities target country systems consisting of organizations, which are the components of the system. In this case, these are:

- NDA/FPs;
- Ministries of finance (if different from NDA/FPs);
- Ministries of environment/climate (if different from NDA/FPs);
- Other ministries and government agencies (if different from NDA/FPs);
- National DAEs (actual and potential) from public sector, civil society, and/or private sector;
- Private sector actors;
- Civil society actors and other stakeholders; and
- National consultants.



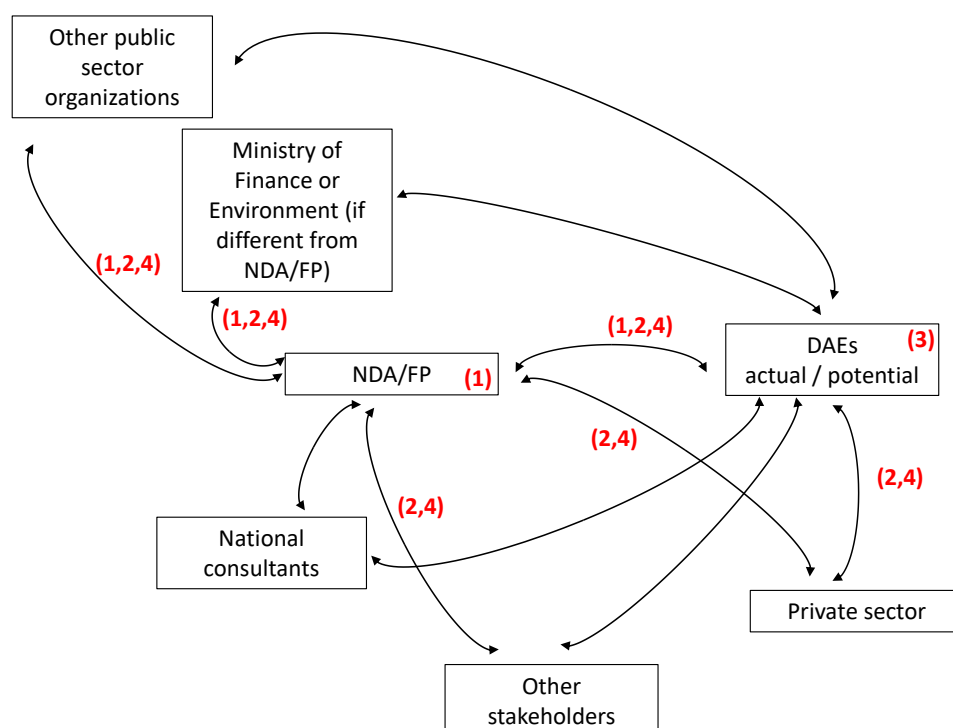
International organizations and international consultants play a role in the country systems – sometimes a key role. Should they or should they not be included within the boundaries of the “country systems”? The question may be further discussed but the evaluation team considers itself to be part of a wider international system making external inputs into the country system, rather than being part of it.

Organizations within the system are (or should be) mutually connected. Here are a few examples of such connections:

- A national entity assists in NDA/FP strengthening;
- The ministries of environment and finance interact with the NDA/FP;
- The NDA/FP hires national consultants;
- The NDA/FP drives the creation and operation of an inter-ministerial steering committee;
- The NDA/FP interacts with governmental organizations in developing strategic frameworks;
- The NDA/FP interacts with the private sector and CSOs in developing strategic frameworks;
- The NDA/FP identifies and nominates potential DAEs;
- Actual/potential DAE(s) consult with governmental organizations about concept notes;
- Actual/potential DAE(s) consult with private sector organizations about concept notes;
- DAE(s) request no-objection from the NDA/FP; and
- The NDA/FP consults stakeholders through the NOP.

Again, international organizations have connections, sometimes strong ones, with all or part of the country system components, but the RPSP is not meant to strengthen such connections, although it sometimes builds on them and uses them.

**Figure 1 GCF-related country system**



The state of such systems varies from country to country and also over time. Some components (boxes) may be strong or weak and may become stronger or weaker. For instance, Mongolia established a strong-enough NDA/FP but the Government dismissed most of its staff during a fiscal crisis, and it had to be reconstituted and strengthened again. The same can be said of connections (arrows), which may or may not be well established, and which may become stronger or weaker over time.

The RPSP assists countries in making their systems ready to access GCF (and indeed other climate-related) finance, especially in strengthening both weak components (boxes) and weak connections among components (arrows).

In Figure 1 above, the red numbers in parentheses indicate which components and which connections are targeted by the RPSP activities aiming to:<sup>10</sup>

- Establish and strengthen NDAs or FPs, including coordination;
- Develop strategic frameworks, including the preparation of country programmes and consultations, private sector involvement and development of concept notes;
- Support accreditation and accredited DAEs, including upgrades; and
- Formulate NAPs and/or other adaptation planning processes.

### Three interrelated systems

In the above Figure 1, some system components are defined in rather vague terms, for example, “private sector”, “national consultants”, “other governmental organizations”, or “other stakeholders”. Now it is necessary to circumscribe the country system with some boundaries.

Four such boundaries can be considered. The system components may be restricted to:

- Organizations dealing with the GCF (actually or potentially);
- Organizations dealing with climate finance;
- Organizations concerned with low-emission and climate-resilient development; and
- Organizations concerned with sustainable development as delineated by the Sustainable Development Goals (SDGs).

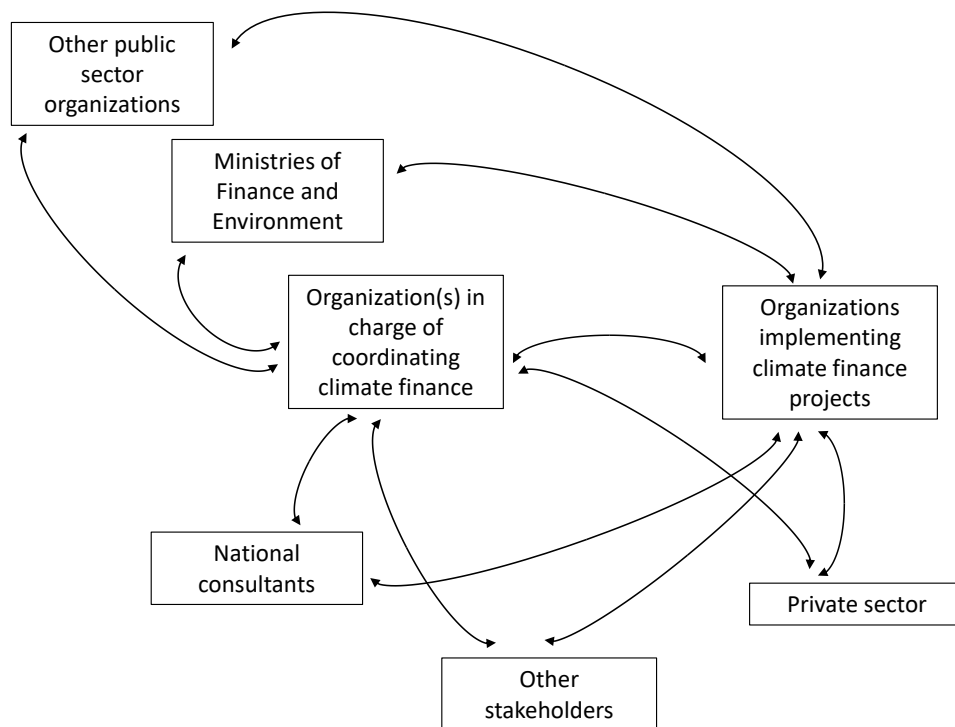
The first boundary defines the “GCF-related country system” (Figure 1 above). The RPSP aims to increase readiness and ownership within that system.

The second boundary defines the “climate finance country system”, which is described in Figure 2 below. Green Climate Fund and climate finance systems have a lot of common components and connections. For instance, the same organization may play the role of NDA/FP for GCF and other climate-related funds. Similarly, the same entity may seek accreditation from GCF and other funds (e.g., the AF). If the RPSP assists in strengthening the GCF system, there may be positive consequences in terms of strengthening the broader climate finance system and the country may get better access to climate finance in general. Conversely, if the climate finance system is strong, the need for RPSP support may be limited and the outcomes will arrive faster. This latter point is further discussed in the next section.

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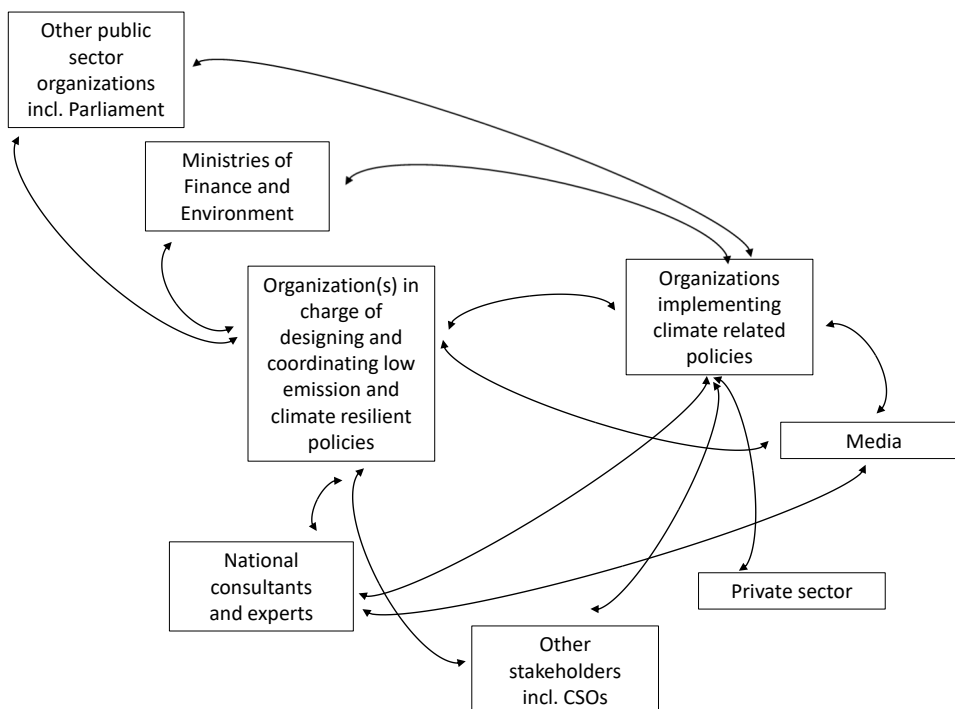
<sup>10</sup> The RPSP also involves a fifth category of activities consisting of structured dialogues, DAE workshops, and national information sessions that are supported by central funds with GCF participating. Such activities are not related to a given country system. They are mentioned in Figure 4 below, as dialogues.

*Figure 2 Climate finance country system*



The third boundary defines the country system in relation to low-emission and climate-resilient policies, and is described in Figure 3, below. Again, the successive systems are embedded into one another and the outcomes of the strengthening efforts percolate from level to level.

*Figure 3 Country system in relation to low-emission and climate-resilience policies*



### Three pathways to changing country systems

Assessing the state of country systems should be part of the process of designing and approving RPSP activities. At present, such assessments are most often done in an implicit manner, except in the case of assistance provided by KPMG and PWC to (future) DAEs. Figure 1, Figure 2, and Figure 3 in the previous section might help in framing these assessments, by identifying weak components and weak connections within the GCF-related country system and the climate finance country system.

The following table (Table 7) categorizes the potential findings of such an assessment into three types of systemic weaknesses. The rows reflect the fact that weaknesses may be found in system components (e.g. NDA/FP, potential DAEs) or in connections among components (e.g. between NDA/FPs and government, between DAEs and private finance, etc.). The columns reflect the fact that weaknesses may be found in the climate finance system in general or in the GCF finance system only. The following paragraphs exemplify the logic of the RPSP in the three cases successively.

**Table 7** *Three types of weaknesses in country systems*

WEAKNESS IN	WEAKNESS IN RELATION TO	
	GCF finance only	Climate finance in general
System components (boxes)	Type 1	Type 2
System connection (arrows)	Type 3	

Examples of Type 1 weakness include: some government agencies are familiar with climate finance, but none are yet GCF-ready; some potential DAEs have worked with AF and GEF but they still need GCF accreditation; there is availability of national climate change consultants, but they are not yet acquainted with GCF standards. In such instances RPSP grants aim to bridge the gap between pre-existing capacities and GCF standards while developing ownership.

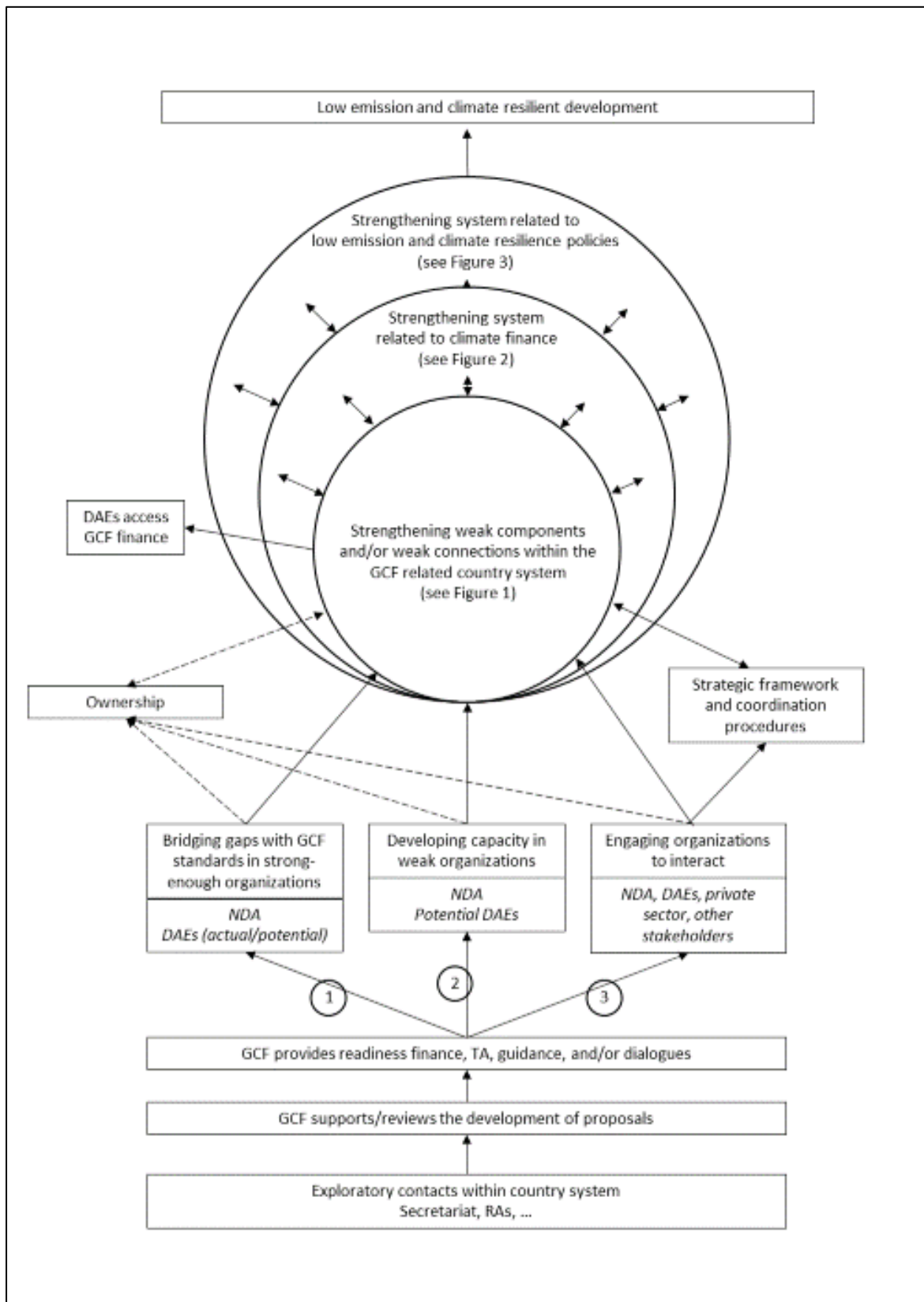
Examples of Type 2 weaknesses include: limited public sector familiarity with climate finance, either GCF or other; limited capacity of potential DAEs to deal with climate finance. In such instances RPSP grants aim to build capacity, possibly through several successive steps while developing ownership.

Examples of Type 3 weaknesses include: poor connections between NDA/FPs and some key government agencies; poor response of CSOs to NDA/FP-led consultations, or their exclusion thereof; problems in establishing or running the NOP; and poor response of the private sector to consultation with DAEs on concept notes. In such instances, RPSP grants aim to enable the beneficiary organization to better interact with other organizations within the system. Typically (but not exclusively), interactions take place in the process of developing programmes, plans and strategies. Ownership results from the satisfaction of all interacting parties.

### The overall ToC in a systemic perspective

Taking stock of the systemic perspective presented above, the new understanding of the ToC for the RPSP is presented in Figure 4 below.

Figure 4 Overall Theory of Change: version 2



From the bottom to the top of Figure 4 (above), the logical steps under RPSP control are as follows:

- Making exploratory contacts within the country system;
- Supporting/reviewing the development of RPSP proposals;
- Provision of technical assistance and guidance;
- Organizing structured dialogues, DAE workshops, and national information sessions that are supported by central funds with GCF participating;
- Approving and financing activities aimed at strengthening weak components and/or weak connections within country systems by (i) bridging gaps with GCF standards in strong-enough organizations, (ii) building capacity in weak organizations, and/or (iii) engaging organizations to interact.

Then, the ensuing expected changes are:

- Strategic frameworks developed, and coordination procedures established;
- Ownership of GCF finance;
- Bringing the country system to become GCF-ready;
- Bringing DAEs to access GCF finance.

The logic of RPSP could stop at this stage but the ToC also displays the next logical steps, which include:

- Contributing to the strengthening of the wider system related to climate finance;
- Contributing to the strengthening of the even wider system related to low-emission and climate-resilient policies; and
- Contributing to low-emission and climate-resilient development in the country (GCF vision).

### **Viewing RPSP in a new way**

Green Climate Fund readiness is a flexible concept. Country programme and concept notes are recommended but not compulsory. Countries freely chose the institutional anchorage of the NDA/FP and the modalities of the NOP. The GCF recommends involving the private sector but the choice is still with countries. In such a flexible framework, RPSP can be understood as a menu. The RPSP offers support for a range of purposes. Countries and country organizations define their own way to GCF readiness – starting with their present juncture – and may pick up or neglect items in the RPSP menu at any time and in any sequential order.

This deliberate flexibility reflects the recognized variability in the situations of individual countries. However, it is a challenge when it comes to understanding the logic of the programme. Keeping in mind the image of the menu, the ToC could be an extremely simple one: the RPSP supplies countries with the items they have chosen in order to realize what they have decided to achieve. On the contrary, the ToC could be a very complicated set of causal chains comprising the logic of all items used for all purposes.

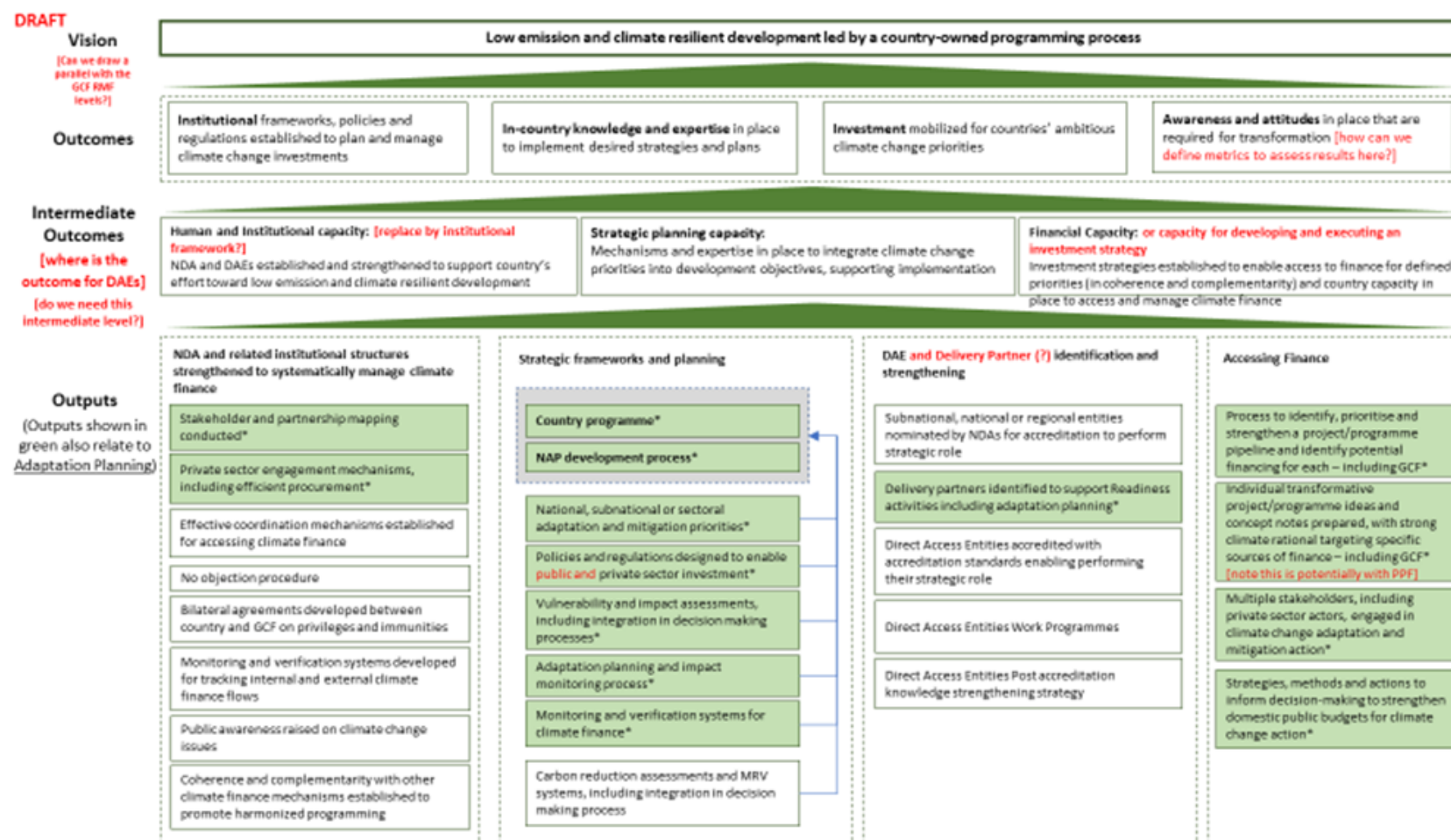
In version 1 of the ToC shared in the Inception Report, the evaluation team strove to find some common structure behind the diversity of country situations. This was done by highlighting one main logical chain with three steps (organizational strengthening, strategic frameworks, and access to finance). The RPSP has not imposed such a common pathway to readiness, however. That was just an understanding of an implicit logic, read between the lines of the RPSP documents. In those programme documents, NDA/FP strengthening always came before the preparation of country

programmes, and DAE accreditation always came before preparing project concept notes. This suggested the idea of a sequential pathway to readiness.

However, the idea of a sequential pathway did not stand with the data collected, and the evaluation team has been forced to propose a more appropriate version 2. While acknowledging the flexible nature of GCF readiness and the RPSP, this new version has a backbone reflecting a unified RPSP logic. As it is presented in this report, this is foremost a basis for discussion, while also helping the evaluation team to present its evaluation findings. Once discussed, amended and finalized by the GCF, the ToC should help in clarifying RPSP communication, assessing country needs (possibly relying on Figure 1), and accounting for results. Theories of Change are always works-in-progress. In its consolidated version 2, the ToC could be used for further testing the logic of the RPSP, and some key causal links (e.g. assumptions) about ownership.



Figure 5 Earlier ToC by PMU (formerly OPM)



#### Explanatory notes for linking the narrative:

- Further guidance will be prepared for each output, including indicative list of activities, good practices, methodologies and other support methods. This further guidance will be included in an updated Readiness Guidebook.
- Readiness support can be sought to produce one or more outputs.
- Outputs that can be supported by Adaptation Planning category of Readiness are indicated with a "\*" and are in green.
- To be produced by NDA leadership with GCF support, as needed and in the order most appropriate for each country context.
- Outputs are grouped here into Categories of operative categories of readiness: (i) NDA institutional strengthening; (ii) DAE institutional strengthening; (iii) Strategic planning/frameworks; (iv) Accessing finance/investment; (v) Adaptation Planning\*
- Taking into account unique national contexts and need for flexibility, NDAs can proposed Readiness support for an additional output not already indicated here, which will contribute to the outcomes and vision of the Readiness Programme.
- Each of these outputs involve a set of activities to be produced. Activities will be designed based on country contexts. Countries are encouraged to review GCF Board decisions and Secretariat guidance in designing specific activities to achieve the state outputs, in accordance with country contexts.
- Review criteria will be developed for all categories of Readiness proposal.
- Information and knowledge sharing activities will be supported by the Secretariat through Structured Dialogues, Workshops and web-based knowledge management, for each of the output groupings (Readiness categories) and individual outputs.

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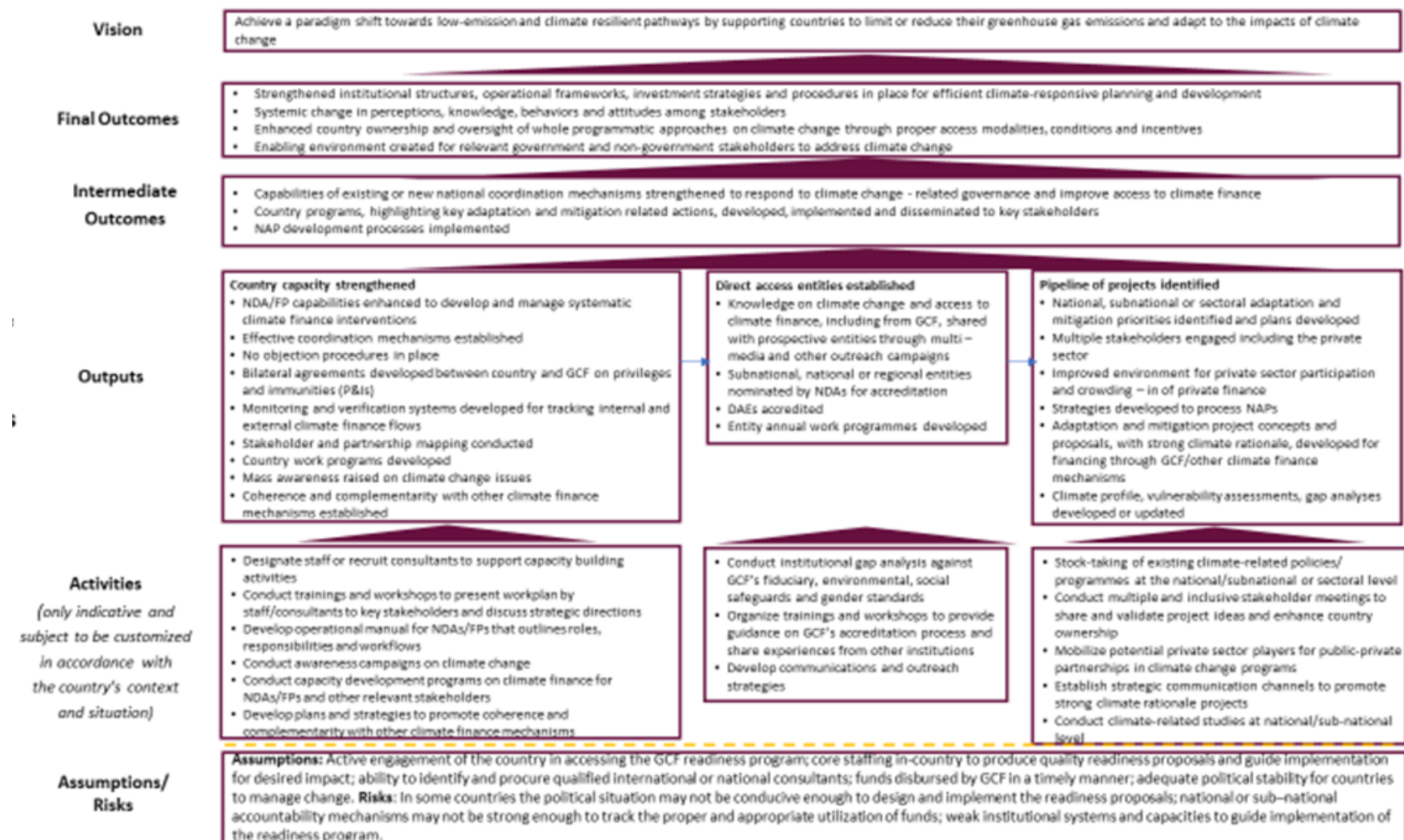
#### Assumptions/Risks

(work in progress)

**Assumptions:** Active engagement of the country in accessing the GCF Readiness program; core staffing in-country to produce Readiness proposals and guide implementation for desired impact; ability to identify and procure qualified international or national consultants; funds disbursed by GCF in a timely manner; adequate political stability for countries to manage change.

**Risks:** In some countries the political situation may not be conducive enough to design and implement the readiness proposals; national or sub-national accountability mechanisms may not be strong enough to track the proper and appropriate utilization of funds; weak institutional systems and capacities to guide implementation of the readiness program.

Figure 6 Earlier ToC by DCP



## APPENDIX VI: EVALUATION MATRIX

The evaluation matrix forms the backbone of this evaluation, and thus draws on a variety of sources in its construction. The matrix is based on the evaluation criteria and questions as described in the TOR approved by the Board for this evaluation. “Key Questions” have been included and are aligned with the evaluation criteria. The evaluation matrix includes a series of sub-questions and indicators. Further, the various analytic approaches have been matched with the evaluation questions, as have data sources.

The matrix has been informed by inception meetings, interviews, FGDs and event participation, as well as through preliminary document review. The matrix also reflects the ToC – notably, seven of the lines in the matrix correspond with what we call “major learning needs” (highlighted in turquoise within the matrix).

Legend:

ToC-A = Theory of Change Analysis

PT = Process Tracing

MA/B = Meta-Analysis/Benchmarking

M = Mechanism

CS = Country Studies

D = Documents

I = Interviews

S = Survey

Db = Database Analyses

CRITERIA	KEY QUESTIONS	SUB-QUESTIONS	INDICATORS	ANALYSES	DATA SOURCES
Relevance	What is the relevance of the RPSP?	<p>How relevant is the RPSP to the GCF?</p> <p>How relevant is the RPSP to the UNFCCC?</p> <p>How relevant is the RPSP to the wider climate change adaptation and mitigation community?</p> <p>How relevant is the RPSP to DPs, NDAs, DAEs and other country-level stakeholders?</p> <p>How relevant is the RPSP to private sector needs and priorities?</p>	<p>Evidence of stakeholder perceptions of the relevance of the RPSP (e.g. GCF, NDAs, private sector).</p> <p>Extent of submissions for RPSP support.</p> <p>Evidence of rising/shrinking demand for RPSP support over time.</p> <p>Evidence that RPSP support translates into pipeline development.</p>	TOC-A; MA/B; CS	D, I, S
Coherence	What is the coherence of the RPSP in climate finance delivery?	<p>What is the niche of the RPSP within the wider climate change adaptation and mitigation community?</p> <p>What has been the extent and quality of coordination among development partners in helping countries respond to climate risks? In what ways are RPSP proposals and activities building on and complementing these other activities, etc.?</p> <p>How coherent is the RPSP with the rest of the GCF, in terms of its priorities and objectives?</p>	<p>Evidence that RPSP is situated within an overall, coherent strategic country programme to climate change adaptation and mitigation by NDA/FPs.</p> <p>Evidence that NDA/FPs and/or the country programme also reflect awareness of and/or coordination with other readiness/climate work/strategies being used in a country.</p> <p>Evidence of additionality, cooperation, complementarity, and synergies with the readiness activities of comparator organizations.</p> <p>Evidence that the country programme for addressing climate change is more than just a programme for engaging with the GCF, but also a programme for engaging with other multilateral and bilateral financiers of climate finance.</p>	MA/B; CS	D, I, S
Effectiveness of programme	To what extent has the RPSP been effective in delivering results, as per the activity and outcome priorities of the programme?	How have readiness grants enabled NDA/FPs to lead effective intra-governmental coordination mechanisms, including the establishment of the no-objection procedure?	<p>Evidence that the NDA identified coherence challenges (i.e. duplication, conflict, or synergy between country programme/NAP and one or more existing country policies).</p> <p>Evidence that NDA interacted with relevant experts/stakeholders about such challenges.</p> <p>Evidence that win-win solutions emerged from that interaction.</p>	TOC-A (N1), PT, CS, M	D, I, S
		To what extent have readiness grants enabled NDA/FPs to effectively engage stakeholders in consultative processes, including the preparation of coherent country programmes?	<p>Evidence that supported NDAs, AEs and DAEs have attempted to attract relevant country stakeholders in their planning and programming processes.</p> <p>Evidence that relevant stakeholders participated in such processes.</p> <p>Evidence that relevant stakeholders voiced their interests in such processes.</p>	TOC-A (N2), CS, PT, M	D, I, S

CRITERIA	KEY QUESTIONS	SUB-QUESTIONS	INDICATORS	ANALYSES	DATA SOURCES
			<p>Evidence that planning and programming processes took stock of stakeholders' interests.</p> <p>Evidence that stakeholders are satisfied in their participation and willing to participate again.</p>		
		How effective has readiness technical assistance been in enabling nominated candidates to achieve accreditation as DAEs?	<p>Evidence that Readiness support has contributed to establishing and upgrading accreditation.</p> <p>Evidence that Readiness support has contributed to pipeline development for DAEs.</p>	TOC-A (N3), CS, PT, M	Db, D, I, S
		How effectively has the RPSP supported information-sharing and experience-sharing events and processes contributing to the ability of countries and DAEs to engage effectively with the GCF?	<p>Evidence of information-sharing and experience-sharing events and processes targeted at relevant stakeholders in RPSP supported countries.</p> <p>Evidence that such events and processes created learning opportunities for concerned stakeholders.</p> <p>Evidence that concerned stakeholders learned.</p> <p>Evidence that concerned stakeholders were able to disseminate their learning.</p>	TOC-A (N4), CS, PT, M	Db, D, I, S
		How effective have readiness grants been in enabling countries to develop NAPs that build on existing country strategies and plans?	<p>Evidence of NDA having acquired institutional capacity, know-how, and legitimacy.</p> <p>Evidence of NDA leadership in the process of developing strategic frameworks and country programme.</p> <p>Evidence of NDA efforts at focusing strategic frameworks and country programme on major resilience/adaptation challenges.</p>	TOC-A (N5), CS, PT, M	Db, D, I, S
		How effective has the RPSP been in enabling NDA/FPs and AEs to develop concept notes and/or project proposals to access climate finance that address high-impact priorities identified in the country programme?	<p>Evidence of supported DPs/AEs having acquired organizational capacity, know-how, and interest in GCF finance.</p> <p>Evidence of supported DPs/AEs having contributed to developing NAPs and other adaptation planning processes.</p> <p>Evidence that such plans and processes are in line with GCF criteria.</p>	TOC-A (N6), CS, PT, M	Db, D, I, S
		How effective has the RPSP been in enabling private sector engagement in country consultative processes, helping to improve the enabling environment for crowding-in private-sector investments?	<p>Evidence that supported NDAs, AEs, and DAEs have attempted to attract private sector stakeholders in their planning and programming processes.</p> <p>Evidence that relevant private sector stakeholders responded to such attempts.</p> <p>Evidence that such responses ended in deeper engagement.</p>	TOC-A (N7), CS, PT, M	Db, D, I, S

CRITERIA	KEY QUESTIONS	SUB-QUESTIONS	INDICATORS	ANALYSES	DATA SOURCES
Unexpected results	Is there any evidence of unexpected results from the RPSP, both positive and negative?		<p>Possible, illustrative indicators.</p> <p>Evidence of a displacement effect of the RPSP, for example, discouraging additional engagement with the GCF.</p> <p>Extent to which there is a ToC, whether implicit or explicit, for the programme that incorporates considerations of impact, sustainability and overall outcomes for the RPSP.</p> <p>Extent to which integrity-related topics are catered to in the proposals and implementation of readiness and preparatory work, at the country level.</p>	CS	D, I, S
Country ownership	To what extent is the RPSP contributing to heightening country ownership of GCF projects and programmes?	To what extent is country ownership encapsulated in the conceptual design and implementation of the RPSP?	Extent to which country ownership is defined, produced/promoted through the operationalization/implementation of the RPSP at country level.	TOC-A, CS	D, I, S
			Extent to which/ways in which country ownership goes beyond a letter of non-objection.	TOC-A, CS	D, I, S
			Extent to which NDAs represent/coordinate diverse stakeholders in-country.	CS	D, I, S
			Extent to which the capacities of NDAs have been strengthened (human, systems, procedures, etc.), enabling countries to drive engagement with the GCF.	TOC-A, CS	D, I, S
			Evidence that internal (e.g. linguistic-internal to RPSP) factors enable/hinder country ownership.	CS	D, I
			Evidence that external (e.g. contextual, regional-external to RPSP) enable/hinder country ownership.	CS	D, I
Cross-cutting issues	To what extent has the RPSP integrated key cross-cutting issues, as per the priorities of the GCF?	To what extent is the RPSP advancing gender equity and inclusiveness?	<p>Evidence of alignment with the GCF gender policy.</p> <p>Evidence of gender balance in representation of key representatives at stakeholder engagement events.</p> <p>Evidence of alignment with international best practices on gender.</p> <p>Evidence of barriers and facilitators that may support gender equity and social/economic inclusivity (including minority and vulnerable groups).</p>	TOC-A, CS	D, I, S
		To what extent is the RPSP in line with the environmental safeguards policy?	Evidence of alignment with the GCF environmental and social safeguards policy.	TOC-A, CS	D, I, S



CRITERIA	KEY QUESTIONS	SUB-QUESTIONS	INDICATORS	ANALYSES	DATA SOURCES
Innovativeness	To what extent is the RPSP contributing to/enabling a paradigm shift towards low-emission and climate-resilient development pathways?		<p>Evidence that the RPSP implementation processes and procedures reflect new and state-of-the-art thinking.</p> <p>Evidence that climate change adaptation and mitigation has been enshrined in countries' political agendas, legislation and policies.</p> <p>Evidence of improved access of countries to climate finance.</p> <p>Evidence that the private sector has been mobilized and stays involved.</p> <p>Evidence of paradigm shift in countries.</p> <p>Evidence that RPSP fosters cross-sectoral approaches.</p>	MA/B, CS	D, I, S
Impact	What is the likelihood of the sustained impact of the RPSP?		<p>Evidence that RPSP enables lasting access to climate finance and promotes a paradigm shift.</p> <p>Evidence that NDAs and AEs have developed RPSP requests together.</p> <p>Evidence that countries have been empowered to deliver projects, as per stakeholder perceptions.</p> <p>Evidence of contextually appropriate interventions with strong buy-in from diverse sectors and groups.</p>	CS, PT	D, I, S
Potential for building scale	To what extent can RPSP activities be scaled up in other locations within the country or replicated in other countries?		<p>Extent to which approaches/good/innovative practices in one location are reproduced and adapted elsewhere.</p> <p>Perceived potential of this being the case.</p>	TOC-A, MA/B, CS	D, I, S
Efficiency	To what extent are RPSP processes efficient?		<p>Extent to which readiness opportunities are communicated widely to relevant stakeholders.</p> <p>Evidence that the <i>GCF Guidebook – Accessing the Readiness and Preparatory Support Programme</i> is providing adequate guidance for accessing Readiness support (e.g. clarity of guidance, linguistic accessibility).</p> <p>Extent to which the NDA governance model is appropriate for the effective delivery of RPSP support.</p> <p>Complementarity of four operational divisions (DCP, DMA, PSF, OPM) in delivery of RPSP.</p> <p>Inclusiveness of the RWG of GCF units (Finance, OPM, ORMC, etc.).</p>	TOC-A, MA/B, CS, PT	I, S, Db

CRITERIA	KEY QUESTIONS	SUB-QUESTIONS	INDICATORS	ANALYSES	DATA SOURCES
			<p>Extent to which risk assessment is appropriately informing readiness requests.</p> <p>Evidence of the timely contribution of RAs.</p> <p>Evidence and significance of bottlenecks in RPSP processes (e.g. legal process, grant agreement development).</p> <p>Adequacy of the way in which readiness requests are handled and the changes in speed with which they are handled, throughout the process (extremes, averages, comparisons between 2016 and 2018, with lapse-time analysis).</p> <p>Evidence that framework agreements have increased efficiencies in the RPSP process (e.g. legal matters).</p> <p>Extent to which the RPSP has built and benefited from economies of scale stemming from developing standardized packages.</p> <p>Extent to which RPSP templates cover the need for country ownership, quality and timeliness.</p> <p>Value of Financial Management Capacity Assessment (FMCA) support to smaller AEs in contributing to RPSP support requests.</p> <p>Value of Readiness support in pre-accreditation period (e.g. work of PwC).</p> <p>Efficiency of the RPSP identification, review, and approval mechanisms in relation to comparator organizations.</p> <p>Effect of the recent engagement of the United Nations Office for Project Services (UNOPS) for reviewing requests.</p> <p>Extent to which the RPSP learns, and adapts its processes.</p> <p>Extent to which shift from two-year to one-year grants contributed to the timely delivery of Readiness support.</p>		

## APPENDIX VII. SELECTED DATA ON RPSP IMPLEMENTATION

**Table 8** *Number and value of approved RPSP grants to countries, by year of first submission*

YEAR THAT GRANT PROPOSAL WAS FIRST SUBMITTED	NUMBER OF COUNTRIES RECEIVING GRANTS	NUMBER OF GRANTS	REQUESTED AMOUNTS (USD MILLIONS)	APPROVED AMOUNTS (USD MILLIONS)	TOTAL DISBURSEMENTS (USD MILLION)	
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						PERCENT DISBURSED
<b>2014</b>	2	2	0.35	0.34	0.29	85%
<b>2015</b>	34	37	10.54	10.40	5.51	53%
<b>2016</b>	45	46	25.35	25.31	9.45	37%
<b>2017</b>	62	79	57.91	56.78	10.46	18%
<b>2018</b>	1	1	0.60	0.60	0.00	0%
<b>Total</b>	<b>142</b>	<b>165</b>	<b>94.74</b>	<b>93.42</b>	<b>25.71</b>	<b>28%</b>

*Notes:* The number and amounts of approved grants are as of 15 May 2018, and the amounts disbursed are as of 13 July 2018.

This only includes grants submitted by NDAs and implemented by NDAs or a DP. This does not include structured regional dialogues, DAE workshops, national information sessions, or technical assistance by PwC to help nominated regional, national, or sub-national entities achieve accreditation as DAEs. The number of countries adds up to more than 109 because some countries submitted proposals in more than one year.

**Table 9** *Number and value of approved RPSP grants to countries, by country classification (without double-counting)*

COUNTRY CLASSIFICATION	NUMBER OF COUNTRIES RECEIVING GRANTS	NUMBER OF GRANTS	APPROVED AMOUNTS (USD MILLIONS)	DISBURSED AMOUNTS (USD MILLIONS)	PER CENT DISBURSED
<b>African countries (54)</b>	42 (78%)	60	30.20	7.77	26%
<b>Least Developed Countries (47)</b>	34 (72%)	53	28.39	7.98	28%
<b>Small Island Developing States (39)</b>	28 (72%)	41	21.12	6.28	30%
<b>Subtotal: Africa, LDCs, SIDS (95)</b>	<b>72 (76%)</b>	<b>108</b>	<b>59.08</b>	<b>15.63</b>	<b>26%</b>
<b>Other countries (53)</b>	37 (70%)	57	34.34	10.08	29%
<b>Total (148)</b>	<b>109 (74%)</b>	<b>165</b>	<b>93.42</b>	<b>25.71</b>	<b>28%</b>

*Notes:* The numbers in parentheses in the left-hand column are the total number of eligible countries in each category, and the percentages in parentheses are the shares of eligible countries that have received grant approvals. The subtotals for Africa, LDCs, and SIDS combined do not include double-counting of 28 countries that appear in two of the three categories, and two countries that appear in all three categories.

**Table 10** *Number and value of approved RPSP grants to countries, by region*

REGION	NUMBER OF COUNTRIES RECEIVING GRANTS	NUMBER OF GRANTS	APPROVED AMOUNTS (USD MILLIONS)	DISBURSED AMOUNTS (USD MILLIONS)	PER CENT DISBURSED
<b>Africa (54)</b>	42 (76%)	60	30.20	7.77	26%

<b>Asia-Pacific (51)</b>	31 (61%)	50	26.68	9.66	36%
<b>Eastern Europe (10)</b>	9 (90%)	9	4.92	1.11	23%
<b>Latin America &amp; the Caribbean (33)</b>	27 (82%)	46	31.63	7.17	23%
<b>Total (148)</b>	<b>109 (74%)</b>	<b>165</b>	<b>93.42</b>	<b>25.71</b>	<b>28%</b>

*Table 11 Number and value of approved RPSP grants to countries, by income category*

REGION	NUMBER OF COUNTRIES RECEIVING GRANTS	NUMBER OF GRANTS	APPROVED AMOUNTS (USD MILLIONS)	DISBURSED AMOUNTS (USD MILLIONS)	PER CENT DISBURSED
<b>Low-income countries (33)</b>	22 (67%)	34	22.25	5.54	25%
<b>Lower middle-income countries (46)</b>	37 (80%)	55	26.71	8.54	32%
<b>Upper middle-income countries (51)</b>	39 (76%)	55	27.79	7.43	27%
<b>High-income countries (18)</b>	11 (61%)	21	16.66	4.20	25%
<b>Total (148)</b>	<b>109 (74%)</b>	<b>165</b>	<b>93.42</b>	<b>25.71</b>	<b>28%</b>

**Table 12** Number and value of approved RPSP grants to countries, by location of National Designated Authority

LOCATION OF NDA	NUMBER OF COUNTRIES RECEIVING GRANTS	NUMBER OF GRANTS	APPROVED AMOUNTS (USD MILLIONS)	DISBURSED AMOUNTS (USD MILLIONS)	PER CENT DISBURSED
Ministry of Environment, Climate Change, or Natural Resources	68	104	55.02	18.67	34%
Ministry of Finance, National Treasury or President's Office	18	29	19.25	4.52	23%
Ministry of Economic or Development Planning	13	20	12.36	1.73	14%
Other ministries	10	12	6.80	0.79	12%
<b>Total</b>	<b>109</b>	<b>165</b>	<b>93.42</b>	<b>25.71</b>	<b>28%</b>

**Table 13** Number and value of approved RPSP grants to countries, by type of grant proposal and year of submission

TYPE OF PROPOSAL	YEAR OF FIRST SUBMISSION	NUMBER OF GRANTS	APPROVED AMOUNTS (USD MILLIONS)	DISBURSED AMOUNTS (USD MILLIONS)	PER CENT DISBURSED
Adaptation planning grants	2016	4	10.88	1.62	15%
	2017	10	27.29	0.68	2%
	<b>Subtotal</b>	<b>14</b>	<b>38.17</b>	<b>2.30</b>	<b>6%</b>
Other RPSP grants	2014-2015	39	10.74	5.80	54%
	2016	42	14.43	7.83	54%
	2017-2018	70	30.08	9.78	33%
	<b>Subtotal</b>	<b>151</b>	<b>55.25</b>	<b>23.41</b>	<b>42%</b>
<b>All Grants</b>	<b>Total</b>	<b>165</b>	<b>93.42</b>	<b>25.71</b>	<b>28%</b>

Notes: There were two approved RPSP grants submitted in 2014 and one in 2018.

**Table 14** Number and value of approved RPSP grants to countries, by type of Delivery Partner

TYPE OF DELIVERY PARTNER	NUMBER OF COUNTRIES RECEIVING GRANTS	NUMBER OF GRANTS	APPROVED AMOUNTS (USD MILLIONS)	DISBURSED AMOUNTS (USD MILLIONS)	PER CENT DISBURSED
<b>International Access Entities</b>	61	85	57.67	14.08	24%
<b>Direct Access Entities (regional)</b>	19	22	9.19	4.71	51%
<b>Direct Access Entities (national)</b>	24	31	11.47	2.90	25%
<b>National Designated Authority</b>	22	27	15.09	4.01	27%
<b>Total</b>	<b>126</b>	<b>165</b>	<b>93.42</b>	<b>25.71</b>	<b>28%</b>

*Notes:* The number of countries is greater than 109 because some countries used more than one type of Delivery Partner for different grants.

**Table 15** Number of approved RPSP grants to countries, by type of Delivery Partner and region

TYPES OF DELIVERY PARTNER	AFRICA	ASIA-PACIFIC	EASTERN EUROPE	LATIN AMERICA & THE CARIBBEAN	TOTAL	SHARE OF TOTAL
<b>International DP</b>	29	35	7	14	85	52%
<b>Regional DP</b>	5	5		12	22	13%
<b>National DP</b>	16	5		10	31	19%
<b>National Designated Authority</b>	10	5	2	10	27	16%
<b>Total</b>	<b>60</b>	<b>50</b>	<b>9</b>	<b>46</b>	<b>165</b>	<b>100%</b>

**Table 16** *Number of approved RPSP grants to countries, by Delivery Partner and with or without framework agreements*

DELIVERY PARTNER	NUMBER OF COUNTRIES RECEIVING GRANTS	NUMBER OF GRANTS	APPROVED AMOUNTS (USD MILLIONS)	DISBURSED AMOUNTS (USD MILLIONS)	PER CENT DISBURSED
<b>With framework agreements</b>					
UNDP	26	30	23.430	5.609	24%
UNEP	21	22	17.852	3.844	22%
GIZ	8	10	3.617	1.717	47%
FAO	8	9	6.242	0.000	0%
GGGI	8	8	4.326	1.760	41%
CAF	4	6	3.196	2.704	85%
CCCCC	4	4	1.275	0.552	43%
Subtotal	<b>79</b>	<b>89</b>	<b>59.937</b>	<b>16.186</b>	<b>27%</b>
<b>Without framework agreements</b>					
National Designated Authority	22	27	11.466	2.905	25%
CSE	4	5	1.405	0.870	62%
IUCN	3	3	0.971	0.816	84%
SPREP	3	3	1.260	0.828	66%
Avina	2	2	1.024	0.000	0%
EIF	1	2	0.691	0.434	63%
OSS	2	2	0.600	0.250	42%
UCAR	1	2	3.267	0.000	0%
Other Delivery Partners (with only one grant)	30	30	12.804	3.421	27%
Subtotal	<b>68</b>	<b>76</b>	<b>33.488</b>	<b>9.523</b>	<b>28%</b>
<b>Total</b>	<b>147</b>	<b>165</b>	<b>93.424</b>	<b>25.709</b>	<b>28%</b>



**Table 17** *Readiness support to nominated entities seeking accreditation as Direct Access Entities*

COUNTRY	INITIAL SUBMISSION DATE	APPROVAL DATE	USD AMOUNT APPROVED	USD AMOUNT DISBURSED	CURRENT STATUS
Benin	6/26/2015	6/26/2015	37,000	36,070	Closed
Colombia	6/26/2015	6/26/2015	37,000	34,330	Closed
Brazil	6/26/2015	6/26/2015	37,000	33,851	Closed
Colombia	6/26/2015	6/26/2015	37,000	34,309	Closed
Honduras	6/26/2015	6/26/2015	37,000	34,557	Closed
Honduras	6/26/2015	6/26/2015	37,000	37,890	Closed
Niue	7/14/2015	7/14/2015	37,000	42,122	Closed
Palau	9/8/2015	2/19/2016	37,000	37,890	Closed
Seychelles	10/7/2015	5/19/2016	37,000	34,222	Closed
Kenya	10/18/2015	10/18/2015	37,000	34,102	Closed
Mexico	1/18/2016	1/18/2016	37,000	35,445	Closed
Micronesia, Fed. Sts.	1/18/2016	1/18/2016	37,000	38,048	Closed
Micronesia, Fed. Sts.	1/18/2016	1/18/2016	37,000	37,989	Closed
Pakistan	Not available	Not available	37,000	35,367	Closed
Cambodia	1/22/2016	2/29/2016	37,000	35,343	Closed
Peru	9/15/2016	10/31/2016	33,415		In legal processing
Cook Islands	4/23/2017	5/17/2017	29,722	16,186	Disbursed
Gabon	4/28/2017	6/3/2017	33,415	19,700	Disbursed
Senegal	4/28/2017	5/17/2017	29,722	29,521	Disbursed
Uruguay	4/28/2017	5/17/2017	28,203	13,207	Disbursed
Antigua and Barbuda	6/27/2017	8/29/2017	30,209	28,065	Disbursed
Georgia	7/28/2017	8/29/2017	33,915	13,468	Disbursed
Zimbabwe	7/31/2017	8/29/2017	33,915	21,996	Disbursed
Bangladesh	11/6/2016	12/14/2016	34,620	16,611	Disbursed
Jamaica	12/2/2017	12/2/2017	33,915		In legal processing
Cameroon	9/9/2017	9/9/2017	39,415	28,198	Disbursed

*Notes:* This includes technical assistance provided by PwC, approved as of 31 July 2018, to help nominated regional, national or sub-national entities achieve accreditation as DAEs.

**Table 18** *Approved RPSP grants and funded projects, by eligible GCF countries*

COUNTRY	GCF REGION	INCOME CATEGORY	LDCs	SIDS	APPROVED RPSP GRANTS			RPSP COMMITMENTS (USD '000)	RPSP DISBURSEMENTS (USD '000)	APPROVED FUNDED PROJECTS
					REGULAR	PwC	TOTAL			
Afghanistan	Asia-Pacific	Low income	LDC							
Albania	Eastern Europe	Upper MIC			1		1	300.0	147.5	
Algeria	Africa	Upper MIC			1		1	300.0	0.0	
Angola	Africa	Lower MIC	LDC							
Antigua and Barbuda	LAC	High income		SIDS	3	1	4	3,950.0	785.2	1
Argentina	LAC	High income			3		3	3,700.0	0.0	3
Armenia	Eastern Europe	Upper MIC			1		1	3,300.0	150.0	2
Azerbaijan	Eastern Europe	Upper MIC			1		1	300.0	150.0	
Bahamas	LAC	High income		SIDS	1		1	670.0	250.0	1
Baharain	Asia-Pacific	High income								
Bangladesh	Asia-Pacific	Lower MIC	LDC		3	1	4	3,140.0	236.0	3
Barbados	LAC	High income		SIDS	1		1	300.0	0.0	2
Belize	LAC	Upper MIC		SIDS	1		1	300.0	122.5	1
Benin	Africa	Low income	LDC		1	1	2	40.0	36.1	1
Bhutan	Asia-Pacific	Lower MIC	LDC		1		1	400.0	0.0	1
Bolivia	LAC	Lower MIC			1		1	300.0	60.0	
Bosnia & Herzegovina	Eastern Europe	Upper MIC			1		1	2,510.0	0.0	1
Botswana	Africa	Upper MIC								
Brazil	LAC	Upper MIC			1	1	2	740.0	33.9	2
Burkina Faso	Africa	Low income	LDC		2		2	640.0	250.0	1
Burundi	Africa	Low income	LDC		1		1	480.0	239.0	
Cabo Verde	Africa	Lower MIC		SIDS						
Cambodia	Asia-Pacific	Lower MIC	LDC		1	1	2	310.0	155.3	1
Cameroon	Africa	Lower MIC			1	1	2	340.0	278.2	

COUNTRY	GCF REGION	INCOME CATEGORY	LDCs	SIDS	APPROVED RPSP GRANTS			RPSP COMMITMENTS (USD '000)	RPSP DISBURSEMENTS (USD '000)	APPROVED FUNDED PROJECTS
					REGULAR	PwC	TOTAL			
Central African Rep.	Africa	Low income	LDC		2		2	630.0	290.0	
Chad	Africa	Low income	LDC		1		1	300.0	120.0	
Chile	LAC	High income			4		4	2,000.0	1,828.1	2
China	Asia-Pacific	Upper MIC								
Colombia	LAC	Upper MIC			4	2	6	3,770.0	418.6	1
Comoros	Africa	Low income	LDC	SIDS	1		1	300.0	0.0	1
Congo, Dem. Rep.	Africa	Low income	LDC		2		2	1,700.0	798.4	
Congo, Rep.	Africa	Lower MIC			2		2	920.0	150.0	1
Cook Islands	Asia-Pacific	High income		SIDS	2	1	3	870.0	433.3	1
Costa Rica	LAC	Upper MIC			1		1	300.0	284.1	1
Côte d'Ivoire	Africa	Lower MIC			1		1	300.0	240.0	1
Cuba	LAC	Upper MIC		SIDS	1		1	330.0	0.0	
Djibouti	Africa	Lower MIC	LDC		1		1	300.0	120.0	
Dominica	LAC	Upper MIC		SIDS	1		1	460.0	232.4	3
Dominican Republic	LAC	Upper MIC		SIDS	2		2	3,300.0	175.0	1
Ecuador	LAC	Upper MIC			1		1	3,300.0	150.0	1
Egypt, Arab Rep.	Africa	Lower MIC			1		1	300.0	122.5	3
El Salvador	LAC	Lower MIC			1		1	300.0	0.0	1
Equatorial Guinea	Africa	Upper MIC			2		2	900.0	0.0	1
Eritrea	Africa	Low income	LDC							
Eswatini	Africa	Lower MIC			2		2	3,100.0	83.0	
Ethiopia	Africa	Low income	LDC		1		1	300.0	120.0	1
Fiji	Asia-Pacific	Upper MIC		SIDS						1
Gabon	Africa	Upper MIC			1	1	2	340.0	269.7	
Gambia, The	Africa	Low income	LDC		1		1	300.0	75.0	1

COUNTRY	GCF REGION	INCOME CATEGORY	LDCs	SIDS	APPROVED RPSP GRANTS			RPSP COMMITMENTS (USD '000)	RPSP DISBURSEMENTS (USD '000)	APPROVED FUNDED PROJECTS
					REGULAR	PwC	TOTAL			
Georgia	Eastern Europe	Lower MIC			1	1	2	340.0	321.8	3
Ghana	Africa	Lower MIC			1		1	300.0	300.2	1
Grenada	LAC	Upper MIC		SIDS	2		2	980.0	108.9	4
Guatemala	LAC	Upper MIC			1		1	370.0	315.6	2
Guinea	Africa	Low income	LDC		1		1	300.0	300.0	
Guinea-Bissau	Africa	Low income	LDC	SIDS						
Guyana	LAC	Upper MIC		SIDS	2		2	1,000.0	120.0	1
Haiti	LAC	Low income	LDC	SIDS	2		2	780.0	390.0	1
Honduras	LAC	Lower MIC			2	2	4	1,140.0	586.0	
India	Asia-Pacific	Lower MIC			1		1	300.0	150.0	2
Indonesia	Asia-Pacific	Lower MIC			1		1	850.0	281.3	
Iran, Islamic Rep.	Asia-Pacific	Upper MIC								
Iraq	Asia-Pacific	Upper MIC			1		1	670.0	334.1	
Jamaica	LAC	Upper MIC		SIDS	3	1	4	1,530.0	265.5	
Jordan	Asia-Pacific	Upper MIC			2		2	960.0	339.8	2
Kazakhstan	Asia-Pacific	Upper MIC			1		1	300.0	150.0	1
Kenya	Africa	Lower MIC			2	1	3	3,470.0	34.1	3
Kiribati	Asia-Pacific	Lower MIC	LDC	SIDS	1		1	590.0	0.0	
Korea, Rep. of	Asia-Pacific	High income								
Kosovo	Eastern Europe	Lower MIC								
Kuwait	Asia-Pacific	High income								
Kyrgyz Republic	Asia-Pacific	Lower MIC			1		1	300.0	0.0	
Lao PDR	Asia-Pacific	Lower MIC	LDC		4		4	1,610.0	239.5	
Lebanon	Asia-Pacific	Upper MIC								
Lesotho	Africa	Lower MIC	LDC		1		1	300.0	0.0	

COUNTRY	GCF REGION	INCOME CATEGORY	LDCs	SIDS	APPROVED RPSP GRANTS			RPSP COMMITMENTS (USD '000)	RPSP DISBURSEMENTS (USD '000)	APPROVED FUNDED PROJECTS
					REGULAR	PwC	TOTAL			
Liberia	Africa	Low income	LDC		2		2	2,560.0	1,103.7	
Libya	Africa	Upper MIC			1		1	300.0	0.0	
Macedonia, FYR	Eastern Europe	Upper MIC			1		1	300.0	0.0	
Madagascar	Africa	Low income	LDC							2
Malawi	Africa	Low income	LDC							1
Malaysia	Asia-Pacific	Upper MIC			1		1	300.0	150.0	
Maldives	Asia-Pacific	Upper MIC		SIDS	1		1	300.0	198.5	1
Mali	Africa	Low income	LDC		2		2	290.0	251.2	1
Marshall Islands	Asia-Pacific	Upper MIC		SIDS	1		1	560.0	400.0	2
Mauritania	Africa	Lower MIC	LDC		2		2	2,970.0	120.0	
Mauritius	Africa	Upper MIC		SIDS	2		2	620.0	324.8	2
Mexico	LAC	Upper MIC				1	1	40.0	35.4	3
Micronesia, Fed. Sts.	Asia-Pacific	Lower MIC		SIDS	1	2	3	370.0	326.0	1
Moldova, Rep. of	Eastern Europe	Lower MIC			1		1	300.0	83.0	1
Mongolia	Asia-Pacific	Lower MIC			4		4	3,910.0	797.5	4
Montenegro	Eastern Europe	Upper MIC			1		1	300.0	145.3	
Morocco	Africa	Lower MIC			2		2	600.0	480.0	4
Mozambique	Africa	Low income	LDC		1		1	300.0	0.0	
Myanmar	Asia-Pacific	Lower MIC	LDC		2		2	640.0	452.4	
Namibia	Africa	Upper MIC			2		2	690.0	530.4	4
Nauru	Asia-Pacific	Upper MIC		SIDS	1		1	340.0	130.0	2
Nepal	Asia-Pacific	Low income	LDC		2		2	3,830.0	884.0	
Nicaragua	LAC	Lower MIC								
Niger	Africa	Low income	LDC		2		2	3,300.0	363.2	
Nigeria	Africa	Lower MIC								2

COUNTRY	GCF REGION	INCOME CATEGORY	LDCs	SIDS	APPROVED RPSP GRANTS			RPSP COMMITMENTS (USD '000)	RPSP DISBURSEMENTS (USD '000)	APPROVED FUNDED PROJECTS
					REGULAR	PwC	TOTAL			
Niue	Asia-Pacific	Upper MIC		SIDS	1	1	2	600.0	337.0	
Oman	Asia-Pacific	High income			1		1	0.0	250.0	
Pakistan	Asia-Pacific	Lower MIC			3	1	4	3,640.0	1,058.7	1
Palau	Asia-Pacific	High income		SIDS		1	1	40.0	37.9	
Palestine	Asia-Pacific	Lower MIC			2		2	570.0	413.6	
Panama	LAC	High income			1		1	900.0	516.7	
Papua New Guinea	Asia-Pacific	Lower MIC		SIDS	1		1	680.0	221.4	2
Paraguay	LAC	Upper MIC			2		2	890.0	275.6	2
Peru	LAC	Upper MIC			2	1	3	790.0	93.5	1
Philippines	Asia-Pacific	Lower MIC								
Rwanda	Africa	Low income	LDC		2		2	900.0	673.5	2
Samoa	Asia-Pacific	Upper MIC		SIDS						2
São Tomé & Príncipe	Africa	Lower MIC	LDC	SIDS	1		1	300.0	0.0	
Saudi Arabia	Asia-Pacific	High income								
Senegal	Africa	Low income	LDC		3	1	4	1,140.0	289.5	3
Serbia	Eastern Europe	Upper MIC			1		1	300.0	130.0	1
Seychelles	Africa	High income		SIDS	3	1	4	910.0	34.2	
Sierra Leone	Africa	Low income	LDC							
Singapore	Asia-Pacific	High income		SIDS						
Solomon Islands	Asia-Pacific	Lower MIC	LDC	SIDS						1
Somalia	Africa	Low income	LDC							
South Africa	Africa	Upper MIC			1		1	380.0	195.0	1
South Sudan	Africa	Low income	LDC		1		1	300.0	0.0	
Sri Lanka	Asia-Pacific	Lower MIC								1
St. Kitts and Nevis	LAC	High income		SIDS	1		1	430.0	0.0	2

COUNTRY	GCF REGION	INCOME CATEGORY	LDCs	SIDS	APPROVED RPSP GRANTS			RPSP COMMITMENTS (USD '000)	RPSP DISBURSEMENTS (USD '000)	APPROVED FUNDED PROJECTS
					REGULAR	PwC	TOTAL			
St. Lucia	LAC	Upper MIC		SIDS	1		1	380.0	59.7	1
St. Vincent and the Grenadines	LAC	Upper MIC		SIDS	1		1	300.0	120.0	2
Sudan	Africa	Lower MIC	LDC		1		1	400.0	273.2	
Suriname	LAC	Upper MIC		SIDS						1
Syrian Arab Republic	Asia-Pacific	Low income								
Tajikistan	Asia-Pacific	Low income			1		1	300.0	150.0	5
Tanzania	Africa	Low income	LDC		1		1	300.0	0.0	2
Thailand	Asia-Pacific	Upper MIC			3		3	1,270.0	652.0	
Timor-Leste	Asia-Pacific	Lower MIC	LDC	SIDS	1		1	300.0	300.0	
Togo	Africa	Low income	LDC		1		1	300.0	200.0	1
Tonga	Asia-Pacific	Upper MIC		SIDS	2		2	500.0	330.0	1
Trinidad and Tobago	LAC	High income		SIDS						
Tunisia	Africa	Lower MIC			1		1	300.0	250.0	1
Turkmenistan	Asia-Pacific	Upper MIC								
Tuvalu	Asia-Pacific	Upper MIC	LDC	SIDS						1
Uganda	Africa	Low income	LDC							3
Uruguay	LAC	High income			2	1	3	3,130.0	605.2	
Uzbekistan	Asia-Pacific	Lower MIC								1
Vanuatu	Asia-Pacific	Lower MIC	LDC	SIDS	3		3	810.0	808.4	1
Venezuela, RB	LAC	Upper MIC								
Vietnam	Asia-Pacific	Lower MIC			1		1	300.0	130.0	2
Yemen, Rep.	Asia-Pacific	Low income	LDC							
Zambia	Africa	Lower MIC	LDC		1		1	300.0	60.0	2
Zimbabwe	Africa	Low income			2	1	3	3,220.0	1,020.9	
<b>No. of countries</b>	<b>148</b>	<b>148</b>	<b>47</b>	<b>39</b>	<b>111</b>	<b>23</b>	<b>113</b>			<b>79</b>



COUNTRY	GCF REGION	INCOME CATEGORY	LDCs	SIDS	APPROVED RPSP GRANTS			RPSP COMMITMENTS (USD '000)	RPSP DISBURSEMENTS (USD '000)	APPROVED FUNDED PROJECTS
					REGULAR	PwC	TOTAL			
<b>No. of activities</b>					<b>171</b>	<b>26</b>	<b>197</b>			<b>134</b>
<b>USD “000</b>								<b>110,130.0</b>	<b>29,301.8</b>	

*Notes:* Grants approved as of 10 July 2018.

This includes (i) regular RPSP grants submitted by NDAs and implemented by NDAs or a Delivery Partner, and (ii) technical assistance by PwC to help nominated regional, national or sub-national entities achieve accreditation as DAEs. It does not include structured regional dialogues, DAE workshops, and national information sessions. Some funded projects are being implemented in several countries. As a result, the sum of the approved funded projects (134) is larger than the actual number of approved funded projects (76) because of double-counting and two of the projects have now lapsed.

**Table 19 Share of eligible countries receiving regular RPSP and PwC grants, by country classification**

TYPERS OF COUNTRIES	NUMBER OF COUNTRIES RECEIVING					TOTAL NO. OF COUNTRIES	SHARE OF COUNTRIES RECEIVING GRANTS
	1 grant	2 grants	3 grants	4 or more grants	None		
<b>African Countries</b>	22	17	2	2	11	54	80%
<b>Small Island Developing States</b>	17	7	3	3	9	39	77%
<b>Least Developed Countries</b>	18	13	1	3	12	47	74%
<b>Subtotal: Africa, LDCs, SIDS</b>	<b>38</b>	<b>26</b>	<b>5</b>	<b>6</b>	<b>20</b>	<b>95</b>	<b>79%</b>
<b>Other countries</b>	24	5	4	5	15	53	72%
<b>Total</b>	<b>62</b>	<b>31</b>	<b>9</b>	<b>11</b>	<b>35</b>	<b>148</b>	<b>76%</b>

*Source:* Derived from table 18. This includes (i) regular RPSP grants submitted by NDAs and implemented by NDAs or a DP, and (ii) technical assistance by PwC to help nominated regional, national or sub-national entities achieve accreditation as DAEs. It does not include structured regional dialogues, DAE workshops and national information sessions. The subtotals for Africa, LDCs, and SIDS combined do not include double-counting of 28 countries that appear in two of the three categories and 2 countries that appear in all three categories.

**Table 20** *Share of eligible countries receiving regular RPSP and PwC grants, by region*

TYPES OF COUNTRIES	NUMBER OF COUNTRIES RECEIVING					TOTAL NO. OF COUNTRIES	SHARE OF COUNTRIES RECEIVING GRANTS
	1 grant	2 grants	3 grants	4 or more grants	None		
Asia Pacific	17	7	4	4	19	51	63%
Africa	22	17	2	2	11	54	80%
Latin America & Caribbean	15	6	3	5	4	33	88%
Eastern Europe	8	1			1	10	90%
<b>Total</b>	<b>62</b>	<b>31</b>	<b>9</b>	<b>11</b>	<b>35</b>	<b>148</b>	<b>76%</b>

Source: See table 18.

**Table 21** *Share of eligible countries receiving regular RPSP and PwC grants, by income category*

TYPES OF COUNTRIES	NUMBER OF COUNTRIES RECEIVING					TOTAL NO. OF COUNTRIES	SHARE OF COUNTRIES RECEIVING GRANTS
	1 grant	2 grants	3 grants	4 or more grants	None		
High income	6		3	3	6	18	67%
Low income	11	10	1	1	10	33	70%
Upper-middle income	25	12	2	2	10	51	80%
Lower middle income	20	9	3	5	9	46	80%
<b>Total</b>	<b>62</b>	<b>31</b>	<b>9</b>	<b>11</b>	<b>35</b>	<b>148</b>	<b>76%</b>

Source: See table 18.

## APPENDIX VIII: PRINCIPAL FINDINGS FROM THE META-ANALYSIS AND BENCHMARKING EXERCISE

### Summary

The GCF operates in an environment of many global, regional, multilateral and bilateral climate funds, each with their own objectives and characteristics such as scope, scale, governance arrangements, funding mechanisms and organizational processes. The purpose of the present meta-analysis is to “benchmark” the Readiness and Preparatory Support Programme (RPSP) of the GCF against similar activities being undertaken by other climate-related global funds.

As agreed by the GCF Board in October 2013, the overarching objective of the RPSP has been to help countries strengthen their institutional capacities to engage effectively with the GCF over the long term, including preparing country programmes and enabling implementing entities to meet GCF fiduciary standards and environmental and social safeguards.

**Table 22** *Readiness activities supported by GCF and other climate-related global funds*

ACTIVITIES SUPPORTED BY THE RPSP	GCF	GEF+	MLF	AF	CIF	FCPF
(i) Establishing and strengthening the capacity of NDAs, including establishing the no-objection procedure	√		√			
(ii) Developing strategic frameworks for engaging with the GCF, including the preparation of country programmes	√	√	√		√	√
(iii) Developing initial pipelines of programme and project proposals	√	√			√	√
(iv) Supporting the accreditation of DAEs, including support for DAEs that are already accredited, to upgrade their accreditation status	√			√		
(v) Adaptation planning	√	√			√	
(vi) Information sharing, primarily through structured regional and DAE dialogues.	√	√	√		√	√

*Notes:* GEF+ = Global Environment Facility plus the Least Developed Countries Fund for Climate Change and the Special Climate Change Fund, which are operated by the GEF; MLF = Multilateral Fund for the Implementation of the Montreal Protocol; AF = Adaptation Fund; CIF = Climate Investment Funds; FCPF = Forest Carbon Partnership Facility; NDA = Nationally Designated Authority; DAE = Direct Access Entity.

In June 2017, activity (v) was added to the list of RPSP activities, and activity (iii) was subsumed into activity (ii).

Like the RPSP, most of the funds organize centrally managed workshops and dialogues to share information and experience with beneficiary countries about their programme. The GEF, for example, as part of its country support programme that was established in 2002, organizes constituency workshops for its 18 constituencies of GEF countries to strengthen the capacity of GEF focal points, UNFCCC focal points, and civil society representatives, but the MLF is the only other fund that finances institutional strengthening projects to strengthen the capacities of its national focal points – in its case, the countries’ National Ozone Units (table 22).

All the funds have their own equivalents of GCF AEs, which implement both investment projects and readiness projects, but the AF is the only other fund that is financing readiness projects to support the accreditation of DAEs – like PwC is doing under its service contract with the GEF Secretariat. Following the lead of the AF, which pioneered direct access to climate financing, the GCF and the AF are the only two funds that have open-ended windows for eligible organizations to

seek accreditation to prepare, submit, and implement investment projects. As a result, the GCF has accredited 59 entities (32 of which are regional or national DAEs) to various levels of accreditation as of 30 June 2018, followed by the AF (46), the GEF (18), the CIF (5), the MLF (4 international and several bilateral agencies), and the FCPF (3).

The RPSP is the only fund that allows unaccredited entities to serve as DPs for readiness projects. Where the Delivery Partner is not an Accredited Entity, the GCF requires that the delivery partner complete a Financial Management Capacity Assessment (FMCA) questionnaire and supporting documents to demonstrate its capacity for strong financial management to the GCF Secretariat. The GCF has also reached Framework Agreements with seven specific international and regional organizations – some accredited and some not – that are serving as DPs in multiple countries to facilitate more efficient implementation by streamlining legal processing, monitoring/reporting, and disbursements. Of the 165 RPSP country grants approved as of 15 May 2018, the majority of the grants (89 out of 165) are being implemented by DPs that now have Framework Agreements – UNDP (with 30 grants), UNEP (22 grants), GIZ (10 grants), FAO (9 grants), GGGI (8 grants), CAF (6 grants), and CCCCC (4 grants).<sup>11</sup>

Like the RPSP, the two climate adaptation funds that are administered by the GEF – the Least Developed Countries Fund for Climate Change and the Special Climate Change Fund – are also supporting adaptation planning. These were established in 2001 because the main GEF Trust Fund is restricted to supporting mostly climate change mitigation activities. One of the three subfunds of the Climate Investment Funds – the Pilot Programme for Climate Resilience – is also supporting adaptation planning as part of its programmatic approach, in which countries prepare national investment plans that include a pipeline of projects before the main projects are prepared and implemented.

The FCPF and the MLF are the only two funds whose Readiness programmes are geared towards assisting countries to put in place institutional arrangements to measure the outcomes of their follow-on-investment projects against measurable targets. That is, the FCPF is supporting countries to establish a nationwide monitoring, measurement and verification system capable of monitoring changes in forest cover and forest carbon stocks, in order for them to become eligible to sell emission reduction credits. Meanwhile, the MLF is assisting developing countries to meet their specific compliance deadlines under the Montreal Protocol. This raises the possibility that future RPSP activities might be geared towards assisting countries – in conjunction with the UNFCCC and the GEF – to put in place institutional arrangements to accurately and transparently measure their progress towards their Intended Nationally Determined Contributions (INDCs) under the Paris Climate Agreement.

The GCF project cycle for funded projects has some distinctive features, the implications of which are explained and discussed in greater detail in the main part of this appendix:

- The GCF Board approves funded projects at the full preparation (appraisal) stage in contrast to the GEF Council, for example, which approves projects at the concept stage;
- Similar to the AF, the preparation of a concept note is currently voluntary. Accredited Entities can submit a full proposal for approval of the GCF Board, along with the no-objection letter from the NDA, without first submitting a concept note to the GCF for review and comment;

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<sup>11</sup> A small number (eight) of these projects started implementation before their delivery partners actually formalized their Framework Agreements with the GCF.

- Once a project is approved, the essential contractual agreement – called the Funded Activity Agreement for a grant, loan, equity contribution, or guarantee – is between the GCF Secretariat and the AE, not between the AE and the government of the recipient country (for public sector projects). Once the Funded Activity Agreement becomes effective, the approved funds flow from the GCF Secretariat to the AE, not to the government, unless the AE is a government agency.
- The GCF, along with the CIF, has put a lot of emphasis on engaging with the private sector. As of 30 April 2018, 41 per cent of GCF financial commitments have come through the Private Sector Facility of the GCF.

All the comparator funds except the MLF provide funding to AEs to prepare funded projects, irrespective of the type of entity (international or direct access); but the GCF favours DAEs for its project preparation grants. International entities generally cannot expect to receive project preparation grants unless there is no DAE in the particular country. They have to absorb the preparation costs until the Board approves the project at the full proposal (appraisal) stage.

The GCF has put a lot of emphasis on encouraging strong country ownership. Indeed, two of the objectives of the RPSP have been to enable NDA/FPs (i) to lead effective intra-governmental coordination mechanisms, including the no-objection procedure (NOP), and (ii) to effectively engage stakeholders in consultative processes, including the preparation of coherent country programmes. But countries have a lot of flexibility in institutionalizing these processes, and therefore determining what country ownership means. The diverse situations that currently exist across countries are likely to continue; a number of countries have not even applied for readiness grants to put in place inclusive coordination and consultation processes. The GCF may want to consider following the lead of the Global Fund to Fight AIDS, Tuberculosis and Malaria, which has mandated stronger ownership and accountability processes for its Country Coordinating Mechanisms. Inclusive country coordination and consultation processes centred on the NDA need to be operationalized for effective long-term engagement with the GCF, including the establishment of permanent secretariats supporting their work.

## Introduction

The GCF operates in an environment of many global, regional, multilateral and bilateral climate funds, each with their own objectives and characteristics such as scope, scale, governance arrangements, funding mechanisms, and organizational processes. Other global funds include:<sup>12</sup>

- Global Environment Facility (GEF, established 1991) and two related funds – the Least Developed Countries Fund for Climate Change (LDCF, established 2001) and the Special Climate Change Fund (SCCF, established 2001). The GEF proper focuses on climate change mitigation as well as other environmental issues including biodiversity, chemicals and waste, forestry, international waters, and land degradation. The LDCF and the SCCF focus on climate change adaptation;
- The Multilateral Fund for the Implementation of the Montreal Protocol (MLF, established 1991), which focuses on reducing emissions of ozone-depleting substances;
- The Climate Investment Funds (CIF established 2008) comprises two funds – the Clean Technology Fund and the Strategic Climate Fund. The CTF is for mitigation projects and the

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<sup>12</sup> See Annex A for a tabular comparison of the GCF, the GEF and related funds, the Adaptation Fund, and the Climate Investment Funds, taken from GCF/B.17/08, 21 June 2017, *Operational Framework on complementarity and coherence*.

SCF has three subfunds: the Scaling Up Renewable Energy Programme, which focuses on energy access; the Pilot Programme for Climate Resilience, which focuses on adaptation; and the Forest Investment Programme, which focuses on sustainable forestry;

- The Adaptation Fund (AF, established 2001), which focuses on climate change adaptation and resilience activities. It is financed by a two-per cent share of proceeds from Certified Emission Reductions issued under the Clean Development Mechanism projects of the Kyoto Protocol, as well as contributions from government and private donors; and
- Various carbon funds such as the Forest Carbon Partnership Facility (FCPF, established 2008). This comprises two funds – the Readiness Fund, which helps countries formulate and implement their REDD+ readiness strategies, and the Carbon Fund, which provides performance-based payments for verified emissions reductions.

The multilateral development banks, UNDP, UNEP, and other United Nations agencies are also playing significant roles both directly and as implementing agencies for these funds. German development assistance such as that from Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) has been prominent among bilateral climate change initiatives.

The purpose of this meta-analysis is to “benchmark” the RPSP of the GCF against similar activities being undertaken by other initiatives. This focuses on documenting and comparing the GCF and the RPSP with other climate-related global funds and their readiness activities, to identify both similarities and differences with the RPSP. It also includes information on other initiatives to the extent that these provide comparators or lessons of experience for the RPSP. The meta-analysis comprises (i) a summary of the main readiness activities of the comparator organizations, (ii) the findings of relevant evaluations of these activities, to the extent that these are available, and (iii) interviews with the key, responsible staff in each comparator organization.

The meta-analysis may also include aspects of other global funds such as the Global Fund to Fight AIDS, Tuberculosis and Malaria, because the Global Fund is a large global financial mechanism like the GCF that was established to help affected countries address a cross-cutting development issue. After it was established in 2002, the Global Fund adopted innovative procedures to operationalize guiding principles such as country ownership (similar to those of the GCF), making its experience of relevance to the GCF.

## Principal findings

### *1. The RPSP is broader than the readiness programmes of comparator funds*

As agreed by the GCF Board in October 2013, the overarching objective of the RPSP has been to help countries strengthen their institutional capacities to engage effectively with the GCF over the long term, including preparing country programmes and enabling implementing entities to meet GCF fiduciary standards and environmental and social safeguards. Accordingly, the RPSP has provided support for a range of activities, as can be seen in table 22:<sup>13</sup>

- (i) Establishing and strengthening the capacities of NDAs, including establishing the no-objection procedure;
- (ii) Developing strategic frameworks for engaging with the GCF, including the preparation of the country programme;

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<sup>13</sup> In June 2017, activity (v) was added to the list of RPSP activities, and activity (iii) was subsumed into activity (ii).

- (iii) Supporting the development of initial pipelines of programme and project proposals;
- (iv) Supporting the accreditation of DAEs, including support for DAEs that are already accredited, to upgrade their accreditation status;
- (v) Adaptation planning; and
- (vi) Information sharing, primarily through structured regional and DAE dialogues.

The readiness activities of the AF focus primarily on activity (iv) – supporting the accreditation of National Implementing Entities (their equivalent of DAEs). Indeed, the GCF and the AF are the only two funds with readiness activities supporting the accreditation of DAEs, because these are the only two funds that have open-ended windows for eligible organizations to seek accreditation to prepare, submit, and implement projects. As a result, the GCF has accredited 59 entities (32 of which are regional or national DAEs) to various levels of accreditation as of 30 June 2018, followed by the AF (46), the GEF (18), the CIF (5), the MLF (4 international and several bilateral agencies), and the FCPF (3).

The readiness activities of the MLF encompass (i), (ii), (iv), and (vi). It organizes centrally managed workshops to facilitate the sharing of information and experiences among recipient countries, and it finances institutional strengthening projects to strengthen the national ozone units (NOUs) as the FPs for mobilizing stakeholders, initiating and following-up on legislation and ratifications, and coordinating the preparation and implementation of phase-out projects and plans with implementing agencies (UNDP, UNEP, the United Nations Industrial Development Organization [UNIDO] and World Bank) and bilateral agencies.

The readiness activities of the GEF proper encompass (ii), (iv), and (vi). That is, these are not aimed at supporting the accreditation of DAEs, as with the GCF and AF. The GEF Secretariat organizes constituency meetings, expanded constituency meetings, and introduction seminars to strengthen the capacity of GEF FPs as well as UNFCCC FPs and civil society representatives. The two climate adaptation funds that are administered by the GEF, namely, the LDCF and the SCCF, also support adaptation planning (v).

The readiness activities of the FCPF encompass (ii), (iv), and (vi), which is similar to the GEF proper.

The readiness activities of the CIF encompass (ii), (iv), (v), and (vi). The CIF has adopted a programmatic approach which essentially requires countries to develop an investment plan that includes pipeline projects, before projects get prepared and implemented. Therefore, the investment plans under the Pilot Programme for Climate Resilience resemble adaptation planning. The readiness activities of the CIF do not support the accreditation of DAEs, because they work exclusively with multilateral development banks (MDBs) as implementing agencies.

The FCPF and the MLF are the only two funds whose Readiness programmes are geared towards assisting countries to put in place institutional arrangements to measure the outcomes of their follow-on-investment projects against measurable targets. That is, the FCPF is supporting countries to establish a nationwide monitoring, measurement and verification system capable of monitoring changes in forest cover and forest carbon stocks, in order for them to become eligible to sell emission reduction credits. Meanwhile, the MLF is assisting developing countries to meet their specific compliance deadlines under the Montreal Protocol. This raises the possibility that future RPSP activities might be geared towards assisting countries – in conjunction with the UNFCCC and the GEF – to put in place institutional arrangements to accurately and transparently measure their progress towards their INDCs under the Paris Climate Agreement.



Indeed, developing country Parties to the Paris Agreement have already agreed to periodically report their progress towards their INDCs, this being the first time that developing countries have agreed to such obligations in a climate change agreement or protocol. The Paris Agreement also requested that the GEF establish and operate a Capacity-Building Initiative for Transparency (CBIT) Fund to support developing country Parties with tools, training and assistance to meet these enhanced transparency requirements of the Paris Agreement, as well to provide increased accuracy in measuring GHG emissions (Paris Agreement, paragraphs 85 to 89). The GEF Council approved the establishment of the CBIT Trust Fund at its 50th Council meeting in June 2016, and the GCF became operational in November 2016, with 11 donors pledging more than USD 50 million to the GCF and with the first three projects approved for Kenya, Costa Rica, and South Africa. But the needs of developing countries in this regard are likely to exceed the capacity and the resources of one fund (the CBIT) to meet them.

*2. Most RPSP-supported activities are project-based, requested by National Designated Authorities, and implemented by Delivery Partners.*

The GCF Secretariat organizes centrally managed structured dialogues regionally and with DAEs – such as the structured dialogue for Asia in Da Nang in April 2018 and the one for DAEs in Songdo in May 2018 – to share information about the GCF, country experiences, and knowledge. The GEF also organizes constituency workshops for the 18 constituencies of GEF countries, plus the Central Asian recipient countries that share a donor constituency with Switzerland, as part of its Country Support Programme that was established in 2002. This was initially executed by UNDP, but has been broadened and executed by the GEF Secretariat since 2010.

The CIF used to hold Partnership Forums roughly every 18 months to share knowledge among countries, though the last one was held in 2014. Since then, each of the four constituent programmes has organized CIF Pilot Country Meetings, which are generally held every 18–24 months and bring together MDBs, donors, recipient countries, and key stakeholders, etc. for the purpose of knowledge sharing. The AF and FCP also hold some knowledge-sharing workshops.

The readiness activities of the GCF and the other funds are primarily project-based, and are prepared and implemented by DPs in conjunction with the recipient countries. Outlined below are further details of the main funds seeking to tackle climate change:

- The RPSP provides grants of up to USD 1 million per country per year for activities (i), (ii), and (iv) above, of which NDA/FPs may request up to USD 300,000 to help establish or strengthen an NDA/FP to deliver on the requirements of the GCF. The RPSP also provides grants of up to USD 3 million per country for the formulation of national adaptation plans and/or other adaptation planning processes by NDAs. The RPSP also put in place a service contract with PricewaterhouseCoopers (PwC) to provide technical assistance to regional, national, and sub-national institutions, nominated by the NDA, to help them meet the accreditation standards of the GCF;
- The AF now has 12 multilateral implementing entities, 6 regional implementing entities, and 28 national implementing entities, which is very similar to the three categories of AEs in the GCF. It can fairly be said that the AF pioneered direct access to climate financing. Through direct access, National Implementing Entities (NIE) are able to directly access financing and manage all aspects of climate adaptation and resilience projects, from design through implementation to monitoring and evaluation. The AF readiness programme consists of South-South grants from one NIE to provide peer support to another potential NIE seeking accreditation in another country;



- The GEF has 18 implementing agencies after two waves of expansion, from the initial three (UNDP, UNEP, and World Bank) to 10 and then to 18. The GEF provides grants for enabling activities that help countries fulfil essential reports to the environmental conventions. The United Nations Environment Programme and UNDP have historically been the principal implementing agencies for enabling activities;
- The CIF works exclusively with MDBs as implementing agencies, namely, the African Development Bank (AfDB), Asian Development Bank (ADB), the European Bank for Reconstruction and Development (EBRD), Inter-American Development Bank (IDB), and World Bank Group (which also includes the International Financial Corporation [IFC]), for the CIF was established with the specific purpose of providing more climate finance for the MDBs. The MDBs work with countries to engage national stakeholders to prepare investment plans, as part of their programmatic approach;
- The MLF has four international implementing agencies – UNDP, UNEP, UNIDO, and the World Bank – and several bilateral agencies such as GIZ and Agence Française de Développement (AFD). Up to 20 per cent of the contributions of contributing parties can be delivered through their bilateral agencies; and
- The FCPF has only three DPs (IDB, UNDP, and World Bank). All three can be DPs for the Readiness Fund, but only the World Bank can be a DP for the Carbon Fund.

The RPSP of the GCF has three distinctive features in terms of project financing of readiness activities. First, while all the funds work with national FPs, only the GCF and the MLF finance projects to strengthen the capacities of their national FPs, in addition to organizing centrally managed workshops for their FPs. The GCF also seems to have specified more precisely the expected roles of their NDA/FPs, namely: (i) to implement the no-objection procedure for funded project proposals submitted to the GCF; (ii) to submit requests for readiness support; (iii) to nominate entities for the accreditation as DAEs; and (iv) to convene stakeholders at the national level to develop strategic frameworks, including the preparation of country programmes.

Second, the NDAs apply for the RPSP grants. For the other funds, the implementing agencies (Accredited Entities) actually submit the proposals for the readiness grants.

Third, while RPSP grants are delivered by DPs, these DPs may be one of the following: (i) the NDA itself, (ii) an existing AE (international or direct access), (iii) a nominated direct access entity, or (iv) other DPs. Where the DP is not an AE, then it has to complete the Financial Management Capacity Assessment (FMCA) questionnaire to demonstrate its capacity for strong financial management to the GCF Secretariat.

Two German Ministries started supporting GCF Readiness activities before the Readiness Programme of the GCF got underway in 2015. The Federal Ministry for Economic Cooperation and Development (BMZ) launched its Climate Finance Readiness Programme in late 2012. Implemented by GIZ, KfW Development Bank, and the AfDB, this programme has also received funding from the United States Agency for International Development (USAID) and the Czech Republic. Then the Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety (BMU) launched its Green Climate Fund Readiness Programme in 2013, which is implemented through UNDP, UNEP, and the World Resources Institute (WRI). Subsequently, the GCF and the implementing partners for these two initiatives reached agreement on a joint coordination mechanism in April 2015 to “ensure that readiness support provided to countries by all partners responds effectively to the needs and barriers identified; [and] maximize the coherence and collective impact of readiness support provided by all Partners.” Countries may have received readiness support from either of these initiatives prior to that from the RPSP.

As funding from BMZ and BMU declined, and as the Readiness Programme of the GCF became operational, GIZ, UNDP and UNEP continued providing their readiness support to countries as formal DPs of the GCF Readiness Programme. In addition, the GCF has now reached Readiness Framework Agreements with GIZ, UNDP, UNEP, and four other organizations, which are serving as DPs in multiple countries, facilitating more efficient implementation by streamlining legal processing, monitoring/reporting, and disbursements. The four other organizations are:

- CAF – Development Bank of Latin America;
- CCCCC – Caribbean Community Climate Change Centre;
- FAO – Food and Agricultural Organization of the United Nations; and
- GGGI – Global Green Growth Institute.

While the RPSP grant approval processes have remained the same, things previously assessed that remain the same are not assessed again to avoid duplication. Delivery Partners with framework agreements also provide semi-annual progress reports to the GCF on their entire Readiness portfolio, rather than progress reports on the implementation of individual RPSP grants. Of the 165 RPSP country grants approved as of 15 May 2018, the majority of the grants (89 out of 165) are being implemented by DPs that now have Framework Agreements – UNDP (with 30 grants), UNEP (22 grants), GIZ (10 grants), FAO (9 grants), GGGI (8 grants), CAF (6 grants), and CCCCC (4 grants).<sup>14</sup>

As mentioned above, the GCF has also put in place a service contract with PwC to provide technical assistance to regional, national, and sub-national entities seeking GCF accreditation as DAEs. At the request of an NDA, this support typically includes an in-depth assessment of the nominated entity, followed by the preparation of an action plan to help it get ready to apply for GCF accreditation.

Finally, starting in 2014, the GCF has appointed a series of 11 regional advisors (RAs)– four for Africa, four for Asia-Pacific, two for Latin America and the Caribbean, and one for Eastern Europe – who advise and support recipient countries in engaging with the GCF Secretariat and, in particular, in facilitating their requests for funding from the RPSP. Currently, this includes: (i) providing advice to NDA/FPs and DAEs with respect to GCF policies, procedures, and templates; (ii) supporting NDA/FPs and DAEs in preparing their GCF-related activities; (iii) contributing to knowledge management on countries and DAEs; and (iv) facilitating the communication of the GCF with countries and DAEs on corporate and institutional matters.

### *3. The GCF project cycle for funded projects has some distinctive features*

First, the GCF Board approves proposals for funded projects at the full preparation (appraisal) stage, in contrast to the GEF Council, which approves project proposals at the concept stage; that is, the GEF Council approves a set of new projects every six months at the concept stage, after which the GEF Chief Executive Officer (CEO) endorses the full proposals without their going back to the Council for approval.<sup>15</sup> Most projects that are approved by the Council are eventually endorsed by the CEO unless they fail to have their preparation completed within the 18-month deadline for full-size projects and 12-month deadline for medium-size projects. The FCPF told the evaluation team that their governing body (the Participants Committee) approves projects at an intermediate stage

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<sup>14</sup> A small number (eight) of these projects started implementation before their DPs actually formalized their framework agreements with the GCF.

<sup>15</sup> See Annex B for a simplified representation of the GEF project cycle with the World Bank, its largest implementing agency. Unless specifically requested at the time of concept approval, all project documents are placed on the GEF website for comment during the four weeks before CEO endorsement.

between concept and appraisal. The CIF governing bodies (of which there is one for each of the four funds) typically approve the projects when they approve the investment plans, which include the list of projects to be financed. The evaluation team was told that 98 per cent of the projects identified in the investment plans eventually get approved.

Second, the preparation of a concept note, for review by the GCF Secretariat, ahead of preparing a full proposal for a funded project, is currently voluntary. An AE may choose either (i) to seek feedback from the GCF Secretariat before preparing a full proposal and submitting this to the GCF Board for approval, or (ii) to simply submit a full proposal to the Board for approval, in both cases with the no-objection of the NDA. The AF also allows implementing entities to submit full proposals directly to the Board for approval, which may be where the GCF obtained the idea. But everyone consulted by the evaluation team (UNEP, UNDP, GIZ, NDC Partnership) recommended that AEs seek feedback from the GCF Secretariat before preparing a full proposal, and the Board is currently considering modifying the rules concerning concept notes.<sup>16</sup> Some of those consulted also shared the opinion that the GCF Secretariat generally takes an inordinately long time to review and comment on submitted concept notes.

Third, once a project is approved, the essential contractual agreement – called the Funded Activity Agreement (FAA) for a grant, loan, equity contribution, or guarantee – is between the GCF Secretariat and the AE, the no-objection of the NDA having been provided at the time that the funded project proposal was submitted to the GCF for Board approval. Once the FAA becomes effective, the approved funds flow from the GCF Secretariat to the AE, not to the government, unless the AE is a government agency.<sup>17</sup> For the comparator funds (with the possible exception of the AF), the essential contractual agreement is between the AE and the government of the recipient country. This may not be a significant distinguishing feature of the GCF, in practice, for the policies of international AEs such as UNDP, UNEP and the World Bank also require a signed agreement with the recipient government in the case of public sector projects. But such an internal policy requirement may not be the rule for all AEs, especially DAEs and private sector AEs. Those consulted generally agreed that the GCF procedures seem to put the AEs in the driver's seat, depending on the ability of the countries to exercise their authority through the no-objection procedure and other institutional arrangements. At the present time, the no-objection procedure involves everything along a spectrum in which one person makes all the decisions in some countries, to a truly consultative process in which a body such as the Parliament makes the final decisions in other countries.

Fourth, the GCF, as well as the CIF, has put a lot of emphasis on engaging with the private sector by means of concessional loans, equity contributions, and guarantees in addition to grants. The GCF has established a Private Sector Facility (PSF), which is actively engaging with pension funds, insurance companies, corporations, local and regional financial intermediaries, and the capital markets to leverage the funds of the GCF to encourage corporations to co-invest with the GCF. As of 30 April 2018, the GCF Board had approved USD 3.7 billion to support the implementation of 76

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<sup>16</sup> At the request of the Board (Decision B.17/09, July 2017), the Secretariat prepared a policy proposal – for consideration at B.20 (July 2018) – for a two-stage approval process aimed at strengthening the screening and appraisal process for concept notes, and introducing mandatory concept notes for medium and large proposals. However, the Board did not get around to considering the proposal at this meeting.

<sup>17</sup> One person consulted said that this was initially a three-way contract, including the government of the country, which was subsequently simplified to a two-way contract between the GCF and the AE only.

climate change adaptation and mitigation projects and programmes in 79 developing countries, of which USD 1.5 billion (41 per cent) has come through the PSF.<sup>18</sup>

#### *4. The GCF favours Direct Access Entities for project preparation grants*

In practice, if an accredited national DAE exists for a particular country, only DAEs can expect to receive fair consideration of proposals that they submit for project preparation grants to the Project Preparation Facility (PPF) of the GCF, which was established after B.11 in November 2015. While the PPF was opened up to international AEs after B.13 in June 2016 – in the recognition that many smaller/poorer countries would not have DAEs in the foreseeable future – international AEs generally cannot expect to receive fair consideration unless there is no DAE in the particular country.

This again contrasts with the GEF, and most of the other funds. When the GEF Council approves a project at the concept stage, the money is reserved for that project but it is not released until the project has been CEO endorsed. The implementing agency receives 40 per cent of its fee and the amount requested for project preparation, after the project concept has been approved by Council. Then the Council instructs the World Bank as the trustee to release funds to the respective implementing agency to support project preparation. The AF and the CIF also provide funding to prepare projects, irrespective of the type of implementing agency, while the MLF does not provide project preparation funding.

The upshot is that the International AEs have little access to GCF project preparation funds. This means that they have to absorb the preparation costs until the Board approves the project at the full proposal (appraisal) stage. In principle, an international AE could still approach an NDA/FP to use RPSP resources to help prepare a funded project proposal, since RPSP resources have been and still are available to all entities to prepare projects. It is just that international AEs cannot expect fair consideration when approaching the PPF directly. The PPF was created in addition to the RPSP to allow DAEs to apply for project preparation funding, with the no-objection of the NDA/FP, in order to avoid the NDA/FP having to make trade-offs between activities with its readiness resources.

As a side note, it was difficult for the evaluation team to tease out or make sense of the initially conflicting information provided by those consulted on this topic, as well as some other topics discussed above. Those also consulted said that such conflicting information is not uncommon, noting that the GCF Secretariat, the RAs and the AEs have been observed to give conflicting information to countries on some issues.

#### *5. Countries have a lot of flexibility in determining what country ownership means*

The GCF has put a lot of emphasis on encouraging strong country ownership. Indeed, two of the objectives of the RPSP are to enable NDA/FPs (i) to lead effective intra-governmental coordination mechanisms, including the no-objection procedure, and (ii) to effectively engage stakeholders in consultative processes, including the preparation of coherent country programmes. However, countries retain a lot of flexibility in institutionalizing their own processes for intra-governmental coordination, in the no-objection procedure and in stakeholder consultations, and therefore determining what country ownership means to them. This seems likely to continue, as a number of countries have not even applied for readiness grants to put in place inclusive coordination and consultation processes.

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<sup>18</sup> Green Climate Fund, *Seventh Report of the Green Climate Fund to the Conference of the Parties to the United Nations Framework Convention on Climate Change*, GCF/B.20/15, 8 June 2018, p. 3.

This situation contrasts significantly with the Country Coordinating Mechanism (CCM) of the Global Fund to Fight AIDS, Tuberculosis and Malaria. As the governing body of the Global Fund Partnership at the country level, the CCM is responsible for submitting grant applications to the Global Fund, procuring the principal recipient (PR) to implement each approved grant, and overseeing the implementation of the grants. Learning from the experience of its formative years, the Global Fund has now mandated strict requirements governing the composition and operating procedures of each CCM, such as requiring meaningful voting representation from civil society organizations (CSOs) and affected communities, and requiring each constituency represented on the CCM to choose its own representatives at meetings convened for the purpose, and to have minutes confirming. The CCMs have to procure the PR of the Global Fund grants competitively, and adopt conflict-of-interest policies in which, among other things, neither PRs nor sub-recipients can be voting members of the CCM.

Country Coordinating Mechanisms typically have permanent secretariats supporting their work as well as subcommittees, such as the Oversight Subcommittee, which is responsible for overseeing the implementation of the grants. Recognizing the important role of CCMs to Global Fund operations in each country, the Global Fund provides grants of USD 300,000 for a three-year period to cover the operational costs of CCMs. Country Coordinating Mechanisms can also apply for amounts exceeding USD 300,000 per three-year period, if the CCM can demonstrate that it has mobilized 20 per cent of the amount exceeding USD 300,000 from sources other than the Global Fund for the same CCM budget period.<sup>19</sup>

The PR for the Global Fund is equivalent to an AE of the GCF, and therefore the lead implementing agency for each grant. These may be a government department or agency, a CSO, an academic institution, or even an international organization such as UNDP. Instead of providing accreditation status to a DAE regardless of whether it is implementing a project, the Global Fund accredits PRs for each grant on a case-by-case basis. Once the CCM has procured a PR to implement an approved grant, the Global Fund Secretariat contracts with a local fund agent to assess the financial, administrative, and implementation capacity of the nominated organization or the organizations interested in serving as PR. Once cleared, PRs subcontract with sub-recipients (the equivalent of executing agencies for the GCF, the GEF, and other environmental funds) to help implement their grants.

Those consulted by the evaluation team were well aware of diverse situations on the ground with respect to GCF-supported activities, with sometimes questionable ownership and accountability practices taking place. They said there needs to be both (i) horizontal coordination at the country level and (ii) coordination among the development partners active in each country. They recommended building on country-level coordination committees where these already exist, and establishing new ones where these are lacking. Country coordination and consultation processes centred on the NDA also need to be operationalized with a management mechanism (i.e. a secretariat), while ensuring that appropriate accountability mechanisms are in place. Indeed, putting in place effective ownership and accountability mechanisms at the country level is a serious challenge.

Finally, those consulted generally agreed that it is vital to get a politically strong ministry – like the ministries of finance or planning – involved with the country coordination process in an effective manner, since climate change is a cross-cutting development issue. The relevant finance ministry could either be the NDA or a strong presence on a country coordinating committee. Improvements

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19 Available at <<https://www.theglobalfund.org/en/country-coordinating-mechanism/>>.

are also required in the incentive environment, to encourage private sector investment in projects that are environmentally friendly; this again, requires the involvement of politically strong ministries. Without such development, even the GCF will never have enough public sector resources to bring about the transition to low-carbon development.

*Annex A Matrix of the design and operational aspects of the GCF and other climate finance delivery channels (GCF/B.17/08, 21 June 2017)*

	GCF	GEF			ADAPTATION FUND	CIFs	
		TRUST FUND (GEF 5 & 6) **	LDCF	SCCF		CLEAN TECHNOLOGY FUND	STRATEGIC CLIMATE FUND
<b>Governance</b>							
Established	2010	1991	2001	2001	2001	2008	2008
UNFCCC mandate	Operating entity of the financial mechanism of the UNFCCC and of the Paris Agreement	Operating entity of the financial mechanism of the UNFCCC and of the Paris Agreement	Serves the UNFCCC and the Paris Agreement	Serves the UNFCCC and the Paris Agreement	Serves the Kyoto Protocol, and Decision 1/ CMA1 decided it “should serve the Paris Agreement” as well, consistent with decisions to be taken at COP24	None	None
Governing body	24-member Board: <ul style="list-style-type: none"> <li>• 12 developing countries</li> <li>• 12 developed countries</li> </ul>	32-member Board: <ul style="list-style-type: none"> <li>• 16 developing countries</li> <li>• 14 developed countries</li> <li>• 2 economies in transition</li> </ul>	32-member Board: <ul style="list-style-type: none"> <li>• 16 developing countries</li> <li>• 14 developed countries</li> <li>• 2 economies in transition</li> </ul>	32-member Board: <ul style="list-style-type: none"> <li>• 16 developing countries</li> <li>• 14 developed countries</li> <li>• 2 economies in transition</li> </ul>	16-member Board: <ul style="list-style-type: none"> <li>• 2 from each of the 5 UN regional groupings</li> <li>• 1 SIDS</li> <li>• 1 LDC</li> <li>• 2 Annex I Parties</li> <li>• 2 non-Annex I Parties</li> </ul>	16-member trust fund committee: <ul style="list-style-type: none"> <li>• 8 eligible recipient countries</li> <li>• 8 contributor countries</li> </ul>	16-member trust fund committee: <ul style="list-style-type: none"> <li>• 8 eligible recipient countries</li> <li>• 8 contributor countries</li> </ul> <p>12-member sub-committees for Pilot Programme for Climate Resilience (PPCR), Scaling-Up Renewable Energy in Low Income Countries Programme (SREP), and Forest Investment Programme (FIP) each:</p>

	GCF	GEF			ADAPTATION FUND	CIFs	
		TRUST FUND (GEF 5 & 6) **	LDCF	SCCF		CLEAN TECHNOLOGY FUND	STRATEGIC CLIMATE FUND
							<ul style="list-style-type: none"> <li>• 6 eligible recipient countries</li> <li>• 6 contributor countries</li> </ul>
<b>Capitalization</b>							
Cumulative funding pledged (~billion USD)	USD 10.3 (2015–2018)	USD 3.03 [climate allocation]	USD 1.225	USD 0.352	USD 0.64 [includes CDM revenue] <i>As of March 2017</i>	USD 5.4 <i>As of March 2017</i>	USD 2.61 <i>As of March 2017</i>
Contributor countries (developing in parentheses)	43 (9)	39 (13)	25	15	14	9	13
<b>Promoting country ownership</b>							
National coordination focal point	National designated entities or focal points, which issue the no-objection letter required to approve funding; proposes entities for direct access accreditation; convenes stakeholders at the national level; puts forward readiness support requests; and ensures alignment on funding proposals	<b>GEF Political Focal Points</b> focus mainly on governance, including policies and decisions, and relations between member countries within their constituencies. Usually, they are the ones who follow the Council discussions and represent their countries at the Assembly. <b>GEF Operational Focal Points</b> are responsible for operations of GEF activities within their	Same as GEF Trust Fund.	Same as GEF Trust Fund.	The <b>Designated Authority (DA)</b> is responsible for endorsing the use of the selected implementation modality; endorsing accreditation applications as National, Regional, and Sub-Regional Implementing Entities; and endorsing projects and programmes proposed by the implementing entities.	<b>Dedicated country focal points.</b> The CIFs rely on the established procedures of the multilateral development banks (MDBs) and country focal points for ensuring the country no-objection during the preparation of project proposals.	



	GCF	GEF			ADAPTATION FUND	CIFs	
		TRUST FUND (GEF 5 & 6) **	LDCF	SCCF		CLEAN TECHNOLOGY FUND	STRATEGIC CLIMATE FUND
	with national priorities (and other functions).	countries. This includes reviewing and endorsing project proposals.					
Readiness and capacity support provided	Support in the areas of: Establishing and strengthening NDAs and strategic frameworks; preparation of country programmes; accreditation for direct access entities; and development of projects and programmes.	PCCB and other CB support, such as strengthening or establishing national climate change secretariats or national focal points, development of national reports, enhancement and transfer of technologies, etc.	Support for the preparation of NAPAs and NAPs	Global support programme for Non-LDC NAP development	Small grants to support accreditation of NIEs and to build capacity to undertake climate finance readiness activities, including grants available for project formulation; south-south cooperation; technical assistance; global, regional and sub-regional workshops; and webinars. One-on-one exchange with prospective IEs.	Preparation of country investment plans, project preparation support, and knowledge sharing events, all contributing to readiness and capacity support.	Preparation of country investment plans, project preparation support, and knowledge sharing events, all contributing to readiness and capacity support.
Accreditation of direct access entities	Yes	Yes	Yes	Yes	Yes	No	No
<b>Access modalities</b>							
Accredited implementing entities	Total accredited entities: 59 <ul style="list-style-type: none"> <li>National direct access: 21</li> <li>Regional direct access: 11</li> </ul>	Total implementing partners: 18 <ul style="list-style-type: none"> <li>Multilateral agencies: 10</li> <li>Project agencies: 8</li> </ul>	Total implementing partners: 18 <ul style="list-style-type: none"> <li>Multilateral agencies: 10</li> <li>Project agencies: 8</li> </ul>	Total implementing partners: 18 <ul style="list-style-type: none"> <li>Multilateral agencies: 10</li> <li>Project agencies: 8</li> </ul>	Total accredited entities (as of October 2016): 46 <ul style="list-style-type: none"> <li>NIEs: 28</li> <li>RIEs: 6</li> <li>MIEs: 12</li> </ul>	MDBs: 5	MDBs: 5

	GCF	GEF			ADAPTATION FUND	CIFs	
		TRUST FUND (GEF 5 & 6) **	LDCF	SCCF		CLEAN TECHNOLOGY FUND	STRATEGIC CLIMATE FUND
	<ul style="list-style-type: none"><li>International access: 27</li></ul>						
Programming	<p><b>Country programme and entity work programme</b> lie at the centre of the programming exercise. These living documents facilitate the alignment of countries’ programming priorities with the expertise and capabilities of the accredited entities. GCF provides <b>readiness support</b> to assist countries, inter alia, in the elaboration of strategic frameworks. GCF holds <b>Structured dialogues</b> to articulate regional roadmaps for GCF engagement.</p>	<p>GEF holds <b>Expanded Constituency Workshops</b> (ECWs) for GEF political/operational focal points to discuss GEF programming and strategy. GEF-6 Programming Directions place an emphasis on supporting synergy/integration that combine policies, technologies, and management practices with significant mitigation and resilience potential. <b>GEF-6 Climate Change Mitigation Strategy</b> seeks to enhance synergies across focal areas and to <b>enhance complementarity with other climate financing options, including the GCF</b>.</p>	<p>Projects and programmes are designed based on the information and guidance provided in <b>NCs, NAPAs and INDCs</b>, as well as the <b>GEF Programming Strategy on Adaptation to Climate Change for the LDCF and the SCCF for the period 2014-2018</b>, which seeks to: (a) integrate CCA into relevant policies; (b) expand synergies between CCA and other GEF focal areas.</p> <p>SCCF to finance activities, programmes and measures relating to climate change that are <b>complementary</b> to those funded under the climate change focal area of the GEFTF and through other bilateral and multilateral sources.</p>	<p>The <b>Strategic Priorities, Policies and Guidelines</b> mandates the financing of concrete adaptation projects and programmes that are <b>country-driven</b> and are based on the <b>needs, views and priorities</b> of eligible Parties.</p> <p>Such projects and programmes are to also take into account, <b>national priorities</b>.</p> <p>In assessing project and programme proposals, the Adaptation Fund Board is to consider <b>consistency with national sustainable development strategies</b> and other policies. Aims to move to a <b>programmatic approach, avoid duplication</b> with</p>	<p>MDBs jointly assess interested eligible countries’ investment potential to meet CTF investment criteria. Where there is a potential fit, MDBs conduct a joint exercise involving other relevant development partners. CTF Trust Fund Committee reviews the investment plan with a view to endorsing a resource envelope authorizing designated MDBs to proceed with development and preparation of individual investment operations for CTF co-financing.</p>	<p><b>Pre-Programming</b> Committees agree on country or regional pilots and criteria for country selection. CIF AU, through MDBs, inform countries and invite expression of interest;</p> <p><b>Programming Phase</b> SCF Sub-Committees endorse Investment Plan; Investment and financing proposals are developed; a SCF Sub-Committee approves financing for investments and other proposals.</p>	

	GCF	GEF			ADAPTATION FUND	CIFs	
		TRUST FUND (GEF 5 & 6) **	LDCF	SCCF		CLEAN TECHNOLOGY FUND	STRATEGIC CLIMATE FUND
					other funding sources.		
Project preparation support							
Project preparation support	Readiness activity area 4 to support pipeline development  - PPF (capped at USD 1.5 million per request)	Project preparation grants to develop proposals from concepts	Project preparation grants to develop proposals from concepts	Project preparation grants to develop proposals from concepts	Project preparation grants (USD 30,000 + USD 15,000 technical assessments if necessary). For regional projects, up to USD 100,000.	Funding to develop investment plans and project preparation.	
Activities financed							
Thematic focus	<ul style="list-style-type: none"><li>• Adaptation</li><li>• Mitigation</li></ul>	<ul style="list-style-type: none"><li>• Mitigation</li><li>• Capacity building</li></ul>	<ul style="list-style-type: none"><li>• Adaptation</li></ul>	<ul style="list-style-type: none"><li>• Adaptation</li><li>• Technology transfer</li></ul>	<ul style="list-style-type: none"><li>• Adaptation</li></ul>	<ul style="list-style-type: none"><li>• Mitigation</li></ul>	<ul style="list-style-type: none"><li>• Adaptation</li><li>• Mitigation</li></ul>
<ul style="list-style-type: none"><li>• Mitigation result areas</li></ul>	<ul style="list-style-type: none"><li>• Energy access and power generation</li><li>• Low emission transport</li><li>• Building, cities and industries and appliances</li><li>• Forestry and land- use</li></ul>	<ul style="list-style-type: none"><li>• Energy efficiency</li><li>• Renewable energy</li><li>• Power</li><li>• Cities and transport</li><li>• Forests</li><li>• Agriculture</li><li>• Manufacturing</li><li>• Waste</li></ul>	None	<ul style="list-style-type: none"><li>• Energy</li><li>• Transport</li><li>• Industry</li><li>• Agriculture</li><li>• Forestry</li><li>• Waste management</li></ul>	None	<ul style="list-style-type: none"><li>• Renewable energy</li><li>• Energy efficiency</li><li>• Sustainable transport</li></ul>	<ul style="list-style-type: none"><li>• Renewable energy</li><li>• Forests and landscapes</li></ul>
Adaptation result areas	<ul style="list-style-type: none"><li>• Most vulnerable people and communities</li><li>• Health and well- being, and food and water security</li><li>• Infrastructure and built environment</li></ul>	Not applicable	<ul style="list-style-type: none"><li>• Water resources</li><li>• Food security and agriculture</li><li>• Health</li><li>• Disaster preparedness and risk management</li><li>• Coastal zone</li></ul>	<ul style="list-style-type: none"><li>• NAPA implementation</li><li>• Water resources management</li><li>• Land management</li><li>• Agriculture</li><li>• Health</li><li>• Infrastructure</li></ul>	<ul style="list-style-type: none"><li>• Food security</li><li>• Agriculture</li><li>• Water management</li><li>• Coastal management</li><li>• Multi-sector</li></ul>	<ul style="list-style-type: none"><li>•</li></ul>	<ul style="list-style-type: none"><li>• Agriculture and landscape management</li><li>• Water management</li><li>• Infrastructure</li><li>• Climate information</li></ul>

	GCF	GEF			ADAPTATION FUND	CIFs	
		TRUST FUND (GEF 5 & 6) **	LDCF	SCCF		CLEAN TECHNOLOGY FUND	STRATEGIC CLIMATE FUND
	<ul style="list-style-type: none"> <li>Ecosystem and ecosystem services</li> </ul>		management and infrastructure <ul style="list-style-type: none"> <li>Natural resource management</li> <li>Community-based adaptation</li> </ul>	development <ul style="list-style-type: none"> <li>Fragile ecosystems,</li> <li>Supporting capacity building, including institutional capacity</li> <li>Technology transfer</li> <li>Capacity building</li> <li>Economic diversification</li> </ul>	<ul style="list-style-type: none"> <li>Rural development</li> <li>Disaster risk reduction</li> <li>Forests</li> </ul>		systems and disaster risk management
Financial instruments available	<ul style="list-style-type: none"> <li>Grants</li> <li>Concessional loans</li> <li>Equity</li> <li>Guarantees and other risk mitigation instruments</li> </ul>	<ul style="list-style-type: none"> <li>Grants</li> <li>Non-grant programme only</li> <li>Concessional loans</li> <li>Equity</li> <li>Guarantees and other risk mitigation instruments</li> </ul>	Grants	Grants	Grants	<ul style="list-style-type: none"> <li>Grants</li> <li>Concessional loans</li> <li>Equity</li> <li>Guarantees and other risk mitigation instruments</li> <li>Local currency financing</li> </ul>	<ul style="list-style-type: none"> <li>Grants</li> <li>Concessional loans</li> <li>Equity</li> <li>Guarantees and other risk mitigation instruments</li> </ul>
Engagement with private sector							
Modalities for engagement	Yes. A dedicated Private Sector Facility and a Private Sector Advisory Group. Also provides for accreditation of private sector actors and of entities that engage with the private sector.	Yes (through the non-grant pilot programme).	The LDCF and SCCF engaged the private sector, as reported in the Annual Monitoring Report for the LDCF and SCCF.  The programming strategy for the LDCF and SCCF includes provisions on the private sector.		No primary emphasis on engagement with the private sector, although some engagement with the private sector has occurred; projects involve in-kind and parallel inputs from private sector entities.	USD 2.3 billion (or close to 30 per cent of USD 8.3 billion total CIF funding) has been allocated for projects and programmes that aim to stimulate private sector participation, including USD 1.7 billion for private sector projects specified in CIF investment plans and ~ USD 640 million to specific private sector facilities to achieve scale and speed in response to market demand, including USD 465 million allocated through the CTF Dedicated Private Sector Programs.	

	GCF	GEF			ADAPTATION FUND	CIFs	
		TRUST FUND (GEF 5 & 6) **	LDCF	SCCF		CLEAN TECHNOLOGY FUND	STRATEGIC CLIMATE FUND
Target recipients	All developing country Parties to the UNFCCC (140 NDA/FPs registered).	Developing country Parties to the conventions the GEF serves, or who are eligible to receive World Bank (IBRD or IDA) financing or UNDP technical assistance.	Least developed countries (LDCs).	Non-Annex I Parties to the UNFCCC, prioritizing vulnerable countries in Africa, Asia and SIDS.	Developing country Parties to the Kyoto Protocol which are particularly vulnerable to climate change.	ODA eligible developing countries with active MDB programme.	FIP and PPCR: ODA eligible developing countries with active MDB programme SREP: low income countries eligible for MDB concessional financing (i.e., IDA or a regional development bank's equivalent) with active MDB programme.
<b>Projects</b>							
Funding approved (billion USD)	USD 2.24	USD 2.54	USD 1.160	USD 0.348	USD 0.42	USD 4.92	USD 1.65
Projects approved	43	379	248	76	63	102	114
Countries with approved projects	64	137	51	79	55	24	36
Co-financing (billion USD)	USD 7.32	USD 24.7	USD 4.75	USD 2.62	-	USD 46	USD 5.4
Co-financing ratio	1:2.27	1:9.7	1:4.1	1:7.5	-	1:9.5	1:3.3
Data reported	Apr 2017	Jun 2016	May 2017	May 2017	May 2017	Dec 2016	Dec 2016
Project/programme sizes	<ul style="list-style-type: none"> <li>• - Micro (up to USD 10 million)</li> <li>• - Small (USD 10 to USD</li> </ul>	<ul style="list-style-type: none"> <li>• - Enabling Activities (EAS) (up to USD 10 million)</li> <li>• - Medium</li> </ul>	<ul style="list-style-type: none"> <li>• - Medium (MSPs) (up to USD 2 million)</li> <li>• - Full-sized</li> </ul>	<ul style="list-style-type: none"> <li>• - Medium (MSPs) (up to USD 1 million)</li> <li>• - Full-sized</li> </ul>	<ul style="list-style-type: none"> <li>• - Small-size (up to USD 1 million)</li> <li>• - Regular</li> </ul>	<ul style="list-style-type: none"> <li>• - Average funding per project: USD 48.2 million</li> </ul>	<ul style="list-style-type: none"> <li>• - Average funding per project: USD 11.1 – 16.5 million</li> </ul>

	GCF	GEF			ADAPTATION FUND	CIFs	
		TRUST FUND (GEF 5 & 6) **	LDCF	SCCF		CLEAN TECHNOLOGY FUND	STRATEGIC CLIMATE FUND
	50 million) <ul style="list-style-type: none"> <li>- Medium (USD 50 to USD 250 million)</li> <li>- Large (more than USD 250 million)</li> </ul>	(MSPs) (up to USD 2 million) <ul style="list-style-type: none"> <li>- Full-sized (FSPs) (more than USD 2 million)</li> <li>- Direct Access for NPFs and Convention Reports</li> <li>- Programmatic Approaches (PAs)</li> </ul>	(FSPs) (more than USD 2 million) <ul style="list-style-type: none"> <li>- Enabling Activities (EAS)</li> <li>- Programmatic Approaches (PAs)</li> </ul>	(FSPs) (more than USD 1 million) <ul style="list-style-type: none"> <li>- Programmatic Approaches (PAs)</li> </ul>	(more than USD 1 million) <ul style="list-style-type: none"> <li>- Regional projects up to USD 14 million</li> </ul>		

#### Approach to environmental and social safeguards

ESS	<ul style="list-style-type: none"> <li>• Requirement for accreditation</li> <li>• Second level due-diligence assessment of funding proposals</li> <li>• Monitoring and accountability reporting</li> <li>• IFC policy</li> <li>• Fast-tracking of entities from AF</li> </ul>	<p>Policy states the principles with regards to social and environmental safeguards that the GEF shall apply to those operations that it finances.</p> <p>Assessment of GEF Project Agencies and Assessment of the Existing GEF Agencies in accordance with eight principles and considering the comparative advantage of reach agency.</p> <p>No GEF Secretariat-level screening of the implementation of safeguards on a project-by-project basis.</p> <p>World Bank policy.</p> <ul style="list-style-type: none"> <li>• The GEF Policy requires demonstration that a partner agency has relevant policies and systems in place, including institutional capacity.</li> </ul>	<ul style="list-style-type: none"> <li>• Requirement for accreditation</li> <li>• Second level due-diligence assessment of funding</li> <li>• The Policy Statement requires IE's to develop an ESMS commensurate to the potential scope and severity of E&amp;S risks inherent in the project/programme design</li> <li>• Monitoring and accountability reporting</li> </ul>	Uses the respective policies of the MDB partners.
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	GCF	GEF			ADAPTATION FUND	CIFs	
		TRUST FUND (GEF 5 & 6) **	LDCF	SCCF		CLEAN TECHNOLOGY FUND	STRATEGIC CLIMATE FUND
<b>Fiduciary and monitoring systems and safeguard policies and monitoring systems</b>							
Fiduciary and safeguard policies	<ul style="list-style-type: none"> <li>• GCF fiduciary standards and interim safeguards (applies the IFC's performance standards)</li> <li>• Gender policy and action plan</li> <li>• Mandate to develop an indigenous people's policy</li> </ul>	<ul style="list-style-type: none"> <li>• GEF environmental and social policy</li> <li>• GEF fiduciary standards</li> <li>• GEF Gender Equality Action Plan and Policy on Gender Mainstreaming</li> <li>• Indigenous Peoples Policy</li> </ul>			<ul style="list-style-type: none"> <li>• AF environmental and social policy</li> <li>• AF fiduciary standards</li> <li>• Gender policy and action plan</li> <li>• Transparency, self-investigative powers and anti-corruption measures</li> </ul>	<ul style="list-style-type: none"> <li>• Applies fiduciary standards and safeguard policies of each MDB partner</li> <li>• CIF Gender Action Plan (Phases 1&amp;2)</li> </ul>	
Monitoring systems	<ul style="list-style-type: none"> <li>• Accreditation: Annual self-reporting on systems compliance with standards and safeguards. Secretariat conducts midterm review and any ad hoc compliance reviews</li> <li>• Activities: Quarterly financials, semi-annual progress reports, and mid-term and final evaluations. Participatory monitoring encouraged</li> </ul>	<ul style="list-style-type: none"> <li>• Annual reporting by agencies</li> <li>• Agency-led mid-term review of full-size projects</li> <li>• Agency-led terminal evaluations of projects/programmes, which must have independent review</li> <li>• Independent Evaluation Office plays a central role in evaluations from more than one GEF agency</li> </ul>			Annual project performance. Regular projects subject to midterm and terminal evaluations. Terminal evaluations must be conducted by independent investigator of entity's choosing. Small-scale project evaluation will be deemed as necessary. The Board can carry out independent reviews or evaluations of the projects and programme as and	<ul style="list-style-type: none"> <li>• Applies the Results Frame approved by the CIF governing bodies and the Monitoring and Reporting Toolkit developed for each programme. CIF core indicators collected and presented in annual results report (information from recipient countries and MDBs).</li> <li>• Applies system of each MDB for monitoring and evaluation of projects.</li> <li>• MDBs lead mid-term reviews and completion reports.</li> <li>• CIF Evaluation and Learning Initiative conducts evaluations and studies (thematic, sectoral, strategic, etc.).</li> </ul>	

	GCF	GEF			ADAPTATION FUND	CIFs	
		TRUST FUND (GEF 5 & 6) **	LDCF	SCCF		CLEAN TECHNOLOGY FUND	STRATEGIC CLIMATE FUND
	<ul style="list-style-type: none"> <li>Spot checks: GCF can conduct spot-checks using a risk-based system</li> </ul>				when deemed necessary.		
<b>Administration</b>							
Implementing entity fees (per cent)	Fee cap for grants to public sector projects/programmes 9% of grant): Micro (<=10m): 10 Small (>10m – <=50m): 9 Medium (USD 50m and <=USD 250m): 7 Large (>=USD 250m): 7 Private sector and nongrant concessional loan public sector projects decided case by case	Projects (% of grant) <USD 10m: 9.5 >USD 10m: 9.0 Programmes: Approved by an executive Board: 8 Approved by other agencies: 9 Small grants programmes: 4 Average: 7.18	Average: 8.81	Average: 8.82	Cap: 8.5 Average: 7.3	Project grants cap: 5% of grant amount Public sector loans and guarantees: 0.18 semi-annually, or 0.45 up front Private sector projects determined on a case-by-case basis: Lowest 0.68 Highest: 5.67 Overall average: 0.66	Average: 4.02

\* Table adapted from N. Amerasinghe et al (2017). *The Future of the Funds. Exploring the Architecture of Multilateral Climate Finance*. World Resources Institute, with additional information drawn from public documents and recent literature.

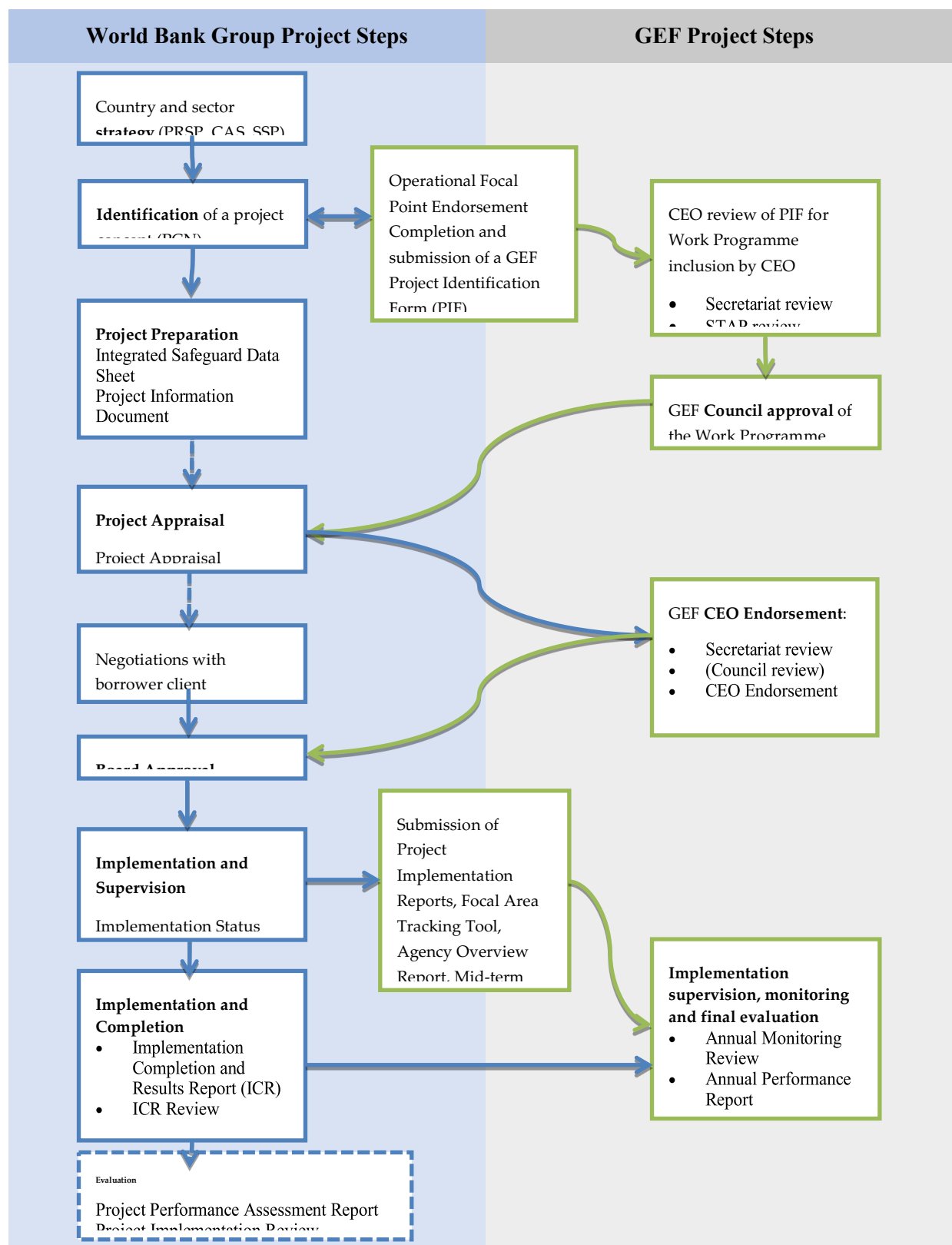
\*\* Table does not consider the newly launched GEF Capacity-building Initiative for Transparency (CBIT). The Paris Agreement requested the GEF to support the establishment of the CBIT through voluntary contributions during GEF-6 and future replenishment cycles. While the table does not consider all relevant details of CBIT as they are still being operationalized, the work of the GEF on capacity-building on transparency is considered in Annex II in the Operational Framework with regards to the activity level.

*Abbreviations:* AF = Adaptation Fund; CIFs = Climate Investment Funds; IFC = International Finance Cooperation; LDC = Least developed country; LDCF = GEF Least Developed Country Fund; MDB = Multilateral development bank; MIE = Multilateral implementing entity; NAP = National adaptation plan; NAPA = National



adaptation plan of action; NIE = National implementing entity; ODA = Official development assistance; RIE = Regional implementing entity; SCCF = GEF Special Climate Change Fund; SIDS = Small Island Developing States; UNFCCC = United Nations Framework Convention on Climate Change.

## Annex B Simplified World Bank-GEF project cycle



Source: Independent Evaluation Group, The World Bank Group's Partnership with the Global Environment Facility, 2013.

## APPENDIX IX: SUPPORTING MATERIALS – COUNTRY OWNERSHIP

Document review (GCF/B.20/11) (8 June 2018)

This table is partially based on a document review of GCF/B.20/11 and on interviews undertaken in the context of the RPSP evaluation. It is current as of August 2018.

*Table 23 Status of Country programme development*

COUNTRY	STATUS OF COUNTRY PROGRAMME	NOTES
Antigua & Barbuda	Completed	With RPSP support confirmed
Rwanda	Completed	With RPSP support confirmed
Togo	Completed	With RPSP support confirmed
Zambia	Completed	N/A
Bangladesh	Completed	With RPSP support confirmed
Thailand	Completed	With RPSP support confirmed
Pakistan	Completed	With RPSP support confirmed
Federated States of Micronesia	Completed	With RPSP support confirmed
Guyana	In development: Draft versions shared	With RPSP support confirmed
Haiti	In development: Country programme “Brief”	With RPSP support confirmed
Dominica	In development: Updating programme briefs	With RPSP support confirmed
Dominican Republic	In development	With RPSP support confirmed
Honduras	In development	With RPSP support confirmed
Chile	In development	With RPSP support confirmed
Paraguay	In development	With RPSP support confirmed
Senegal	In development: Draft – near completion	With RPSP support confirmed
Liberia	In development: Validation process	With RPSP support confirmed
Djibouti	In development: Early stages	With RPSP support confirmed
Gabon	In development: Draft versions shared	With RPSP support confirmed
Mali	In development: Draft versions shared	With RPSP support confirmed
Vanuatu	In development: Draft versions shared	With RPSP support confirmed
Nigeria	In development: Early stages	With RPSP support confirmed
Chad	In development: Draft	With RPSP support confirmed
Mongolia	In development: Elaboration of 10-20 new concept notes as part of the country programming process	With RPSP support confirmed
Papua New Guinea	In development	With RPSP support confirmed
Niue	In development	With RPSP support confirmed
Kiribati	In development	With RPSP support confirmed
Cook Islands	In development	With RPSP support confirmed
Marshall Islands	In development	With RPSP support confirmed

COUNTRY	STATUS OF COUNTRY PROGRAMME	NOTES
Oman	In development	With RPSP support confirmed
Bhutan	In development	With RPSP support confirmed
Cambodia	In development	With RPSP support confirmed
India	In development	With RPSP support confirmed
Iraq	In development	With RPSP support confirmed
Jordan	In development	With RPSP support confirmed
Lao People's Democratic Republic	In development	With RPSP support confirmed
Maldives	In development	With RPSP support confirmed
Myanmar	In development	With RPSP support confirmed
Nepal	In development	With RPSP support confirmed
State of Palestine	In development	With RPSP support confirmed
Timor Leste	In development	With RPSP support confirmed
Albania	In development: Initiated development process	With RPSP support confirmed
Armenia	In development: Initiated development process	With RPSP support confirmed
Moldova	In development: Initiated development process	With RPSP support confirmed
Serbiua	In development: Initiated development process	With RPSP support confirmed
Kenya	In development	With RPSP support confirmed
Namibia	In development: Shared a "Country strategy to the Green Climate Fund"	With RPSP support confirmed
Brazil	In development: Shared "Minutes to Brazil's Country Programme for the GCF"	No RPSP support
Morocco	In development: Draft versions shared	N/A
Indonesia	In development: Indicated conclusion of elaboration of country's programming document for GCF	N/A
77 countries	Started implementing activities with a view to completing or advancing their country programme in 2018 and 2019.	22 launched implementation of these activities February-May 2018.

## APPENDIX X: SUPPORTING MATERIALS – EFFECTIVENESS

This appendix provides supportive data for the Effectiveness section of the report.

The table below provides a compendium of comments and insights from interviews with global-level actors involved with the RPSP (including GCF Secretariat staff), as well as qualitative comments from the DAE (7 participants) and NDA/FPs (39 participants) surveys conducted.

NDA STRENGTHENING / COORDINATION / NOP		
Stakeholder	Insight	Type/Region
DCP	“The majority of countries have asked by now at least for the first tranche of 300K for NDA strengthening. Most don’t ask every year, don’t use up the 300K in a year, but rather on average about 500K for three years, except for a few countries in LAC. The money goes in most cases to an IAE or DAE which disburses it further to the NDA.”	N/A
RA FGD	<p>During the initial stages of RPSP, large international AEs, e.g. UNDP and UNEP, were ready and went to the NDAs for signature only, but as RPSP has matured up, NDAs have become more enabled, and are playing their expected roles. NDAs now know more, what their priorities are, and are asking accredited agencies to help to actualize their priorities. This shift is attributable to the RPSP.</p> <p>The no-objection procedure is intended to represent a paradigm shift. The GCF wants to see procedures that institutionalize this paradigm shift. When countries shift from a single-person Focal Point to a real NDA structure, the engagement and the results are better.</p> <p>Most NDAs handling GCF work, unlike the focal points for other climate funds like CIF and GEF, are with planning and finance ministries, and not necessarily at the ministry of environment, as is the case with CIF, GEF, etc.</p> <p>The RPSP has worked well where the NDA is anchored at the ministry of finance because of their ability to convene both the public sector and private sector. The quality of the bureaucracy at the ministry of finance is better, according to a regional advisor. It is more strategic to work with finance ministries. However, the turnover at the ministry of finance is normally very high, and this undermines the NDA.</p>	N/A
DAE	“Our readiness was approved in December 2017 and now we are waiting for the first disbursement. We strongly believe that this support will strengthen our capacities and relation with our NDA. Also will allow us to develop our pipeline.”	N/A
NDA/FP	“The Readiness programme supported the engagement of all related ministries with educational institutions and stakeholders, especially NGOs and the private sector. Also help in developing the national decision.”	Asia-Pacific
NDA/FP	“Readiness programme help and support Iraq to implement our national requirements that support Iraq in building resilience towards climate change and support coordinating with other related ministries and stockholders beside civil and private sectors. Also the programme help Iraq implementing the GCF requirements.”	Asia-Pacific
NDA/FP	“RPSP provides the catalyst and tools for a country to ‘get its house in order’, irrespective of later financing for projects, and forms the leveraging needed to ensure climate change is mainstreamed within governments own procedures and processes.”	Asia-Pacific
NDA/FP	“La plus haute appropriation par les plus hautes autorités de la république notamment la présidence à tel point où à chaque manifestation, l'AND et le point focal sont sollicités.”	Africa, LDC

NDA STRENGTHENING / COORDINATION / NOP		
NDA/FP	“La Mise en place des organes de gouvernance du fonds notamment l’Autorité Nationale Désignée et le Comité National Fonds Vert pour le Climat renforçant l’engagement des parties prenantes.”	Africa, LDC
NDA/FP	“Le renforcement des capacités d’environ 200 cadres des acteurs des secteurs public, privé; de la société civile et de la recherche sur les thématiques variées de l’accès au fonds vert climat avec une excellente évaluation finale.”	Africa, LDC
NDA/FP	“Le PPAP a été crucial dans le renforcement des capacités de l’AND et l’amélioration de la compréhension du GCF et ses procédures d’accès de l’AND et des parties prenantes.”	Africa, LDC
NDA/FP	<p>“Amélioration de la coordination interinstitutionnelle de l’AND</p> <ul style="list-style-type: none"> <li>- Appropriation et engagement des parties prenantes, gage de réussite de mise en œuvre du processus;</li> <li>- Création d’une synergie d’acteurs (bailleurs, agences, administration, société civile...), pour éviter les doublons dans les interventions;</li> <li>- L’intérêt d’amener plusieurs secteurs à travailler sur la même problématique des changements climatiques;</li> <li>- L’AND devra poursuivre son travail d’information, de sensibilisation et d’éducation des parties prenantes éventuels pour la mise en œuvre réussie du Programme-pays;</li> <li>- Le renforcement des capacités de l’AND, est indispensable aussi longtemps que possible pour assurer pleinement ses nouvelles charges.”</li> </ul>	Africa, LDC
NDA/FP	“PPAP a été en général très positif. Il a permis l’amélioration des parties prenantes (AND, les acteurs du CC), l’élaboration du programme Pays, renforcer la collaboration et les consultants des parties prenantes. Le PPAP a permis le renforcement des capacités des agents à élaborer des notes conceptuelles.”	LDC
NDA/FP	“It helped us to build the capacities related to climate change inside the Ministry of Finance. Before that, it was the Ministry of Environment who was leading all the topics related with climate change. Nowadays, we are aware of the crucial role of the Ministry of Finance in climate finance and how to scale up the private investment in reducing CO2. So, for us, [it helped us] build the capacities, develop a Project portfolio, engage with the stakeholders, among others.”	LAC
NDA/FP	“The development of our Country Programme and the review of the no objection procedure, which was developed with local resources, the PPF procedure and the development of a MRV climate finance System.”	LAC
NDA/FP	“We’ve seen a significant involvement of relevant institutions and stakeholders since the GCF was create. The funds from the RPSP has helped to develop an institution around the climate change and identify different levels and areas of work (mitigation, adaptation, capacities, etc.) who are aligned with our NDC.”	LAC
NDA/FP	“We don’t have the funds from the Ministry to establish a proper division inside the ministry (because for example we don’t have an institutionality for climate change) so we are with more ideas than we can actually manage.”	LAC
NDA/FP	“A cause de la grande communication développée autour ce processus et le large echo, l’AND et le point focal sont en permanence sollicités chaque jour par tous les acteurs au point où la direction tend à réduire ses activités aux seules activités du PPAP”	LDC
NDA/FP	“Le PPAP est une conception de l’AND. Les activités répondent au besoin du pays. Ceux-ci est du principalement d’avoir un deliver partner national. Cependant, le fait d’avoir recours aux consultant pour les activités ne favorisent pas l’appropriation des résultats et ne renforcent pas la capacité de l’AND.”	Africa, LDC

STRATEGIC FRAMEWORKS / ENGAGEMENT / COUNTRY PROGRAMME		
Stakeholder	Insight	Type/Region
DCP	“For the GCF, country programme are GCF-specific. Adaptation plans are not GCF-specific. Country programme should be paradigm-shifting. Concept notes are now expected to be in line with the country programme.”	N/A
DCP	“A country programme should be a vision for how the country engages with the GCF and with climate finance. It should include Adaptation Planning.”	N/A
RA-FGD	The country programme is being used for a much wider function than just producing a pipeline for GCF, but also for engagement and mobilization of climate finance from also other sources. Few countries have a country programme in place yet, since the GCF is young. Countries should use readiness funds to engage stakeholders to develop a country programme. The RAs do not support bringing in international consultants to write the country programme.	N/A
DAE	“While we have not been the direct recipient of RPSP support to date, our NDA has used it to conduct productive activities that we have also supported and participated in as an AE. These include consultations and the development of the country programme, pipelines and the NDA supported our accreditation application and the development of project concept notes.”	N/A
DAE	RPSP “helped strengthen the institutional capacities to fulfill our role and responsibilities... 9 consultations held throughout the year which increased awareness and knowledge about NDA and GCF”	N/A
NDA/FP	“Le PPAP a favorisé la consultation avec les parties prenantes.”	Africa, LDC
NDA/FP	“The RPSP relevance has been critical to the preparation of our Country Programme and development of a national climate policy through a consultative process.”	Asia-Pacific
NDA/FP	“The RPSP has assisted the NDA in increasing awareness within the country among state and non-state actors on the mandate of the GCF and opportunities available to support the country’s climate change ambitions. This has assisted greatly in setting of country priorities and greater collaboration and coordination across key sectors, in particular as it relates to the elaboration of projects/programme for implementation of our Nationally Determined Contributions, two sectors for which this has greatly assisted is the Agricultural Sector for which Readiness Support was recently approved and preparation and submission of a Concept Note to the GCF to address Sustainable Forest Management, Livelihood opportunities and Mangrove Protection, Restoration and Conservation.”	SIDS
NDA/FP	“The work carried out with the support of the RPSP has been relevant to raise awareness among civil society, governments and some representatives of the private sector of the GCF operations, investment priorities and the country’s opportunities to access the funds.”	SIDS
NDA/FP	“Elaboration du cadre institutionnel du Fonds Vert pour le climat accompagnée du développement d'un programme-pays et l'identification d'entités candidates à l'accréditation du Fonds vert pour le climat.”	Africa, LDC
NDA/FP	“With help of the RPSP’s activities we are working on establishing a web platform for sharing information and knowledge about the GCF opportunities for the country. Also, we are starting to create a more inclusive process of climate change finance prioritisation involving the local self-government, the business sector and the CSO.”	Eastern Europe
NDA/FP	“Supported the stakeholder engagement and broader consultations and country level.”	Africa

STRATEGIC FRAMEWORKS / ENGAGEMENT / COUNTRY PROGRAMME		
NDA/FP	“This programme helped country authorities to involve stakeholders, make them define roadmaps in order to recognize climate change as global challenge, and work together for the mitigation and adaptation in a context of sustainable development.”	LAC
NDA/FP	“PPAP a été en général très positif. Il a permis l'amélioration des parties prenantes (AND, les acteurs du CC), l'élaboration du programme Pays, renforcer la collaboration et les consultantes des parties prenantes. Le PPAP a permis le renforcement des capacités des agents à élaborer des notes conceptuelles.”	Africa, LDC

PIPELINE DEVELOPMENT / PROPOSALS / CONCEPT NOTES		
Stakeholder	Insight	Type/Region
DCP	“Readiness stops at concept notes, in cases where there is no DAE. Jordan has a good process for concepts notes. For applying for PPF grants, a concept note is a hard requirement. For Funded Project proposals, concept notes are not a hard requirement.”	N/A
DAE	“Our readiness was approved in December 2017 and now we are waiting for the first disbursement. We strongly believe that this support will strengthen our capacities and relation with our NDA. Also will allow us to develop our pipeline.”	N/A

PRIVATE SECTOR ENGAGEMENT		
Stakeholder	Insight	Type/Region
PSF	“PSF works with public and private DAEs with a track record to work with the private sector, domestic and foreign. Does not use RPSP for that.”	N/A
PSF	PSF focuses on mitigation and does not do CP or NAP planning but needs it as basis for their work.	N/A
PSF	Too little benefit for PSF as CP information is not concrete enough. Many NDAs don't know about the private sector but start to get interested as developing countries realise the potential and need to involve the financial and technical capacities of the private sector. PSF participates in all Structured Dialogues and produces information brochures in English, French and Spanish.	N/A
PSF	To facilitate private sector involvement: More RPSP support and focus on the development of more concrete CPs including baseline information. Such data plus clear priorities from the countries, fleshed out to include sectoral data and a project pipeline would facilitate the work of PSF for defining new projects. The NDAs need to do more for CP development, if need be with DPs and consultants.	N/A
NDA/FP	“Il a permis l'implication du secteur privé au Fonds Vert pour le Climat qui jusque là ignorait sa place dans la finance climatique.”	Africa
NDA/FP	“The private sector has been timidly involved in the consultation processes. It is necessary to present concrete opportunities for the private sector.”	SIDS

ACCREDITATION / ACHIEVEMENT / UPGRADING		
Stakeholder	Insight	Type/Region



ACCREDITATION / ACHIEVEMENT / UPGRADING		
International DP	“The accreditation identification process can be very strategic. Some IDPs provide advice, TA, strategic development support, gap assessments for DAE candidates to NDA/FPs, before PwC comes in to provide accreditation support to the DAEs.”	N/A
International DP	“Readiness is set up for consultants, which is not sustainable, and needs to be rethought. There is a preference for national consultants but this is not always how it plays out.”	N/A
DCP	<p>“The accreditation process has three stages, which are explained on the GCF website. The GCF Secretariat is responsible for the Stage 1 Review which asks (a) if the accreditation aligns with GCF objectives and if the application is complete. The Secretariat has outsourced part of this to PwC and KPMG. To avoid conflicts of interest, KPMG will review applications that have been assisted by PwC. Stage 2 involves the Accreditation Panel and the Board. The Accreditation Panel makes recommendations to the Board based on whether the applicant meets the standards for accreditation, and the Board approves based on this recommendation as well as other potential considerations such as diversity and reputational risks. Stage 3 involves finalizing the legal arrangements.</p> <p>AEs have three levels of accreditation based on (a) size, (b) environmental and social standards, and (c) capacity of fiduciary functions.</p> <p>AEs are implementing agencies responsible for supervising overall implementation of the projects. The GCF is currently in the process of defining the distinction between IAs and executing agencies that IAs use to execute projects.</p> <p>All application forms are public. All requirements for accreditation are publicly available. And the final summary recommendations are in the public domain.</p> <p>The Board makes decisions by consensus. So far, only one application has been withdrawn at the Board stage. This was an application by KEXIM – the Korean Export-Import Bank.”</p>	N/A
RA-FGD	“In theory, the GCF is operating on a first-come, first-served basis in reviewing and approving Funded Project Proposals. But the Board has also mandated balance: 50/50 mitigation and adaptation, and 50 per cent to Africa, LDCs, and SIDS. Also a major focus on engaging the private sector.”	N/A
DAE	“RPSP has been instrumental for the capacity enhancement of the accreditation process for DAE.”	N/A
DAE	<p>A positive unexpected result: “It helped in strengthening the policy review of our organization.</p> <p>- Also supported in analyzing institutional governance and financial integrity of the organization.”</p>	N/A
DAE	A negative unexpected result: “First phase of RPSP terminated before the accreditation of potential DAEs.”	N/A
NDA/FP	“Upgrading accreditation in SIDS is a priority when the GCF is developing a policy on minimising concessionality, and a policy on co-financing guidelines. An upgrade enables SIDS to move often from micro category to small and to undertake on granting and on lending. The change is in the fast track approval to do this, and the track record already being built through direct accreditation to both the Adaptation Fund and GCF, for different financial instruments.”	SIDS
NDA/FP	National entities show limited interest in the accreditation process with the Green Climate Fund.	LAC
NDA/FP	“1. Non-consultation with countries by some Accredited Entities	SIDS

ACCREDITATION / ACHIEVEMENT / UPGRADING		
	2. Support by experts still largely not done by nationals, support still not addressing some fundamental capacities issues within countries”	
NDA/FP	“Le manque d'anticipation du FVC face à certaines entités accréditées internationales qui au départ étaient les seules accréditées dans les sous régions et qui souvent exigent des gouvernements des contre-parties au PPAP. Le FVC devra dorénavant veiller à ce que ces entités ne profitent pas des pays qu'elles courtisent.”	Africa

NATIONAL ADAPTATION PLANNING / PLANS		
Stakeholder	Insight	Type/Region
DCP	“These NAPs should be a living document, arising from stakeholder consultations. The UNFCCC has prepared guidelines for NAPs.”	N/A
DCP	“There already exists a lot of understanding of the climate risks. This is part of adaptation planning, and part of country programming.”	N/A
DCP	<p>“[NAP] was added to the RPSP due to demand from UNFCCC. COP 17 in 2015 encouraged the GCF to provide money for Adaptation Planning, after which the GCF Board agreed to do so. (B.13 in June 2016). Adaptation Planning comes under readiness, but it is expected to contribute more directly to the project pipeline. For USD 3 million, a country can catalyze a process.</p> <p>Adaptation planning did not appear on the PRSP proposal template until the fourth version was issued in June 2017 (i.e. one year later). At the outset, there was no articulation of what they were looking for. They convened an LDC Expert Group (LEG) to provide guidance. The LEG felt that countries should use the USD 3 million as an opportunity to develop a private sector engagement strategy.</p> <p>The review criteria were the first to be developed, although Pakistan’s proposal was reviewed before the criteria were established. They now have rigorous criteria for reviewing NAP proposals. Now, they have 15 approved and 7 endorsed by the RWG. All the approved ones are on the website. They do check whether or not there exists an LDCF project that is supporting an Adaptation Plan.”</p>	N/A
NDA/FP	“RPSP helps the DRC to support the NAP since the country struggled for a while to have such funding. In fact, the vulnerability in the past has been very weak with isolated actions. Now, the Adaptation Planning targets 5 out of 26 provinces. It will help to collect data and used them as inputs during the development of our NAP.”	Africa, LDC

DIALOGUES / INFORMATION-SHARING		
Stakeholder	Insight	Type/Region
RA-FGD	“The Structured Dialogue events with constituencies need to evolve, learning from the previous similar events done so far. The ‘coffee corners’ concept during the events has been successful, and should be scaled up. The Structured Dialogues are really needed to initiate GCF engagement with countries.”	N/A

The following tables provide an overview of insights from N1 assumption testing related to NDA strengthening. A similar analysis was undertaken for all learning needs, N1-N7.

### Country visit summaries – NDA strengthening

COUNTRY	TESTING ASSUMPTION N120	COUNTRY SUMMARY	CONTRIBUTING FACTORS (NEGATIVE AND POSITIVE)
Mongolia	Yes, but later than originally planned and not yet completely finalized.	NDA was established with other support. With RPSP, NOP procedure was formulated. RPSP contribution was partial.	Low capacity of NDA. Political challenges in the country. Ingenuity in the use and pooling of funds from different resources.
Bangladesh	Partially, attributed also to the other readiness activity in the country.	NDA was advanced with GIZ programme. RPSP contribution was partial.	Strong NDA established prior to RPSP.
Senegal	Yes, but later than originally planned and not yet completely finalized.	The no-objection procedure is about to be finalized, pending prime ministerial decree. Projects are to be reviewed by a technical committee and then decided upon by a steering committee (Comité de Pilotage), already functional. RPSP is used for improvement of the draft decree, to guarantee a practical and transparent procedure, define a clear role for NGOs and civil society, as well as to ensure the financial sustainability of the steering committee.	Difficulty in finding specialized consultants. The call for offers had to be repeated.
Namibia	Partly yes, given that it is early on in the grant	NDA only started implementing its first readiness grant in June 2018. Results not yet evident.	Started in June 2018, with NOP procedure already in place prior to RPSP.
Haiti	Partly, given that the country programme is not yet completely finalized.	NOP, which is framed as a procedural guide (guide de procédures), developed through RPSP. With RPSP support, the NDA/FP has evolved into a high-level body, drawing on a multidisciplinary Technical Working Group, able to mobilize people through consultations and to share information.	NDA operations are demanding of time (for planning and participation), technical capacity, and overall logistics (including vehicles, computers, etc.). Such logistics are not eligible for RPSP.
Vanuatu	Yes, attributed also to the other readiness activity in the country.	NDA, and constitution of National Advisory Board, were primarily undertaken through the 'Coping with Climate Change in the Pacific Island Region' (CCCPIR) programme. RPSP was used to draft Standard Operating Procedures to review proposals. Both CCCPIR and RPSP grant were administered by GIZ, in an intertwined way to the extent that	Low capacity of NDA. Pre-existing support for NDA and NOP was provided through GIZ.

<sup>20</sup> Extent to which readiness grants have enabled NDA/FPs to lead effective intra-governmental coordination mechanisms, including the establishment of the no-objection procedure. The assumption to test is that the first RPSP project for NDA strengthening has led to effective intra-governmental coordination mechanisms and a no-objection procedure.

COUNTRY	TESTING ASSUMPTION N120	COUNTRY SUMMARY	CONTRIBUTING FACTORS (NEGATIVE AND POSITIVE)
		specific contributions are not distinguishable.	
Paraguay	Not yet.	Project only started implementation in June 2018. Proposed NOP: inter-institutional committee comprised of the Ministry of Planning (STP) (NDA), the Ministry of Environment and Sustainable Development (SEAM), the Ministry of Finance and the Ministry of Foreign Affairs.	Consultant recruitment was challenging. New government is awaited for project progress. Two funded projects approved, bypassing the environment ministry and NOP.
Antigua and Barbuda	Yes	RPSP was used to develop the country programme, NOP procedure, and to deliver NDA strengthening.	Readiness funds were adequate to hire consultants and procure services to build the capacity of the NDA structures and the department management unit for coordination within the country.

## Effectiveness tables on expected outcomes

(Source: IEU Database)

**Table 23 Outcomes of readiness activities according to strengthening of country capacity**

COUNTRY CLASSIFICATION	GRANTS WITH EXPECTED OUTCOME REGARDING: COUNTRY CAPACITY BEING STRENGTHENED		
	TOTAL # OF GRANTS	# OF GRANTS WITH EXPECTED OUTCOME (COUNT)	PROPORTION OF GRANTS WITH EXPECTED OUTCOME (%)
Africa	60	48	80.00
LDC	53	43	81.13
SIDS	41	35	85.37
LDCs, SIDS, Africa	108	88	81.48
Other	57	45	78.95
All	165	133	80.61

**Table 24 Outcomes of readiness activities according to engagement with stakeholders**

COUNTRY CLASSIFICATION	GRANTS WITH EXPECTED OUTCOME REGARDING: STAKEHOLDERS BEING ENGAGED IN CONSULTATIVE PROCESSES		
	TOTAL # OF GRANTS	# OF GRANTS WITH EXPECTED OUTCOME (COUNT)	PROPORTION OF GRANTS WITH EXPECTED OUTCOME (%)
Africa	60	47	78.33
LDC	53	40	75.47
SIDS	41	35	85.37
LDCs, SIDS, Africa	108	86	79.63
Other	57	41	71.93
All	165	127	76.97

**Table 25 Outcomes of readiness activities according to access to finance**

COUNTRY CLASSIFICATION	GRANTS WITH EXPECTED OUTCOME REGARDING: ACCESS TO FINANCE		
	TOTAL # OF GRANTS	# OF GRANTS WITH EXPECTED OUTCOME (COUNT)	PROPORTION OF GRANTS WITH EXPECTED OUTCOME (%)
Africa	60	22	36.67
LDC	53	20	37.74
SIDS	41	21	51.22
LDCs, SIDS, Africa	108	47	43.52
Other	57	38	66.67
All	165	85	51.52

## Effectiveness tables on expected results

(Source: IEU Database)

**Table 26 Expected results in terms of private sector engagement**

COUNTRY CLASSIFICATION	GRANTS WITH EXPECTED RESULT REGARDING: PRIVATE SECTOR ENGAGEMENT		
	TOTAL # OF GRANTS	# OF GRANTS WITH EXPECTED RESULT (COUNT)	PROPORTION OF GRANTS WITH EXPECTED RESULT (%)
Africa	60	35	58.33
LDC	53	29	54.72
SIDS	41	27	65.85
LDCs, SIDS, Africa	108	65	60.19
Other	57	33	57.89
All	165	98	59.39

**Table 27 Expected results in terms of entities identified and nominated for accreditation**

COUNTRY CLASSIFICATION	GRANTS WITH EXPECTED RESULT REGARDING: CANDIDATE ENTITIES IDENTIFIED AND NOMINATED FOR ACCREDITATION		
	TOTAL # OF GRANTS	# OF GRANTS WITH EXPECTED RESULT (COUNT)	PROPORTION OF GRANTS WITH EXPECTED RESULT (%)
Africa	60	14	23.33
LDC	53	12	22.64
SIDS	41	20	48.78
LDCs, SIDS, Africa	108	35	32.41
Other	57	23	40.35
All	165	58	35.15

**Table 28 Expected results in terms of direct access entity accreditation**

COUNTRY CLASSIFICATION	GRANTS WITH EXPECTED RESULT REGARDING: DIRECT ACCESS ENTITY ACCREDITATION		
	TOTAL # OF GRANTS	# OF GRANTS WITH EXPECTED RESULT (COUNT)	PROPORTION OF GRANTS WITH EXPECTED RESULT (%)
Africa	60	18	30.00
LDC	53	13	24.53
SIDS	41	16	39.02
LDCs, SIDS, Africa	108	34	31.48
Other	57	21	36.84
All	165	55	33.33

## Effectiveness survey results

**Table 29 NDA/FP survey: RPSP's establishment of a coordination mechanism between government institutions**

COUNTRY CLASSIFICATION	RESPONSE RATE % (TOTAL RESPONDENTS PER STAKEHOLDER GROUP) WHEN ASKED IF RPSP SUPPORT HAS BEEN INSTRUMENTAL IN THE ESTABLISHMENT OF A COORDINATION MECHANISM AMONG GOVERNMENT INSTITUTIONS						
	NUMBER OF RESPONSES (COUNT)	STRONGLY DISAGREE	DISAGREE	NEITHER AGREE NOR DISAGREE	AGREE	STRONGLY AGREE	NOT APPLICABLE
Africa	15	0	0	20	20	20	40
LDC	12	0	0	16.67	16.67	25	41.67
SIDS	7	0	0	42.86	28.57	14.29	14.29
LDCs, SIDS, Africa	23	0	0	26.09	21.74	17.39	34.78
Other	17	0	0	5.88	29.41	29.41	35.29
All	40	0	0	17.5	25	22.5	35

**Table 30 NDA/FP: RPSP's support for engagement with civil society**

COUNTRY CLASSIFICATION	RESPONSE RATE % (TOTAL RESPONDENTS PER STAKEHOLDER GROUP) WHEN ASKED IF THE RPSP HAS SUPPORTED ENGAGEMENT WITH CIVIL SOCIETY						
	NUMBER OF RESPONSES (COUNT)	STRONGLY DISAGREE	DISAGREE	NEITHER AGREE NOR DISAGREE	AGREE	STRONGLY AGREE	NOT APPLICABLE
Africa	15	6.67	0	13.33	20	26.67	33.33
LDC	12	8.33	0	8.33	25	25	33.33
SIDS	7	0	14.29	14.29	28.57	28.57	14.29
LDCs, SIDS, Africa	23	4.35	4.35	13.04	21.74	26.09	30.43
Other	17	0	0	5.88	52.94	11.76	29.41
All	40	2.5	2.5	10	35	20	30

*Table 31 NDA/FP survey: RPSP's support for pipeline development within DAEs*

COUNTRY CLASSIFICATION	RESPONSE RATE % (TOTAL RESPONDENTS PER STAKEHOLDER GROUP) WHEN ASKED IF RPSP SUPPORT WAS USEFUL FOR PIPELINE DEVELOPMENT OF DAESS						
	NUMBER OF RESPONSES (COUNT)	STRONGLY DISAGREE	DISAGREE	NEITHER AGREE NOR DISAGREE	AGREE	STRONGLY AGREE	NOT APPLICABLE
Africa	15	0	0	20	33.33	6.67	40
LDC	12	0	0	16.67	33.33	8.33	41.67
SIDS	7	0	0	28.57	0	14.29	57.14
LDCs, SIDS, Africa	23	0	0	21.74	21.74	8.7	47.83
Other	17	0	0	5.88	41.18	11.76	41.18
All	40	0	0	15	30	10	45

*Table 32 NDA/FP survey: RPSP's support to NDA/FP in developing DAE concept notes for funded projects*

COUNTRY CLASSIFICATION	RESPONSE RATE % (TOTAL RESPONDENTS PER STAKEHOLDER GROUP) WHEN ASKED IF RPSP SUPPORT HAS ENABLED NDAS/FPS TO GUIDE AND/OR SUPPORT THE DEVELOPMENT OF DAE CONCEPT NOTES FOR FUNDED PROJECTS						
	NUMBER OF RESPONSES (COUNT)	STRONGLY DISAGREE	DISAGREE	NEITHER AGREE NOR DISAGREE	AGREE	STRONGLY AGREE	NOT APPLICABLE
Africa	15	0	6.67	26.67	13.33	0	53.33
LDC	12	0	8.33	25	0	8.33	58.33
SIDS	7	0	0	42.86	0	28.57	28.57
LDCs, SIDS, Africa	23	0	4.35	30.43	8.7	8.7	47.83
Other	17	0	0	5.88	29.41	23.53	41.18
All	40	0	2.5	20	17.5	15	45



**Table 33 NDA/FP survey: RPSP's support for private sector engagement**

COUNTRY CLASSIFICATION	RESPONSE RATE % (TOTAL RESPONDENTS PER STAKEHOLDER GROUP) WHEN ASKED IF RPSP SUPPORTED THEIR ENGAGEMENT WITH THE PRIVATE SECTOR (%)						
	NUMBER OF RESPONSES (COUNT)	STRONGLY DISAGREE	DISAGREE	NEITHER AGREE NOR DISAGREE	AGREE	STRONGLY AGREE	NOT APPLICABLE
Africa	15	6.67	0	20	26.67	13.33	33.33
LDC	12	8.33	0	16.67	33.33	8.33	33.33
SIDS	7	0	28.57	0	28.57	14.29	28.57
LDCs, SIDS, Africa	23	4.35	8.7	13.04	26.09	13.04	34.78
Other	17	0	0	0	52.94	17.65	29.41
All	40	2.5	5	7.5	37.5	15	32.5

**Table 34 NDA/FP survey: RPSP's enablement of private sector engagement in country consultations**

COUNTRY CLASSIFICATION	RESPONSE RATE % (TOTAL RESPONDENTS PER STAKEHOLDER GROUP) WHEN ASKED IF RPSP SUPPORT HAS ENABLED PRIVATE SECTOR ENGAGEMENT IN COUNTRY CONSULTATIONS						
	NUMBER OF RESPONSES (COUNT)	STRONGLY DISAGREE	DISAGREE	NEITHER AGREE NOR DISAGREE	AGREE	STRONGLY AGREE	NOT APPLICABLE
Africa	15	0	6.67	20	20	13.33	40
LDC	12	0	8.33	16.67	33.33	0	41.67
SIDS	7	0	0	42.86	28.57	0	28.57
LDCs, SIDS, Africa	23	0	4.35	26.09	21.74	8.7	39.13
Other	17	0	0	0	58.82	5.88	35.29
All	40	0	2.5	15	37.5	7.5	37.5

**Table 35 NDA/FP survey: RPSP's support in facilitating private sector participation in planning and programming**

COUNTRY CLASSIFICATION	RESPONSE RATE % (TOTAL RESPONDENTS PER STAKEHOLDER GROUP) WHEN ASKED IF RPSP SUPPORT HAS FACILITATED THE PARTICIPATION OF PRIVATE SECTOR STAKEHOLDERS IN THEIR PLANNING AND PROGRAMMING PROCESSES						
	NUMBER OF RESPONSES (COUNT)	STRONGLY DISAGREE	DISAGREE	NEITHER AGREE NOR DISAGREE	AGREE	STRONGLY AGREE	NOT APPLICABLE
Africa	15	0	0	20	26.67	13.33	40
LDC	12	0	0	16.67	25	16.67	41.67
SIDS	7	0	0	28.57	42.86	0	28.57
LDCs, SIDS, Africa	23	0	0	21.74	30.43	8.7	39.13
Other	17	0	0	11.76	41.18	11.76	35.29
All	40	0	0	17.5	35	10	37.5

**Table 36 NDA/FP survey: RPSP's usability for identifying/nominating appropriate candidates for accreditation**

COUNTRY CLASSIFICATION	RESPONSE RATE % (TOTAL RESPONDENTS PER STAKEHOLDER GROUP) WHEN ASKED IF READINESS IS USEFUL FOR IDENTIFYING / NOMINATING APPROPRIATE CANDIDATES FOR ACCREDITATION						
	NUMBER OF RESPONSES (COUNT)	STRONGLY DISAGREE	DISAGREE	NEITHER AGREE NOR DISAGREE	AGREE	STRONGLY AGREE	NOT APPLICABLE
Africa	15	0	6.67	26.67	13.33	0	53.33
LDC	12	0	0	25	8.33	0	66.67
SIDS	7	0	0	42.86	0	14.29	42.86
LDCs, SIDS, Africa	23	0	4.35	30.43	8.7	4.35	52.17
Other	17	0	0	5.88	29.41	17.65	47.06
All	40	0	2.5	20	17.5	10	50

**Table 37 NDA/FP survey: RPSP's usability in enabling the upgrading off DAE accreditation**

COUNTRY CLASSIFICATION	RESPONSE RATE % (TOTAL RESPONDENTS PER STAKEHOLDER GROUP) WHEN ASKED IF RPSP IS USEFUL FOR ENABLING THE UPGRADING OF DAE ACCREDITATION						
	NUMBER OF RESPONSES (COUNT)	STRONGLY DISAGREE	DISAGREE	NEITHER AGREE NOR DISAGREE	AGREE	STRONGLY AGREE	NOT APPLICABLE
Africa	15	0	13.33	26.67	13.33	0	46.67
LDC	12	0	0	25	16.67	0	58.33
SIDS	7	0	0	42.86	0	0	57.14
LDCs, SIDS, Africa	23	0	8.7	30.43	8.7	0	52.17
Other	17	0	0	5.88	41.18	11.76	41.18
All	40	0	5	20	22.5	5	47.5

**Table 38 NDA/FP survey: RPSP's-support for regional information-sharing events to improve stakeholde engagement with the GCF**

COUNTRY CLASSIFICATION	RESPONSE RATE % (TOTAL RESPONDENTS PER STAKEHOLDER GROUP) WHEN ASKED IF RPSP-SUPPORTED REGIONAL INFORMATION-SHARING EVENTS/ACTIVITIES (E.G. STRUCTURAL DIALOGUES) HAVE IMPROVED THEIR ABILITY TO ENGAGE WITH THE GCF						
	NUMBER OF RESPONSES (COUNT)	STRONGLY DISAGREE	DISAGREE	NEITHER AGREE NOR DISAGREE	AGREE	STRONGLY AGREE	NOT APPLICABLE
Africa	15	0	6.67	13.33	20	20	40
LDC	12	0	8.33	16.67	8.33	25	41.67
SIDS	7	0	0	14.29	28.57	28.57	28.57
LDCs, SIDS, Africa	23	0	4.35	13.04	21.74	21.74	39.13
Other	17	0	0	0	29.41	35.29	35.29
All	40	0	2.5	7.5	25	27.5	37.5

**Table 39 NDA/FP survey: RPSP's-support for national information-sharing events to enhance engagement with relevant stakeholders**

COUNTRY CLASSIFICATION	RESPONSE RATE % (TOTAL RESPONDENTS PER STAKEHOLDER GROUP) WHEN ASKED IF RPSP-SUPPORTED NATIONAL INFORMATION-SHARING EVENTS/ACTIVITIES (E.G. WORKSHOPS) HAVE BEEN VALUABLE FOR THEIR ENGAGEMENT WITH RELEVANT STAKEHOLDERS						
	NUMBER OF RESPONSES (COUNT)	STRONGLY DISAGREE	DISAGREE	NEITHER AGREE NOR DISAGREE	AGREE	STRONGLY AGREE	NOT APPLICABLE
Africa	15	0	0	20	26.67	6.67	46.67
LDC	12	0	0	16.67	16.67	8.33	58.33
SIDS	7	0	0	42.86	0	14.29	42.86
LDCs, SIDS, Africa	23	0	0	26.09	17.39	8.7	47.83
Other	17	0	0	11.76	41.18	5.88	41.18
All	40	0	0	20	27.5	7.5	45

**Table 40 NDA/FP survey: RPSP's support for web-based events to enhance outreach to national stakeholders**

COUNTRY CLASSIFICATION	RESPONSE RATE % (TOTAL RESPONDENTS PER STAKEHOLDER GROUP) WHEN ASKED IF RPSP-SUPPORTED WEB-BASED EVENT/ACTIVITIES (E.G. WEBINARS) HAVE BEEN VALUABLE FOR THEIR OUTREACH TO NATIONAL STAKEHOLDERS						
	NUMBER OF RESPONSES (COUNT)	STRONGLY DISAGREE	DISAGREE	NEITHER AGREE NOR DISAGREE	AGREE	STRONGLY AGREE	NOT APPLICABLE
Africa	15	0	6.67	20	20	13.33	40
LDC	12	0	8.33	16.67	16.67	16.67	41.67
SIDS	7	0	28.57	14.29	14.29	0	42.86
LDCs, SIDS, Africa	23	0	13.04	17.39	17.39	8.7	43.48
Other	17	0	0	5.88	29.41	17.65	47.06
All	40	0	7.5	12.5	22.5	12.5	45

## APPENDIX XI: CROSS-CUTTING – GENDER

COUNTRY	NAME OF PROPOSAL	INTEGRATION OF GENDER IN OUTCOMES AND ACTIVITIES	BUDGET DEDICATED TO GENDER
Antigua and Barbuda	National Adaptation Planning in Antigua and Barbuda (NAP)	The NAP project has a gender-oriented methodology, including documents of reference (Department of Environment's Gender Policy, Environmental and Social Impact Assessments) and planned partnerships (Directorate of Gender Affairs).  Two outputs are remotely related to gender (1.2 Methodology and Manual to Conduct Sector-Specific Assessments and Provide Training on Climate Change; and 4.1 Pilot – at least three proof-of-concept micro-projects, which could have a gender-sensitive design).	This project allocates no budget directly targeted at gender activities. Out of the USD 35,000 for activity 1.2, the project does not specify the part dedicated to gender and social assessment specialists out of five types of consultants. There is also a possibility that part of the USD 970,000 dedicated to activity 4.1 could be tied to a pilot with a gender-sensitive design. The total budget for this project is USD 3,000,000.
	No name (Establishing and strengthening National Designated Authorities and Strategic frameworks for engagement with the GCF)	The project does not include gender.	The budget does not include gender (total of USD 300,000).
	Realizing direct access climate financing in Antigua and Barbuda and the Eastern Caribbean	Realizing direct access climate financing in Antigua and Barbuda and the Eastern Caribbean integrates gender in one activity (capacity building through the implementation of a comprehensive training programme for the DOE, committee members and key partners, including environmental and social safeguards [ESS], gender, and other priority areas identified in the Training Plan).	The project dedicates USD 60,000 to this specific activity that targets gender among various topics. It includes the hiring of training consultants, yet their fields of expertise are not specified. The total budget for this project is USD 620,250.
	Support for accreditation gap assessment and action plan to direct access entity	Three Member States have indicated their willingness to provide funds towards building the OECS regional climate finance architecture. Subsequent Readiness applications will be submitted to the GCF, notably in the area of gender and ESS gaps assessment, and an action plan against GCF criteria.	The budget does not include gender (total of USD 30,209).
Bangladesh	Formulation and Advancement of the National Adaptation Plan Process in Bangladesh	Gender considerations are fully integrated in the Formulation and Advancement of the National Adaptation Process in Bangladesh. The project is built on gender mainstreaming principles, acknowledging that “adaptation cannot be successful without the involvement of all people, in particular women, who are the main actors in many segments of Bangladesh's economy.” The proposal insists on close partnership with the Ministry of Women and Children Affairs, use of gender mainstreaming tools, production of gender	The project plans on hiring a dedicated gender expert in the multidisciplinary NAP team as well as investing heavily in gender mainstreaming workshops and training (USD 308,300 total). The total budget for the project is USD 2,805,990.

COUNTRY	NAME OF PROPOSAL	INTEGRATION OF GENDER IN OUTCOMES AND ACTIVITIES	BUDGET DEDICATED TO GENDER
		disaggregated data, engagement of women decision makers, sensitization of official beneficiaries on gender-related issues, etc.	
	Support for Accreditation of Direct Access Entities	The request is to provide in-kind support for an accreditation gap assessment of the Local Government Engineering Department (LGED). It aims at building the capacity of LGED in relation to the GCF activities, in areas such as gender. One activity is targeted at gender: undertaking an assessment of the entity's institutional capacities for conformity with the gender policy of the GCF.	The project dedicates USD 1,519 to the gender-related activity. The total budget for the project is USD 34,620.
	No Name (Strategic Frameworks for engagement with the GCF)	The project does not include gender.	The budget does not include gender (total of USD 150,000).
	No name (Establishing and strengthening National Designated Authorities)	The GIZ CF Ready Programme determined that various NDA capacities would have to be strengthened, among them social and gender capacity. However, the project does not include gender.	The budget does not include gender (total of USD 159,250).
Haiti	Green Climate Fund (GCF) Readiness Programme in Haiti	Green Climate Fund (GCF) Readiness Programme integrates gender in two of its activities (2.3 Stakeholder consultations conducted with equal representation of women, and 3.2 Three workshops (...) to conduct a capacity assessment on national institution selected, vis-à-vis GCF fiduciary and operational requirements, ESS and Gender standards). The project also plans on developing gender-centred consultation mechanisms for periodic review and update of the country programme.	The amount dedicated to the two gender consultants is USD 25,000. The total budget for the project is USD 430,000.
	Mobilizing Private Sector to Support Climate Resilient Development in Haiti	The project contains one activity that remotely relates to gender (2.1.1. Conduct an assessment of barriers to private sector investments with suggestions to remedy the identified barriers; said barriers could be tied to enterprises being women-led).	The project allows USD 48,000 for the hiring of a senior consultant who would be dedicated to activity 2.1.1, which is remotely related to gender. The total budget for the project is USD 350,000.
Kenya	Enhancing capacity for planning and effective implementation of climate change adaptation in Kenya	Enhancing capacity for planning and effective implementation of climate change adaptation in Kenya deeply integrates gender considerations into its conception and planning. The objective is to "ensure that gender issues of climate change are reflected in the knowledge products, as well as to ensure that diverse viewpoints are reflected and different types of actors' capacity is strengthened." Various activities also integrate gender consideration (notably in training and budgeting exercises). A collaboration is also planned with the FAO Kenya Office's Gender Expert.	The project dedicates USD 56,000 in total to the hiring of two distinct gender consultants. The total budget for the project is USD 3,000,000.

COUNTRY	NAME OF PROPOSAL	INTEGRATION OF GENDER IN OUTCOMES AND ACTIVITIES	BUDGET DEDICATED TO GENDER
	No name (Establishing and strengthening National Designated Authorities)	The project does not include gender.	The budget does not include gender (total of USD 150,000).
	NEMA capacity strengthening programme towards accessing climate finance from the Green Climate Fund	The request is to provide institutional strengthening for NEMA in relation to the GCF activities, in areas such as gender (NEMA has two main accreditation conditionalities related to capacity strengthening on ESS and gender policies). The objective is to develop a robust gender management system for NEMA, to build requisite knowledge, and internal rules and processes. Expert courses in gender mainstreaming in projects will be offered to identified staff. Gender-related activities are generally merged with other GCF-related trainings.	The project allocates USD 12,000 to the hiring of a gender consultant. The total budget for the project is USD 431,060.
Mongolia	Readiness Support for Enhancing Access to Green Finance in Mongolia	The project does not include gender.	The budget does not include gender (total of USD 350,000).
	Building capacity to advance National Adaptation Plan Process in Mongolia	Gender considerations are presented as “of utmost priority of this project proposal” and are indeed very much integrated into the project. The gender-sensitive approach is reflected in the theoretical grounding, activity planning (1.1.3, 1.2.4, 1.2.5 and 1.3.5 of section 2) and staffing of this project.	The project plans on hiring a full-time M&E and gender officer to be part of the Project Management Unit (USD 28,800). The total budget for the project is USD 2,519,950.
	Scaling-up of Implementation of Low-Carbon District Heating Systems in Mongolia	The project includes gender-related deliverables in two activities (4.3.2 Feasibility study and business model[s] development, and 4.3.3 Development of implementation plan and investment proposals for enhancing the heating supply systems). In both cases, non-gender-related deliverables vastly outnumber gender-related ones.	The project allocates USD 10,000 to the hiring of a gender expert (consultant). The total budget for the project is USD 368,000.
	Establishing and strengthening National Designated Authority (NDA) and Focal Point (FP), and Strategic frameworks for engagement with the GCF, including the	The Focal Point to the GCF requires strengthening of its capacity, including regarding gender. For that purpose, two activities are tied to gender (2.3.1 Gender equality measures are considered in parts of stakeholder consultation processes; and 2.4.1 An annual review of GCF portfolio in Mongolia is organized with all stakeholders, including the communities, women and civil society).	The budget is not detailed. The total budget for the project is USD 300,000.

COUNTRY	NAME OF PROPOSAL	INTEGRATION OF GENDER IN OUTCOMES AND ACTIVITIES	BUDGET DEDICATED TO GENDER
	preparation of the country programme		
Namibia	EDA: Increasing Climate Change Resilience of Tourism-Reliant Communities in Namibia and Strengthening Institutional Capacities of the EIF as an accredited entity	The request is to provide institutional strengthening for Namibia's community-based natural resources management (CBNRM) in relation to the GCF activities, in four areas, among which one is gender. The objective is to develop a strong country ownership and gender-sensitive multi-stakeholder engagement, as well as a gender action plan in order to significantly improve a proposal on which the CBNRM is working.	The project allocates USD 28,450 to the hiring of two gender consultants with already-defined tasks. The total budget for the project is USD 385,260.
	Strengthening National Designated Authorities, Strategic framework for engagement with the GCF and Support of accreditation of local institutions	The request is to provide institutional strengthening for the NDA. Two activities are related to gender (2.1.1 Conduct a robust and inclusive engagement process that brings together relevant stakeholders (...) with specific emphasis on gender and vulnerable communities (...); and 2.3.1 Develop guidelines for stakeholder consultation that specifically put emphasis on gender and indigenous communities). There is not a real emphasis on gender in the proposal.	The project dedicates USD 28,408 to the hiring of consultants for these two activities that touch upon gender. It does not specify the fields of expertise of the consultants. The total budget for this project is USD 300,000.
Paraguay	Strengthen mechanisms for access and financing of projects to address the challenges of climate change	The NDA and the Accredited Entities consulted noted that the Readiness Programme of GCF has been proactive in advocating for the inclusion of gender in the proposal. The first RPSP grant (aimed at strengthening the NDA) originally planned for the elaboration of a gender strategy but consulted stakeholders at the STP noted that, since the Secretariat of the Environment (SEAM) has recently developed a gender strategy, the project will align with this new gender strategy, instead of creating a new gender strategy. An alignment exercise will be conducted to ensure that the implementation of the first RPSP grant aligns with the gender strategy of SEAM. However, only one activity relates to gender (Design a strategy to mainstream a gender approach in instances of participation of stakeholders related to GCF matters).	The project allocates USD 13,000 to the hiring of a consultant to work on gender, among other tasks. The total budget for the project is USD 300,000.
	Enhancing the role of Local Development Councils to contribute to the implementation of	Gender equality is fully embedded in the second RPSP grant with Fundación Avina. The RPSP proposal states that the RPSP grant will strengthen the capacities of LDCs "to mainstream climate change with a gender-sensitive approach." The project foresees the development of guidelines to help local stakeholders mainstream climate change and gender in their local development plans. The project proposal also foresees the development of climate change working groups whose meetings will be gender balanced	The importance this RPSP grant gives to gender is evidenced by the financial resources dedicated to this component. Nearly one fifth (USD 99,400 of USD 517,130) has been allocated to the hiring of a gender expert.



COUNTRY	NAME OF PROPOSAL	INTEGRATION OF GENDER IN OUTCOMES AND ACTIVITIES	BUDGET DEDICATED TO GENDER
	the country's NDC and access to climate finance	and as inclusive as possible (inviting women from different groups including indigenous peoples). Twelve two-day capacity-building workshops on gender and climate change (one workshop per municipality) will be completed and the learning generated from these workshops will feed into the development of gender-sensitive local climate change strategies. At the end of the project, best practices on incorporating gender and climate change into local development plans will be shared with other municipalities.	
Senegal	Support for accreditation gap assessment and action plan to CNCAS	The project does not include gender.	The budget does not include gender (total of USD 29,722).
	No Name (Establishing and strengthening National Designated Authorities and Strategic frameworks for engagement with the GCF)	The project does not include gender.	The budget does not include gender (total of USD 300,000).
	Upgrading accreditation category of CSE and strengthening project development and implementation capacities	The request is to provide institutional strengthening for CSE in relation to the GCF activities, in four areas, among which one is gender. The objective is to develop a solid capacity in gender analysis and mainstreaming. The proposal contains activities such as the development, implementation, monitoring and evaluation of a gender assessment and an action plan (3.2), as well as support to gender-responsive PPF requests (3.3).	The project allocates USD 24,000 to the hiring of a gender expert (consultant). The total budget for the project is USD 205,000.
	No name (Initial pipelines of programme and project proposals)	The project does not significantly include gender.	The budget does not include gender (total of USD 600,000).
Vanuatu	Readiness Support for the Development of the Vanuatu National Green Energy Fund	The project does not significantly include gender.	The budget does not include gender (total of USD 370,000).

COUNTRY	NAME OF PROPOSAL	INTEGRATION OF GENDER IN OUTCOMES AND ACTIVITIES	BUDGET DEDICATED TO GENDER
	No name (Establishing and strengthening National Designated Authorities)	The proposal almost exclusively perceives gender through the lens of multi-stakeholder engagement. No activities are directly targeted at gender.	The budget does not include gender (total of USD 300,000).
	No name	The project mentions gender equity and gender sensitive development impacts, yet no activities are directly targeted at gender.	The budget does not include gender (total of USD 137,316).

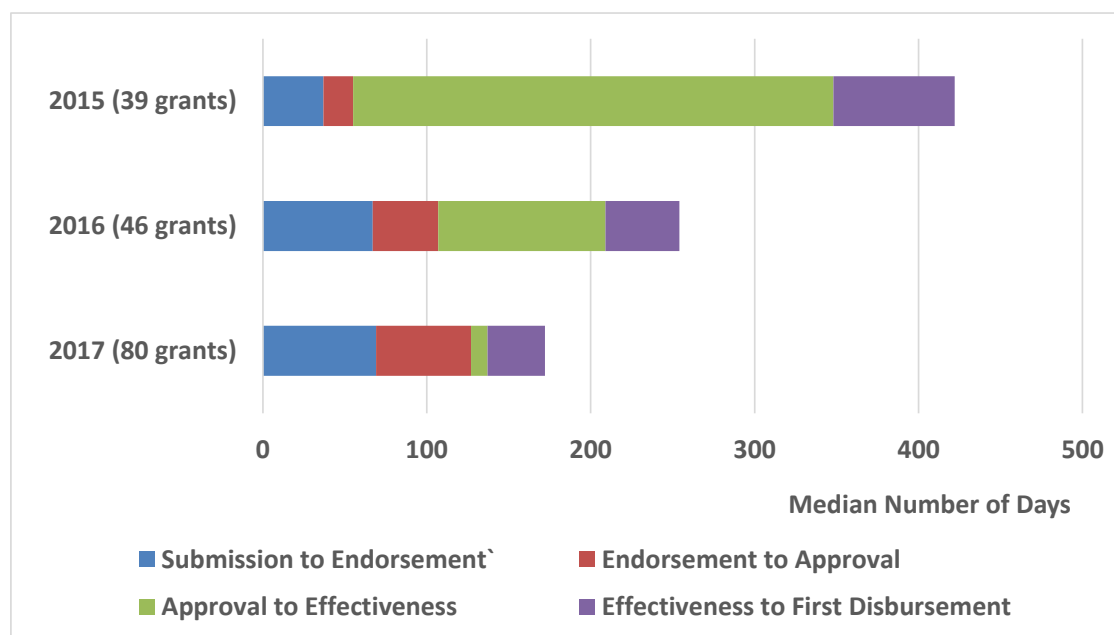
## APPENDIX XII: SUPPORTING MATERIALS – EFFICIENCY

**Table 41** *Median number of days for the processing of approved RPSP grants, by year of first submission*

YEAR GRANT PROPOSAL WAS FIRST SUBMITTED	MEDIAN NUMBER OF DAYS				
	From initial submission to endorsement	From endorsement to approval	From approval to effectiveness	From effectiveness to first disbursement	Total
2014–2015 (39 grants)	37	18	293	74	422
2016 (46 grants)	67	40	102	45	254
2017–2018 (80 grants)	69	58	10	35	172

*Notes:* The numbers in parentheses in the left-hand column correspond to the number of regular RPSP country grants that were submitted in each period and approved as of 15 May 2018. There were only two approved RPSP grants submitted in 2014 and one in 2018.

**Figure 7** *Median number of days for the processing of approved RPSP grants, by year of first submission*



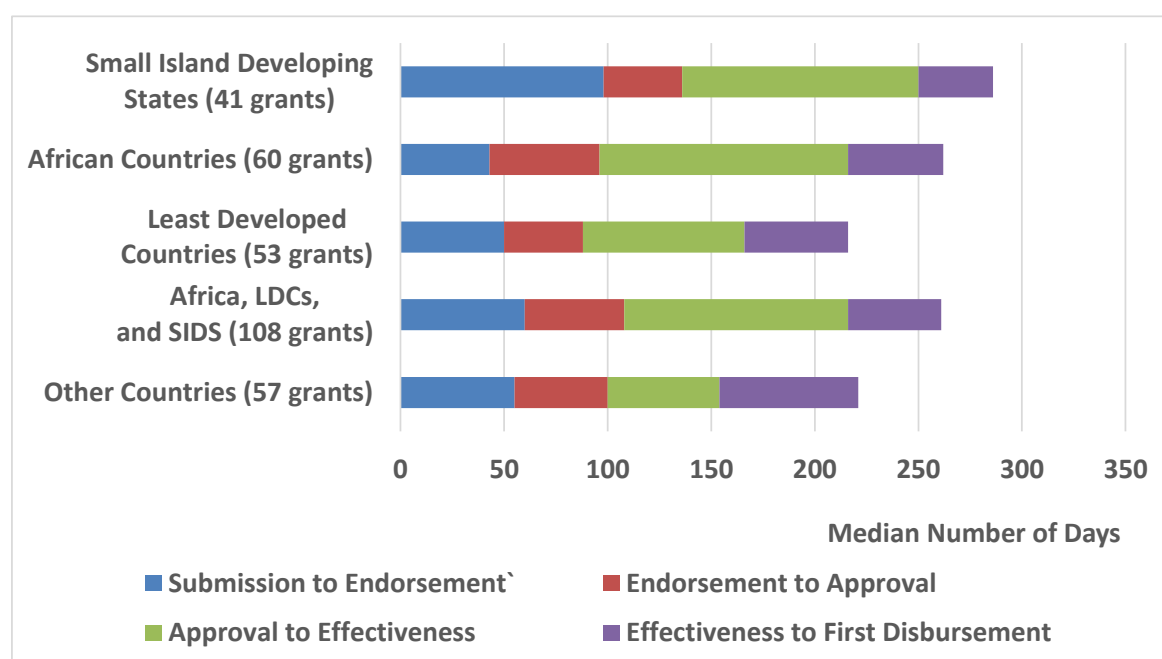
*Notes:* The numbers in parentheses correspond to the number of regular RPSP country grants that were submitted in each period and approved as of 15 May 2018. There were only two approved RPSP grants submitted in 2014 and one in 2018.

**Table 42** *Median number of days for the processing of approved RPSP grants, by country classification*

COUNTRY CLASSIFICATION	MEDIAN NUMBER OF DAYS				
	FROM INITIAL SUBMISSION TO ENDORSEMENT	FROM ENDORSEMENT TO APPROVAL	FROM APPROVAL TO EFFECTIVENESS	FROM EFFECTIVENESS TO FIRST DISBURSEMENT	TOTAL
SIDS (41 grants)	98	38	114	36	286
Africa (60 grants)	43	53	120	46	262
LDCs (53 grants)	50	38	78	50	216
Africa, LDCs, and SIDS (108 grants)	60	48	108	45	261
Other countries (57 grants)	55	45	54	67	221

*Notes:* The numbers in parentheses in the left-hand column correspond to the number of approved grants submitted by the countries in each category. The 108 grants submitted by African countries, LDCs and SIDS combined, do not include double-counting of grants submitted by the 28 countries that appear in two of the three categories and the two countries that appear in all three categories.

**Figure 8** *Median number of days for the processing of approved RPSP grants, by country classification*



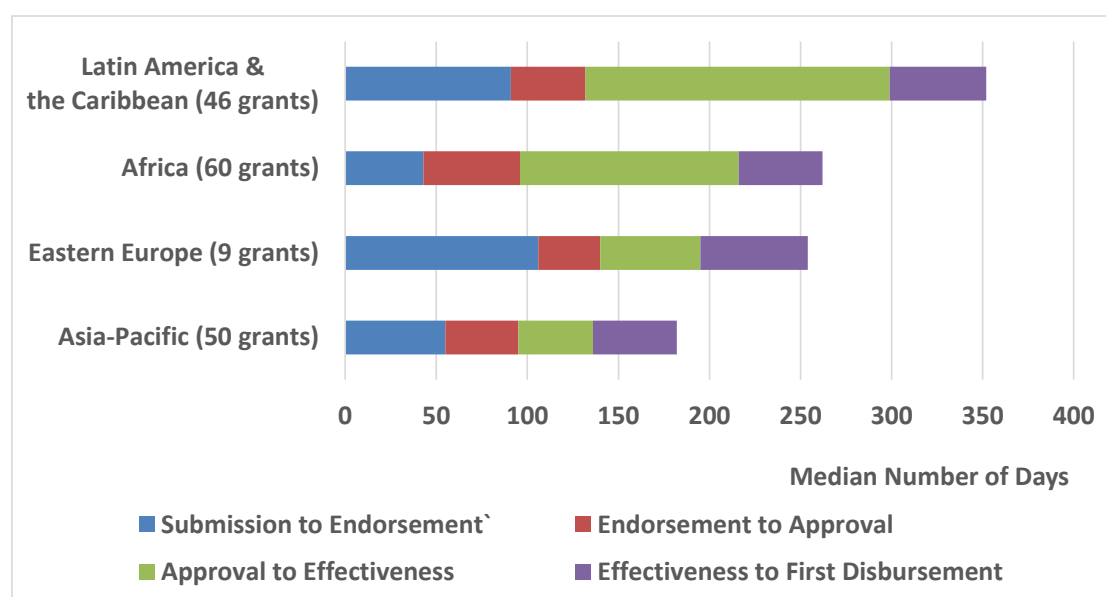
*Notes:* The numbers in parentheses correspond to the number of approved grants submitted by the countries in each category. The 108 grants submitted by African countries, LDCs and SIDS combined do not include double-counting of grants submitted by the 28 countries that appear in two of the three categories and the two countries that appear in all three categories.

**Table 43** *Median number of days for the processing of approved RPSP grants, by region*

REGION	MEDIAN NUMBER OF DAYS				
	FROM INITIAL SUBMISSION TO ENDORSEMENT	FROM ENDORSEMENT TO APPROVAL	FROM APPROVAL TO EFFECTIVENESS	FROM EFFECTIVENESS TO FIRST DISBURSEMENT	TOTAL
Asia-Pacific (50 grants)	55	40	41	46	251
Eastern Europe (9 grants)	106	34	55	59	254
Africa (60 grants)	43	53	120	46	262
Latin America & the Caribbean (46 grants)	91	41	167	53	352

Notes: The numbers in parentheses in the left-hand column correspond to the number of approved grants submitted by the countries in each region.

**Figure 9** *Median number of days for the processing of approved RPSP grants, by region*



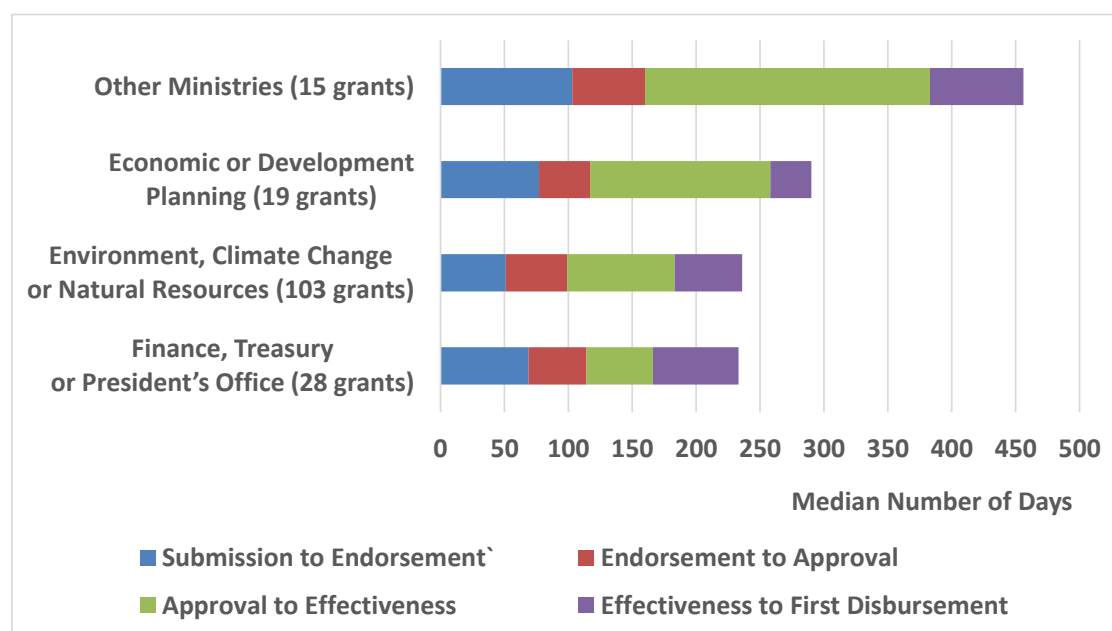
Notes: The numbers in parentheses in the left-hand column correspond to the number of approved grants submitted by the countries in each region.

**Table 44** *Median number of days for the processing of approved RPSP grants, by location of the National Designated Authority*

LOCATION OF NDA	MEDIAN NUMBER OF EAYS				
	FROM INITIAL SUBMISSION TO ENDORSEMENT	FROM ENDORSEMENT TO APPROVAL	FROM APPROVAL TO EFFECTIVENESS	FROM EFFECTIVENESS TO FIRST DISBURSEMENT	TOTAL
Finance, Treasury or President's Office (28 grants)	69	45	52	67	233
Environment, Climate Change or Natural Resources (103 grants)	51	48	84	53	236
Economic or Development Planning (19 grants)	77	40	141	32	290
Other ministries (15 grants)	103	57	223	73	456

Notes: The numbers in parentheses in the left-hand column correspond to the number of approved grants submitted by the countries in each category.

**Figure 10** *Median number of days for the processing of approved RPSP grants, by location of the National Designated Authority*



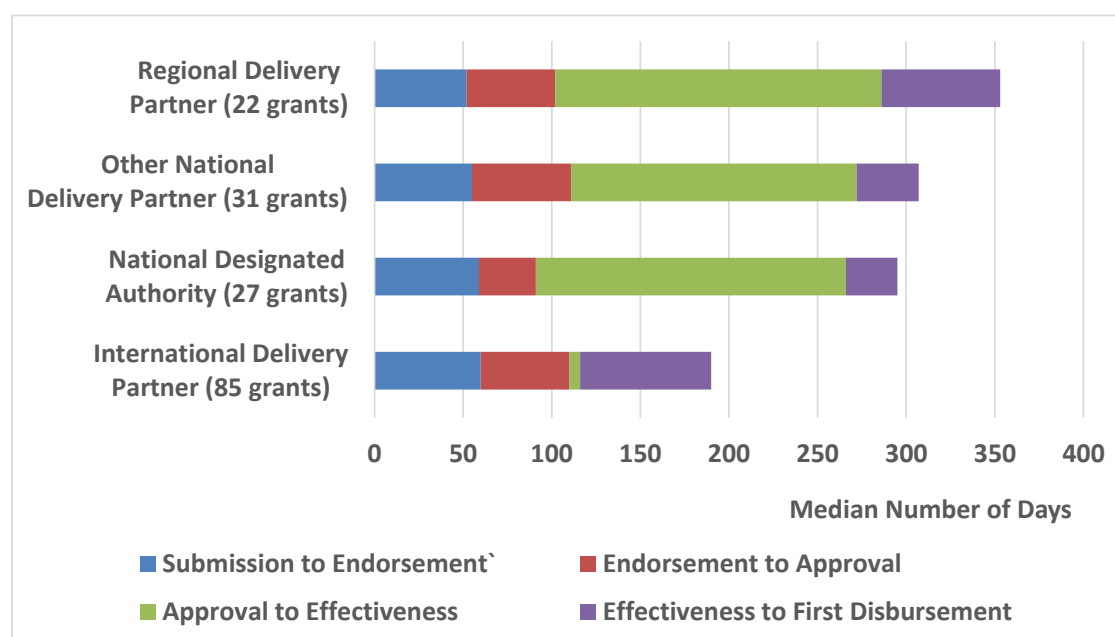
Notes: The numbers in parentheses correspond to the number of approved grants submitted by the countries in each category.

**Table 45** *Median number of days for the processing of approved RPSP grants, by type of Delivery Partner*

TYPE OF DELIVERY PARTNER	MEDIAN NUMBER OF DAYS				
	FROM INITIAL SUBMISSION TO ENDORSEMENT	FROM ENDORSEMENT TO APPROVAL	FROM APPROVAL TO EFFECTIVENESS	FROM EFFECTIVENESS TO FIRST DISBURSEMENT	TOTAL
International Delivery Partner (85 grants)	60	50	6	74	190
National Designated Authority (27 grants)	59	32	175	29	295
Other national Delivery Partner (31 grants)	55	56	161	35	307
Regional Delivery Partner (22 grants)	52	50	184	67	353

Notes: The numbers in parentheses in the left-hand column correspond to the number of approved grants submitted by the countries in each category.

**Figure 11** *Median number of days for the processing of approved RPSP grants, by type of Delivery Partner*



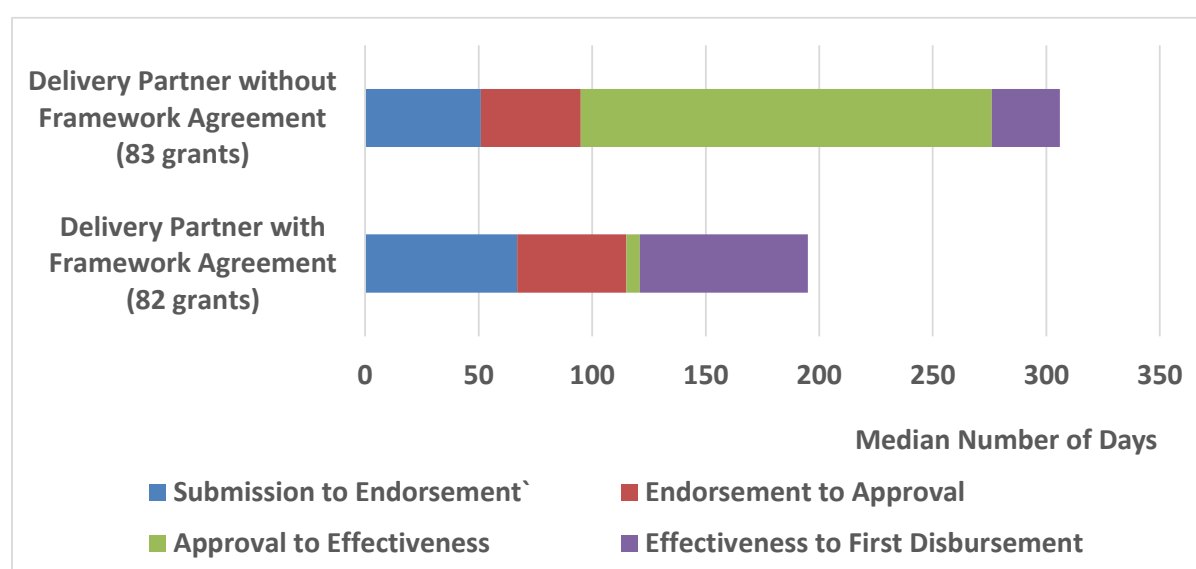
Notes: The numbers in parentheses correspond to the number of approved grants submitted by the countries in each category.

**Table 46** *Median number of days for the processing of approved RPSP grants, by Delivery Partners with or without a framework agreement*

TYPE OF DELIVERY PARTNER	MEDIAN NUMBER OF DAYS				
	FROM INITIAL SUBMISSION TO ENDORSEMENT	FROM ENDORSEMENT TO APPROVAL	FROM APPROVAL TO EFFECTIVENESS	FROM EFFECTIVENESS TO FIRST DISBURSEMENT	TOTAL
Delivery Partner with framework agreement (82 grants)	67	48	6	74	195
Delivery Partner without framework agreement (83 grants)	51	44	181	30	306

Notes: The numbers in parentheses in the left-hand column correspond to the number of approved grants submitted by the countries in each category.

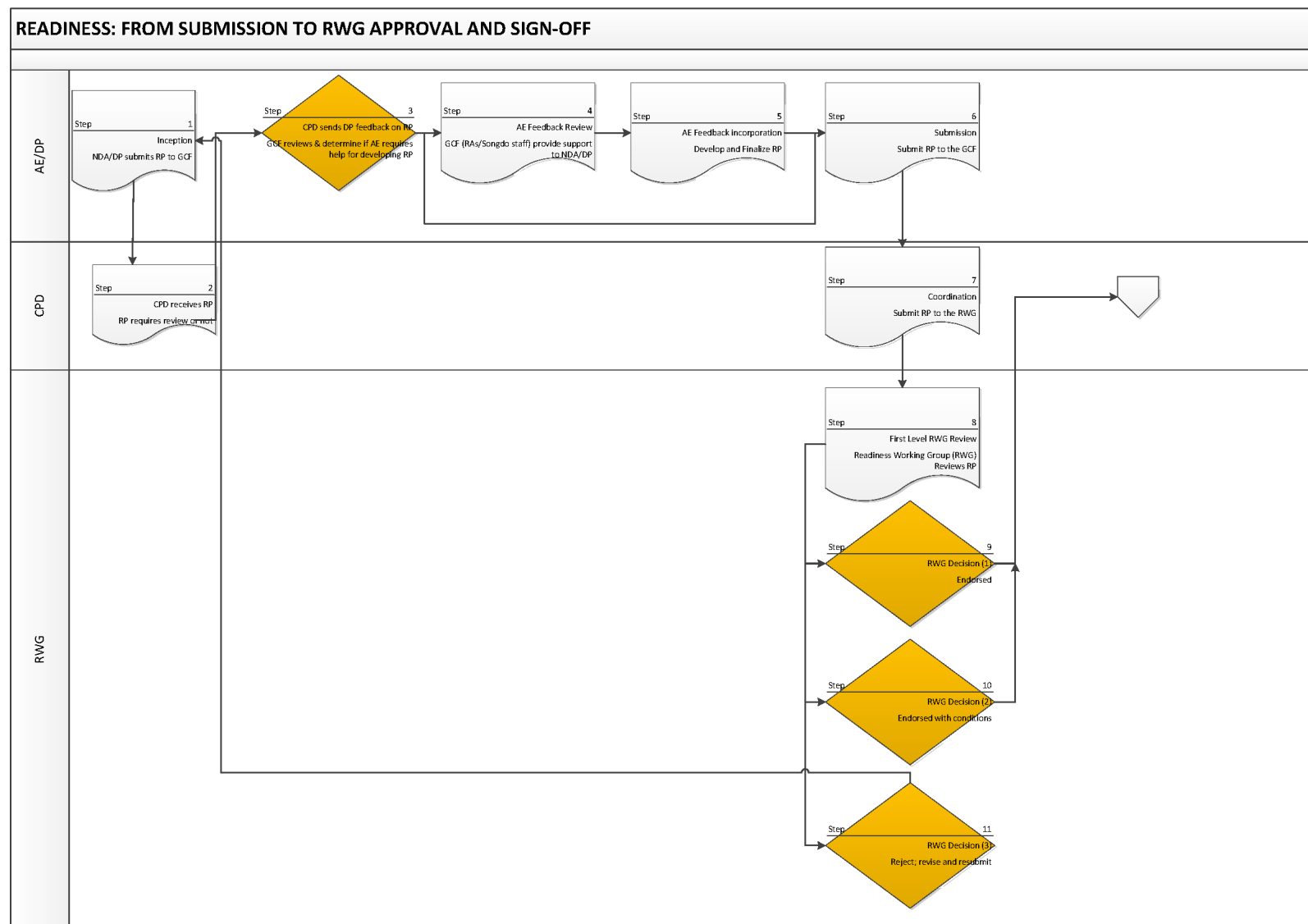
**Figure 12** *Median number of days for the processing of approved RPSP grants, by Delivery Partners with or without a framework agreement*

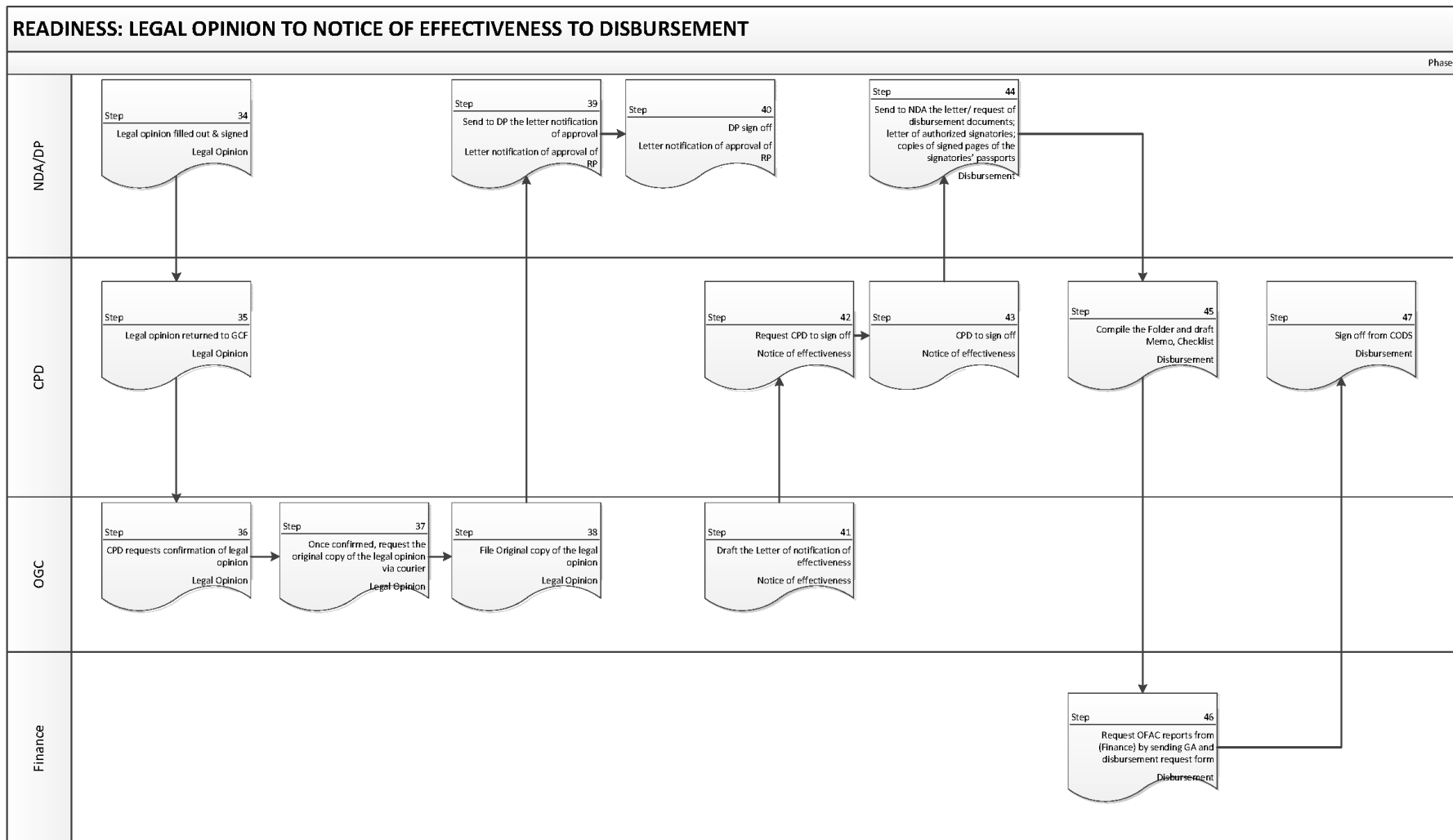


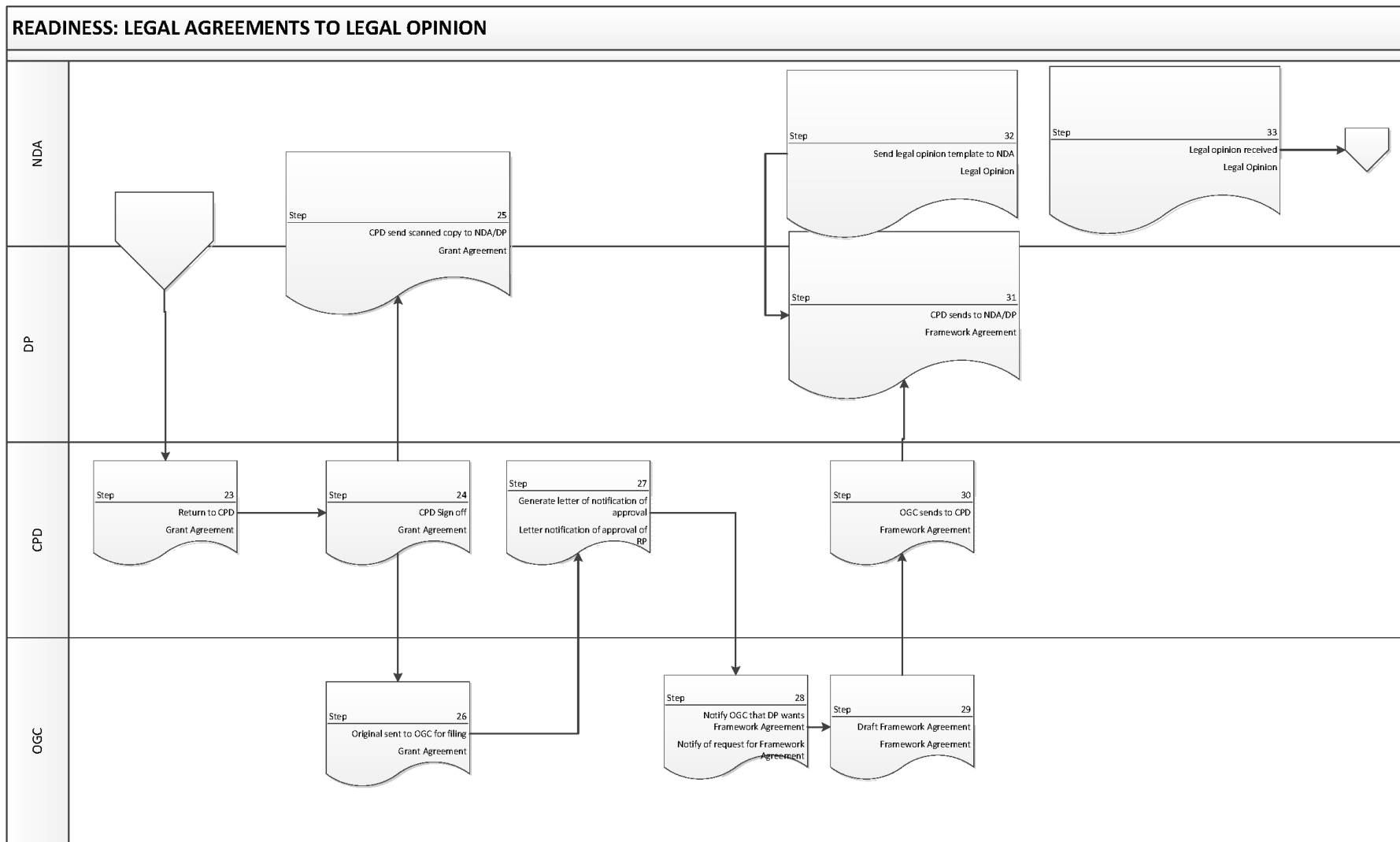
Notes: The numbers in parentheses correspond to the number of approved grants submitted by the countries in each category.

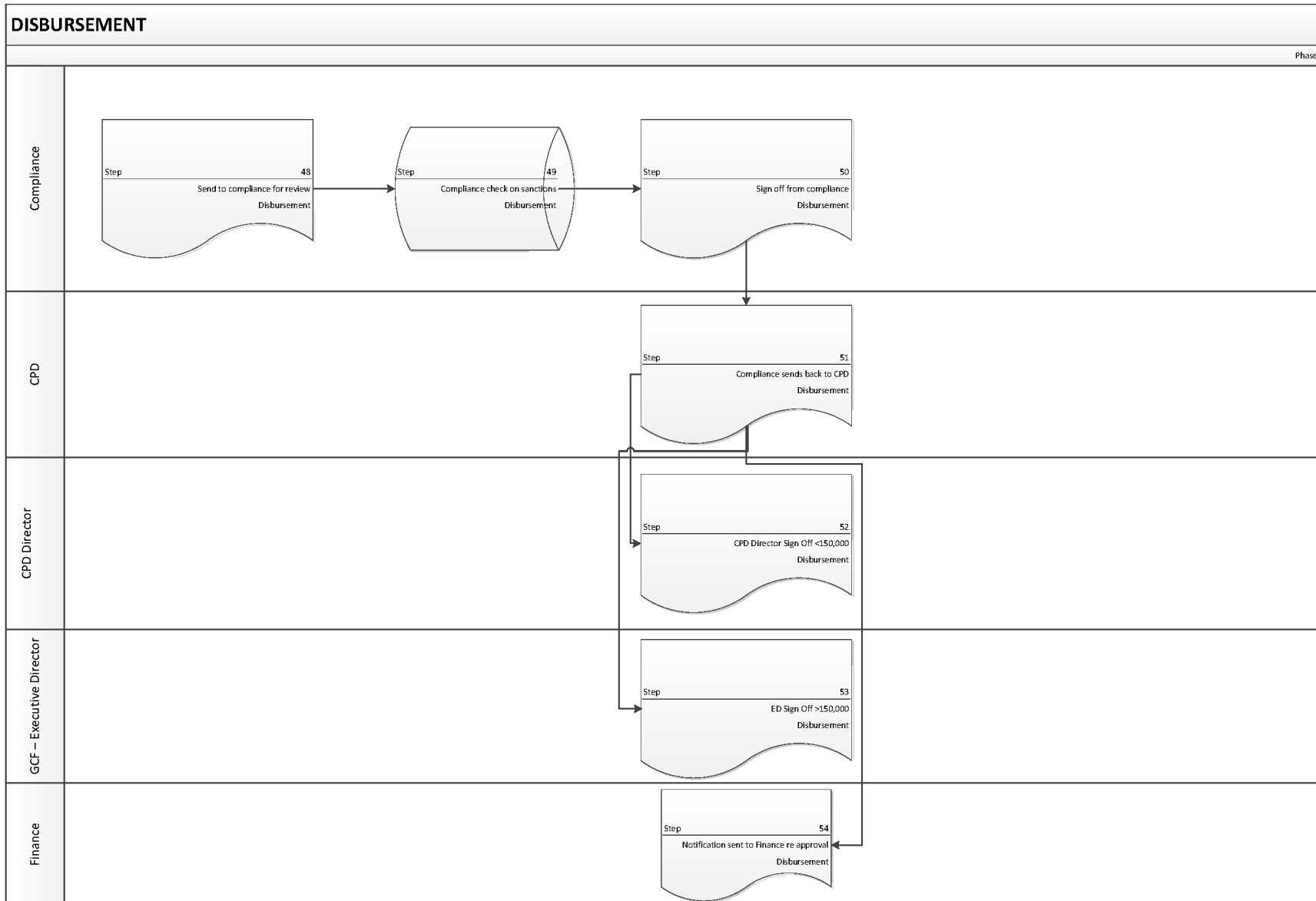


## APPENDIX XIII: RPSP GRANTS PROCESS MAPS (18 JULY 2017)









## APPENDIX XIV: RPSP IMPROVEMENT MEASURES OF THE SECRETARIAT

Annex XVI to Meeting Report on B.19:

List of the measures being implemented by the Secretariat to improve the Readiness and Preparatory Support Programme

1. Develop a theory of change that better clarifies the outcomes and results of the Readiness and Preparatory Support Programme (hereinafter referred to as the Readiness Programme), in alignment with a unified vision of the Programme.

Assess the feasibility of potential modalities of ex-ante payments with robust ex post monitoring to directly support national designated authorities (NDAs)/focal points, considering the policy and legal implications and risk mitigation measures.

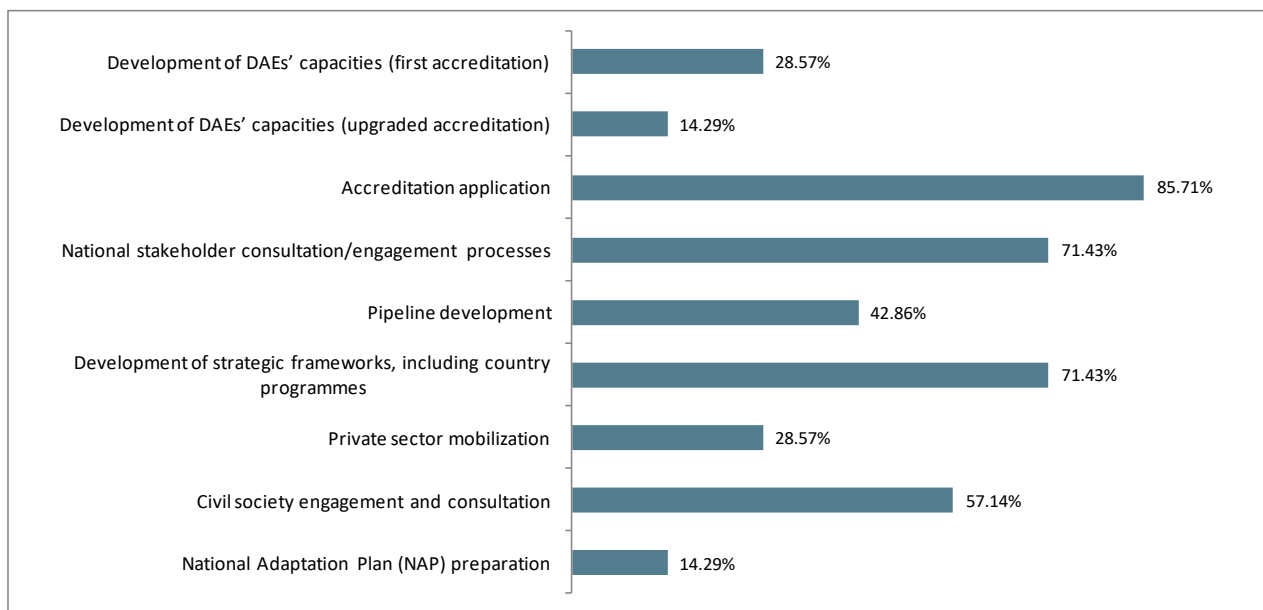
Propose revisions and/or improvements to the Readiness Programme to address the evolving and increasingly ambitious needs of countries and entities, taking into account the outcomes of independent evaluation of the Readiness Programme.

Strengthen guidelines to facilitate the accessibility of countries to readiness resources. This may include:

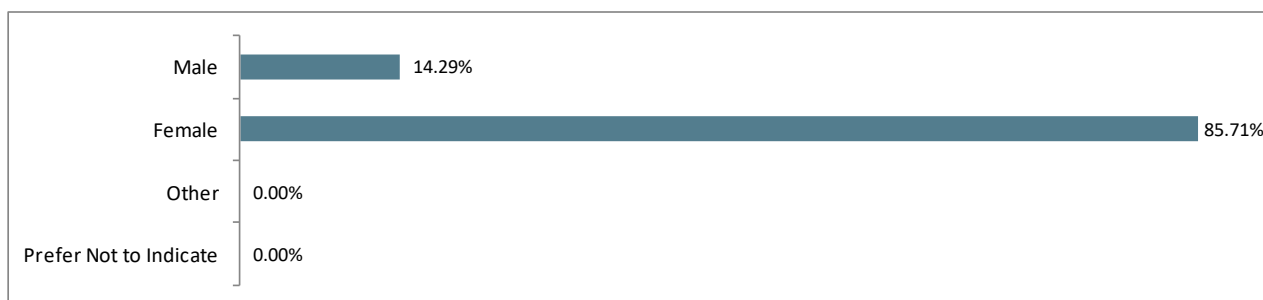
- Improving clarity of readiness application processes (e.g. proposal review and approval criteria) and timelines;
- Evaluating options to further streamline the readiness application process;
- Sharing concrete examples of good practices;
- Further reviewing the readiness guidebook and associated templates, in alignment with any improvement proposed to the readiness framework and access modalities (e.g. updating the Readiness Programme's guidelines based on the new theory of change);
- Translating the readiness guidebook into additional languages and ensuring more consistent communications and guidelines in multiple languages, including through up-to-date video presentations in multiple languages, where feasible;
- Strengthening the capacity of the Secretariat, including regional advisors, to improve support and outreach, and to strengthen regional presence;
- Providing technical/advisory support from the Secretariat, including through more regular in-country engagement, with a view to strengthening the capacity of technical experts at the national level to support countries' delivery of appropriate readiness results;
- Considering options to formally organize regional networks of NDAs and support their operation through regionally based expertise; and
- Enhancing knowledge-sharing and placing greater emphasis on peer-to-peer learning.

## APPENDIX XV: SURVEY RESULTS

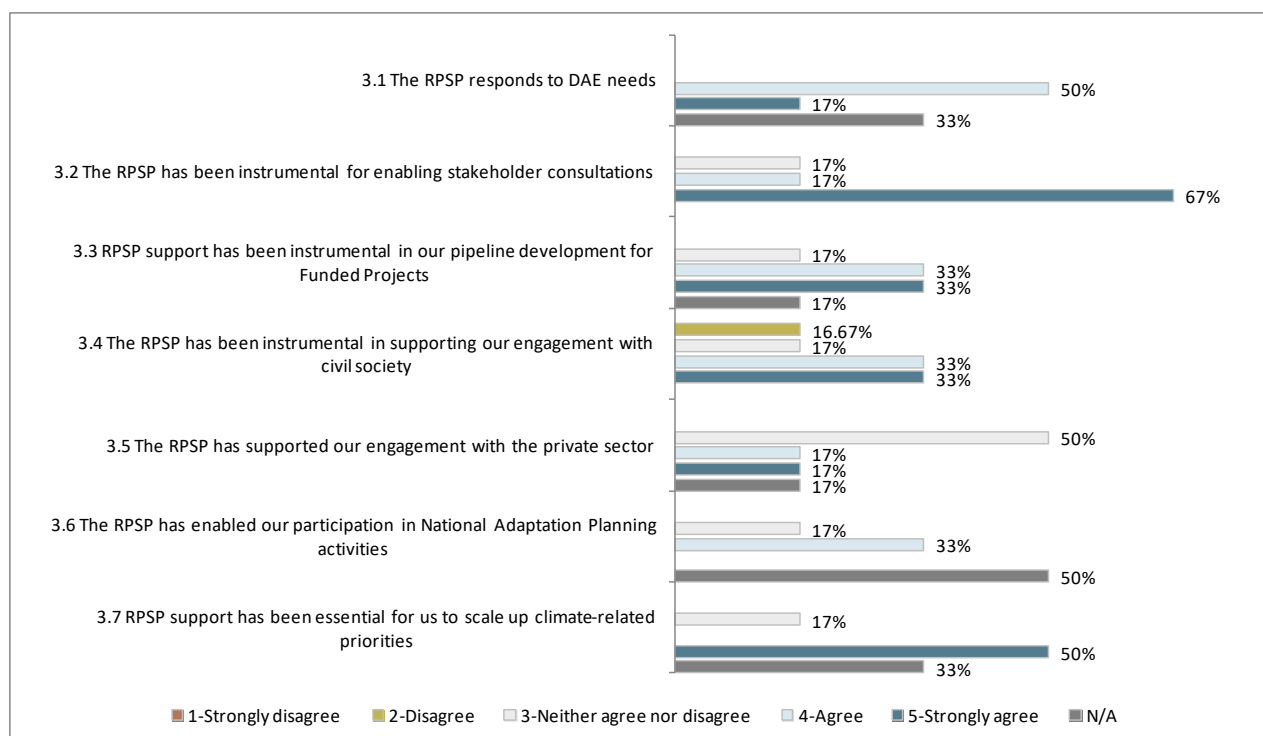
### *1. Please select all RPSP activities with which you have been directly involved?*



### *2. What is your gender/sex?*



3. Please rate the following statements on a scale of 1-5, with 1 indicating strong disagreement and 5 indicating strong agreement.



4. Please provide the best example of the RPSP's relevance to your work (up to 50 words).

While we have not been the direct recipient of RPSP support to date, our NDA has used it to conduct productive activities that we have also supported and participated in as an AE. These include consultations and the development of the country programme, pipelines, and the NDA supported our accreditation application and the development of project concept notes.

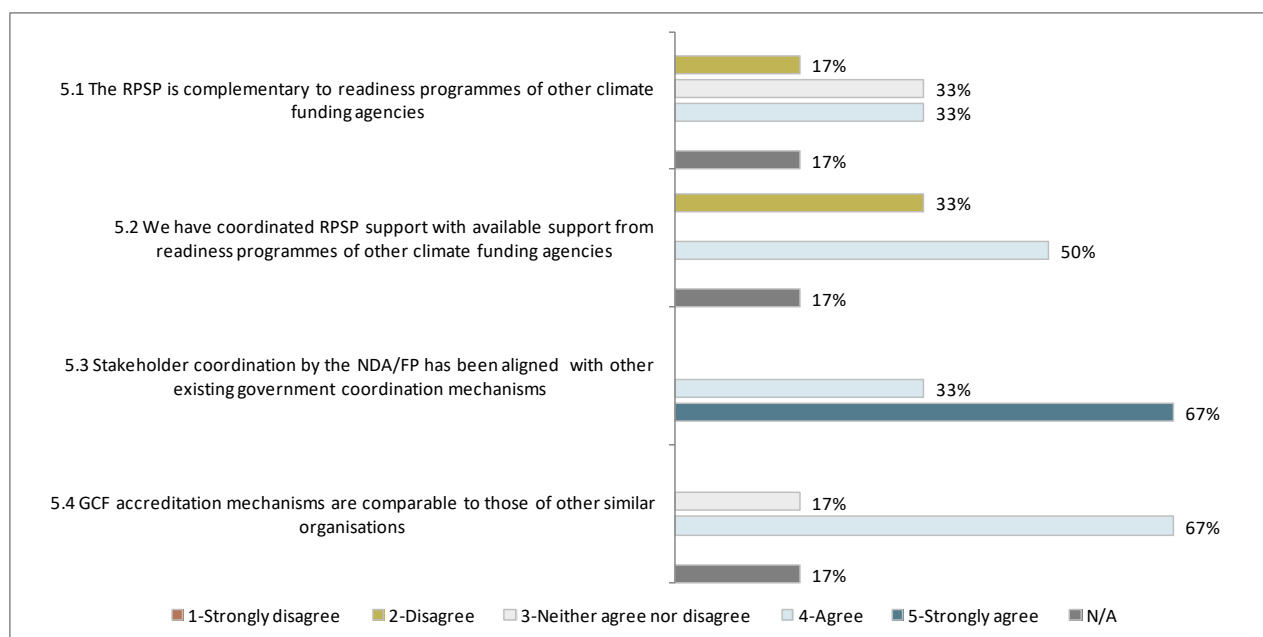
Helped strengthen the institutional capacities to fulfill our role and responsibilities as an NDA. Nine consultations held throughout the year, which increased awareness and knowledge about NDA and GCF.

RPSP has been instrumental for the capacity enhancement of the accreditation process for DAE.

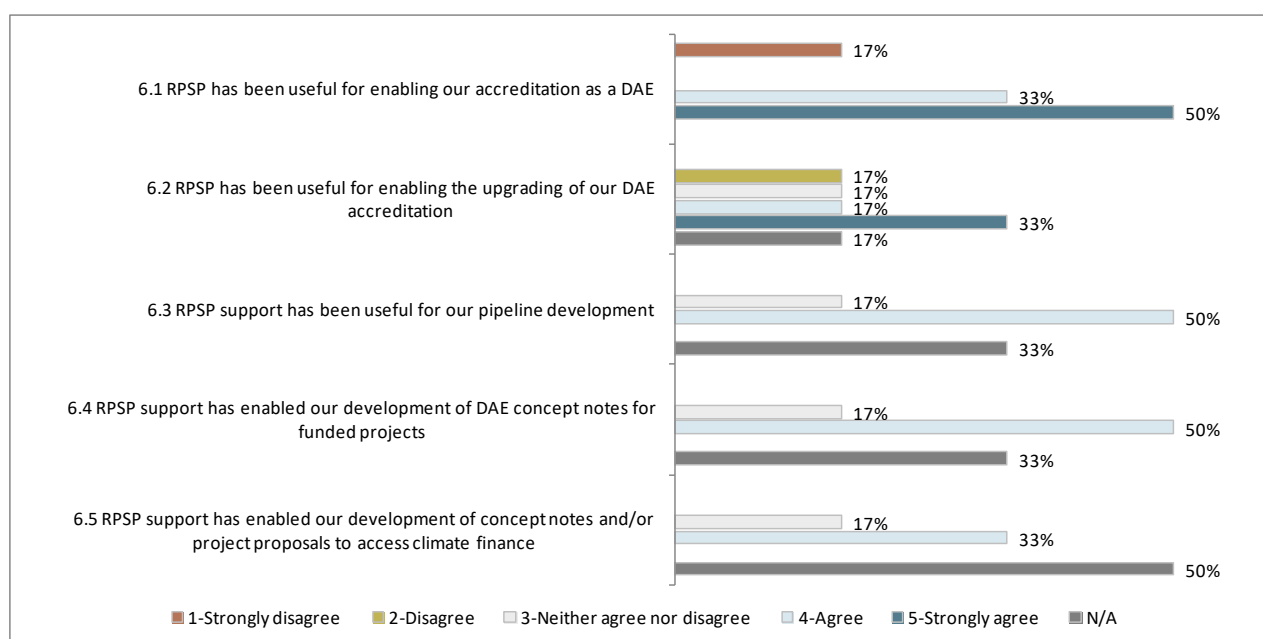
Our readiness was approved in December 2017 and now we are waiting for the first disbursement. We strongly believe that this support will strengthen our capacities and relation with our NDA. Also will allow us to develop our pipeline.

Accreditation and development of one project.

5. Please rate the following statements on a scale of 1-5, with 1 indicating strong disagreement and 5 indicating strong agreement.

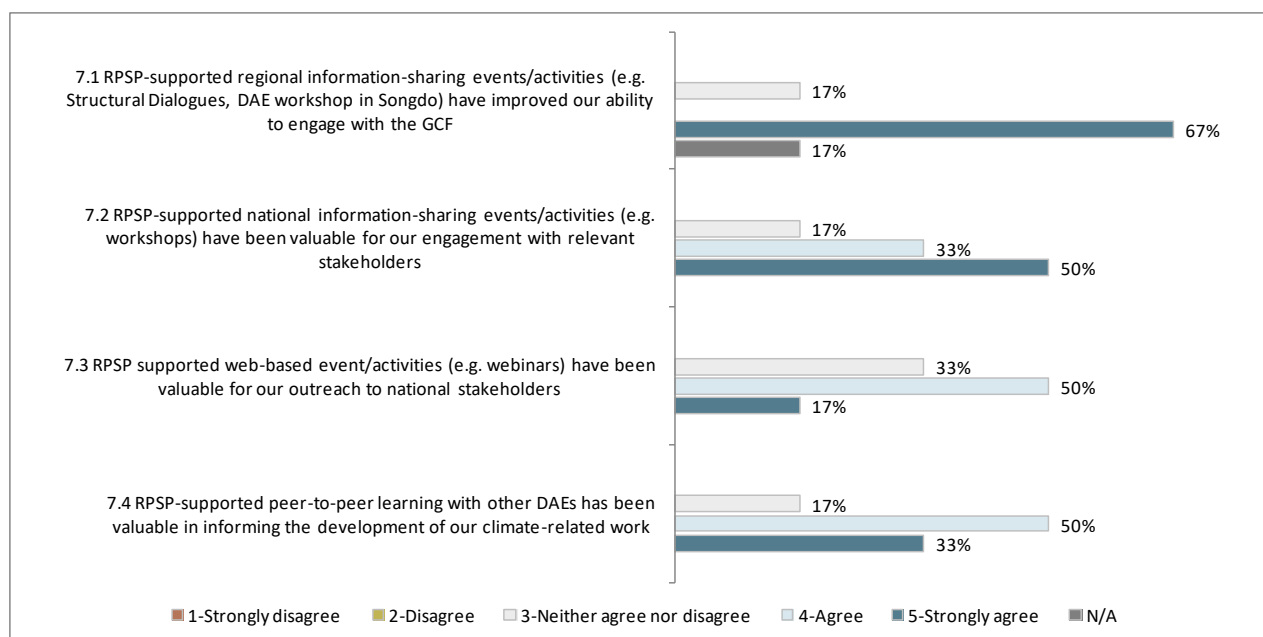


6. Please rate the following statements on a scale of 1-5, with 1 indicating strong disagreement and 5 indicating strong agreement.

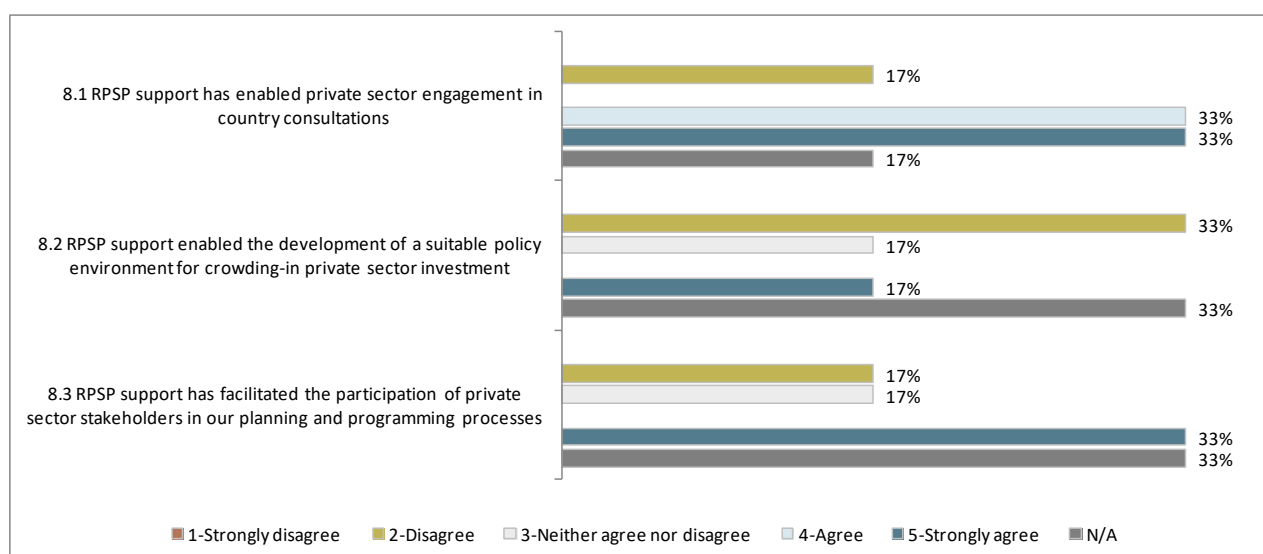




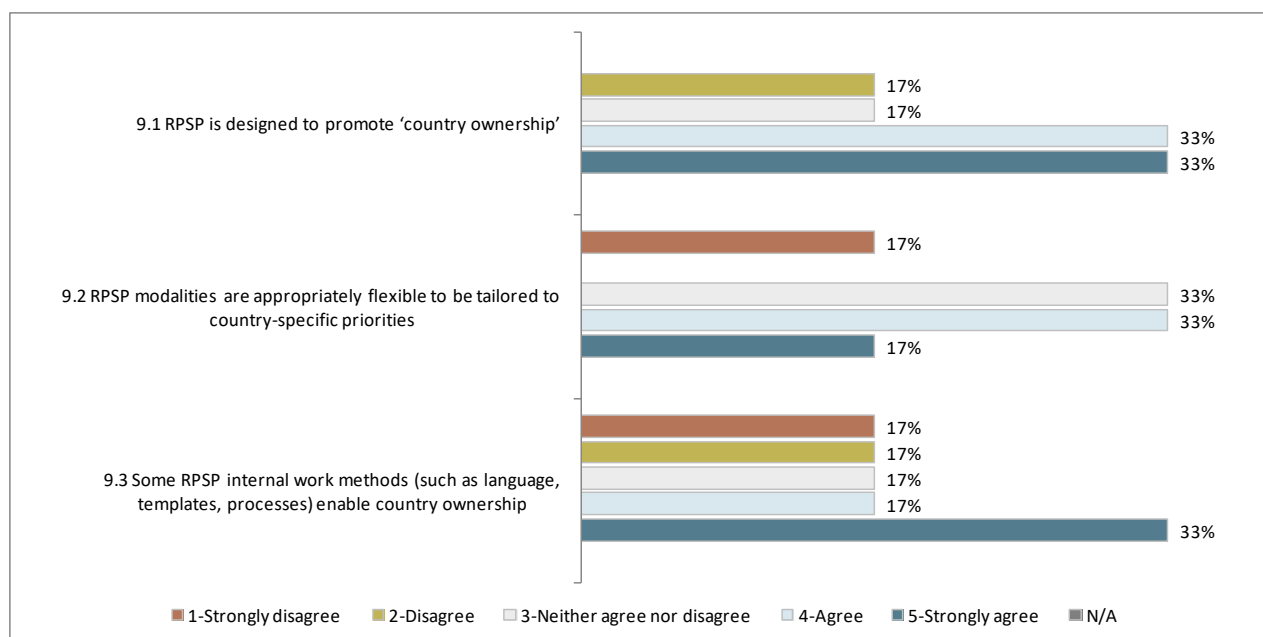
7. Please rate the following statements on a scale of 1-5, with 1 indicating strong disagreement and 5 indicating strong agreement.



8. Please rate the following statements on a scale of 1-5, with 1 indicating strong disagreement and 5 indicating strong agreement.



9. Please rate the following statements on a scale of 1-5, with 1 indicating strong disagreement and 5 indicating strong agreement.

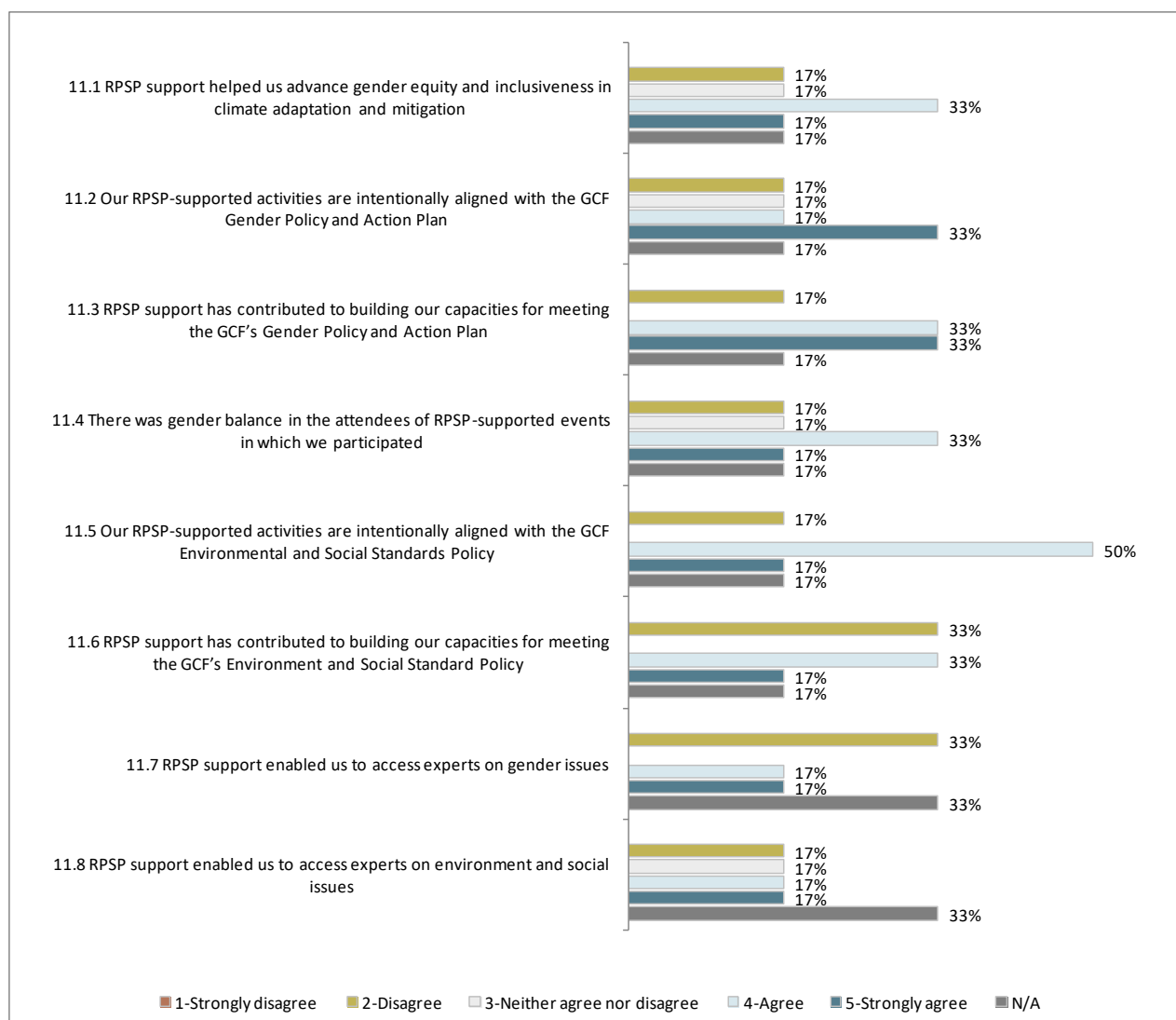


10. Please explain how RPSP design and/or internal and/or external factors enable or hinder country ownership (up to 100 words).

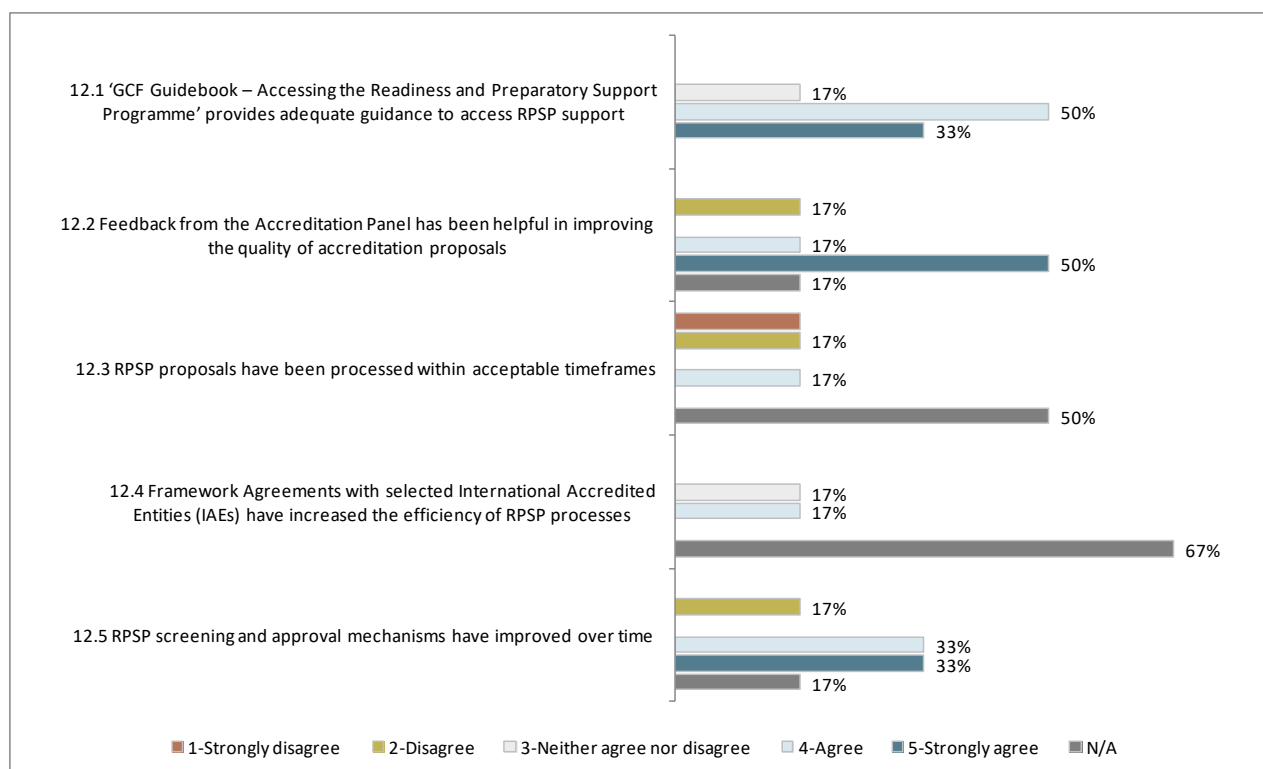
RPSP tried to develop information materials as per the GCF and national priority of the government that was led by the NDA.

All countries are different and GCF need to be flexible to support them among their own features.

11. Please rate the following statements on a scale of 1-5, with 1 indicating strong disagreement and 5 indicating strong agreement.



12. Please rate the following statements on a scale of 1-5, with 1 indicating strong disagreement and 5 indicating strong agreement.



13. Please describe up to three bottlenecks you have encountered in RPSP processes, while suggesting how each may be overcome (up to 75 words each).

BOTTLENECK 1	BOTTLENECK 2	BOTTLENECK 3
There are many reviewers and in many cases their comments are contradictory or mistaken.	GCF takes a lot of time to answer in all the steps. Reviewing and comment proposals, review the GA, approve the fulfillment of conditions and also to disburse the installments.	The template could be easier to fill.
Staff knowledge of country circumstances	Nit-picking on activities.	

14. Please identify two positive unexpected results of the RPSP for your DAE (up to 100 words).

Seeing what our institution was lacking in, EG gender policies and ESS policies.
After finding that our policies were not in place or were under developed pushed us to ensure that these policies were robust.
- It helped in strengthening the policy review of our organization.
- Also supported in analyzing institutional governance and financial integrity of the organization.
We don't have results yet because we are patiently waiting for the disbursement.
None at this time.

*15. Please identify two negative unexpected results of the RPSP for your DAE (up to 100 words).*

- First phase of RPSP terminated before the accreditation of potential DAEs.
- Changes in responsible person from the NDA for RPSP has impacted the proper communication among potential DAEs

We don't have results yet because we are patiently waiting for the disbursement

Consultant prices seems to sum with the Name GCF

*16. Please comment on any aspect of the RPSP that should be modified (up to 100 words).*

Try to give more focus on developing national capacity on climate finance and institutional capacity of potential DAEs for the development of proposals for SAP and FP in the coming days.

The readiness proposal template could be easier.

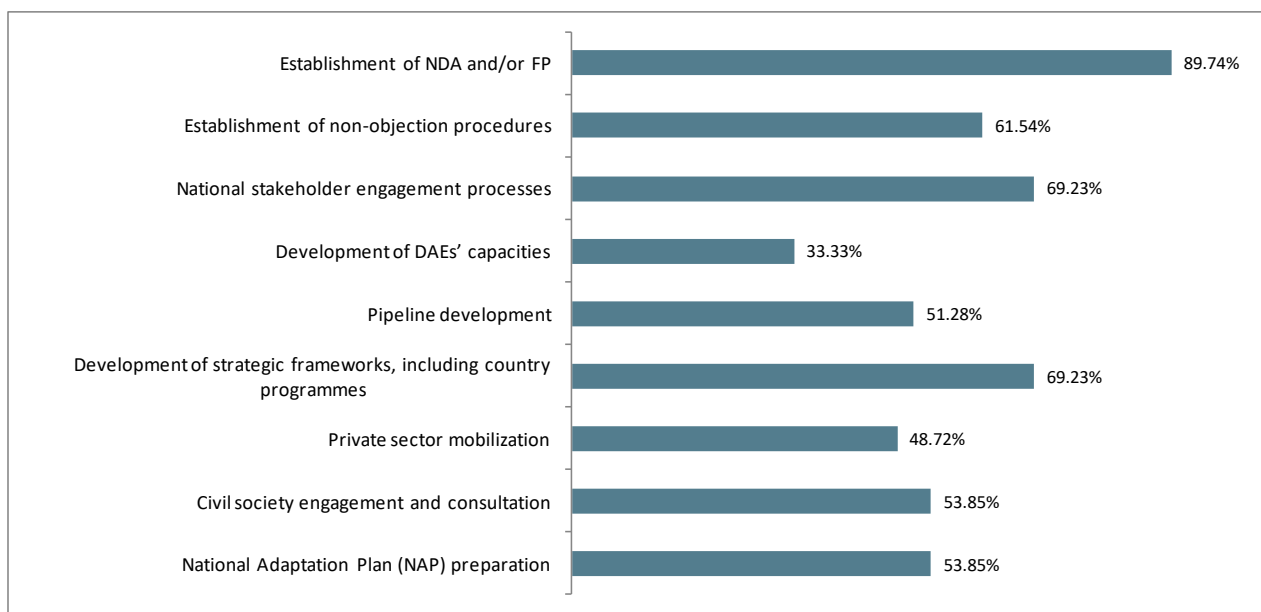
The process for reviewing the readiness proposal must be clear.

The reviewers must agree on the criteria and stop proposing creative ideas that are not possible in the context of the country.

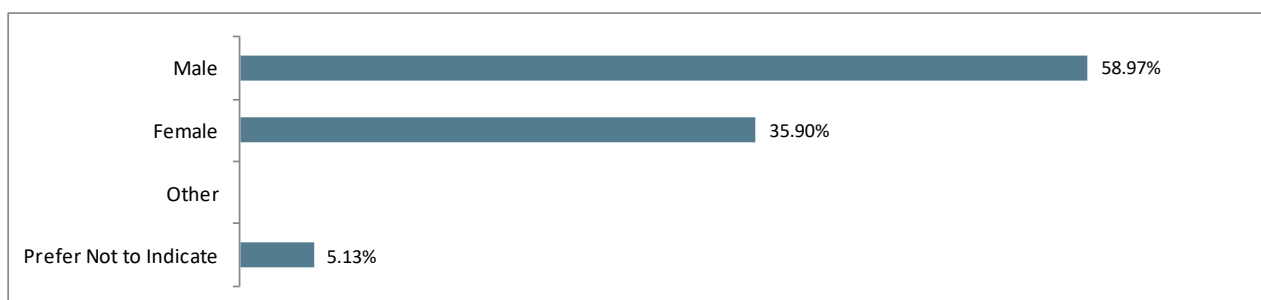
no comments on this time

## NDA results – Independent Evaluation of the Readiness and Preparatory Support Programme of the Green Climate Fund

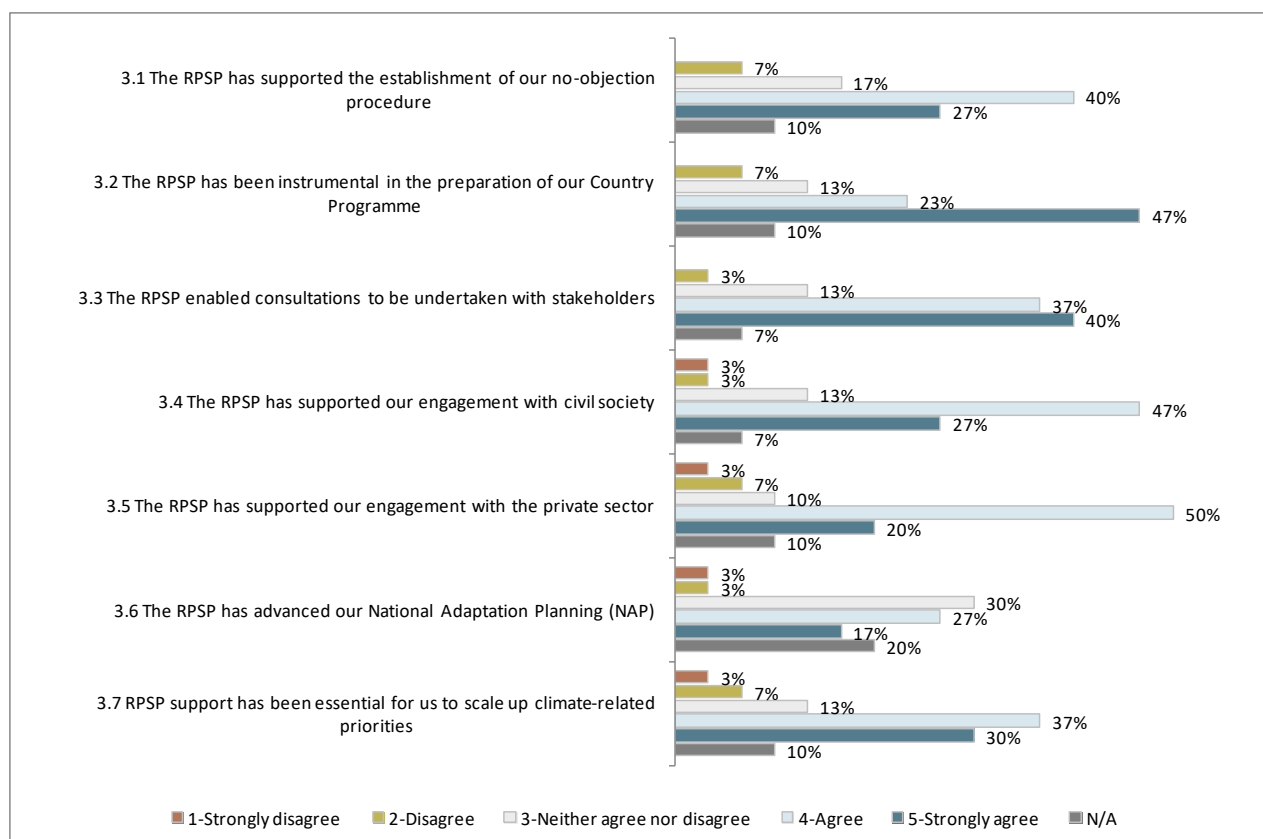
*1. Please select all RPSP activities with which you have been directly involved?*



*2. What is your gender/sex?*



3. Please rate the following statements on a scale of 1-5, with 1 indicating strong disagreement and 5 indicating strong agreement.



4. Please provide the best example of the RPSP's relevance to your work (up to 50 words).

Institutional support and strengthening for the NDA, project concept and full proposal development.

Le PPAP nous a surtout permis de mettre en place une plateforme des bailleurs de fonds et des partenaires techniques et financiers.

Il a permis l'implication du secteur privé au Fonds Vert pour le Climat qui jusque là ignorait sa place dans la finance climatique

Readiness programme help and support Iraq to implement our national requirements that support Iraq in building resilience towards climate change and support coordinating with other related ministries and stockholders beside civil and private sectors. Also the programme help Iraq implementing the GCF requirements.

El RPSP si bien se encuentra en una etapa inicial de ejecución, contribuirá en gran medida a la consolidación del equipo y el trabajo de la AND, además de fortalecer los vínculos con los actores involucrados (Sector privado, público, sociedad civil etc.), crear herramientas indispensables para diseño, seguimiento y monitoreo de proyectos y capacitar a la AND y los demás sectores.

Le PPAP a favorisé la consultation avec les parties prenantes

increase human resources and enhance capacity for NDA and stakeholders, improve dialogues with stakeholders,

The RPSP relevance has been critical to the preparation of our Country Programme and development of a national climate policy through a consultative process

RPSP helps the DRC to support the NAP since the country struggled for a while to have such funding. In fact, the vulnerability in the past has been very weak with isolated actions. Now, the Adaptation Planning targets 5 out of 26 provinces. It will help to collect data and use them as inputs during the development of our NAP.

The RPSP has assisted the NDA in increasing awareness within the country among state and non-state actors on the mandate of the GCF and opportunities available to support the country's climate change ambitions. This has assisted greatly in setting of country priorities and greater collaboration and coordination across key sectors, in particular as it relates to the elaboration of projects/programme for implementation of our Nationally Determined Contributions, two sectors for which this has greatly assisted is the Agricultural Sector for which Readiness Support was recently approved and preparation and submission of a Concept Note to the GCF to address Sustainable Forest Management, Livelihood opportunities and Mangrove Protection, Restoration and Conservation.

- la Mise en place des organes de gouvernance du fonds notamment l'Autorité Nationale Désignée et le Comité National Fonds Vert pour le Climat renforçant l'engagement des parties prenantes
- le renforcement des capacités d'environ 200 cadres des acteurs des secteurs public, privé ; de la société civile et de la recherche sur les thématiques variées de l'accès au fonds vert climat avec une excellente évaluation finale,
- L'élaboration et la validation du Programme- pays Fonds Vert Climat- Togo traçant ainsi la voie à suivre pour une mobilisation accrue des ressources du fonds.

LE PPAP a été crucial dans le renforcement des capacités de l'AND et l'amélioration de la compréhension du GCF et ses procédures d'accès de l'AND et des parties prenantes.

Los trabajos realizados con el apoyo del PAP han sido relevantes para dar a conocer entre la sociedad civil, el gobiernos y algunos representantes del sector privado de las operaciones del GCF, las prioridades de inversión y las oportunidades del país para poder acceder a los fondos.

Elaboration du cadre institutionnel du Fonds Vert pour le climat accompagnée du développement d'un programme-pays et l'identification d'entités candidates à l'accréditation du Fonds vert pour le climat.

Jusqu'à présent le Burundi n'a pas encore travaillé avec l'Unité d'évaluation indépendante (UEI) du Fonds vert pour le climat (FVC) pour une évaluation indépendante du Programme de préparation et d'appui préparatoire (PPAP) du Fonds vert pour le climat

With help of the RPSP's activities we are working on establishing a web platform for sharing information and knowledge about the GCF opportunities for the country. Also, we are starting to create a more inclusive process of climate change finance prioritisation involving the local self-government, the business sector and the CSO.

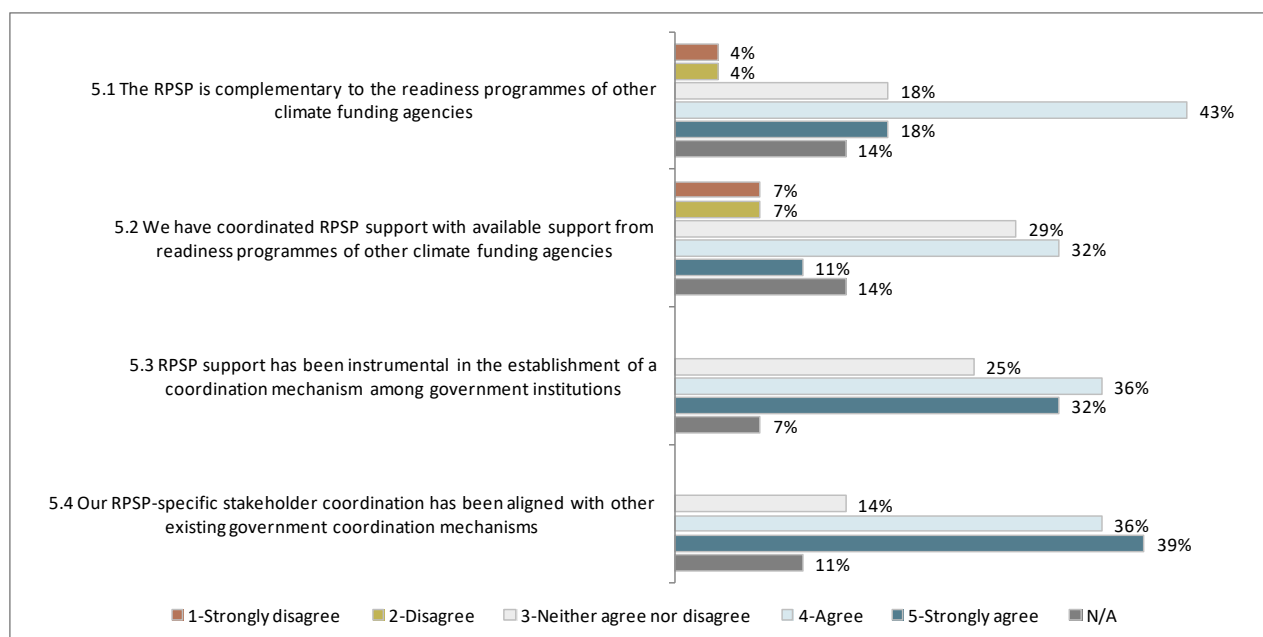
Our readiness proposal has just been submitted, my responses are based on the process we have used to develop our readiness proposal and overall engagement with the GCF as NDA.

It help us to build the capacities related to climate change inside the Ministry of Finance. Before that, was the Ministry of Environment who was leading all the topics related with climate change. Nowaday we are aware of the crucial role of the Ministry of Finance in climate finance and how to scale up the private investment in reducing CO2. So for us, building the capacities, develop a Project portfolio, engage with the stakeholders, among others

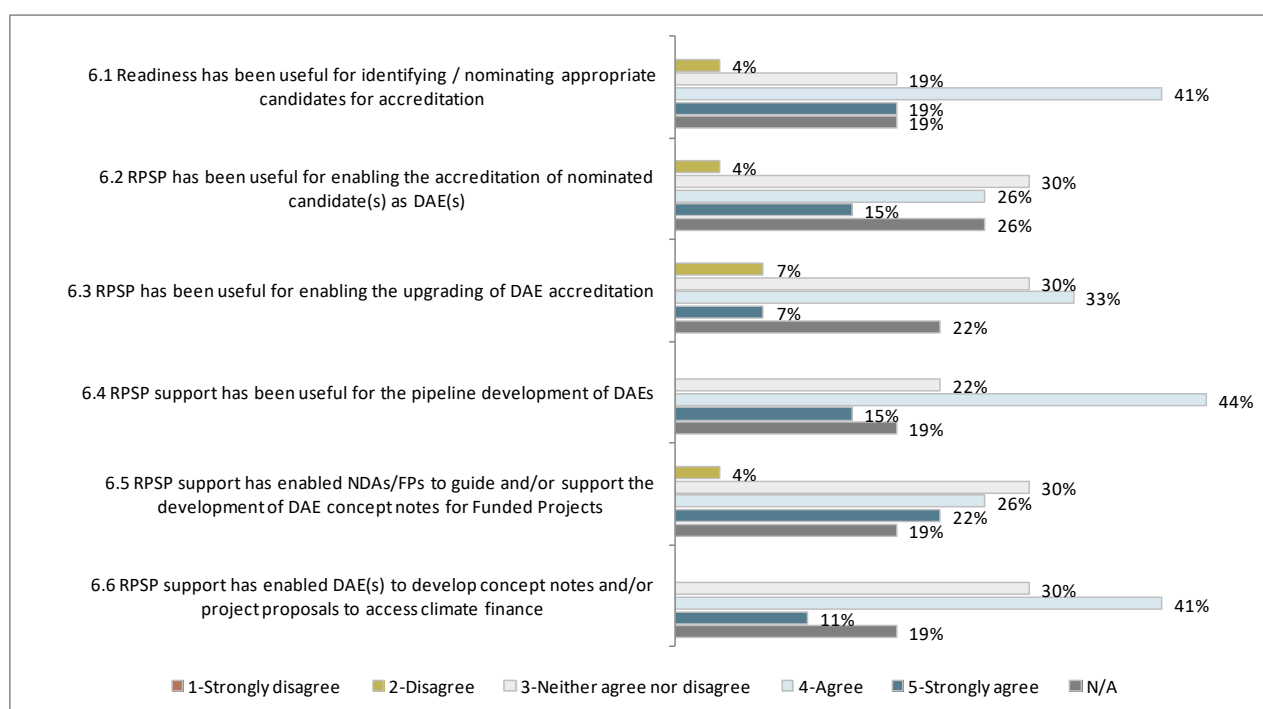
The development of our Country Programme and the review of the no objection procedure, which was developed with local resources, the PPF procedure and the development of a MRV climate finance System



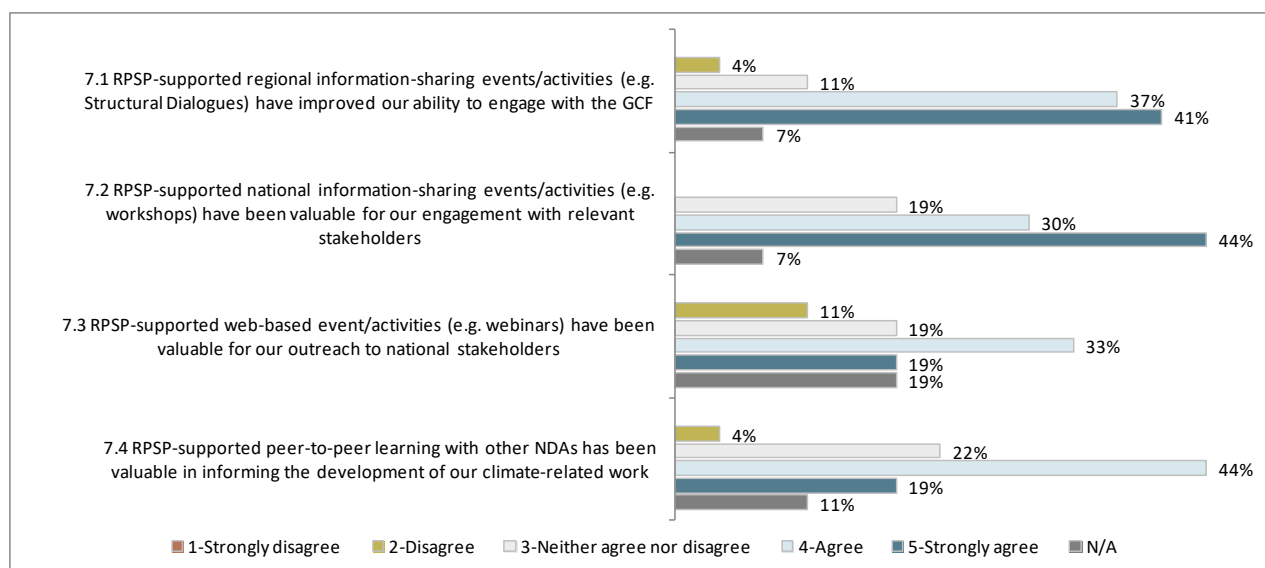
5. Please rate the following statements on a scale of 1-5, with 1 indicating strong disagreement and 5 indicating strong agreement.



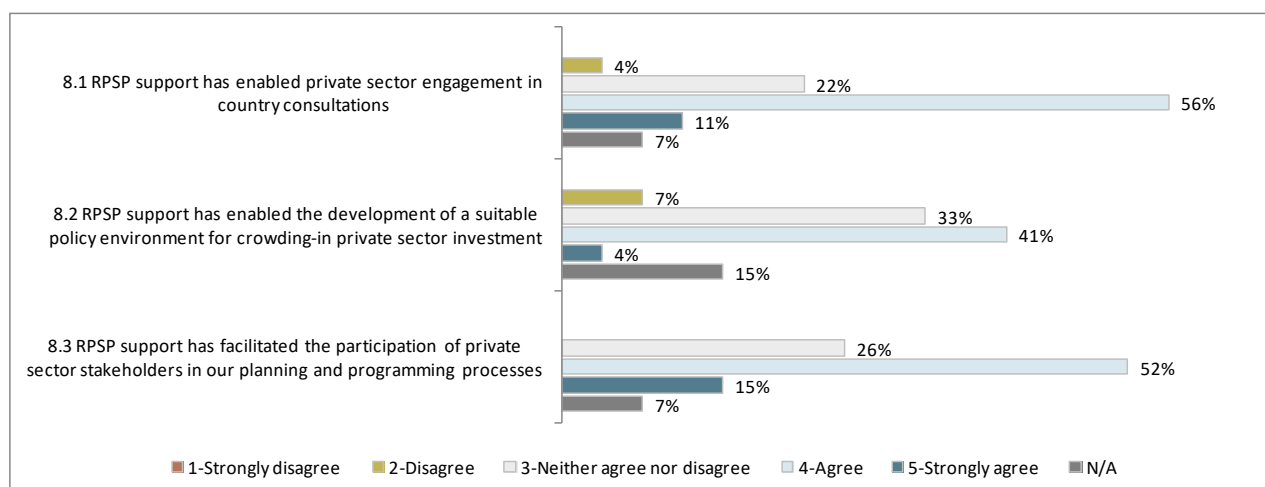
6. Please rate the following statements on a scale of 1-5, with 1 indicating strong disagreement and 5 indicating strong agreement.



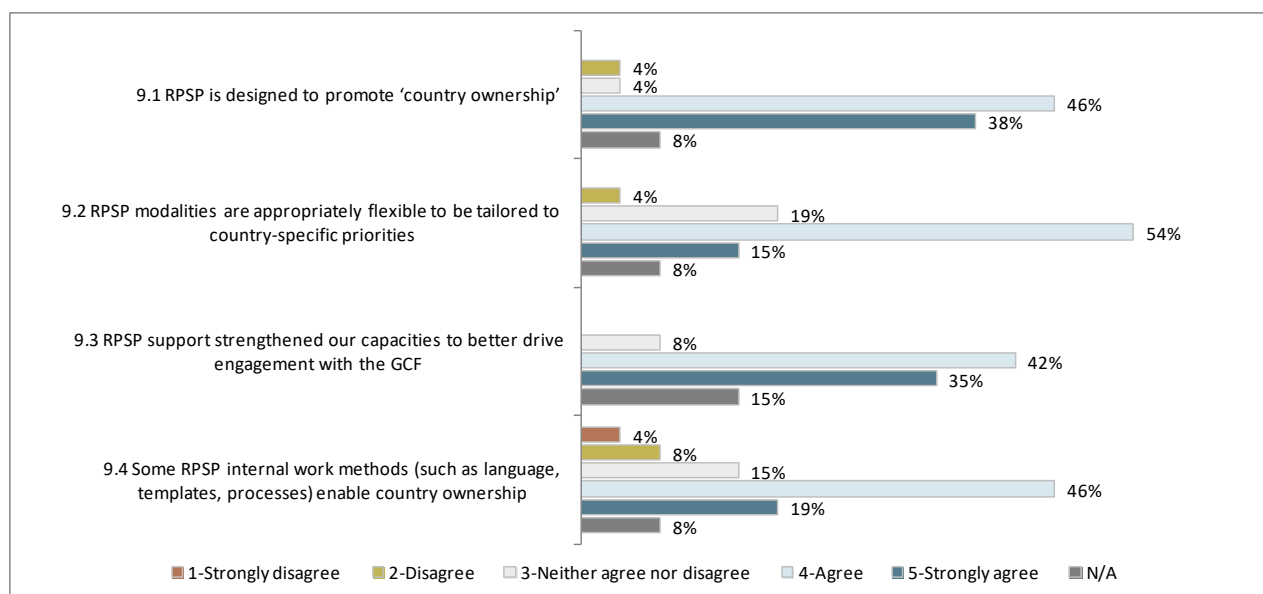
7. Please rate the following statements on a scale of 1-5, with 1 indicating strong disagreement and 5 indicating strong agreement.



8. Please rate the following statements on a scale of 1-5, with 1 indicating strong disagreement and 5 indicating strong agreement.



9. Please rate the following statements on a scale of 1-5, with 1 indicating strong disagreement and 5 indicating strong agreement.



*10. Please explain how RPSP design and/or internal and/or external factors enable or hinder country ownership (up to 100 words).*

Supported the stakeholder engagement and broader consultations at country level.

La conception du PPAP répond bien aux attentes du pays . La souplesse de ses procédures permet de l'adapter aux priorités du pays.

Cependant, la langue reste une barrière pour une meilleure appropriation par le pays.

Readiness programme support the engagement of all related ministries with educational institutions and stockholders specially NGOs and private sector. Also help in developing the national decision.

Considerando que estamos en una etapa inicial de ejecución de los proyectos aprobados la evaluación de los factores internos y externos que podrían obstaculizar la apropiación es extemporánea.

RPSP design enable country ownership however, as time goes by in waiting for approval RPSP has not been flexible enough to take account of a country's changing circumstances

The RPSP did not help country ownership the way it was designed. The lack of flexibility in term of eligibility of expenses constraint countries not to own this process and does not help to transfer knowledge of the GCF mechanism. Also, some GCF divisions do not let the country to play completely their role in some issues. For example, the DRC profile has been changed without referring to the Country' Focal Point. Even after the Focal Point have talked they kept the country with people that the country did not appoint. Such external factor trying to influence the appointment of Focal Appoint is not professional and violate the principle of the national appropriation. Finally, the lack of the budgets for many NDA weaken the nation to be motivated and pressuring most the times to work for no salary.

There are constant changes of templates, the process seems lengthy for accessing support, response time from GCF Team is sometimes delayed.

- amélioration de la coordination interinstitutionnelle de l'AND
- appropriation et engagement des parties prenantes, gage de réussite de mise en œuvre du processus
- création d'une synergie d'acteurs (bailleurs, agences, administration, société civile...), pour éviter les doublons dans les interventions.
- l'intérêt d'amener plusieurs secteurs à travailler sur la même problématique des changements climatiques.
- l'AND devra poursuivre son travail d'information, de sensibilisation et d'éducation des parties prenantes éventuels pour la mise en œuvre réussie du Programme-pays.
- Le renforcement des capacités de l'AND, est indispensable aussi longtemps que possible pour assurer pleinement ses nouvelles charges

le PPAP est une conception de l'AND. Les activités répondent au besoin du pays. ceux-ci est du principalement d'avoir un deliver partner national. Cependant, le fait d'avoir recours aux consultant pour les activités ne favorisent pas l'appropriation des résultats et ne renforcent pas la capacité de l'AND.

El diseño del PAP a nivel general permite una buena apropiación del país. Algunos factores como los reportes periódicos requieren de personal calificado para hacerlos lo que puede resultar en una limitación para algunos países. A nivel general los métodos de trabajo del PAP están acordes con las capacidades de los países, pero los procesos requieren de mucho tiempo, y el plazo de implementación del PAP regularmente es corto, lo que impone mucha presión a los implementadores.

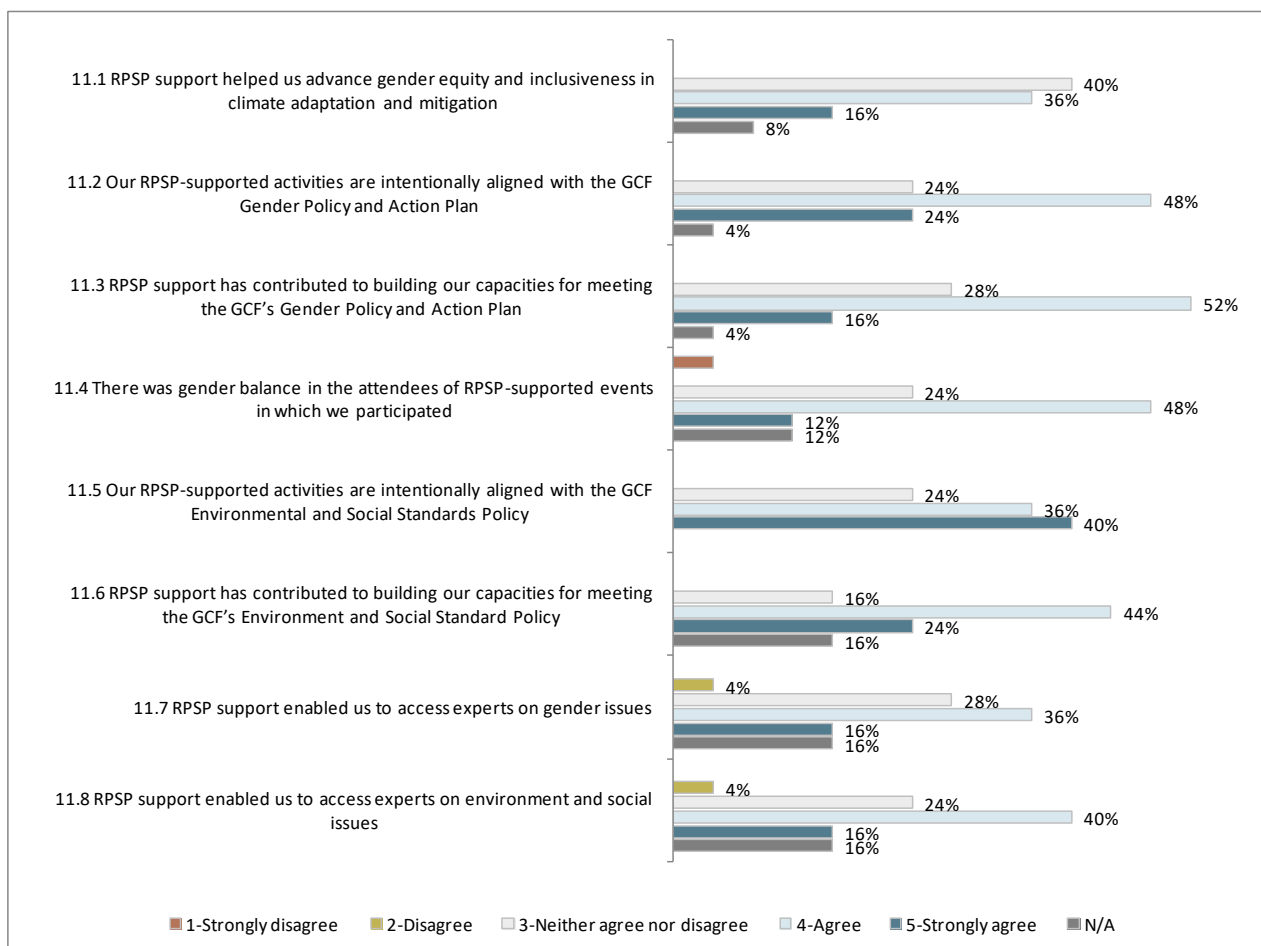
Comme mentionné en haut l'Unité d'évaluation indépendante (UEI) du Fonds vert pour le climat (FVC) n'a pas encore travaillé avec notre pays

veuillez nous mettre les supports en français

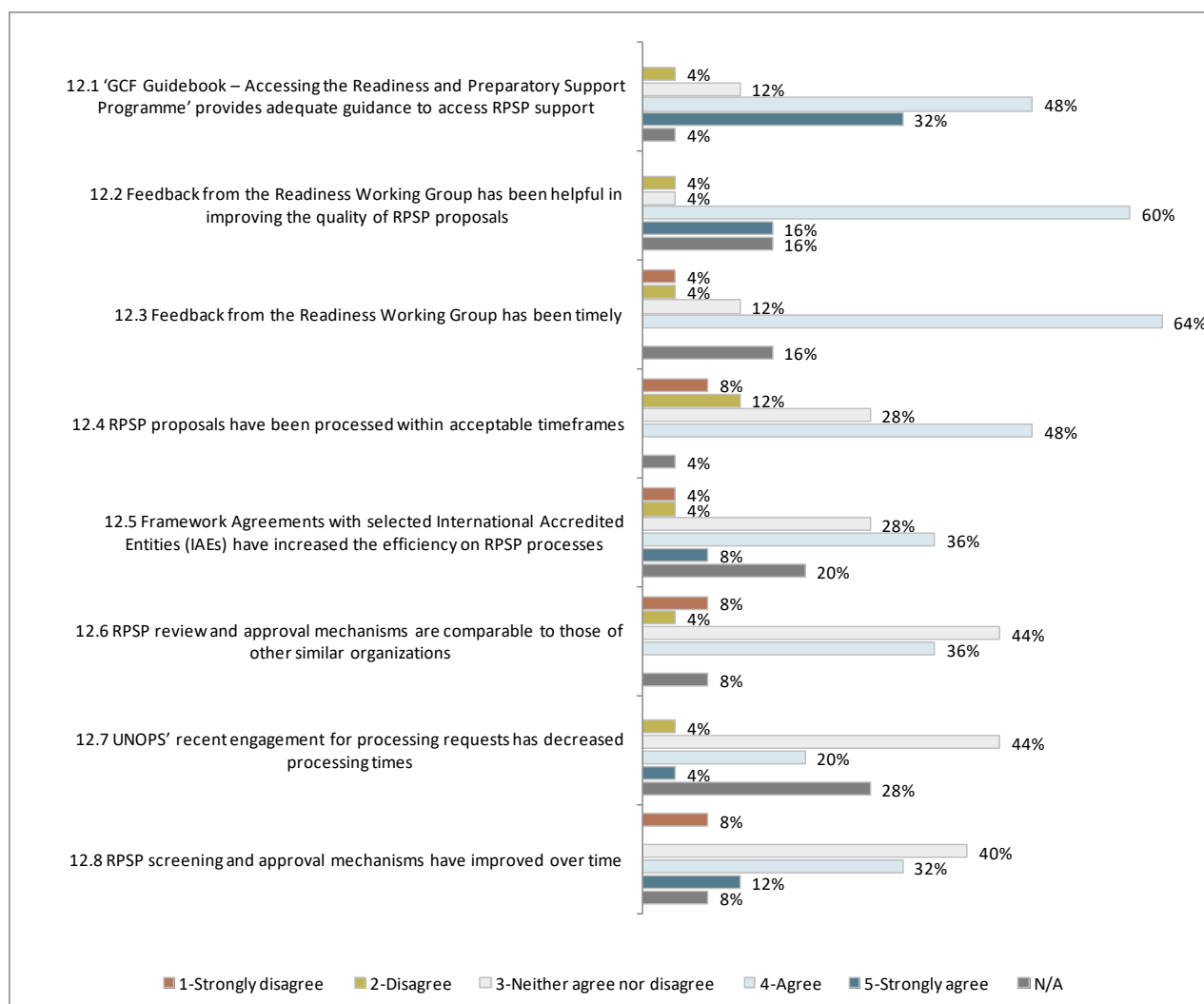
We've seen a significant involvement of relevant institutions and stakeholders since the GCF was create. The funds from the RPSP has helped to develop an institution around the climate change and identify different levels and áreas of work (mitigation, adaptation, capacities, etc.) who are aligned with our NDC.

This programme help country authorities to involve with stakeholders, make them define roadmaps in order to put the climate change as global challenges and work together for the mitigation and adaptation in a context of sustainable development.

*11. Please rate the following statements on a scale of 1-5, with 1 indicating strong disagreement and 5 indicating strong agreement.*



12. Please rate the following statements on a scale of 1-5, with 1 indicating strong disagreement and 5 indicating strong agreement.



13. Please describe up to 3 bottlenecks you have encountered in RPSP processes, while suggesting how each may be overcome (up to 75 words each).

BOTTLENECK 1	BOTTLENECK 2	BOTTLENECK 3
beauracy	Slow response to Qs	lack of clarity on disbursement of resources
whereas Afghanistan is encountered with lack capacity and international financial system, so it quite difficult to fulfil FMCA requirements. so it is strongly suggested to simplify the FMCA requirements.	GCF RPSP team timely feedback: the team of RPSP is unable to deliver on time feedback on RPSP proposals	
Le manque de souplesse dans les procédures d'accréditation des entités nationales, régionales et sous-régionales. L'appropriation par les pays étant l'objectif primordial, il faudra assouplir les procédures d'accréditation de ces entités et surtout favoriser l'accréditation des entités régionales et sous régionales qui sont plus proches des pays et connaissent mieux les problèmes de ces pays	Le manque d'anticipation du FVC face à certaines entités accréditées internationales qui au départ étaient les seules accréditées dans les sous régions et qui souvent exigent des gouvernements des contre-parties au PPAP. Le FVC devra dorénavant veiller à ce que ces entités ne profitent pas des pays qu'elles courtisent.	

the process between submission and review take long time.		
Contar con recurso humano con expertise en temas vinculados al FVC	Los tiempos de los procesos en las instituciones públicas sumados a los tiempos de ejecución del PAP no siempre están alineados y retrasan el desarrollo del proyecto	Poca información en español para ser compartida con los demás actores
Flexibility, requires GCF to acknowledge circumstances change	Timeliness, even though GCF is a global mechanism, long delays in approval processes hinder a country's stability on climate change issues	
Some Readiness requests seem not moving forward because Staffs instability within the GCF. It is important for GCF to focus most on the readiness sleeping in their systems by solving and supporting countries.	Recruiting more young and staffs without experience is another bottleneck. Recruit experts with young professional ones.	NDA are not motivated by neither the country nor GCF. They are in the center of the process. It is important to allow honoraries and allocate some logistics (budgets)
la faiblesse des EA en matière de formulation de projets et leurs hésitation à s'engager réellement avec le pays pour formuler les projets	l'exigence tacite du FVC de fournir USD 1 pour USD 1 de GCF octroyé	la complexité et la lenteur pour avoir les Fonds PPF decouragent less EA
établir le baseline. Le canevas proposé ne correspond pas tout le temps a la situation actuel du pays.	certaines activités du PPAP peuvent être effectué par les agents du NDA. le processus de passation des marchés n'est pas clair sur ce point.	le temps d'exam est souvent long.
Respuesta a las solicitudes por parte del GCF. Sería importante contar con mas personal de apoyo a la asesoría regional.	Revisión informes periódicos. Sería importante presentar un borrador de los informes al Grupo de Trabajo, antes de enviar el informe sellado y firmado por la NDA.	Contratar expertos. Sería importante contar con un roster de expertos en temas específicos del Fondo y del PAP. Ha sido difícil la contratación, no tenemos expertos de algunos temas en el país (sector privado, acreditación, notas conceptuales)
manque de connaissance du PPAP	manque de connaissance du PPAP	manque de connaissance du PPAP
The high level political awareness about the GCF procesess and prosedures. Maybe organizing more events, more frequently with high level officials (Prime Ministers or Ministers) will enreach the knowledge and information about GCF opportunities.	Involving the NDA representatives in the decision making processes and election of the representatives in the Board.	
traduire les documents en francais	version francaise des documents	
Although response from Readiness Working Group has been helpful, it seems that different people are commenting same issues on different ways, which sometimes creates confusion at country level		
Delays, both from our country and the fund		
El FVC no tiene plazos de aprobación ni fase de evaluación de readiness que brinden predecibilidad		
Acuerdos legales		

*14. Please identify two positive unexpected results of the RPSP (up to 100 words).*

Support to the country based stakeholder consultation process, capacity building and institutional support to the NDA office
N/A
1. Implication du secteur privé au FVC
2. Implication de toutes les parties prenantes à la problématique du changement climatique
Not in a position to speak on this as the programme has yet to be implemented.
N/A
RPSP provides the catalyst and tools for a country to “get its house in order”, irrespective of later financing for projects, and forms the leveraging needed to ensure climate change is mainstreamed within governments own procedures and processes
RPSP provides the basis for accessing financing streams and PPF as an integral part of addressing climate change
<ul style="list-style-type: none"> <li>- Some companies operating in sectors with high emissions are becoming interested in DRC</li> <li>- The awareness on GCF is increasing among politicians in DRC.</li> </ul>
1. Re-establishing of National Coordinating and Advisory Mechanism for Climate Change
2. Advancement of Sectoral programmatic approach to address the Country’s climate change challenges
<ul style="list-style-type: none"> <li>- la plus haute appropriation par les plus hautes autorités de la république notamment la présidence à tel point où à chaque manifestation , l'AND et le point focal sont sollicités.</li> <li>- l'arrimage du programme pays fonds vert climat au programme national du développement a été un aspect qui a permis l'appropriation au plus haut niveau de ce processus</li> <li>- la sollicitation du point focal par les communautés à la base les plus reculés à travers le site WEB et très souvent par le telephone pour son appui</li> </ul>
A travers le recrutement d'un expert GCF, plusieurs atelier d'information ont été organisé par d'autre partenaires souhaitant connaitre d'avantage les processus d'accès aux ressources du fonds et comment ils peuvent utiliser le fonds pour mobiliser plus financement pour les populations vulnérables.
<ul style="list-style-type: none"> <li>- Interés marcado de la sociedad civil en el Fondo Verde del Clima luego del proceso de consulta y talleres de capacitación.</li> <li>- Mayor compromiso de la NDA con el tema de cambio climático, impulsando actividades y apoyando procesos.</li> </ul>
Pas de résultats positifs inattendus
Having bigger overview on the global UN activities related to the Climate Change and better understanding of the processes related to the adaptation and mitigation.
programme pays et renforcement de l'AND



RPSP process really gives the country sense of ownership and chance to take a holistic approach towards CC adaptation and mitigation rather than always focusing on single problems, thus missing a bigger picture.

It's a bit too early for us to comment on this yet. However, I would like to acknowledge the support and assistance by the team supporting the Pacific region for speedily addressing our queries.

It helps to give an importance to climate change issues in the Ministry of Finance. Now, different areas inside the Ministry are working in topics related to climate finance specifically. And now, we are developing our first national financial strategy for climate change. It is important because from here, with the view of different stakeholders, we have the capacities to provide different lines to the private and public sector, like regulations or law modification.

*15. Please identify two negative unexpected results of the RPSP (up to 100 words).*

Slow response and bureaucracy

N/A

1. Inaction et démission de certaines entités accréditées vis à vis des engagements pris avec le FVC

Not in a position to speak on this as the programme has yet to be implemented.

N/A

There is a high investment cost borne by SIDS to access RPSP initially, because support for the zero start is not available at country level, unless one accesses a regional or international AE, which then "locks in" a country's proposal development

Current RPSP is not flexible enough to address changing circumstances of countries once an approval is provided to the country. This is reflected by the often long lead times found in the RPSP

- The less interest from the Private sector

- The short time of National website on GCF activities.

1. Non-consultation with countries by some Accredited Entities

2. Support by experts still largely not done by nationals, support still not addressing some fundamental capacities issues within countries

- l'implication à outrance dans le processus notamment la confusion de leur part entre les projets climatiques et les projets de développement du pays .

En effet , les plus hautes autorités du pays se sont largement appropriées ce processus PPAP jusqu'au point à chaque initiative du pays, elles ne voient que le fonds vert climat entraînant parfois l'ingérence même dans l'arrangement institutionnel dans le montage de certains projets et autres déviance

- A cause de la grande communication développée autour ce processus et le large echo , l' AND et le point focal sont en permanence sollicités chaque jour par tous les acteurs au point où la direction tend à réduire ses activités aux seules activités du PPAP

Le PPAP a suscité beaucoup d'engouement au Mali. Le Mali dispose d'un portefeuille de projets bien fourni cependant les parties prenantes sont impatientes à voir les financements venir.

la mise en place de différentes procédures (prolongation ) a négativement retardé l'exécution du PPAP et la finalisation.

- Las entidades nacionales muestran un interés limitado en el proceso de acreditación con el Fondo Verde del Clima.
- El sector privado se ha involucrado tímidamente en los procesos de consulta. Es necesario presentar oportunidades concretas para el sector privado.

Pas de résultats négatifs inattendus

Huge level of dynamic and procedure/ drafting templates for proposals are changing very frequently.

Lenteur et la période

Results of RPSP are soft measures and it will be great if results of RPSP could be linked with concrete projects.

NA

We don't have the funds from the Ministry to establish a proper division inside the ministry (because for example we don't have an institutionality for climate change) so we are with more ideas than we can actually manage.

*16. Please comment on any aspect of the RPSP that should be modified (up to 100 words).*

None

the template of readiness should be simplified so that countries with low capacity can easily access the RPSP.

an on time response is required from RPSP team to deliver high quality proposal.

1. Raccourcir les délais d'affectation des fonds destinées au PPAP

2. Une plus grande affectation des pouvoirs aux Conseillers régionaux afin que ceux-ci sillonnent les pays bénéficiaires de PPAP pour un meilleur suivi des activités.

3. Introduire dans le PPAP un volet formation des cadres dans le montage des projets bancables car c'est une des grandes sinon la plus grande faiblesse des pays.

N/A

The RPSP needs to move toward a longer term programmatic approach for SIDS/LDCs, where a 5 rolling programme provides stability and commitment by both sides to addressing climate change.

Upgrading accreditation in SIDS is a priority when the GCF is developing a policy on minimising concessionality, and a policy on co-financing guidelines. An upgrade enables SIDS to move often from micro category to small and to undertake on granting and on lending. The change is in the fast track approval to do this, and the track record already being built through direct accreditation to both the Adaptation Fund and GCF, for different financial instruments.

- facilité la gestion des fonds PPAP directement par las and.

- l'allègement des procédures en matière d'octroi des fonds PPF surtout la durée de traitement du dossier

- disposer d'une motivation voir un fonds de fonctionnement pour le point focal et l'AND au regard du travail qu'il abbat notamment l'analyse et

PPAP a été en général très positif. Il a permis l'amélioration des parties prenantes (AND, les acteurs du CC), l'élaboration du programme Pays, renforcer la collaboration et les consultantes des parties prenantes. Le PPAP a permis le renforcement des capacités des agents à élaborer des notes conceptuelles.

- El período de implementación del PAP debe ser extendido a unos 18 meses luego de constatar que los procesos de firma, desembolsos y contratación de expertos toman más tiempo de los estimado, debido a los requerimientos especiales y que el tema es novedoso.

Pas de commentaires concernant tout aspect du PPAP qui devrait être revu

Maybe having a branch offices on regional level will help the countries willing to use the GCF opportunities to approach it much easier and for sure will increase the GCF engagement with local and regional stakeholders.

faciliter l'accès direct

NA

## APPENDIX XVI: LIST OF DOCUMENTS CONSULTED

### Readiness and preparatory support proposals

- Green Climate Fund (2015). Readiness and Preparatory Support Proposal: Antigua and Barbuda.
- Green Climate Fund (2015). Readiness and Preparatory Support Proposal: Bangladesh.
- Green Climate Fund (2015). Readiness and Preparatory Support Proposal: Kenya.
- Green Climate Fund (2015). Readiness and Preparatory Support Proposal: Pakistan.
- Green Climate Fund (2015). Readiness and Preparatory Support Proposal: Senegal.
- Green Climate Fund (2015). Readiness and Preparatory Support Proposal: Vanuatu.
- Green Climate Fund (2016). Readiness and Preparatory Support Proposal: Antigua and Barbuda.
- Green Climate Fund (2016). Readiness and Preparatory Support Proposal: Bangladesh.
- Green Climate Fund (2016). Readiness and Preparatory Support Proposal: Bangladesh – Support for accreditation of direct access entities.
- Green Climate Fund (2016). Readiness and Preparatory Support Proposal: Haiti.
- Green Climate Fund (2016). Readiness and Preparatory Support Proposal: Namibia.
- Green Climate Fund (2016). Readiness and Preparatory Support Proposal: Paraguay.
- Green Climate Fund (2016). Readiness and Preparatory Support Proposal: Vanuatu – FP035: Climate Information Services for Resilient Development in Vanuatu.
- Green Climate Fund (2016). Readiness and Preparatory Support Proposal: Vanuatu with the Secretariat of the Pacific Regional Environment Programme (SPREP).
- Green Climate Fund (2017). Readiness and Preparatory Support Proposal: Antigua and Barbuda.
- Green Climate Fund (2017). Readiness and Preparatory Support Proposal: Antigua and Barbuda – Support for accreditation gap assessment and action plan to direct access entity.
- Green Climate Fund (2017). Readiness and Preparatory Support Proposal: Bangladesh.
- Green Climate Fund (2017). Readiness and Preparatory Support Proposal: Haiti.
- Green Climate Fund (2017). Readiness and Preparatory Support Proposal: Kenya.
- Green Climate Fund (2017). Readiness and Preparatory Support Proposal: Kenya – NEMA capacity strengthening programme towards accessing climate finance from the Green Climate Fund.
- Green Climate Fund (2017). Readiness and Preparatory Support Proposal: Mongolia.
- Green Climate Fund (2017). Readiness and Preparatory Support Proposal: Namibia.
- Green Climate Fund (2017). Readiness and Preparatory Support Proposal: Paraguay.

Green Climate Fund (2017). Readiness and Preparatory Support Proposal: Senegal – Support for accreditation gap assessment and action plan to CNCAS.

Green Climate Fund (2017). Readiness and Preparatory Support Proposal: Senegal – Upgrading CSE’s accreditation category and strengthening project development and implementation capacities.

Green Climate Fund (2017). Readiness and Preparatory Support Proposal: Vanuatu.

Green Climate Fund (2018). Readiness and Preparatory Support Proposal: Bangladesh.

### **Readiness proposals – adaptation planning**

Green Climate Fund (2017). Readiness Proposal – Antigua and Barbuda – Adaptation Planning.

Green Climate Fund (2018). Readiness Proposal – Argentina – Adaptation Planning.

Green Climate Fund (2018). Readiness Proposal – Armenia – Adaptation Planning.

Green Climate Fund (2018). Readiness Proposal – Bangladesh – Adaptation Planning.

Green Climate Fund (2018). Readiness Proposal – Bosnia and Herzegovina – Adaptation Planning.

Green Climate Fund (2018). Readiness Proposal – Colombia – Adaptation Planning.

Green Climate Fund (2018). Readiness Proposal – Democratic Republic of Congo – Adaptation Planning.

Green Climate Fund (2018). Readiness Proposal – Kingdom of Eswatini – Adaptation Planning.

Green Climate Fund (2018). Readiness Proposal – Kenya – Adaptation Planning.

Green Climate Fund (2016). Readiness Proposal – Liberia– Adaptation Planning.

Green Climate Fund (2018). Readiness Proposal – Mongolia – Adaptation Planning.

Green Climate Fund (2016). Readiness Proposal – Nepal – Adaptation Planning.

Green Climate Fund (2018). Readiness Proposal – Niger – Adaptation Planning.

Green Climate Fund (2018). Readiness Proposal – Pakistan – Adaptation Planning.

Green Climate Fund (2017). Readiness Proposal – Eastern Republic of Uruguay – Adaptation Planning.

Green Climate Fund (2018). Readiness Proposal – Zimbabwe – Adaptation Planning.

### **Readiness working group meetings and presentations**

Green Climate Fund (2014). Local Government Engineering Department: Bangladesh.

Green Climate Fund (2015). Readiness Working Group 5th Meeting Minutes: Senegal.

Green Climate Fund (2015). Readiness Working Group 6th Meeting Minutes: Antigua and Barbuda.

Green Climate Fund (2015). Readiness Working Group 11th Meeting Minutes: Senegal.

Green Climate Fund (2016). Readiness Working Group 36th Meeting Minutes: Paraguay.

Green Climate Fund (2016). Readiness Working Group 39th Meeting Minutes: Namibia.

Green Climate Fund (2017). Readiness Working Group 50th Meeting Minutes: Senegal.

Green Climate Fund (2017). Readiness Working Group 52nd Meeting Minutes: Antigua and Barbuda.

Green Climate Fund (2017). Readiness Working Group 56th Meeting Minutes: Senegal.

Green Climate Fund (2017). Readiness Working Group 59th Meeting Minutes: Antigua and Barbuda.

Green Climate Fund (2017). Readiness Working Group 61st Meeting Minutes: Namibia.

Green Climate Fund (2017). Readiness Working Group 64th Meeting Minutes: Antigua and Barbuda.

Green Climate Fund (2017). Readiness Working Group 67th Meeting Minutes: Kenya.

Green Climate Fund (2018). Readiness Working Group 78th Meeting Minutes: Paraguay.

### **Readiness grant agreements**

Green Climate Fund (2015). Readiness Grant Agreement: Antigua and Barbuda.

Green Climate Fund (2016). Readiness Grant Agreement: Kenya.

Green Climate Fund (2016). Readiness Grant Agreement: Namibia.

Green Climate Fund (2016). Readiness Grant Agreement: Pakistan.

Green Climate Fund (2016). Readiness Grant Agreement: Senegal.

Green Climate Fund (2016). Readiness Grant Agreement: Vanuatu.

Green Climate Fund (2017). Readiness Grant Agreement: Antigua and Barbuda.

Green Climate Fund (2017). Readiness Grant Agreement: Haiti.

Green Climate Fund (2017). Readiness Grant Agreement: Namibia.

Green Climate Fund (2017). Readiness Grant Agreement: Senegal.

### **Gap assessment for Readiness reports**

PricewaterhouseCoopers (2016). Gap Assessment for Readiness Support: Geothermal Development Company – Kenya.

PricewaterhouseCoopers (2017). Gap Assessment for Readiness Support: Local Government Engineering Department (LGED) – Bangladesh.

PricewaterhouseCoopers (2017). Gap Assessment for Readiness Support: Caisse Nationale de Crédit Agricole du Sénégal – Senegal.

### **Readiness action plans**

PricewaterhouseCoopers (2016). Geothermal Development Company (GDC) Readiness Action Plan: Green Climate Fund – Kenya.

PricewaterhouseCoopers (2017). Local Government Engineering Department (LGED) Readiness Action Plan: Green Climate Fund – Bangladesh.

PricewaterhouseCoopers (2018). Caisse Nationale de Crédit Agricole du Sénégal Readiness Action Plan : Green Climate Fund – Senegal.

### **Institutional presentations**

PricewaterhouseCoopers (2016). Geothermal Development Company (GDC), Kenya – Institutional Presentation.

PricewaterhouseCoopers (2017). Local Government Engineering Department (LGED), Bangladesh – Institutional Presentation.

PricewaterhouseCoopers (2017). Caisse Nationale de Crédit Agricole du Sénégal – Institutional Presentation.

### **Site visit reports**

PricewaterhouseCoopers (2017). Site visit report: Local Government Engineering Department (LGED), Bangladesh.

PricewaterhouseCoopers (2017). Site visit report: Caisse Nationale de Crédit Agricole du Sénégal.

### **Readiness completion reports**

Green Climate Fund (2017). Readiness Final Report: Antigua and Barbuda.

Green Climate Fund (2017). Readiness Activity Completion Report: Te Tarai Vaka Cook Islands; GCF Readiness 1 Programme – NDA Strengthening.

Green Climate Fund (2017). Readiness Final Report: The Republic of Vanuatu.

### **Readiness mid-term progress reports**

Green Climate Fund (2016). Readiness Update Note, Mid-Term Progress Report: Antigua and Barbuda.

Green Climate Fund (2017). Readiness Mid-Term Progress Report: Antigua and Barbuda.

Green Climate Fund (2017). Readiness Project Update and Disbursement Request (PUDR): Bolivia.

Green Climate Fund (2017). Readiness Project Update and Disbursement Request (PUDR): Democratic Republic of Congo.

Green Climate Fund (2017). Readiness Project Update and Disbursement Request (PUDR): Dominican Republic.

Green Climate Fund (2017). Readiness Project Update and Disbursement Request (PUDR): Federated States of Micronesia.

Green Climate Fund (2017). Readiness Project Update and Disbursement Request (PUDR): The Gabonese Republic.

Green Climate Fund (2017). Project Quarter Report January to March 2017: The Gambia.

Green Climate Fund (2017). Readiness Project Update and Disbursement Request (PUDR): The Kingdom of Morocco .

Green Climate Fund (2017). Readiness Project Update and Disbursement Request (PUDR): Mali.

Green Climate Fund (2017). Readiness Project Update and Disbursement Request (PUDR): The Sultanate of Oman.

Green Climate Fund (2017). Readiness Project Update and Disbursement Request (PUDR): Pakistan.

Green Climate Fund (2017). Readiness Project Update and Disbursement Request (PUDR): The Republic of Rwanda.

Green Climate Fund (2017). Readiness Project Update and Disbursement Request (PUDR): The Republic of Togo.

Green Climate Fund (2017). Disbursement Request for Readiness Support for the Secretariat of Vanuatu. 9 June 2017.

### **Asia Structured Dialogue 2018**

Green Climate Fund (2018). Survey for NDA/FPs prior to the Asia Structured Dialogue: 2018.

Green Climate Fund (2018). Note Taking Focus Group Discussion on the RPSP Evaluation. 19<sup>th</sup> April, 2018.

Green Climate Fund, Universalia (2018). Focus Group Discussion Presentation.

Green Climate Fund (2018). List of Registrants.

Green Climate Fund (2018). ToC Overview of Programme Logic.

### **Accredited Entities**

Green Climate Fund (2018). Contact List of Accredited Entities.



Green Climate Fund (2018). DAE Report – Analysis of Accredited and Non-Accredited Entities. 23 February 2018.

### **Country programme briefs (African states)**

Green Climate Fund (2017). Country Programme Brief – Burkina Faso.

Green Climate Fund (2016). Country Programme Brief – Burundi.

Green Climate Fund (2016). Country Programme Brief – Cameroon.

Green Climate Fund (2016). Country Programme Brief – Chad.

Green Climate Fund (2016). Country Programme Brief – Cote d’Ivoire.

Green Climate Fund (2016). Country Programme Brief – Comoros.

Green Climate Fund (2016). Country Programme Brief – Central African Republic.

Green Climate Fund (2016). Country Programme Brief – Guinea Bissau.

Green Climate Fund (2016). Country Programme Brief – Kenya.

Green Climate Fund (2016). Country Programme Brief – Madagascar.

Green Climate Fund (2016). Country Programme Brief – Mozambique.

Green Climate Fund (2016). Country Programme Brief – Sao Tome and Principe.

Green Climate Fund (2016). Country Programme Brief – Zambia.

Green Climate Fund (2016). Country Programme Brief – Djibouti.

Green Climate Fund (2016). Country Programme Brief – Equatorial Guinea.

Green Climate Fund (2016). Country Programme Brief – Ethiopia.

Green Climate Fund (2016). Country Programme Brief – Gabon.

Green Climate Fund (2016). Country Programme Brief – Gambia.

Green Climate Fund (2016). Country Programme Brief – Liberia.

Green Climate Fund (2016). Country Programme Brief – Libya.

Green Climate Fund (2016). Country Programme Brief – Malawi.

Green Climate Fund (2016). Country Programme Brief – Mali.

Green Climate Fund (2016). Country Programme Brief – Mauritania.

Green Climate Fund (2016). Country Programme Brief – Mauritius.

Green Climate Fund (2017). Country Programme Brief – Morocco .

Green Climate Fund (2017). Country Programme Brief – Namibia.  
Green Climate Fund (2016). Country Programme Brief – Niger.  
Green Climate Fund (2016). Country Programme Brief – Rwanda.  
Green Climate Fund (2016). Country Programme Brief – Senegal.  
Green Climate Fund (2016). Country Programme Brief – Seychelles.  
Green Climate Fund (2016). Country Programme Brief – Sierra Leone.  
Green Climate Fund (2017). Country Programme Brief – South Africa.  
Green Climate Fund (2016). Country Programme Brief – Sudan.  
Green Climate Fund (2016). Country Programme Brief – Togo.  
Green Climate Fund (2016). Country Programme Brief – Tunisia.

### **Country programme briefs B17 versions (Asian states)**

Green Climate Fund (2017). Country Programme Brief – Bangladesh.  
Green Climate Fund (2017). Country Programme Brief – China.  
Green Climate Fund (2017). Country Programme Brief – India.  
Green Climate Fund (2017). Country Programme Brief – Indonesia.  
Green Climate Fund (2017). Country Programme Brief – Iraq.  
Green Climate Fund (2017). Country Programme Brief – Jordan.  
Green Climate Fund (2017). Country Programme Brief – Laos.  
Green Climate Fund (2017). Country Programme Brief – Lebanon.  
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## APPENDIX XVII: LIST OF STAKEHOLDERS CONSULTED

### Green Climate Fund (GCF) staff

NO.	NAME	POSITION	ORGANIZATION
<b>GCF staff</b>			
1.	Anupa Rimal Lamichhine	Entity Relations Specialist	GCF
2.	Baptiste Gaydon	Operations Assistant Consultant	Division of Country Programming (DCP), GCF
3.	Clifford Polycarp	Deputy Director and Head of Programming,	Division of Country Programming (DCP), GCF
4.	Diane McFadzien	Country Dialogue Specialist	Country Programming Division, GCF
5.	Ibrahim Pam	Head of Independent Integrity Unit	GCF
6.	Jason Spensley	Senior Specialist, Project Preparation and Adaptation Planning	Country Programming Division, GCF
7.	Javier Manzanares	Deputy Executive Director	GCF
8.	Jessica Jacob	Country Dialogue Specialist	Division of Country Programming (DCP), GCF
9.	Jiwoo Choi	Head of Financial Institutions and Structured Finance	Private Sector Facility (PSF), GCF
10.	Juan Chang	Forest & Land Use Officer	Division of Mitigation and Adaptation (DMA), GCF
11.	Kenneth Barden	Compliance Specialist	Office of Risk Management and Compliance (ORMC), GCF
12.	Lalanath de Silva	Head, Independent Readiness Mechanism	GCF
13.	Leonardo Paat	Senior Environmental and Social Specialist	GCF
14.	Linus Ikpyo Hong	Portfolio Analyst	Portfolio Management Unit (PMU), GCF
15.	Mark Jerome	Office of Internal Audit	GCF
16.	Moon Herrick	REDD+ Administrative Assistant Consultant	Division of Mitigation and Adaptation (DMA), GCF
17.	Paul Horwitz	Strategic Planning Consultant to the Deputy Executive Director	GCF
18.	Sohail Malik	Head of Portfolio Management	Portfolio Management Unit (PMU), GCF
19.	Stephanie Kwan	Senior Accredited Entities Specialist	Division of Country Programming (DCP), GCF
20.	Steven Chung	Enterprise Risk Senior Specialist ORMC	Office of Risk Management and Compliance (ORMC), GCF
21.	Sylvie Chow	Credit Risk Specialist	Office of Risk Management and Compliance (ORMC), GCF
22.	Yewon Kim	Readiness Programme Assistant Consultant	Portfolio Management Unit (PMU), GCF
<b>Regional advisors</b>			
23.	Alpha Kaloga	Regional Advisor for Africa	GCF

24.	Binu Parthan	Asia Advisor – Readiness Programme	GCF
25.	Florence Richard	Regional Advisor for Africa	GCF

### Board members, alternate Board members and advisors

NO.	NAME	POSITION	ORGANIZATION	AFFILIATION TO BOARD
1.	Aishath Aileen Niyaz	Assistant Director	Ministry of Environment and Energy, Maldives	Advisor
2.	Ali'ioaiga Feturi Elisaia	Ambassador	Samoa Permanent Mission to United Nations	Board Member
3.	Ayman Shasly	International Policies Consultant	Ministry of Petroleum and Mineral Resources, Saudi Arabia	Board Member
4.	Azimuddin Bin Bahari	Deputy Secretary General (Water and Sewerage)	Ministry of Water, Land and Natural Resources	Alternate Board Member
5.	Cheikh Sylla	Senior Technical Advisor Environment	Primature (Prime Minister's Office), Senegal	Alternate Board Member
6.	Chris Tinning	Chief Economist – Development and First Assistant Secretary Multilateral Development and Finance Division	Department of Foreign Affairs and Trade, Australia	Board Member
7.	Diann Black-Layne	Director of the and Ambassador for Climate Change	Department of Environment, Antigua and Barbuda	Former Board Member
8.	Esther Gonzalez Sanz	Deputy Director of Multilateral Financial Institutions	Ministry of Economy and Competitiveness, Spain	Board Member
9.	Ignacio Lorenzo	Director de Cambio Climatico	Ministerio de Vivienda, Ordenamiento Territorial y Medio Ambiente, Uruguay	Board Member
10.	Jorge Ferrer	Minister Counselor, Multilateral Affairs and International Law Division	Ministry of Foreign Affairs of Cuba	Alternate Board Member
11.	Josceline Wheatley	Head of International Team, Climate and Environment Department	Department for International Development, United Kingdom	Board Member
12.	Karsten Sach	Deputy Director General	European and International Policy Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety	Board Member
13.	Kashmala Kakakhel	Consultant	Pakistan	Advisor
14.	Kate Hughes	Deputy Director, International Climate Policy and Finance	Department of Energy and Climate Change, United Kingdom	Alternate Board Member



NO.	NAME	POSITION	ORGANIZATION	AFFILIATION TO BOARD
15.	Lars Roth	Deputy Director	Ministry for Foreign Affairs, Global Agenda Department, Section for Global Environment, Energy and Climate Change, Sweden	Alternate Board Member
16.	Lisbeth Loddewyx	Attaché	Directorate-General, Development Cooperation of the Federal Public Service of Foreign Affairs, Foreign Trade and Development Cooperation, Belgium	Alternate Board Member
17.	María Antonella Parodi	Secretary of Embassy Directorate of Environmental Affairs	Ministry of Foreign Affairs and Worship, Argentina	Advisor
18.	Nagmeldin Goutbi Elhassan	Climate Change Coordinator	Higher Council for Environment and Natural Resources, Sudan	Board Member
19.	Nauman Bhatti	Counsellor	Pakistan Mission to the United Nations, New York	Alternate Board Member
20.	Rebecca A. Adler Miserendino	Office of Global Change	United States Department of State	Advisor
21.	Rebecca K. Lawlor	Economist, Office of Environment & Energy	United States Department of the Treasury	Advisor
22.	Stefan Denzler	Deputy Head	Multilateral Cooperation at the Swiss State Secretariat for Economic Affairs	Alternate Board Member
23.	Sue Szabo	Director General, Food Security and Environment	Global Affairs Canada	Board Member
24.	Sumaya Ahmed Zakieldeen	Assistant Professor, Institute of Environmental Studies Sudan	Khartoum University, Sudan	Advisor
25.	Trigg Talley	Director, Office of Global Change	United States Department of State	Board Member
26.	Zac Bull	International Climate Finance	Department for Business, Energy & Industrial Strategy, UK	Advisor to Board Members

### International organizations and experts

NO.	NAME	POSITION	ORGANIZATION
1.	Ali Ahmed	Research Officer	Climate Change Section, Commonwealth Secretariat
2.	Ariyaratne Hewage	Consultant, Ministry of Mahaweli Development and Environment	Sri Lanka Administrative Service

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## APPENDIX XVIII: TERMS OF REFERENCE



**Meeting of the Board**  
26 February – 1 March 2018  
Songdo, Incheon, Republic of Korea  
Provisional agenda item 29

**GCF/B.19/43**

16 March 2018

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## Decisions of the Board – nineteenth meeting of the Board, 26 February – 1 March 2018

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## Annex XVII: Terms of Reference for the Independent Evaluation of the Readiness and Preparatory Support Programme

### I. Aim

- (a) In July 2017, the GCF Board in decision B.17/07 requested the Independent Evaluation Unit of the GCF to undertake the independent evaluation of its Readiness and Preparatory Support Programme (RPSP).
- (b) This document lays out the terms of reference for the independent evaluation of the RPSP. This includes a brief background (Section II), evaluation objectives and criteria (Section III), and methods and timeline (Section IV) for the independent evaluation.

### II. Background

- (a) The Governing Instrument of the GCF states:

*40. The Fund will provide resources for readiness and preparatory activities and technical assistance, such as the preparation or strengthening of low-emission development strategies or plans, NAMAs, NAPs, NAPAs and for in-country institutional strengthening, including the strengthening of capacities for country coordination and to meet fiduciary principles and standards and environmental and social safeguards, in order to enable countries to directly access the Fund.*
- (b) The objectives of the Readiness and Preparatory Support Programme are specified as:<sup>1</sup>
  - (i) *Supporting the NDA or focal point in accordance with decision B.08/10, to engage with regional, national and sub-national government, civil society and private sector stakeholders with regard to the priorities of the Fund, taking a gender sensitive approach;*
  - (ii) *Developing strategic frameworks for national engagement with the Fund (including country programmes, in accordance with decision B.08/10 and decision B.07/03 (initial proposal approval process), building on existing strategies and plans, including low-emission development strategies, Nationally Appropriate Mitigation Actions, National Adaptation Plans, and National Adaptation Programmes of Action. Annex XVII provides initial general guidelines for the preparation of country programmes;*
  - (iii) *Enabling regional, national and sub-national institutions to meet the accreditation standards of the Fund, including for the fast-track accreditation process in coordination with the NDA or focal point; and*
  - (iv) *Supporting the development of initial pipelines of programme and project proposals, including the identification of appropriate financial instruments, that are aligned with the objectives and initial investment framework of the Fund and that will support a paradigm shift to low-emission and climate-resilient development;*
- (c) The GCF Board has emphatically reaffirmed that

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<sup>1</sup> Decision B.08/11

*...Fund-related readiness and preparatory support is a strategic priority for the Fund to enhance country ownership and access during the early stages of its operationalization, and may help countries to meet the Fund's objectives;*

- (d) A Readiness and Preparatory Support Programme is being administered by the GCF to provide resources for strengthening the institutional capacities of NDAs or focal points and direct access entities to efficiently engage with the Fund. Resources may be provided in the form of grants or technical assistance. All developing countries can access the RPSP and the Fund aims for a floor of 50 per cent of readiness support allocation to particularly vulnerable countries, including least developed countries (LDCs), small island developing states (SIDS) and African States.<sup>2</sup>
- (e) The RPSP provides (i) Up to US\$ 1 million per country per year. Of this amount, NDAs or focal points may request up to US\$ 300,000 per year to help establish or strengthen a NDA or focal point to deliver on the Fund's requirements. (ii) Up to US\$ 3 million per country for formulating adaptation plans. Within these funding caps, countries may submit multiple proposals over multiple years. Multiple proposals (including for adaptation planning) may be implemented within country by delivery partners, who may or may not be direct access or international accredited entities (see Annex III for an overview of the Readiness and Preparatory Support process). Guidance to countries requires that proposals requesting readiness support must be aligned with the Fund's Environmental and Social Safeguards and its Gender Policy. All readiness funding requests need to be initiated by developing country focal points or NDAs although funding itself may be managed by the delivery partner.
- (f) The Readiness and Preparatory Support Programme has undergone several changes since it was first approved by the GCF Board. Modalities for Readiness and Preparatory support were adopted by the GCF Board at its 5<sup>th</sup> meeting. Indeed, the RPSP is a very important programme. Understanding the effectiveness, and efficiency of the programme is a strategic need for the Board as it decides upon new allocations in 2018. This evaluation will also contribute to informing the GCF's replenishment when the current replenishment period ends. Annex II presents a listing of different and relevant Board decisions relevant to the Readiness and Preparatory Support Program.
- (g) A few of these decisions are especially significant: at the 8<sup>th</sup> meeting of the Board, an indicative list of activities eligible for direct support for National Designated Authorities (NDA) was approved. This indicative list has witnessed revisions and amendments subsequently at the 13<sup>th</sup> meeting of the Board (see Annex III for a list of indicative activities). At its 10<sup>th</sup> meeting, the GCF Board affirmed that the Readiness and Preparatory Support Programme is a mechanism to enhance country ownership.
- (h) The Conference of Parties (COP) has also noted the importance of the Readiness and Preparatory support programme and has requested the GCF secretariat to provide updates on several topics:  
*Takes note of the progress achieved to date in the implementation of the readiness and preparatory support programme of the Green Climate Fund and stresses the importance of improving the approval process and timely disbursement of readiness resources to facilitate readiness programme implementation pursuant to Green Climate Fund Board decision B.11/04" (UNFCCC decision 7/CP.21, paragraph 17, Linked with UNFCCC decision 7/CP.20, paragraph 12)*
- (i) As of the 23<sup>rd</sup> of June 2017, a total of US\$ 80 million had been approved by the Board for the program and of this, US\$ 34.3 million had been committed with 87% of this

<sup>2</sup>The Readiness Guidelines, June 2017, Version 3.



committed for grants or technical assistance and the remaining spent on events such as structured dialogues, regional workshops and other readiness events, NDA visits and in-kind support to countries and direct access entities. US\$ 6.03 million has so far been disbursed in this program with the highest amount being approved for NDA strengthening and building country programmes.

- (j) As of May 2017, the GCF had engaged with 105 countries on 165 readiness requests. Of these nearly 60% (98) were for NDA strengthening and for advice on building country programmes and most requests are submitted from Africa, followed by the Asia Pacific. Of the approved readiness requests, 55% had entered the implementation stage.
- (k) The Readiness and Preparatory Support programme is expected to have five overall activity areas.<sup>3</sup> These include (i) Strengthening country capacity; (ii) Engaging stakeholders in consultative processes; (iii) Realizing direct access; (iv) Providing access to finance; (v) Mobilizing the private sector.

### III. Evaluation objectives and criteria

- (a) The Readiness and Preparatory Support Programme has been in implementation for approximately two years. Its portfolio is young and a considerable amount of this initial effort has been spent in formulating processes and procedures for the programme while also learning from experiences on the ground.
- (b) Recognizing this, the Independent Evaluation of the Readiness and Preparatory Support programme will be a learning-oriented assessment.

The objectives of the Independent Evaluation are to:

- (i) Assess the effectiveness of the Readiness and Preparatory Support Programme and assess the extent to which RPSP processes are fulfilling the intended objectives of the RPSP as contained in decision B.08/11 paragraph (i) as well as the objectives of country ownership<sup>4</sup>;
- (ii) Review approaches in the implementation of the Readiness and Preparatory Support programme with a view to making recommendations for improved alignment with the objectives of the RPSP; and recommend gains in effectiveness, efficiency, country ownership and sustained impact.
- (c) Since the RPSP has been changing rapidly, its different phases will be assessed during this evaluation. These phases are (i) the design and planning stage; (ii) the implementation phase; and (iii) the expected results from the programme.
- (d) The Independent Evaluation of the Readiness and Support Programme will use the evaluation criteria established by the GCF Board for the IEU.<sup>5</sup> These include (relevance of) mandate; effectiveness of programme and processes; efficiency of processes; sustained impact, coherence in climate finance delivery; gender equity and inclusiveness; innovation and potential for paradigm shift; country ownership, potential for building scale and unexpected results (positive and negative).

<sup>3</sup> The Readiness Guidebook articulates these and indicates that 'These are based on GCF Board decisions B.08/10/Annexes XII, XIII, XIV; B.08/10, Annex I; B.12/30/Annex I.'

<sup>4</sup> As contained in decision B.10/10 paragraph (c) and (f) and the Guidelines for Enhanced Country Ownership and Country Drivenness decision B.17/21, annex XX

<sup>5</sup> See Decision B.06/09

- (e) The evaluation will analyse these criteria customized to the RPSP. During the inception phase, questions will be parsed and sharpened. These questions will be finalized during the inception phase of this evaluation (see Section IV).
- (f) The Independent Evaluation of the RPSP will review trends with respect to constitution of the Readiness portfolio, changes in mandate, process, portfolio type, disbursement rates, processing times and implementation structures and procedures as well as impacts on final beneficiaries, country work programmes and GCF pipeline development.

#### IV. Methods and timeline

- (a) The Head of the Independent Evaluation Unit will be supported by an external team and a staff member to deliver this evaluation. An external team will be brought on through a procurement process following secretariat rules.
- (b) The timeline of the evaluation is divided into three phases:
  - (i) **Inception period (April 2018):** This will begin as soon as the team has been put in place. The team will parse the important questions that will be answered in the evaluation. The inception report will present the results from the initial consultations and retrospective theory of change exercise, fine-tune questions of the overall evaluation and contain protocols for the online perception survey and subsequent field visits, the protocols for process tracing and the protocols for focus groups and stakeholder conversations, organized by respondent type. The inception report will revisit the findings of the initial review, including an independent analysis by Dalberg Global Development Advisors, and also identify key stakeholders to be interviewed and will lay out the plan for country visits, and in-depth case studies for process tracing, while ensuring representativeness of the sample. It will include an explicit discussion of how case study countries were selected, which will strive to be representative of the portfolio while being cognizant of time and budget. Data from the proposals received by the secretariat will also be input into a database. A scoring scheme will also be devised and an evaluation matrix that maps questions asked of the evaluation to tools and methods of verification will be put together. Last but not least, the inception period will finalize the protocol for the portfolio analysis.
  - (ii) **Main evaluation phase (May-June 2018):** The second phase will be the main phase of the evaluation. The following activities will be undertaken: Expert interviews, Secretariat interviews, NDA interviews, delivery partner and FP interviews, interviews with Board members and alternate Board members, and with civil society organization (CSO) groups, focus group discussions as required, an online perception survey, process tracing and field visits (8-10) for identified cases and an analysis of the documentation and the readiness portfolio. Methods will be triangulated to ensure that inferences are robust. Documentation and evaluations of similar other programmes will also be reviewed for the meta-analysis and benchmarking element of this evaluation.
  - (iii) **Evaluation report (July 2018):** During the last phase of the evaluation period, a draft of the evaluation will be prepared. This will also contain a technical annex to discuss methods used for the evaluation. It will also provide recommendations for strengthening the RPSP going forward based on the findings of the evaluation. A draft will be circulated to the Executive Director and

key members of the CPD team including regional advisers. The final report of the evaluation with the technical annex will be presented to the Board.

- (c) The methods and tools for this evaluation will include:
- **A retrospective theory of change analysis** will help map the extent to which planned and actual activities are contributing to the overall vision of the Programme. It will also examine key changes during implementation and possible learning by the RPSP team. This will take place during the inception phase of the evaluation timeline.
  - **Review of key documents** including a mapping of all guidance to key criteria for the evaluation. The evaluation will review decisions from the GCF Board that are related to the RPSP including those that have implications for the RPSP (but may not be directly related to RPSP), guidelines, administrative processes, management structures and the results framework for the programme including policy documents, guidance documents, proposals, progress reports, board documents and any in-house or other assessments that may have been undertaken. The team will also review any strategy documents and the findings of the initial review of the RPSP.
  - **Key informant interviews:** Key stakeholders including experts, selected stakeholders at the GCF Board, representatives of other agencies that are doing similar work, selected country stakeholders including but not restricted to NDAs, delivery partners and focal points, members of the Readiness Working Group, members of the RPSP team and others inside and outside GCF. The readiness coordination mechanism will also be assessed. Inputs from other agencies will also be sought while considering that other agencies are also likely to have their own interests in mind while providing inputs.
  - **Focus group discussions** at key events such as scheduled structured dialogues or specific events held for accredited or to be accredited entities.
  - **Online perception survey:** The online perception survey will be directed at NDAs, focal points, delivery partners, CSOs and other stakeholders. It will seek to get an overview of the perception of the Readiness and Preparatory Support programme and will be confidential. A qualitative analysis will be undertaken of the comments in the responses and special or outlier comments will be followed up on, with follow up conversations for clarifications and explanation.
  - **Site visits and specific case studies for process tracing.** Specific countries will be identified for site visits and for process tracing specific questions that the evaluation team may want to address. Countries/cases will be chosen to ensure that there is adequate representativeness especially for stage of engagement with RPSP as well as country groups (SIDS, LDCs, Africa, others) and that each case has specific questions it will address. Site visits will also involve engagements with delivery partners (international and national) and potential delivery partners to document experiences related to effectiveness, relevance, coherence and country ownership. Since there are multiple delivery partners, this will also include a comparison of processes by different delivery partners. Since there are several challenges to making this comparison and drawing inferences, such as not having sufficient sample sizes to make robust conclusions, this comparison will be restricted to the main delivery partners. The method for selecting country case studies and delivery partners will be laid out in the inception report.
  - **Benchmarking and meta-analysis of international experiences.** Several organizations have similar programmes as the Readiness and Preparatory Support Programme. These include GEF, UNDP, UNEP, GIZ, the Multilateral Fund (for the implementation of the Montreal Protocol) and others. This part of the evaluation will

collect and analyse evaluations of these programmes and engage with staff and leads of these programmes to understand key challenges and strengths.

- (d) The evaluation report will present the background, methods, timeline and present key inferences. Inferences will be made using mixed methods and will triangulate using the approaches laid above. The evaluation report will also list all documents consulted, sources of information requested and those made available, list all the people consulted and the protocols used.
- (e) The overall timeline for the evaluation is shown in Table 2.

**Table 2: Timeline for the Independent Evaluation of the Readiness and Preparatory Support Programme**

Main Deliverables and Processes	Mar. '18	Apr. '18	May '18	Jun. '18	Jul. '18
Selection/contracting evaluation team	X				
Scoping field visit(s)		X			
Retrospective theory of change analysis		X			
Inception Report		X			
Presentation of progress report		X			
Stakeholder consultations/ Focus Groups/ Interviews		X	X		
Documentation review & portfolio analysis		X	X		
Perception online survey		X	X		
Meta-analysis		X	X		
Case studies/process tracing & site visits		X	X		
Quality at entry review		X			
Data analysis		X	X		
Presentation of key facts from Evaluation				X	
First draft report			X	X	
<b>Final independent evaluation report</b>					X

## Annex XVIII: List of Indicative Activities eligible for Readiness and Preparatory Support

*Source: Readiness and Preparatory Support Guidebook, Version 3.0, 15 June 2017*

### Indicative list of activities that can be supported by the Readiness and Preparatory Support Programme

Please note that this are indicative examples of activities for consideration. Countries are encouraged to formulate their activities based on their specific needs and as consistent with the objective of the GCF Readiness Programme. This list will be expanded and refined over time, based on learning and experience captured.

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

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

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

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

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

- Raising awareness of the GCF accreditation process, fiduciary standards and environmental and social safeguards (ESS);
- Understanding the roles of existing institutions and identifying potential accredited entities;
- Conducting an institutional gap analysis of potential applicants against the fiduciary standards and ESS;
- Developing and implementing a personalized readiness and preparatory support plan that will support applicant institutions to address identified gaps to comply with the fiduciary standards and ESS (may include the development of new policies and procedures);
- Enabling lesson-learning from other institutions that have been through similar accreditation processes; and
- Building the capacity of accredited direct access entities in relation to the GCF activities, in areas such as ESS, the GCF gender policy and action plan, and monitoring and evaluation.

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

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

## **Annex XIX: An overview of the process for Readiness Support**

Source: Adapted from Page 5 of *Readiness and Preparatory Support Guidebook, Version 3.0*, 15 June 2017



**Annex IV:** Appendices Volume II – Country Case Study Reports for the Independent Evaluation of the Green Climate Fund's Readiness and Preparatory Support Programme by the Independent Evaluation Unit.



## APPENDIX VOLUME II – COUNTRY CASE STUDY REPORTS

### CONTENTS

Antigua and Barbuda Case Study Report .....	189
Bangladesh Case Study Report.....	213
Haiti Case Study Report .....	239
Kenya Case Study Report.....	261
Mongolia Case Study Report.....	284
Namibia Case Study Report.....	315
Paraguay Case Study Report .....	337
Senegal Case Study Report.....	365
Vanuatu Case Study Report.....	392

# ANTIGUA AND BARBUDA CASE STUDY REPORT

## I. INTRODUCTION AND RELEVANT BACKGROUND INFORMATION

### A. The major climate risks facing the country

Antigua and Barbuda is a Small Island Developing State (SIDS) in the Eastern Caribbean that is heavily dependent on natural resources for its economic activities. An agricultural country under colonial rule from 1632 to 1981, the economy of Antigua and Barbuda is now largely service-based, with tourism contributing approximately 70 per cent of the Gross Domestic Product (GDP). The twin-island state is highly vulnerable to climatic impact, in particular from coastal inundation, droughts, hurricanes, and increasing temperatures.

While climate data is available for the rainfall, hurricane activity and rises in sea level and temperatures that affect the islands, the results from the Hadley Centre PRECIS (Providing Regional Climates for Impact Studies) regional model have improved the availability of downscaled climate projections on a 25-km resolution for the Caribbean region. Using the Special Report on Emission Scenarios (SRES) A2 (higher emissions) and B2 (lower emissions) scenarios<sup>21</sup>, the PRECIS model for the Caribbean region predicts the following trends:

- Increase in average surface temperature of between 2.8°C and 4.5°C by the end of the century;
- Average annual rainfall is projected to decrease; rainfall variability is projected to increase, with more intense downpours as well as more extreme droughts;
- Coastal erosion due to storm surge and sea level rise; and
- A likely increase in hurricane intensity, while a rise in hurricane frequency is uncertain.

To respond to these challenges, the country has conducted vulnerability assessments and has led goal-setting consultations, culminating in ambitious climate targets as well as innovative financing mechanisms for implementation. The National Designated Authority/Focal Point (NDA/FP) for climate change, the Department of Environment (DOE) within the Ministry of Health, Wellness and Environment, has coordinated these initiatives. The country's policies and institutional capacity-building efforts are exemplified by the development of three National Communications on climate change, five years of consultations that led to the passage of the Environmental Protection and Management Act in 2015, and the enactment of a National Energy Policy by the Ministry of Energy. These efforts have culminated in ambitious mitigation and adaptation targets in the Nationally Determined Contribution (NDC) of Antigua and Barbuda for the United Nations Framework Convention on Climate Change (UNFCCC).

The key sectors for addressing vulnerability in Antigua and Barbuda are in the building sector (hotels, housing, businesses, etc.); wetlands, waterways and coastal ecosystems; potable water; and grid-interactive renewable energy systems. Cross-cutting areas include traditional livelihoods, and in particular the livelihoods of female-headed households. The key sectors for emissions are

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<sup>21</sup> <https://ipcc.ch/pdf/special-reports/spm/sres-en.pdf>

electricity, transportation, deforestation and land-use change. The challenges for catalyzing mitigation interventions include legal and market structures for electricity, access to affordable financing, and access to appropriate low-emission technology. Island states are also seeking to address the issue of sustainable consumption and production, targeting procurement practices as a tool for reducing emissions and building resilience through purchasing practices.

The NDA/FP shares its administrative responsibilities with the Ministry of Finance (MOF), with the DOE represented by Ms. Diann Black-Layne and the MOF by Ms. Gail Imhoff-Gordon. The national/regional Accredited Entities (AEs) include the Caribbean Development Bank (CDB) and the Caribbean Community Climate Change Center (CCCCC). The International AEs working in the region are the UN Environment (UNEP), the European Investment Bank (EIB) and Kreditanstalt für Wiederaufbau (KfW). So far, the DOE in Antigua and Barbuda is the only national institution that is accredited, while others are at various stages of the accreditation process.

The country's Medium-Term Development Strategy (2015) was prepared by the Ministry of Finance prior to the 2017 hurricane season. One objective in this plan is to reach the overall targets set forth by the Eastern Caribbean Central Bank (ECCB), for all member states to reduce their debt-to-GDP ratios from 97 per cent (the level in 2014) to 60 per cent by 2030, thereby achieving a maximum interest burden (interest due on debt to Government revenues) of 15 per cent.

Antigua and Barbuda is a member of the Caribbean Catastrophe Risk Insurance Facility (CCRIF), a regional parametric risk insurance facility, and the Government pays premiums for the Tropical Cyclone policy. Antigua and Barbuda received a payout from the CCRIF of USD 6.7 million after Hurricane Irma, which is approximately 3 per cent of the USD 222 million estimated for recovery needs in the World Bank Post-Disaster Needs Assessment report for Hurricane Irma. Climate risk insurance payouts are an important injection of cash immediately following a disaster that help initiate recovery (payments are made within two weeks of the climate event trigger), but parametric risk insurance is clearly not a viable option for managing economy-wide climate risk and adaptation.

## **B. The institutional arrangements of Antigua and Barbuda for engaging with the GCF and RPSP**

Antigua and Barbuda is a member of the Organization of Eastern Caribbean States (OECS), a full nine-member group comprising Antigua and Barbuda; the Commonwealth of Dominica; Grenada; Montserrat; St. Kitts and Nevis; St. Lucia; and St. Vincent and the Grenadines. The cumulative population of the OECS Member States (not including the associate OECS member states) have pursued regional unity, solidarity and cooperation in climate change, environmental protection and sustainable development. The St. George's Declaration of Principles for Environmental Sustainability, adopted by Member States in April 2001, provides a regional framework response to climate change for the OECS. The OECS Council of Ministers for Environmental Sustainability (COMES) meets annually to implement the regional agenda. In 2016, the ministers established a Climate Change Working Group with representatives from each Member State. Antigua and Barbuda is an active member of this regional architecture aimed at implementing the climate priorities of the St. George's Declaration.

In Antigua and Barbuda, the national project management framework consists of two implementation/management units, and one coordination/oversight unit. The management entities are the Project Management Unit (PMU) and the Technical Advisory Committee (TAC), while the overseeing entity is the Project Management Committee (PMC) – a Cabinet-appointed body. The institutional arrangements are outlined within the draft No-Objection Procedure (NOP).

The DOE in the Ministry of Health, Wellness and the Environment is responsible for the coordination and implementation of all Multilateral Environmental Agreements (MEAs), including those concerning climate change, biodiversity, and land degradation, among others. The DOE is also the focal point of the Adaptation Fund (AF) and the Global Environment Facility (GEF). The strategy of the Government is to build capacity for MEAs in one agency, to provide for enhanced accountability and coordination across agencies and stakeholders, and to accommodate the small island context of Antigua and Barbuda.

The NDA/FP of Antigua and Barbuda to the GCF is the DOE, with the MOF as co-signatory for the NOP. The No Objection Procedure (NOP) was developed with the country's first Readiness grant, and was approved by the in March 2017. In 2016, the Ministry of Foreign Affairs and the office of the Attorney General's Office prepared and completed the Privileges and Immunities (P&I) agreement with the GCF. The DOE is the national coordinating agency, with its roles and responsibilities established under the Environmental Protection and Management Act of 2015. The MOF ensures that all financing risk for projects being implemented by AEs are known, have undergone comprehensive consultation, and the proposals are approved based on agreed criteria. The Ministry of Foreign Affairs chairs the National Coordinating Mechanism (NCM), which provides a forum for the political coordination of the country's engagement with the GCF. As such, the Ambassador for Climate Change of Antigua and Barbuda presents annual reports to the Minister of Foreign Affairs. Other agencies and stakeholders that assist the NDA/FP in carrying out its responsibilities are the overseas Missions in New York and London, the Ministry of Public Works, the Antigua Public Utilities Authority, the private sector, and non-governmental organizations (NGOs), including the Marine Ecosystems Protected Areas Trust (MEPA Trust). The DOE therefore coordinates the work of the NDA/FP with established multi-stakeholder technical and oversight committees.

Recently, a three-year RPSP was submitted to the GCF, focusing on accelerating the pipeline for high-impact adaptation and mitigation projects (note: USD 1 million is for Readiness and USD 1.5 million is for the Project Preparation Facility [PPF])<sup>22</sup>. The Readiness Programme will support the technical and financial feasibility studies, build the climate change rationale, and conduct Environmental Impact Assessments (EIAs), gender analysis, and market analysis for the pipeline of projects. The Readiness and PPF support will also build capacity for project management and the efficient programming of climate financing via an enhanced direct access modality that is currently being piloted.

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<sup>22</sup> The three-year Readiness Programme covers PPF and Readiness, and will run parallel disbursements but singular reporting.

At present, the DOE has one approved funding proposal, two concept notes that have been submitted to the GCF Secretariat, and five concept notes that are currently under development. The total expected portfolio for GCF contribution is approximately USD 190 million in grants and loans. These projects are presented below, and one-page summaries are annexed. The Accredited Entity Work Programme (AEWP) for the DOE underwent a consultative process, including presentations to the TAC (14 February 2018) and the PMC. The Work Programme will be presented to the Cabinet of Antigua and Barbuda for endorsement in accordance with the NOP guidance of Antigua and Barbuda.

### C. National climate change engagement with other international partners

The DOE is the national focal point for climate change and has a responsibility for coordinating climate finance initiatives in Antigua and Barbuda. Climate change projects are developed to align and further the implementation of national policies, goals and strategies. The Sustainable Island Resource Framework (SIRF) Fund is the designated national fund for climate change, and is the mechanism through which international climate finance catalyzes sustainable interventions and leverages national sources of financing, to achieve transformational outcomes for the country. The DOE is assisted in its climate coordination work by the consultative body of the TAC and the oversight of the PMC, and the legally appointed NCM. This system is designed for efficient programming of climate finance, technology transfer and capacity building.

There are several international partners working on climate-related projects in Antigua and Barbuda. These include the GEF and the AF. Other GCF international AEs, such as the United Nations Development Programme (UNDP) and UNEP, operate from their regional hub in Barbados. Other development partners who operate in the country include regional agencies, the CCCCC, the United States Agency for International Development (USAID), EU, GIZ, OECS and the Global Climate Change Alliance (GCCA) project. The OECS Commission is implementing a sub-regional GCCA project that is developing the climate change policy for Antigua and Barbuda. The Commission is the Secretariat for the OECS Climate Change Working Group. UNEP does not have an office in the country; however, it assists Antigua and Barbuda in managing the country's GEF portfolio. The CCCCC also does not have an office in the country, but Antigua and Barbuda has participated in several regional projects being executed by the organization. The UNDP country office is in Barbados. Antigua and Barbuda has a long-standing and productive relationship with UNDP, which implemented the first full-size GEF project with the DOE serving as the executing entity. The CDB is also based in Barbados and has a significant loan portfolio with Antigua and Barbuda.

## II. RELEVANCE OF THE RPSP AND OF ITS MANDATE

Antigua and Barbuda has been a front-runner among the Eastern Caribbean small island countries in terms of engaging with the GCF. The DOE in the Ministry of Health, Wellness and the Environment was the first public entity to become accredited as a Direct Access Entity (DAE). The DOE is responsible for the coordination and implementation of all MEAs, including those on climate change, biodiversity, and land degradation, among others. The DOE is also the Focal Point of the AF and GEF. So far, no internationally accredited entities or private sector entities have received GCF approval for Funded Projects in Antigua and Barbuda. Most respondents noted that

there is limited competition among the different development partners in Antigua and Barbuda, with synergies being more prevalent. The respondents noted that the AF is a lot more flexible when compared to GCF, but the disadvantage is that the size of their projects are small.

The first Readiness grant was used partly to develop the country programme, the NOP, and to deliver NDA/FP strengthening. The second RPSP grant for enhancing access to accreditation, enhanced direct access, and private sector engagement is , supporting the preparation of Funded Projects for submission to the GCF, the first of which was launched in July 2018. These projects are consistent with the climate change strategies and policies of Antigua and Barbuda. The third RPSP proposal is a request for in-kind technical assistance from PwC, to support the accreditation gap assessment and action plan for the direct access entity of the DOE to become accredited as a DAE. The fourth RPSP is a National Adaptation Plan (NAP) Readiness grant, approved in November 2017, for building capacity to advance national adaptation planning in Antigua and Barbuda, consistent with the country's needs in this area. The three-year Readiness grant will be the most recent addition by Antigua and Barbuda to the RPSP.

Although the Readiness programme has been relevant to Antigua and Barbuda, the country had already been building its capacity to deal with climate change challenge prior to the existence of the GCF Readiness programme. Antigua and Barbuda was already implementing multiple climate projects through GEF, had previous experience with bilateral projects, and had several legal frameworks in place. The Readiness Programme was helpful for progressing along project milestone lists, helping the country to take each step in the quickest time possible by hiring more experienced consultants who could collect and analyze data, thereby filling in gaps and meeting new requirements.

Antigua and Barbuda began considering accreditation and Readiness long before the GCF Readiness Programme was available. It signed a project with the AF in 2012 and started the process of collecting data. By 2015, the DOE was already accredited by the AF. After this accreditation, it was possible for Antigua and Barbuda to secure fast-track accreditation with the GCF.

For many agencies who have limited experience with the accreditation process and a low capacity, the RPSP is not an efficient way for achieving accreditation. According to respondents, the current Readiness Programme is more helpful for entities with existing capacities and are therefore clear about the requirements of accreditation. This hurdle makes the process challenging for many.

The interventions provided to date by the Readiness Programme are not sufficient for preparing the private sector in Antigua and Barbuda for participation. The country has a small financial market, meaning that if one accredited bank received GCF finance it would have the potential to distort the financial market. In addition, most banks have a lot of capital funds available and are struggling to program these funds; additional GCF loan capital may create an excess supply of capital, leading to unintended effects. As a result, the DOE is working on an engagement with the private sector that will take these risks into consideration. The next steps are to access further GCF Readiness support to conduct extensive analysis, to identify the gaps and further understand the overall private sector landscape and the best avenue for GCF engagement. To address this, the DOE has commenced a scoping study that looks at which private sector actors would benefit from access to finance. The scoping study identified several "climate compatible development" (CCD) business sectors, that represent significant opportunities for the private sector to play a critical role in the business of

building resilience to the effects of climate change. Some respondents noted that the private sector in Antigua and Barbuda, in general, would appreciate access to guarantees and to equity, so that they can take more risks and less loans, respectively.

In sum, the activities of the RPSP are relevant to the climate change strategies and policies of Antigua and Barbuda. They are perceived as valuable by country participants. However, the NDA/FP believes that after the third application for Readiness (currently under consideration by the GCF Secretariat), there may no longer be a need to apply for Readiness funding. The current application is structured to allow the country to launch into full Funded Project implementation mode, and therefore may not require any additional Readiness grants. With additional Readiness programmes focusing on the private sector, the NDA/FP is hoping to move beyond the Readiness grant stage into full Funded Project implementation.

### III. COHERENCE IN CLIMATE FINANCE DELIVERY

As already indicated, other climate-related global funds, such as the GEF and the AF, are also supporting projects in Antigua and Barbuda that are being implemented by the DOE. Other development partners who operate in the country include regional agencies, the Caribbean Community *Climate Change* Centre (5Cs), USAID, EU, GIZ, OECS and the European Union Global Climate Change Alliance project (EU-GCCA). The evaluation team was not able to talk to representatives of these agencies given their physical absence in the country. However, discussions with Government counterparts revealed that there is a strong desire among these development partners to work with the Government and with each other on climate change mitigation and adaptation. They appreciated that the Government has strong ownership of its climate change agenda based on the governmental strategies and policies that have been adopted. They also agreed that development partners should fill gaps and avoid duplication.

The DOE is the FP for climate change, coordinating the different Government agencies as well as multilateral and bilateral agencies. There is a technical advisory committee for national-scale projects that meets monthly to discuss emerging projects in different thematic areas. The committee discusses not just climate change but other major priorities. However, these coordination activities have little to do with the Readiness Programme. In Antigua and Barbuda, most work that takes place in the climate change space is mapped to national objectives and strategies. The climate change programme that has been developed is not solely for engaging with GCF, but rather for interacting with wider international and national actors in the climate change space. Several Government respondents noted that Antigua and Barbuda does not develop country programming and strategy for GCF alone. Its approach is that it designs the overall country programme to address overarching climate and non-climate problems. Multilateral and bilateral institutions interested in investing in Antigua and Barbuda have to design their project based on the foundation laid out in the country programme and strategy.

There is evidence that development partners work collaboratively with the Government and with each other on climate change mitigation and adaptation. However, the principal factor that is leading to coherence between the GCF and other sources of climate finance is not the Readiness Programme as such, but the Government's strong ownership of its climate agenda.

## IV.EFFECTIVENESS OF THE RPSP AND OF ITS PROCESSES

### A. N1 Extent to which Readiness grants have enabled NDA/FPs to lead effective intra-governmental coordination mechanisms, including the establishment of the no-objection procedure

This review sought to test the assumption that the first RPSP project for NDA/FP strengthening led to effective intra-governmental coordination mechanisms and a NOP. Based on the findings, it can be confirmed that this was accomplished.

Antigua and Barbuda has implemented its first Readiness grant of USD 300,000 for NDA/FP strengthening and country programme preparation. This happened over a 12-month period from March 2016 to April 2017. The Readiness grant application was approved in July 2015, the grant agreement signed in November 2015, and the inception report was approved in February 2016. This grant was used partly to develop the country programme and to deliver NDA/FP strengthening including a NOP. The NOP was developed with the first Readiness grant given to Antigua and Barbuda and was approved by the PMC in March 2017. In 2016, the Ministry of Foreign Affairs and the office of the Attorney General's Office prepared and completed the Privileges and Immunities agreement with GCF. The MOF provided a role in ensuring that all financing risks for projects being implemented by AEs are known and have undergone comprehensive consultation, and that the proposals are approved based on agreed criteria.

As explained, the NDA/FP is jointly held by DOE and MOF and they generally collaborate, with DOE taking the lead. For the MOF, the current NDA/FP is the third person from the MOF to act as NDA/FP, which adversely affects the continuity of its programme of work and institutional memory. Both previous NDA/FPs from the MOF were seconded to other offices, which created a gap in delivering MOF NDA/FP tasks effectively. The NDA/FP noted that the Readiness funds were adequate for hiring consultants and procuring services to build the capacity of both the NDA/FP structures and the department management unit responsible for coordinating with other ministries on the GCF.

Since rolling out its Readiness grant activities in mid-March 2016, the DOE has used the initial tranche of GCF resources to spearhead key steps in developing its country programme and putting tools and systems in place for coordinated action. In the 12 months of implementation, the NDA/FP has:

- Held two inter-ministerial consultations to develop and validate the country programme and NOP;
- Recruited a policy advisor to consolidate national climate-related policies and plans to ensure overall alignment with the investment approach of the GCF;
- Procured a financial expert to build the accounting and auditing skills of staff in the DOE to better understand and meet GCF fiduciary standards;
- Hired a consultant specialized in Knowledge Information Management System (KIMS) development to boost knowledge retention and data management;



- Contracted a web developer to establish an online knowledge portal, allowing for greater transparency and access to information; and
- Finalized three internal policy guidelines on operations, finance and accounting, and environmental and social safeguards.

The AEWP for the DOE underwent a consultative process, including being presented to the Technical Advisory Committee (14 February 2018) and the PMC, and the Work Programme will be presented to the Cabinet of Antigua and Barbuda for endorsement in accordance with Antigua and Barbuda's NOP guidance. The MOF, which has a joint NDA/FP arrangement with the DOE, also has representatives on each of these committees and uses these committees to undertake reviews of the projects before issuing a No-Objection Letter (NOL).

Both NDA/FPs noted that there were several requests for NOLs from a number of institutions that could not be approved. In such cases, one barrier to approval has been the level of technical detail included in proposals being too high for the MOF and DOE to adequately assess. Another major challenge mentioned by the NDA/FPs is related to the time required to finalize clearance by the GCF. They indicated that six months is not a sufficient amount of time to do any meaningful detailed assessment of a project, as required by the GCF. The NDA/FPs also indicated a significant political risk associated with non-successful projects after going through a detailed evaluation of the NOP. Members of Parliament are concerned about this process. People often express their frustrations when their projects get rejected after they have conducted “too many” consultations to inform the project design. Thus, they indicated their preference to conduct the NOP at concept note stage instead of full project development stage.

## B. N2 Extent to which Readiness grants have enabled NDA/FPs to effectively engage stakeholders in consultative processes, including the preparation of coherent country programmes

The assumption that Readiness grants have enabled NDA/FPs to effectively engage stakeholders in consultative processes and in the preparation of a coherent country programme. This has proved to be partly true in the case of Antigua and Barbuda.

The Caribbean island nation of Antigua and Barbuda was one of the first countries to complete their roadmap for engagement with the GCF. Its country programme sets forward an ambitious pipeline of over USD 245 million in projects for potential GCF funding, to help meet its low-emission and climate-resilient sustainable development targets.

The Medium-Term Development Strategy (2016 to 2020) was prepared by the MOF, with the CDB providing technical assistance. The sustainable development plan strives to increase national wealth, support social systems, conserve a healthy natural environment and cultural heritage, and to enhance citizen security. The document of the country programme was drafted and submitted to Cabinet, and subsequently approved in November 2015. This document was the foundation for developing a country programme strategy for GCF, as well as for some of the Readiness proposals.

Consultations on the country programme began with the development of the INDC in 2015. The process included reviewing and synthesizing consultation reports and household surveys from the

climate change vulnerability assessment, TAC and PMC discussions, and two meetings of the Cabinet of Antigua and Barbuda. Special meetings with NGOs were held in community centers as well as jointly with Government stakeholders on specific projects identified in the country programme. In addition to multi-sector technical input, targeted stakeholder consultations on the national Climate Change Policy and Action Plan, which is currently under development with support from the Global Climate Change Alliance (GCCA), provided valuable input into the country programme.

While the Government and civil society consultations delivered fruitful results, engagement with the private sector has not been as successful as that with the other stakeholders. The country programme, which includes the reimbursable grant programme designed for the private sector, will require additional consultations. The second Readiness grant for Antigua and Barbuda is expected to deliver a scoping study and targeted consultations with the private sector.

The Readiness Programme partly contributed to the development of the strategy development of the country, as the process had started prior to the approval of the first Readiness Programme. Perhaps what the Readiness Programme did is to speed up some of the processes and to partially contribute to the development of the country programming for the GCF. The Readiness Programme fund has been used to develop a website to promote transparency, to organize workshops, as well as to develop a strategic framework in line with the Sustainable Development Goals.

### C. N3 Extent to which Readiness technical assistance has enabled nominated candidates to achieve accreditation as DAEs

The assumption that Readiness assistance has enabled nominated candidates to achieve accreditation has proven to be partly true in the case of Antigua and Barbuda.

Antigua and Barbuda implemented its second Readiness grant of USD 620,000 to work on focal areas related to accreditation, enhanced direct access, and private sector engagement. This grant was implemented over a 12-month period from April 2017 to May 2018. For the DOE, the period of 2015-2017 was the time when it transitioned from a division to a department. The DOE has been managing this transition by documenting its current policies, procedures and manuals, and where appropriate seeking to update them. This process is being driven by the need to implement the Environmental Protection and Management Act, 2015 and to fulfil the mandate to maintain accreditation to the GCF and to the AF as a Direct Access Entity. Both the national laws and the accreditation requirements demand high fiduciary standards. As of 2015, the DOE had already achieved accreditation to the AF by complying with all requirements for accreditation, which enabled fast-tracking accreditation to the GCF.

The second Readiness funding proposal of Antigua and Barbuda built upon this success achieved, and helped to support the accreditation of the DOE to the GCF by speeding up the process and filling some remaining gaps. The Readiness funding also further supported the development and submission of an Enhanced Direct Access (EDA) funding proposal, seeking to include project activities in Dominica and Grenada in partnership with the OECS Commission. The DOE used the funds for comprehensive training based on recommendations from the first Readiness Programme, and a scoping study to identify opportunities for private sector climate finance.

Another key feature of this Readiness support is hosting a sub-regional Structured Dialogue for the OECS, targeting the public, private and civil society sectors, and piloting a SIDS mentorship arrangement. The OECS is an economically, legally and politically integrated region. It is envisioned that climate action at this regional scale could be more cost-effective and sustainable in the long-term.

#### **D. N4 Extent to which information and experience-sharing events and processes have contributed to the ability of countries and DAEs to engage effectively with the GCF**

The assumption that the information sharing events organized by the GCF Secretariat – primarily the regional Structured Dialogues and DAE workshops – have helped countries to engage effectively with the GCF has proven to be partly true in the case of Antigua and Barbuda.

The NDA/FP and NDA/FP Secretariat participated in both Structured Dialogues organized in Placencia, Belize in April 2017 and in Da Nang, Viet Nam, in April 2018, as well as the recent Direct Accredited Entity Access (DAEA) workshop in Songdo, South Korea. They confirmed that the Belize and Viet Nam events were important learning opportunities. The NDA/FP contributed actively as a panel member at the DAEA event in Songdo in May 2018.

To illustrate, the NDA/FP from MOF noted that the first Structured Dialogue provided her with deep knowledge on how to integrate sustainability into project development, as well as on ways of addressing cross-sectoral issues. However, the knowledge gained through the Structured Dialogue so far had not translated into concrete GCF or related project development. On the other hand, the NDA/FP from DOE indicated the repetitive nature of the Structured Dialogue in terms of the content as well as types of participants. Also, GCF policy does not allow the provision of financial support for NGO staff to participate in such events.

NDA/FPs noted that these types of dialogues have been more useful for GCF itself than those participating in the events. The GCF often uses the events as a public relations strategy to change the perception of countries about the GCF. Additional benefits mentioned are related to interaction with GCF Secretariat staff. Often, the Structured Dialogue is a very conducive place for personally interacting with the staff to get a deeper understanding of the GCF, as well as expressing concerns. This in part contributes to achieving a more effective level of engagement with the GCF than had been possible before attending these meetings.

#### **E. N5 Extent to which Readiness grants have enabled countries to develop National Adaptation Plans that build on existing country strategies and plans**

The assumption that the RPSP has enabled the development of a NAP is not yet the case in Antigua and Barbuda.

The DOE had one Readiness proposal (USD 3 million) approved in 2017 (effective in 2018) for the formulation of a NAP and supporting adaptation planning processes. The project aims to engage in and support the implementation of adaptation planning processes, by developing national climate

assessments with climate resilient sector plans for six sectors. The project also aims to synthesize priority actions into a NAP and conduct technical studies in preparation for the implementation of new climate regulations. Capacity building to develop future plans and track implementation, along with baseline data collection, underpin the adoption planning activities. The activities of this NAP readiness grant were anticipated to begin by July 2017, with an implementation timeframe of 36 months. However, it has been delayed and will be starting no sooner than September 2018.

#### **F. N6 Extent to which Readiness grants have enabled NDA/FPs and AEs to develop concept notes and/or project proposals to access climate finance that address high-impact priorities identified in country programmes**

The assumption is that Readiness funds have enabled the NDA/FP and the DAE to develop concept notes and/or project proposals to access climate finance that address high-impact priorities. This has proved to be partly true in the case of Antigua and Barbuda.

On 28 June 2016, the GCF announced a pilot initiative to strengthen devolved decision-making for climate change projects. The pilot phase, aimed at enhancing direct access (EDA), was to provide an initial allocation of USD 200 million for about 10 pilot projects (or about USD 20 million per pilot), including at least four to be implemented in SIDS, Least Developed Countries (LDCs) and in African states. The EDA pilot is a way for the GCF to try out devolved decision-making authority. Some criteria of access are that the applying entity must be accredited to the GCF by the time the project is considered by the Board.

Antigua and Barbuda, with Dominica and Grenada, and in partnership with the OECS Commission, has achieved an EDA project proposal to pilot climate financing arrangements and build capacity in the public, private and civil society sectors for scaled-up climate financing. The EDA pilot project is for a total of USD 20 million and is operational from 2017 to 2021. The objective of the EDA pilot project is to identify existing best practices for regional implementation arrangements in the OECS public, private and civil society sectors; to formalize and strengthen these structures, where necessary; and to disburse climate financing and monitoring and evaluation impact through these strengthened mechanisms.

In preparation for the development of the EDA project, the DOE conducted sub-regional consultations on the OECS EDA project structure from July to September 2016. By October 2016, the full EDA proposal had been developed with partners and stakeholders. The final EDA proposal was submitted to the GCF Secretariat by November 2016 and the project was approved by the GCF board in March 2017. In addition to this, the DOE received a first and second Readiness grant to develop two concept notes that have been submitted to the GCF Secretariat. Five concept notes are currently under development.

DOE is also considering the possibility of submitting a PPF request to GCF. However, the DOE thinks it is more efficient, cost-effective and suited to a SIDS/small-entity approach, for the AE to manage Readiness funding that will enable baseline studies to be developed for the entire portfolio of cross-cutting projects, as opposed to the development of individual projects via a PPF, one at a time.

## G. N7 Extent to which private sector engagement in country consultative processes has helped improve the enabling environment for crowding-in private sector investments

The assumption is that the involvement of the private sector in consultations has helped to improve the conditions for crowding-in private sector investments. This is not the case in Antigua and Barbuda.

Concrete evidence on the ground with respect to the role of the Readiness Programme in crowding-in private sector investment has so far been limited. However, an initiative is underway that seeks to engage the private sector with GCF support. As a part of a larger private sector Readiness consultancy, a study was commissioned by the DOE, aiming to raise local and international private sector awareness about climate business opportunities in the Eastern Caribbean sub-region, with an emphasis on Antigua and Barbuda, Dominica and Grenada. The study aimed to map private sector financing with a view to better understand “who is doing what” in finance in general, and in climate financing in particular. In addition, the study aimed to provide context to the findings of the mapping exercise, by considering the relation of specific opportunities and constraints to both the present financing landscape and to its future development. The study also lays out the process used to identify and nominate a private sector entity for GCF accreditation.

An initial desk assessment of websites and other publicly available information for each of these entities, was used to ascertain their potential suitability by looking for evidence of the five basic elements required for NIE accreditation. The initial assessment/screening exercise enabled the preparation of a shortlist of five institutions, based on evidence of at least three of the five criteria being present. The shortlisted institutions included three banks (Royal Bank of Canada [RBC], Scotiabank, and Antigua and Barbuda Development Bank [ABDB]), one credit union (Community First Cooperative Credit Union [CFCCU]) and one investment intermediary. After extensive consultation and analysis of the five shortlisted institutions, it was determined that the CFCCU would pursue accreditation for basic fiduciary standards, and that with some additional assistance the institution might be able to overcome certain deficiencies and possibly pursue accreditation for specialized fiduciary standards. In addition, the fact that the institution’s principal officer is interested in the work of the GCF and appears to be positive about pursuing accreditation, makes the recommendation of this institution an obvious choice.

## V. COUNTRY OWNERSHIP

Antigua and Barbuda implemented its first Readiness grant of USD 300,000 for NDA/FP strengthening and country programme preparation. This grant was implemented over a 12-month period from March 2016 to April 2017. The DOE used this grant partly to develop the country programme, the NOP, and to deliver NDA/FP strengthening. For DOE, the Readiness funds were sufficient for hiring consultants and procuring services to build the capacity of their division, and that of the department’s management unit that will be responsible for coordinating with other ministries on the GCF. The DOE is an AE, but with a joint NDA/FP arrangement with the MOF.

The NDA/FP structure is strong, especially given the small size of Antigua and Barbuda. The NDA/FP for climate change has managed a system that is functioning reasonably well by using

existing cross-sectoral bodies already in place. The NDA/FP has been a good advocate for moving processes forward, and for making sure local needs have been met and wider stakeholders have been consulted. Antigua and Barbuda has many committees that are known to be effective, compared to other Caribbean countries. Antigua and Barbuda is the most skeptical of external consultancy support, which contrasts with many other Eastern Caribbean countries.

Antigua and Barbuda is cognizant of its needs as a country and takes a dim view of agencies attempting to dictate needs that are not consistent with what the country has been identified as its contextual priorities. In Antigua and Barbuda, the development process is independent. The country develops its own country strategies and priorities, after which donor support is solicited based on existing gaps. This is how the country ensures country-ownership and country drivenness, and mitigates against their programmes and projects being donor-driven. There is a challenge of lack of timeliness and predictability of GCF process responses, as well as the different donor agendas, which makes it difficult to drive forward an ambitious agenda.

As noted by some respondents, Antigua and Barbuda is very strong in owning the development process when compared to other Caribbean countries. It conducts critical reviews of all projects proposed by development partners. The DOE provides technical assistance, and the structure of the NDA/FP has sufficient funds for its core operations. The NDA/FP does not automatically approve any project that comes before it, and it tries to ensure that projects are in line with country priorities and strategies. There is a willingness from the NDA/FP to reject proposed projects that do not fulfil such criteria. Indeed, several requests for NOLs have not been approved by the PMC. The NDA/FP and the PMC assess whether a funding proposal is in conformity with the national priorities, strategies and plans of Antigua and Barbuda, including whether the proposal is in line with national laws and policy, if it advances national adaptation and/or mitigation targets, and the degree to which it may incur a debt burden for the Government. The NDA/FP has also assisted with the preparation of projects and organized validation workshops prior to issuing a NOL to funded project proposals.

In addition, the NDA/FP has used the funding to organize several stakeholder consultations, though relatively to a lesser extent with civil society organizations (CSOs). In Antigua and Barbuda, CSOs have still to understand the structure of the GCF Readiness Programme, and there is very little, to no engagement with the NDA/FP.

The country is on its way to achieving the planned results of its approved Readiness activities, along following country-ownership framework:

- The NDA/FP is established, functional and very strong;
- Stakeholder consultations have been organized by the NDA/FP, though not inclusively with CSOs;
- A NOP has been established.
- A country programme has been developed and agreed upon with the major stakeholders.
- A DAE has been accredited; and
- One funded project proposal has been submitted and approved by the GCF.



Although most of the above-listed items are in place and country ownership is very strong, it is very difficult to demonstrate if it can be attributed to Readiness funding. Most respondents noted that Antigua and Barbuda could have also developed this structure without the Readiness support, but what the Readiness Program did was to speed up the progress to their achievement. Generally, country ownership comes from the top, regardless of Readiness funding.

## VI. UNEXPECTED RESULTS

While there are few unexpected results, one that is notable is the extent to which friction has been generated in climate-related management processes; also notable are the ways in which these have been resolved. Having two co-NDA/FPs (i.e., one from DOE and the other from MOF) has been very helpful in enabling the effective and efficient functioning of the overall NDA/FP structure. The MOF is close to the Prime Minister's Office, and this has made it possible to move the climate agenda forward in an appropriate manner. Without the MOF, the DOE has very little power. However, the MOF on its own would not have been enough, given that it primarily champions development rather than climate projects. In some instances, there have been rivalries over procurement, but this has been overcome.

## VII. CROSS-CUTTING ISSUES – GENDER EQUITY AND INCLUSIVENESS

Most Government employees in Antigua and Barbuda are women. There is sufficient representation of women at nearly all Government levels, with ministerial and parliamentary levels being the exceptions. Generally, gender promotion and social inclusion have also been built into all country projects, strategies and policies. The three-year Readiness application includes activities to assess the gender baseline of the proposed project pipelines, and to inform the development of more locally appropriate gender targets in GCF projects. This will be important moving forward, too, to inform the design of project proposals for submission to the GCF.

## VIII. INNOVATIVENESS AND POTENTIAL FOR PARADIGM SHIFT

So far, there is limited evidence at all to suggest that the Readiness Programme has contributed to innovative programmes with paradigm-shift potential. However, according to the NDA/FP, the current engagement of the DOE with the private sector has the potential to do so in the future. In Antigua and Barbuda, the public sector – including the DOE – is not allowed to provide grants to the private sector. At the same time, loans are also not necessarily the right instrument in the country. The DOE is therefore looking to engage with the private sector through equity, which has a potential to be innovative and transformational. The DOE is at the stage of investigating the availability of a market for this kind of instrument.

Another initiative that may have the potential to enable a paradigm shift is that of E-transportation. An electric vehicle pilot project has been implemented by the DOE. The project is funded by the Italian Government and has nothing to do with GCF (for the time being). Private sector partners are looking at electric vehicles, and the current EDA pilot project is considering scaling this project.

Within the context of the amount of funds provided through Readiness and other means so far, the most that can be said is that the adopted policies have begun to set the foundation for the DOE and the rest of the country to be ready to design and implement innovative projects.

## IX. LIKELIHOOD OF SUSTAINED IMPACT OF THE RPSP

The Readiness Programme has been significant in speeding up the process of increasing the institutional and human capacity of Antigua and Barbuda to deal with climate risks. Indeed, the RPSP is one contributing factor to the empowerment now seen in Antigua and Barbuda. These impacts are likely to be sustained because the Government has strong ownership of its climate change agenda.

## X. POTENTIAL FOR BUILDING SCALE

So far, there is no evidence of innovative practices that have been developed elsewhere being reproduced and adapted in the country. It is important to note, however, that since this is a small island country, any scaling up would have to be undertaken regionally through the OECS or the Caribbean Community (CARICOM). Products from the Readiness Programme have already been shared with Dominica, Grenada, the Maldives and others. These are shared via NDA/FP-NDA/FP interactions, Structured Dialogues, and through personal contacts (as well as other, non-GCF opportunities, as with the AF South-South Cooperation Grants).

## XI. EFFICIENCY OF RPSP PROCESSES

In Antigua and Barbuda, the process of applying for RPSP support is such that the DOE drafts Readiness proposals and budgets based on discussions with key stakeholders and conducting gap analysis. The budget is presented to the PMC with the MOF NDA/FP represented. Readiness proposals and budgets are also shared directly with the MOF NDA/FP. Usually, after approval by the NDA/FPs, the GCF Secretariat provides very detailed comments on Readiness budgets, which require a few rounds of back-and-forth exchanges. Once finalized, the proposal and budget are submitted to the NDA/FP. After this, any changes are difficult to incorporate due to GCF Secretariat requirements. Greater flexibility from the GCF Secretariat may be warranted in this respect.

A majority of respondents involved in data collection for this evaluation indicated that the GCF guidelines, tools and templates are detailed and adequate for their needs, while being straightforward and easy to use. The use of the self-assessment tool for accreditation was easy to follow and access. They also indicated their appreciation for the online resources, which are easily accessible.

In Antigua and Barbuda, the RPSP is not widely known to different stakeholders, which is mainly attributed to the GCF policy on the use of Readiness funds. According to GCF policy, countries cannot allocate funds to certain stakeholders, such as NGOs and CSOs. As a result, the DOE has ceased raising awareness and conducting consultations with such stakeholders because they would not be able to access RPSP funds. This has created tensions between different stakeholders in the country, in ways that have been counter-productive to the development of the work programme in Antigua and Barbuda. It's important however to note that from GCF's point of view CSO



involvements is primarily not meant for them to access funding but for increased accountability/governance

There is also evidence that the GCF has not consistently followed appropriate internal processes in Antigua and Barbuda. Notably, a complaint was issued from the Ministry of Legal Affairs (MLA) to this effect, pointing out that the GCF Secretariat has been inappropriately sending legal opinions directly to MLA, instead of liaising with the DOE. It is of course essential that the GCF Secretariat follow the proper internal processes of countries, to ensure an efficient functioning of the RPSP and other GCF activities, and to avoid potentially detrimental administrative, inter-departmental and inter-ministerial confusion.

## ANNEX A. ANTIGUA AND BARBUDA: PORTFOLIO OF GCF, GEF AND AF ACTIVITIES

### *GCF – RPSP*

ID	ACTIVITY AREA(S)	DELIVERY PARTNER/ AE	SUBMISSION DATE	ANTICIPATED DURATION (MONTHS)	COMMITTED AMOUNT IN USD	INSTRUMENT	ENDORSEMENT DATE	APPROVAL DATE	EFFECTIVE DATE	DISBURSEMENT DATE	DISBURSED AMOUNT IN USD
1705-14700	Strengthen country capacity, realizing direct access, providing access to finance, mobilizing the private sector	Antigua and Barbuda	10/26/2016	12	620,250	RPSP Grant	3/6/2017	4/13/2017	4/20/2017	5/4/2017	529,000.00
1709-14844	Direct Access Entity Support for the OECS Commission	PwC	6/26/2017	12	24,209	RPSP Grant	8/10/2017	8/29/2017	-	12/20/2017	28,065.00
1712-14983	Adaptation Planning	Antigua and Barbuda	1/26/2017	36	3,000,000	RPSP Grant	5/19/2017	11/1/2017	4/17/2018	-	-
1705-14625	Engaging stakeholders in consultative processes	Antigua and Barbuda	7/8/2015	12	300,000	RPSP Grant	8/13/2015	9/24/2015	3/24/2016	4/15/2016	228,117.00

### *GCF Funded Projects*

APPROVED REF.	PROJECT NAME	INSTRUMENT	STATUS	IMPLEMENTING ENTITY	APPROVAL DATE	IMPLEMENTATION DURATION	GCF FINANCING IN USD	TOTAL FINANCING	DISBURSEMENT DATE	DISBURSED AMOUNT IN USD
FP061	Integrated physical adaptation and community resilience through an enhanced direct access pilot in the public, private, and civil society sectors of three Eastern Caribbean	EDA	Not started	DOE ATG	March 2018	4 years	Grant 20 million	20 million	-	-

	small island developing states								
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### *Global Environment Facility*

ID NUMBER	GLOBAL ENVIRONMENT FACILITY	FOCAL AREA	STATUS	APPROVAL DATE	AGENCY	TYPE	GEF GRANT IN USD	CO-FINANCING IN USD
9849	Capacity Building for Improved Transparency on Climate Actions through an Environment Registry in Antigua & Barbuda	Climate change	Concept approved	4/9/2018	UNEP	Medium-size Project	1,000,000	200,000
5523	Building Climate Resilience through Innovative Financing Mechanisms for Climate Change Adaptation	Climate change	Project approved	9/12/2013	UNEP	Full-size Project	5,000,000	12,900,000
5390	Sustainable Pathways - Protected Areas and Renewable Energy	Climate change	Project approved	4/30/2013	UNEP	Full-size project	2,639,726	7,980,000
824	Climate Change Enabling Activity (Additional Financing for Capacity Building in Priority Areas)	Climate change	Project approved	4/19/2000	UNDP	Enabling activity	100,000	
326	Enabling Antigua and Barbuda to Prepare its First National Communication in Response to its Commitments to UNFCCC	Climate change	Project approved	7/21/1997	UNDP	Enabling activity	161,500	

### *Adaptation Fund*

ID NUMBER	ADAPTATION FUND	SECTOR	STATUS	APPROVAL DATE	DURATION	IMPLEMENTING ENTITY	AF GRANT IN USD	DISBURSED AMOUNT IN USD
ATG/NIE/Multi/2016/1	An integrated approach to physical adaptation and community resilience in Antigua and Barbuda's northwest McKinnon's watershed	Multisector projects	Project under implementation	3/17/2017	3.5 years	Department of Environment	9,970,000	1,571,000
-	Technical Assistance Grant for ESP and Gender		Readiness grants	12/23/2016	-	Department of Environment	25,000	-

## ANNEX B. TIMELINE OF KEY EVENTS IN THE GREEN CLIMATE FUND AND THE READINESS AND PREPARATORY SUPPORT PROGRAMME, AND RELATED EVENTS IN ANTIGUA AND BARBUDA

YEAR	GREEN CLIMATE FUND	READINESS AND PREPARATORY SUPPORT PROGRAMME	RELATED EVENTS IN ANTIGUA & BARBUDA
2010	(December) The Sixteenth Session of the United Nations Framework Convention on Climate Change in Cancun (COP 16), Mexico, decides to establish a Green Climate Fund (GCF), to be designated as an operating entity of the financial mechanism of the Convention under Article 11.		
2011	(December) COP 17 in Durban, South Africa, adopts the Governing Instrument of the Green Climate Fund.		(August) The Cabinet endorses the National Energy Policy for Antigua and Barbuda.
2012	(October) The Board selects the Republic of Korea to host the Fund Secretariat.		The Cabinet approves the National Physical Development Plan, titled Sustainable Island Resource Management Zoning Plan for Antigua and Barbuda (including Redonda).
2013	<p>(June) The Board selects H��la Cheikhrouhou as the first Executive Director of the GCF Secretariat.</p> <p>(June) The Board requests the Secretariat to issue an invitation to developing countries to nominate a Nationally Designated Authority (NDA).</p> <p>(October) The Board agrees on a roadmap to mobilize resources.</p>	<p>(March) The Board adopts modalities for Readiness support and decides to explore options for making short-term progress on Readiness, including the initiation of work on operationalizing a Readiness phase.</p> <p>(October) The Board decides that the GCF will provide Readiness and preparatory support to:</p> <ul style="list-style-type: none"> <li>• Enable preparation of country programmes;</li> <li>• Strengthen in-country, GCF-related institutional capacities; and</li> <li>• Enable Implementing Entities to meet the fiduciary standards and environmental and social safeguards (ESS) of the GCF.</li> </ul>	
2014	(October) The Board decides only to consider funding proposals that are submitted with a formal letter of “no objection”, to ensure consistency with national climate strategies and plans and country-driven approaches	<p>(February) The Board conceptualizes a detailed work programme on Readiness, including four priority activities:</p> <ul style="list-style-type: none"> <li>• Establishment of NDAs/FPs;</li> </ul>	(November) The National Adaptation Strategy and Action Plan for Antigua and Barbuda is finalized and published.

YEAR	GREEN CLIMATE FUND	READINESS AND PREPARATORY SUPPORT PROGRAMME	RELATED EVENTS IN ANTIGUA & BARBUDA
	(November) The GCF Secretariat opens its online accreditation system for national and international entities.	<ul style="list-style-type: none"> <li>• Strategic frameworks, including the preparation of country programmes;</li> <li>• Selection of implementing entities; and</li> <li>• Initial pipelines of programme and project proposals.</li> </ul> (October) The Board decides: <ul style="list-style-type: none"> <li>• That all developing countries will have access to Readiness support with at least 50% of Readiness support allocated to particularly vulnerable countries, including SIDS, LDCs and African states;</li> <li>• That Readiness commitments will be limited to USD1 million per country per calendar year, including up to USD 300,000 to help establish an NDA/FP; and</li> <li>• To allocate USD 15 million for the Readiness Programme, and an additional USD 14 million after receipt of the next semi-annual report.</li> </ul>	(November) The Vulnerability and Capacity Assessment in the Southwest coast and Watershed Area of Antigua is finalized and published.
2015	(March) The Board approves the first Accredited Entities (AEs). (November) The Board approves the first eight investment projects before the Paris Climate Summit. (November) COP 21 in Paris passes the landmark international climate agreement, with the GCF as the dedicated operating entity of its financial mechanism.	(February) GCF Secretariat issues the first version of the RPSP proposal template. (May) GCF Secretariat issues the second version of the RPSP proposal template.	The Parliament of Antigua and Barbuda enacts the Environmental Protection and Management Act of 2015, which transitions the Environment Division to the Department of Environment. (August) The Department of Environment is accredited to the Adaptation Fund as a National Implementing Entity. (September) The Cabinet of Antigua and Barbuda approves the 2016 – 2020 Medium Term Development Strategy. (October) Antigua and Barbuda communicates its Intended Nationally Determined Contribution to the UNFCCC. Antigua and Barbuda communicates its Third National Communication to the UNFCCC. Antigua and Barbuda completes its National Comprehensive Disaster Management Policy and Strategy (2015 – 2017).
2016	(March) The Board adopts its Strategic Plan, which links the GCF to the Paris Agreement, and reconfirms the importance of the GCF RPSP.	(June) The Board decides to defer the independent evaluation of the Readiness Programme to 2017.	(January) The Organization of Eastern Caribbean States (OECS) publishes Coastal Development

YEAR	GREEN CLIMATE FUND	READINESS AND PREPARATORY SUPPORT PROGRAMME	RELATED EVENTS IN ANTIGUA & BARBUDA
	(October) The Board selects Howard Bamsey as the second Executive Director of the GCF Secretariat.	<p>(June) The Board adopts a revised indicative list of activities that the Readiness Programme can support:</p> <ul style="list-style-type: none"> <li>• Establishing and strengthening NDAs/FPs;</li> <li>• Strategic frameworks, including the preparation of country programmes;</li> <li>• Support for accreditation and accredited DAEs;</li> <li>• Information-sharing, experience exchange and learning; and</li> <li>• Formulation of national adaptation plans and/or other adaptation planning processes.</li> </ul> <p>(28 July) The GCF Secretariat issues the third version of the RPSP proposal template, including a logframe of intended outcomes.</p> <p>(December) The Board decides to allocate an additional USD 50 million for the RPSP.</p>	<p>Setback Guidelines with specific recommendations for Antigua and Barbuda.</p> <p>(23 March) The GCF Secretariat notifies Antigua and Barbuda that its 1st Readiness project for USD 300,000 is effective, with the Department of Environment serving as Delivery Partner.</p> <p>The Cabinet endorses the Renewables Readiness Assessment (RRA) for Antigua and Barbuda.</p> <p>The Cabinet endorses the National Strategic Plan for Health for Antigua and Barbuda. (2016 – 2020).</p>
2017		<p>(16 June) The GCF Secretariat issues the fourth version of the RPSP proposal template.</p> <p>(July) The Board invites the Independent Evaluation Unit (IEU) to undertake an independent evaluation of the RPSP.</p>	<p>(31 March) Antigua and Barbuda closes its 1st Readiness project with the GCF.</p> <p>(20 April) The GCF Secretariat notifies Antigua and Barbuda that its 2nd Readiness project for USD 620,250 is effective, with the Department of Environment serving as Delivery Partner.</p> <p>(June) Antigua and Barbuda submits its country programme to the GCF.</p> <p>(October) The GCF Board decides to accredit the Department of Environment in Antigua and Barbuda as a Direct Access Entity (DAE).</p>
2018		<p>(February–March) The Board:</p> <ul style="list-style-type: none"> <li>• Takes note of the findings of the initial review by the Secretariat of the RPSP (Dalberg Report);</li> <li>• Approves an additional USD 60 million for the RPSP; and</li> <li>• Approves the terms of reference for the independent evaluation of the RPSP.</li> </ul>	<p>(March) The GCF Board approves the Eastern Caribbean Enhancing Direct Access USD 20 million funding proposal for Antigua and Barbuda, Dominica and Grenada, with the Department of Environment serving as the Accredited Entity.</p> <p>(31 March) Antigua and Barbuda closes its 2nd Readiness project with the GCF.</p> <p>(17 April) GCF Secretariat notifies Antigua and Barbuda that its 3rd Readiness project for National Adaptation Planning (NAP) totaling USD 3 million</p>

YEAR	GREEN CLIMATE FUND	READINESS AND PREPARATORY SUPPORT PROGRAMME	RELATED EVENTS IN ANTIGUA & BARBUDA
			<p>is effective, with the Department of Environment serving as the Delivery Partner.</p> <p>(May) The Department of Environment submits its Accredited Entity Work Programme to the GCF.</p> <p>(July) Antigua and Barbuda submits its 4th Readiness project to the GCF, which includes USD 1 million for Readiness and USD 1.5 million for preparatory support, with the Department of Environment serving as the Delivery Partner.</p>

## ANNEX C. PERSONS CONSULTED IN ANTIGUA AND BARBUDA, 8-13 JULY 2018

NAME	POSITION	ORGANIZATION	DATE
Lia Nicolson	Project Consultant	Department of Environment	8 July
Jason Williams	Data Manager	Department of Environment	9 July
Arica Hill	Environmental Education Officer		
Ezra Christopher	M&E Consultant		
Raisa Spencer	Technical Data Consultant		
Simone Dias	Data Consultant		
Elliott Lincoln	Private Sector Consultant	Department of Environment	10 July
Gail Imhoff-Gordon	NDA	Department of Finance	11 July
Sasha Gay Middleton	NGO	Department of Environment	11 July
Yamide Dagnet	NDC Global Office	NDC Global Office	11 July
Cayetano Casado	NDC Global Office	NDC Global Office	
Vanessa A.M. Moe	Attorney	Ministry of Legal Affairs	12 July
Diann Black-Lynn	NDA	Department of Environment	13 July



## ANNEX D. DOCUMENTS CONSULTED FOR ANTIGUA AND BARBUDA COUNTRY REPORT

Green Climate Fund (2017). Antigua and Barbuda Country Programme, Antigua and Barbuda.

Department of Environment (2017). Strategy for the Protection of the Environment and the Sustainable Development of Antigua and Barbuda, Government of Antigua and Barbuda.

Department of Environment (2018). Accredited Entity Work Programme to the Green Climate Fund. Government of Antigua and Barbuda.

Department of Environment (2018). Mapping of Climate-related Private Sector Climate Finance in Antigua & Barbuda, Dominica and Grenada.

Department of Environment (2015). Intended nationally Determined Contribution (INDC), Antigua and Barbuda.

Government of Antigua and Barbuda (2017). National Procedure for Issuing Letter of No Objection for Projects and Programs Proposals, Antigua and Barbuda.

# BANGLADESH CASE STUDY REPORT

## I. INTRODUCTION AND RELEVANT BACKGROUND INFORMATION

### A. The major climate risks facing the country

On the Long-Term Climate Risk Index (CRI) of Germanwatch, Bangladesh was the sixth-most affected country in terms of climate change from 1997 to 2016. Bangladesh is especially vulnerable to the effects of climate change on account of its location, its climate and its development trajectory. Situated in the delta floodplain of two major Himalayan rivers, Bangladesh is predominantly low-terrain and flatland with a coastline exposed to coastal erosion, land subsidence, and sediment deposits. The majority of this largely flat land area lies less than 10 metres above mean sea level. This vulnerable landscape houses one of the world's densest and most vulnerable human populations. The population of Bangladesh in 2016 was 163 million, with roughly 70 per cent of those people living in rural areas. The Human Development Index (HDI) value for Bangladesh was 0.579 in 2015. This rank of 139 out of 188 indexed countries and territories, points to the disproportionate vulnerability of the population to the adverse effects of climate change.

In Bangladesh there is a sense of indignation in relation to climate change. An official budget report says: "Bangladesh is an innocent victim" of adverse climate impacts. In meetings undertaken for this evaluation, it was often stated that Bangladesh is not responsible for the consequences of climate change, while it bears the burden. Bangladesh controls only 7 per cent of the catchment area of the various rivers that flood annually, while the rest of the catchment areas are controlled by its upstream neighbours. The greenhouse gas emissions of Bangladesh make up less than 0.35 per cent of global totals, while its sizeable population – largely rural, and dependent on agriculture and fisheries – remains vulnerable to the adverse effects of climate change. This narrative underpins much of the advancement made on Readiness in Bangladesh.

### B. The institutional arrangements of Bangladesh for engaging with the GCF and RPSP

Bangladesh has developed a strong institutional arrangement for engaging with the Green Climate Fund (GCF) and the Readiness and Preparatory Support Programme (RPSP), and this builds on its previous leadership on climate action. The Government of Bangladesh (GoB) nominated the Economic Relations Division (ERD) of the Ministry of Finance (MoF) as the National Designated Authority (NDA) in November 2014. The ERD is one of the four divisions of the MoF, and ERD is the Focal Point (FP) of the GoB for liaising with its development partners and coordinating all external assistance inflows. A GCF Unit has been established within the "UN Wing" of the ERD, and it acts as the NDA/FP Secretariat for coordinating GCF-related activity on behalf of the GoB. The UN Wing also works with the United Nations agencies present in the country, and specifically with other multilateral partners on environment and climate change. For instance, the Secretary of the ERD is also the political FP to the Global Environment Facility (GEF). The Multilateral Environmental Agreement (MEA) FPs and GEF operational FPs, however, are located in the

Ministry of Environment and Forests (MoEF, renamed Ministry of Environment, Forest and Climate Change in May 2018).

Prior to GCF Readiness, the Global Climate Finance Readiness Programme (or simply, CF Ready) of GIZ launched in Bangladesh in 2013, and supported the strengthening of the NDA/FP and consultations to establish a no-objection procedure (NOP). The NDA/FP submitted four Readiness proposals in 2015–2017, with various Delivery Partners (DPs), all of which are approved:

- NDA/FP Strengthening – with GIZ as DP, approved in 2015, first disbursement January 2017;
- Engaging stakeholders in consultative processes – with UNDP as DP, approved in 2015, first disbursement in January 2016, to draft the country programme;
- Realizing direct access – gap assessment of the Local Government Engineering Department (LGED) undertaken by PricewaterhouseCoopers (PwC) in 2017; and
- Areas of Adaptation Planning Support (Adaptation Planning) – UNDP as DP, first disbursement in 2018.

There are two Direct Access Entities (DAEs) in Bangladesh: the Infrastructure Development Company Limited (IDCOL), and the Palli Karma Shohayak Foundation (PKSF). At the time of writing, there were four other entities nominated for accreditation. In addition, Bangladesh is currently seeking a private sector entity for nomination as a DAE. There are a number of International Accredited Entities (IAEs) currently working in Bangladesh, including the International Finance Corporation (IFC), World Bank (WB), Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ), KfW Development Bank, and United Nations Development Programme (UNDP).

In parallel, Bangladesh has built a strong pipeline of active projects:

- “Climate Resilient Infrastructure Mainstreaming (CRIM)” – with KfW as AE, approved in 2015;
- “Enhancing adaptive capacities of coastal communities, especially women, to cope with climate change induced salinity” – with UNDP as AE, approved in 2018; and
- “Global Clean Cooking Program – Bangladesh” – with World Bank as AE, approved in 2018.

There are also five other proposals at various stages of review with the following implementing entities: WMO (1), IUCN (1), PKSF (2), and GIZ (1). In addition, through the Readiness support for the development of the country programme, different agencies have identified 71 project ideas, of which 31 have been earmarked as priorities. This process has involved a high number of consultations, including with 30 ministries, 100 civil society organizations (CSOs), 70 corporate enterprises and 60 financial institutions. In this way, Bangladesh is advancing well in its engagement with the GCF.

## C. Existing country strategies, policies and programmes to address climate change

The domestic institutions and policies that exist to address climate change in Bangladesh are impressive in their number and diversity:

- The Climate Change Trust Act 2010;
- Intended Nationally Determined Contributions (INDC) 2015;
- Bangladesh Climate Change Strategy and Action Plan (BCCSAP) 2009;
- National Adaptation Programme of Action (NAPA) 2005 and 2009;
- Roadmap for Developing a National Adaptation Plan (NAP) for Bangladesh 2015;
- Climate Change and Gender Action Plan (CCGAP) 2013;
- The Bangladesh Climate Action Plan 2009–2018;
- Bangladesh Environment, Forestry and Climate Change Country Investment Plan (2016–2021);
- Seventh Five Year Plan FY2016–FY2020: Accelerating Growth, Empowering Citizens;
- Sector Development Plan (2011–25) for the water supply and sanitation sector;
- The National Plan for Disaster Management 2008–2015;
- National Water Management Plan 2000; and
- Bangladesh Delta Plan 2100.

This does not include the vast policy and regulatory framework. In addition, Bangladesh has implemented two national climate change funds to implement its climate priorities as laid out in the BCCSAP. The Bangladesh Climate Change Trust Fund (BCCTF) is touted as being the first trust fund set up by a government to create a national resource for climate change investment. Since 2009, the GoB has been allocating USD 100 million annually from the non-development budget into this fund, of which 66 per cent is spent on project-related activities and the remainder is to be used for emergencies. The Bangladesh Climate Change Resilience Fund (BCCRF) was created through support from external partners amounting to USD 110 million, and aims to attract additional funding through high-level coordination.

Based on this extensive policy and institutional architecture, Bangladesh was well placed to engage with the GCF even before accessing Readiness support.

## D. Activities of other climate-related global funds in Bangladesh

Since the start of the GEF, Bangladesh has received 43 projects, totalling over USD 160 million in grant funding. In the GEF-6, the climate change allocation for Bangladesh was USD 7.3 million. There is an active project under the climate change focal area, being implemented by the UNDP.

Under the Climate Investment Fund (CIF), Bangladesh has had eight projects approved between 2011 and 2017. Two of these projects were approved in 2017 under the Scaling-Up Renewable

Energy Program of the CIF, and are worth USD 22.2 million and USD 29.3 million in funding respectively.

## II. RELEVANCE OF THE RPSP AND OF ITS MANDATE

Bangladesh has been a front-runner in engaging with the GCF. There are two DAEs that were accredited without seeking Readiness support, while at least four others are in various stages of seeking and achieving accreditation. Only one entity has accessed support from PwC for a gap assessment through the RPSP. Bangladesh was among the first countries where a GCF Funded Project was approved in 2015 – “Climate Resilient Infrastructure Mainstreaming in Bangladesh”, with KfW as the DP (GCF funding: USD 40 million). Two other projects have since been approved with UNDP and GIZ as DPs respectively, and are awaiting Funded Activity Agreements (FAA). Bangladesh also has a rich pipeline of concept notes, many of which are with the GCF, while others are yet to be shared with the GCF.

There have been four Readiness grants:

- (i) NDA/FP Strengthening – with GIZ as DP, approved in 2015. This grant built on the activities being undertaken with the Climate Finance Readiness Programme supported by Germany, which provided assistance for the establishment of the NDA/FP Secretariat, capacity development, and other backing. The RPSP support was targeted primarily towards the development of a web-based system for the management of project proposals, concept notes, communications etc., and capacity development. This included a component wherein the emerging NOP was built upon and established, through the formulation of an Advisory Committee. The Advisory Committee has been active and provided advice to the NDA/FP for the issuance of no-objection letters (NOL) and relevant policy directives. This has allowed the NDA/FP to engage effectively with the GCF.
- (ii) Engaging stakeholders in consultative processes – with UNDP as DP, approved in 2015, with a first disbursement in January 2016. This Readiness grant was targeted towards the development of a Draft Country Programme Framework. It facilitated several workshops and consultations at the regional and national levels, leading to the drafting of the country programme, which was reviewed by the GCF. At the time of the evaluation, additional consultations were being organized to address GCF comments on the draft.
- (iii) Realizing direct access – gap assessment undertaken by PwC in 2017 to support the Local Government Engineering Department (LGED) for its accreditation to the GCF. This is part of efforts being made to increase the number of DAEs for more country-owned delivery of GCF programming.
- (iv) Areas of Adaptation Planning Support (Adaptation Planning) – UNDP as DP. The most recent Readiness grant is targeted towards the formulation and updating of the NAP. This will allow Bangladesh to engage more closely with the GCF and UNFCCC.

It is clear that Readiness support is highly relevant to enabling the GoB to engage with GCF. It has supported Bangladesh in its efforts to strengthen the NOP, undertake consultations to draft the country programme, undertake a gap assessment, and is supporting the development of a NAP. This support builds on pre-existing capacities and strengths in the country: strong country ownership of

the climate agenda, history of climate planning, pre-existing institutional structures that enable engagement with development partners, and readiness activities undertaken by partners such as GIZ. It should also be noted that Readiness-supported activities may have repeated some of the pre-existing structures and processes in the country. For instance, the country has previously undertaken extensive planning and consultation for climate change, through the BCCSAP, the Delta 2100 and other related processes. The country programme processes undertaken for the GCF replicated some of these efforts. However, this relates to broader question of the relevance and adaptability of the GCF to the country's circumstance and contexts.

### III. COHERENCE IN CLIMATE FINANCE DELIVERY

There is a high number of multilateral and bilateral development partners active in Bangladesh. Many of these are also AEs of the GCF. Some of the more prominent partners in the climate landscape include: World Bank; KfW; Asian Development Bank (ADB); Agence Française de Développement (Afd); UNDP; United Nations Environment Programme (UNEP); Food and Agriculture Organization of the United Nations (FAO); GIZ; International Fund for Agricultural Development (IFAD); International Union for the Conservation of Nature and Natural Resources (IUCN); Japan International Cooperation Agency (JICA); and World Food Programme (WFP). The partners engage with the GoB at the bilateral level, and there is no formal mechanism for coordination among the donors. However, the partners do engage with one another more informally, with a high degree of interaction. It should also be noted that the United Nations Development Assistance Framework (UNDAF) has an active steering committee, and the DPs are part of a local consultative group, which was not reported to be highly active. On their part, the ERD and the ERD and the Planning Commission of the Ministry of Planning, coordinate to provide a means through which engagement with partners is carried out. There are several other factors related to coherence, which will be touched upon below.

Firstly, Bangladesh has a strong history of climate planning. It laid out its climate priorities in the BCCSAP 2009–2018, which was supported by the BCCTF and BCCRF, making it one of the first countries in the world to have a domestic fund of such nature. The BCCSAP is currently being updated for the post-2018 period; it identifies a list of projects and priority areas in relation to climate change. There are other planning exercises being undertaken in the country. For instance, Delta 2100 identifies 34 project ideas as being applicable to the GCF.

Second, Bangladesh has strong institutional architecture that supports engagement with development partners, and therefore also with the GCF. For instance, the NDA/FP has been established in the ERD, which is a division within the MoF dedicated to coordinating development partners. Indeed, ERD has 10 wings, of which 8 engage with groups of specific development partners. There is a complex intra-governmental mechanism for public project appraisal and implementation, wherein projects are appraised and screened by the GoB before engagement with partners.

Third, the planning and institutional architecture, in turn, is supported by a culture of consultation and a high level of in-house expertise. For instance, the preparation of the country's climate plans (BCCSAP, Delta 2100, among others) was consultative of various sectors and Government departments. This is related to a high level of climate expertise available within the country, evident

in institutions such as the International Centre for Climate Change and Development (ICCCAD). This inherent expertise can also be seen in advocacy, engagement with partners, and capacity building.

Fourth, there have been Readiness activities undertaken by other partners. Bangladesh was one of the recipients of support from the CF Ready programme implemented by GIZ. Under the programme, Bangladesh was supported in the identification and establishment of the NDA/FP, and the development of the NOP. In addition, ICCCAD has led capacity-development activities, including writeshops, trainings and regional/national consultations, supported by the Department for International Development (DFID) of the United Kingdom, and other partners.

As Bangladesh was already quite advanced in setting its climate priorities and engaging with development partners, the country had strong ownership of its climate agenda. The primary factor leading to coherence between GCF and other sources of climate finance is therefore not necessarily the RPSP, but rather the country's history and its practice of climate finance. Some of the processes undertaken by RPSP were necessary for engagement with the GCF (country programme, NOP, DAE, etc.), but not necessarily for climate finance more broadly.

## IV.EFFECTIVENESS OF THE RPSP AND OF ITS PROCESSES

### A. N1 Extent to which Readiness grants have enabled NDA/FPs to lead effective intra-governmental coordination mechanisms, including the establishment of the no-objection procedure

The assumption to test is that the first RPSP project for NDA/FP strengthening had led to effective intra-governmental coordination mechanisms and a no-objection procedure.

The answer is partially yes, attributed also to the other Readiness activities in the country.

The CF Ready programme was initiated in Bangladesh in 2013 by GIZ. With the support of this programme, inter-departmental consultation took place on the designation of an NDA/FP for the GCF. These consultations included the Planning Commission, MoF, MoEF, and the Ministry of Disaster Management and Relief, among others. Finally, in November 2014, the Senior Secretary of the ERD was nominated as the NDA/FP in Bangladesh, with senior officials of the ERD acting as the NDA/FP Secretariat.

Through the same support, the institutional setup was advanced considerably, including through consultations, the identification and nomination of DAEs, institutional assessment on the capacity of the NDA/FP, and the development of a NOP. The NOP has been established by the NDA/FP through the formulation of an Advisory Committee, which includes members from the ERD, the Planning Commission and other ministries, as well as representatives from academia, civil society, and the private sector. On the basis of the advice of this committee, the NDA/FP issues NOLs. In 2015, a GCF Readiness grant was approved with GIZ as DP for "NDA strengthening", which was targeted primarily towards the implementation of a web-based system to carry out the consultative and administrative functions of the NDA/FP Secretariat. This system is under construction and close to completion. This RPSP support therefore builds on previous procedure; however, the support of the Readiness grant in the actual establishment of initial capacities and the NOP, was limited.



## B. N2 Extent to which Readiness grants have enabled NDA/FPs to effectively engage stakeholders in consultative processes, including the preparation of coherent country programmes

The assumption is that Readiness grants have enabled NDA/FPs to effectively engage stakeholders in consultative processes and the preparation of a coherent country programme.

The answer is yes.

A Readiness grant for the development of a country programme was approved in 2015 and started in 2016, with UNDP as the DP. The country programme process has been highly consultative with a series of meetings with Government entities, private sector stakeholders, CSOs, non-governmental organizations (NGOs), international NGOs (INGOs), DAEs and International AEs. The NDA/FP reported that overall 30 ministries, 100 CSOs, 70 private sector entities, and 60 financial institutions have been consulted thus far. This series of workshops in 2017 resulted in the identification of 250 concepts (not yet quite as advanced as GCF concept notes), of which 71 were shortlisted as project ideas. The criteria for review and ranking were informed by the GCF investment criteria, along with potential for overlap, strategic focus, and the coverage of their range of instruments and stakeholders. From these 71 project ideas, 31 were identified as Pipeline A (ideas of strategic importance and higher priority), and 40 were identified under Pipeline B (ideas with some overlap and requiring further development). Simultaneously, supported by DFID and ICCCAD, writeshops were organized to identify and develop project ideas. The GCF recently provided feedback on the draft country programme, which included suggestions to consider more private-sector projects, and a need to expand the scope of the country programme for climate investment as a whole, not focused solely on the GCF. Following on from this feedback, UNDP and the NDA/FP organized private-sector consultations, one of which was attended by a representative of the evaluation team.

The development of the country programme had two interesting features. Firstly, the DAE structure in Bangladesh facilitated sector-specific consultations. The two DAEs, PKSf and IDCOL, engaged respectively with civil society and the private sector. Secondly, even at the project idea stage, stakeholders were encouraged to identify AEs as potential partners. Given that each accredited entity is associated with a particular specialization, this has resulted in clear division of labour and increased synergy among them.

Even before the finalization of its country programme, Bangladesh had a growing pipeline. There are three active projects with WB, UNDP and KfW acting as DPs for each. Another four projects are at the concept note stage with the GCF, the DPs being UNDP, PKSf, WMO and GIZ. In addition, the DPs are actively pursuing the development of concept notes and proposals, with IDCOL reporting a pipeline of nine proposals and PKSf a similar number.

## C. N3 Extent to which Readiness technical assistance has enabled nominated candidates to achieve accreditation as DAEs

The assumption is that Readiness assistance has enabled nominated candidates to achieve accreditation.

The answer is that this did not happen.



At the time of the evaluation, there were two DAEs – IDCOL and PKSF. There are four other entities nominated for accreditation. Of these, LGED has been the subject of a gap assessment undertaken by PwC. The other entities have not received technical assistance through the Readiness Programme to achieve accreditation.

The process for identification of DAEs was informally started in 2014. In January 2015, a National Implementing Entity (NIE)<sup>23</sup> accreditation stakeholder workshop was organized by the NDA/FP Secretariat, with ongoing support from GIZ and UNDP. Drawing from the BCCSAP, a list of 38 agencies was initially developed and 14 were shortlisted after undertaking self-assessment. This was followed by three stakeholder consultations. Finally, the NDA/FP issued nomination letters to six agencies, which are now in various stages of accreditation.

The IDCOL is a non-bank financial institution, and a major player in private sector energy and infrastructure financing in Bangladesh. It was the first of the six agencies to apply for accreditation in 2015. The nomination letter for IDCOL was received by the GCF Secretariat in May 2015. Owing to the keen interest of its leadership, IDCOL established a GCF Unit, which coordinated the accreditation and is working on the pipeline. The application for accreditation was seen as a major challenge by IDCOL as it required extensive work to complete, along with the development of additional policies and documents. This cost was absorbed by IDCOL, as there was not an awareness of Readiness support for part of these activities. The IDCOL was accredited more than two years later, in July 2017. At the time of the evaluation visit in July 2018, IDCOL was awaiting the receipt of its Accreditation Master Agreement (AMA). Green Climate Fund accreditation lasts five years, and delays in the issuance of the AMA led to a perception of the loss of a year of activity as a DAE. The IDCOL is accredited by the GCF for medium-sized projects and its fiduciary standards are: basic, project management, and on-lending/blending loans.

The PKSF is a Government-established not-for-profit financial institution that supports rural finance and training, mostly through micro-credit. It was identified by the NDA/FP for accreditation at the same time as IDCOL. The PKSF had the additional advantage of being chaired by a leading climate change expert and negotiator, who recruited a senior Government official to lead the engagement with GCF. As a result, the process for accreditation was started in 2015, with the submission of its application in early 2016, without Readiness support being sought. Subsequently, the PKSF went through seven rounds of reviews with the GCF Secretariat and was accredited in October 2017. The PKSF reported that accreditation required the development of new policy papers, translations and technical assistance, amounting to 10 million BDT, or roughly USD 120,000. The PKSF had not received the AMA at the time of this evaluation. It had been accredited for small projects and all fiduciary standards: basic, project management, grant award, and on-lending/blending loans.

The LGED is an implementing agency with a mission of “development and management of local infrastructure for increasing farm/non-farm production, generating employment, improving socio-economic condition, promoting local governance, reducing poverty and acting as agent of change at the local level”. With an annual turnover of USD 1.3 billion, LGED is an agency under the Ministry of Local Government Rural Development and Cooperative. The LGED has an extensive on-ground

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<sup>23</sup> In Bangladesh, the term National Implementing Entity (NIE) replaces DAE.

presence with more than 11,000 staff members and its focus is on the planning and implementation of local-level infrastructure development programmes. In 2016, on the suggestion of the NDA/FP, the LGED received in-kind technical assistance through PwC to assess the gaps in its capacities to become accredited. Following the report provided by PwC, LGED devised an action plan for accreditation, and has initiated its application. The LGED, however, perceives strong challenges in achieving accreditation as a Government entity. While LGED is no stranger to funding from external development partners, it is required by the GCF to provide external audit reports and bank statements. As a Government entity, LGED is not able to extricate itself from GoB internal processes for auditing and financing. Furthermore, Government entities in Bangladesh undertake procurement through processes guided by the Central Procurement Technical Unit (CPTU) under the Implementation Monitoring and Evaluation Division (IMED), and are not able to segregate procurement, reportedly a requirement of the GCF. With these challenges, LGED is deliberating accreditation further.

Among the other nominated entities, one is waiting for a GCF response on its current application, while the others are expecting to submit their applications in 2018. The NDA/FP is also interested in recruiting a DAE from the private sector, and is likely to issue a call for expressions of interest to nominate one or two private-sector entities for accreditation.

The institutional infrastructure in Bangladesh has demonstrated an innovativeness in terms of the specific comparative advantages of DAEs. The entities, however, are overcome by the amount of time and energy required for accreditation, especially as the process is yet to yield results (and B.20 did not approve any new Funded Projects). Furthermore, the GoB has a demonstrated preference that Government agencies become accredited, and it was felt that public-sector entities should be subject to a modified accreditation process that considered their structures and on-the-ground realities.

#### D. N4 Extent to which information and experience-sharing events and processes have contributed to the ability of countries and DAEs to engage effectively with the GCF

The assumption is that the information-sharing events organized by the GCF Secretariat – primarily the regional Structured Dialogues and DAE workshops – have helped countries to engage effectively with the GCF.

The answer is likely yes.

The NDA/FP and NDA/FP Secretariat participated in both structured dialogues organized for Asian countries in Bali, Indonesia, in April 2017, and in Da Nang, Viet Nam, in April 2018. However, there had been staff turn-over between the two meetings, and the same person was not able to attend both events. The DAEs attended the DAE workshop in Songdo, Republic of Korea, in 2018. The workshops and information-sharing events were said to have brought clarity about the GCF, leading to the establishment of a working relationship with the staff. However, the experience was recent, and therefore, specific contributions were not discernible.

It should also be noted that many respondents had participated in regional or national workshops without GCF support. For instance, a regional meeting of NDA/FPs and DAEs was organized by the ERD with ICCCAD and the DFID-funded Action on Climate Today (ACT), in May 2018, with representatives from Nepal, Sri Lanka, Bangladesh, Afghanistan, Pakistan and Bhutan. Two representatives from the GCF also attended the meeting. A “writeshop” had already taken place, organized under the DFID-funded Climate Finance Transparency Mechanism (CFTM), with the participation of national entities (accredited and non-accredited) in the development of concept notes and proposal ideas. Also, in 2017, the CFTM provided support so that representatives of the NDA/FP Secretariat and the two DAEs could visit India for cross-learning with its NDA/FP and a DAE. Such events have also developed the capacities of DAEs and NDA/FPs to engage in an effective and intertwined way with the GCF.

#### **E. N5 Extent to which Readiness grants have enabled countries to develop National Adaptation Plans that build on existing country strategies and plans**

The assumption is that the RPSP has enabled the development of a NAP.

The answer is yes – on track.

The Readiness proposal for the development of a NAP was submitted in July 2017 and approved in February 2018 for USD 2.8 million, with UNDP as the DP. This three-year grant builds on the “Roadmap for Developing a National Adaptation Plan for Bangladesh”, which was published by the MoEF in 2015 and updated through a national stocktaking and consultation meeting organized by the Government (supported jointly by UNDP and GIZ). This NAP support has recently begun and the outputs will be seen in time.

#### **F. N6 Extent to which Readiness grants have enabled NDA/FPs and AEs to develop concept notes and/or project proposals to access climate finance that address high-impact priorities identified in country programmes**

The assumption is that Readiness funds have enabled the NDA/FP and the DAE to develop concept notes and/or project proposals to access climate finance that address high-impact priorities.

The answer is partly yes.

The country programme, as stated previously, is under preparation through Readiness support, with UNDP as the DP (approved in 2016). This grant is being used by UNDP to draft the country programme through a consultative process, with the identification of prospective DPs and implementing entities, the latter not necessarily being accredited. This process has been undertaken in parallel with the writeshops organized by ICCCAD.

However, besides the Readiness grant for the development of the country programme, no specific Readiness support is being sought to develop concept notes and/or project proposals, many of which are already in the pipeline. Currently, three projects are approved and active in Bangladesh, with KfW, UNDP, and World Bank as their respective implementing entities. A strong pipeline already

exists that features different DAEs. For example, IDCOL has a pipeline of nine proposals at various stages of development with the PPF and PSF, while PKSf has two full proposals currently under review with the GCF Secretariat. These concept notes/proposals were not prepared with direct Readiness support.

### G. N7 Extent to which private sector engagement in country consultative processes has helped improve the enabling environment for crowding-in private sector investments

The assumption is that the involvement of the private sector in consultations has helped to improve the conditions for crowding-in private sector investments.

The answer is not yet.

With Readiness support, there is a strong effort in Bangladesh to engage the private sector in many ways. The first GCF review of the draft country programme placed emphasis on engaging with the private sector. As a result, additional efforts have been made to engage the private sector in consultations, one of which was attended by the evaluation team. This consultation had about 60 attendees from diverse private sector actors. Furthermore, the DAE structure facilitates the representation of private sector needs in climate planning. The IDCOL is a financial institution that works primarily in the energy sector, and it is one of the country's main conveyancers for the private sector in mobilizing funds from the GCF. In addition, Bangladesh is exploring the possibility of nominating a private sector entity for accreditation. During the private sector consultation, the President of the Metropolitan Chamber of Commerce and Industry stated the intention of opening a special unit to facilitate engagement with the GCF and climate finance.

Significant challenges still exist for engagement. In the initial years, there was a lot of interest in the GCF from the private sector. However, GCF processes are notoriously lengthy and cumbersome, and this has led to a waning of interest in the private sector. Furthermore, there is lack of clarity when it comes to the exchange rate and agreement on loans. Participants at the private sector workshop reported a gap in capacity and in staff availability for writing GCF proposals. As a result of these challenges, consultative processes have not yielded significant outcomes.

## V. COUNTRY OWNERSHIP

There is strong country ownership of GCF projects and programmes of Bangladesh. This is rooted in several inherent factors. To begin with, there is a strong history of climate planning. In 2009, Bangladesh already had an action plan, the BCCSAP 2009-2018, to articulate its priorities related to climate action. Bangladesh was also the first Least Developed Country (LDC) to float a national trust fund to address climate change. This effort has been internalized, evidenced by adaptation and mitigation being reflected in country financial planning, including in the seventh Five Year Plan.

This planning, in turn, is a result of the recognition of the country's high vulnerability to climate change, which was recognized early on owing to in-country expertise. There are a number of climate experts and public intellectuals based in Bangladesh, and this results in strong civic engagement, high-level consultations, advocacy, and relatedly, strong institutional architecture that

facilitates engagement with development partners. The considerable amount of active development partners with sizeable contributions means that inter-governmental mechanisms exist for such engagement.

As a result of this combination of factors, engagement with GCF and with climate finance was not unknown to the country. Indeed, partners like GIZ were already implementing their own Readiness programmes, which resulted in the early nomination of the NDA/FP, the identification and nomination of DAEs, and the development of the NOP. Indeed, a number of Government departments had expressed interest in being nominated as the NDA/FP, and there was equal enthusiasm for accreditation.

Furthermore, there is a high level of engagement and ownership with the GCF. This is demonstrated through the number of agencies interested in accreditation, the high turnout at consultations, and enthusiasm for writeshops and other GCF-related events. On account of several factors, of which the RPSP is only one, the country is on its way to achieving the results of Readiness, as per the following country ownership framework (developed by the evaluation team):

- The NDA/FP is established and functional;
- Stakeholder consultations are being organized by the NDA/FP;
- An online NOP has been established, although not yet complete;
- A country programme has been developed and agreed upon with the major stakeholders;
- A DAE has been accredited; and
- One or more Funded Project proposals have been submitted to (and approved by) the GCF.

As explained in section IV above, the results for all the points are in place. However, this GCF-ready architecture is not the result of the RPSP alone. Instead, it is the result of a combination of factors, including the history and precedent of climate planning in the country, strong institutional structures for donor engagement, the presence of in-country expertise, and a culture of consultation.

## VI. UNEXPECTED RESULTS

Owing to the long delays and circuitry associated with GCF processes, many respondents in Bangladesh reported the creation of tensions and loss of social capital with their constituencies. To illustrate, the NDA/FP and DPs alike found their activities with GCF to be significantly long in duration. It was also reported that advice from the GCF Secretariat was often confusing, and sometimes contradictory. This is in light of an arrangement where the NDA/FP acts as an interface between the GCF and DPs, and the DPs do the same between GCF and their own constituencies. The extended timelines and the confusing advice often caused strain in the relationships between the actors and their constituencies. For instance, the establishment of an online process for the NOL required hardware support, which was not among the eligible activities for NDA/FP support. This led to extended tripartite deliberations between the Regional Advisor (RA), the GCF Secretariat and the DP. In another case, DPs reported that lengthy accreditation processes were leading to anxiety in their constituencies and governance machineries. The GCF Units were established with much

enthusiasm in the DPs, but the lengthy and resource-intensive GCF processes were leading to embarrassment among these Units.

In the short-term, this led to the creation of tensions between various actors and their constituencies. While promised progress milestones were not achieved, the actor(s) at the interface felt accountable to their constituencies. More worryingly for the long-term, this creates the risk of decline in social capital. This evaluation visit took place soon after B.20, which was not successful in its review of project proposals. In the aftermath of B.20, stakeholders were increasingly burdened with questions about the potential and the future of the GCF, risking the alienation of entities and the broader GCF institutional infrastructure. The GCF delivery model is based on the assumption of strong inter-institutional structures. The potential decline in social capital may result in serious consequences, if unchecked.

## VII. CROSS-CUTTING ISSUES GENDER EQUITY AND INCLUSIVENESS

Bangladesh performs well on indicators related to gender. The Global Gender Gap Report 2017 pegs Bangladesh at 47th in its global ranking – the highest in South Asia – with excellent performance in indicators related to political empowerment and education. In terms of enrolment in primary and secondary education, girls outnumber boys by 1:11 and 1:14, respectively. For nearly 30 years, the Prime Minister and the head of state of the country has been one of the two female Prime Ministers, Sheikh Hasina and Khaleda Zia. According to the report, Bangladesh is the top-performing country in the region with strong progress, particularly across the dimensions of the Economic Opportunity and Participation sub index. However, there are also significant challenges in women's access to productive resources, in domestic violence, and in the uneven burden of care work.

Bangladesh has formulated the Climate Change Gender Action Plan to integrate gender considerations into the main pillars identified in the BCCSAP. Among the current GCF projects, two are especially directed towards women: “Global Clean Cooking Program – Bangladesh”, implemented by World Bank, and “Enhancing adaptive capacities of coastal communities, especially women, to cope with climate change induced salinity”, implemented by UNDP. The IDCOL reported that most of its borrowers tend to be women and will remain so in the developing pipeline.

## VIII. INNOVATIVENESS AND POTENTIAL FOR PARADIGM SHIFT

The currently accredited entities in Bangladesh demonstrate a neat set of comparative advantages, and contribute to an overall strong architecture for the delivery of GCF programming. The IDCOL is the interface of the Government with the private sector, while PKSf works in partnership with CSOs for microcredit, and LGED is an implementing agency with a vast presence on the ground. Furthermore, the three agencies focus primarily on energy, poverty alleviation, and water, respectively. These responsibilities are also integrated into the draft country programme, where implementing entities are identified already, with a neat division of labour. This institutional setup allows for a reduction of competition among DAEs with a clear segregation of work areas. This also allows for the development of synergies, through mutual dialogue.

In another innovative step, through a readiness grant for NDA/FP strengthening, GIZ is supporting the ERD to develop an online system for the delivery of NOLs for accreditation and project approvals. This online system is being designed so that proposals can be seen online as they go through various stages of development and approval. Although this was requested by a previous NDAFP, now no longer in the same office, the process is likely to set up an efficient system that is less subject to the vagaries of meeting schedules. It is also likely to accord transparency to the process, by making publicly accessible the development of proposals by different entities.

## IX. LIKELIHOOD OF SUSTAINED IMPACT OF THE RPSP

The impacts of RPSP activities are likely to be sustained because the Government has strong ownership of its climate change agenda.

## X. POTENTIAL FOR BUILDING SCALE

The potential for replication is already partially realized, as the NDA/FP and DAEs have engaged in cross-country learning, including visits to other countries. While the NDA/FP staff have since changed, the DAEs reported extensive learning from the experience of the National Bank for Agriculture and Rural Development (NABARD), a DAE in India. In the early days, Bangladesh also benefitted from the experience of the CF Ready programme in other countries.

In addition, there are initiatives with the potential for replication. For instance, the innovations identified in section VIII above refer to the sectoral segregation of DAEs, and a web-based system for NOLs and project screening. These innovative measures have the potential to be utilized in other contexts.

While projects, both funded and in the pipeline, have been prepared without Readiness funding, the preparation of the country programme and of 71 draft concept notes has been supported by Readiness funding and is likely to lead to Funded Projects in the future. These projects are designed for scaling up and were identified through RPSP support.

## XI. EFFICIENCY OF RPSP PROCESSES

There are several measures for efficiency in the country-Readiness architecture. The web-based platform for the screening of proposals and NOLs holds promise for making the processes yet more efficient and manageable. The early identification of accredited and nominated AEs has increased the potential for efficiency going forward, while the establishment of the NDA/FP in a division with experience in engaging with development partners increases the potential for efficiency.

The challenges related to efficiency, however, are many, and primarily related to the GCF itself. The amount of time and effort taken up by GCF processes overwhelmed all the stakeholders consulted for this evaluation. The Readiness projects alone have taken over a year each from submission to disbursement. This is in light of the experience of Bangladesh with the BCCTF and BCCRF, where the timelines for approval are 1-2 months from submission to disbursement. The process of accreditation has also been frustrating for DAEs. After going through a long, painstaking accreditation process, it took a year for the the AMAs to be signed, causing the DPs to lose one of their five years (accreditation is for five years, at which point it has to be revisited).

The processes were also resource-intensive. Both DAEs managed the accreditation with their own resources. This was a costly process in terms of human resources, time, and financial resources. Furthermore, DAEs have so far been absorbing the cost of proposal development. Each proposal is said to cost approximately USD 200,000 for preparation. Given that the returns are slow to come, this process is leading to considerable frustration among the NDA/FP, DAEs and other partners.





## ANNEX A. TIMELINE OF KEY EVENTS IN THE GREEN CLIMATE FUND AND THE READINESS AND PREPARATORY SUPPORT PROGRAMME, AND RELATED EVENTS IN BANGLADESH

YEAR	GREEN CLIMATE FUND	READINESS AND PREPARATORY SUPPORT PROGRAMME	RELATED EVENTS IN BANGLADESH
2009			A revised National Adaptation Programme of Action (NAPA) is submitted. Bangladesh Climate Change Strategy and Action Plan formulated.
2010	(December) The Sixteenth Session of the United Nations Framework Convention on Climate Change in Cancun (COP 16), Mexico, decides to establish a Green Climate Fund (GCF), to be designated as an operating entity of the financial mechanism of the Convention under Article 11.		Bangladesh Climate Change Trust Fund (BCCTF) established. Bangladesh Climate Change Resilience Fund (BCCRF) established.
2011	(December) COP 17 in Durban, South Africa, adopts the Governing Instrument of the Green Climate Fund.		
2012	(October) Board selects the Republic of Korea to host the GCF Secretariat.		
2013	(June) The Board selects H��la Cheikhrouhou as the first Executive Director of the GCF Secretariat. (June) The Board requests the Secretariat to issue an invitation to developing countries to nominate a Nationally Designated Authority (NDA). (October) The Board agrees on a roadmap to mobilize resources.	(March) The Board adopts modalities for Readiness support and decides to explore options for making short-term progress on Readiness, including the initiation of work on operationalizing a Readiness phase. (October) The Board decides that the GCF will provide Readiness and preparatory support to: <ul style="list-style-type: none"> <li>• Enable preparation of country programmes;</li> <li>• Strengthen in-country, GCF-related institutional capacities; and</li> <li>• Enable implementing entities to meet the GCF's fiduciary standards and Environmental and Social Safeguards (ESS).</li> </ul>	The GIZ starts the implementation of its CF Ready programme.

YEAR	GREEN CLIMATE FUND	READINESS AND PREPARATORY SUPPORT PROGRAMME	RELATED EVENTS IN BANGLADESH
2014	<p>(October) The Board decides only to consider funding proposals that are submitted with a formal letter of “no objection”, to ensure consistency with national climate strategies and plans, and country-driven approaches.</p> <p>(November) The GCF Secretariat opens its online accreditation system for national and international entities.</p>	<p>(February) The Board conceptualizes a detailed work programme on Readiness, including four priority activities:</p> <ul style="list-style-type: none"> <li>• Establishment of NDAs/focal points (FPs);</li> <li>• Strategic frameworks, including the preparation of country programmes;</li> <li>• Selection of implementing entities; and</li> <li>• Initial pipelines of programme and project proposals.</li> </ul> <p>(October) The Board decides:</p> <ul style="list-style-type: none"> <li>• That all developing countries will have access to Readiness support, with at least 50 per cent of Readiness support allocated to particularly vulnerable countries, including SIDS, LDCs and African states;</li> <li>• That Readiness commitments will be limited to USD 1 million per country per calendar year, including up to USD 300,000 to help establish an NDA/FP; and</li> <li>• To allocate USD 15 million for the Readiness Programme, and an additional USD 14 million after receipt of the next semi-annual report.</li> </ul>	<p>Bangladesh nominates the Economic Relations Division (ERD) as the NDA.</p>
2015	<p>(March) The Board approves the first Accredited Entities (AEs).</p> <p>(November) The Board approves the first eight investment projects before the Paris Climate Summit.</p> <p>(November) COP 21 in Paris passes the landmark international climate agreement, with the GCF as the dedicated operating entity of its financial mechanism.</p>	<p>(February) The GCF Secretariat issues the first version of the RPSP proposal template.</p> <p>(May) The GCF Secretariat issues the second version of the RPSP proposal template.</p>	<p>(January) A DAE Accreditation Workshop is organized by the NDA, with support from GIZ and UNDP.</p> <p>Two requests are submitted for Readiness.</p>
2016	<p>(March) The Board adopts its Strategic Plan, which links the GCF to the Paris Agreement, and reconfirms the importance of the GCF RPSP.</p> <p>(October) The Board selects Howard Bamsey as the second Executive Director of the GCF Secretariat.</p>	<p>(June) The Board decides to defer the independent evaluation of the Readiness programme to 2017.</p> <p>(June) The Board adopts a revised indicative list of activities that the Readiness programme can support:</p> <ul style="list-style-type: none"> <li>• Establishing and strengthening NDA/FPs;</li> <li>• Strategic frameworks, including the preparation of country programmes;</li> <li>• Support for accreditation and accredited DAEs;</li> </ul>	<p>First two Readiness requests are approved and disbursed in 2016 and 2017, for NDA strengthening and country programme preparation.</p> <p>A gap assessment for the Local Government Engineering Department (LGED) is performed by PwC.</p>

YEAR	GREEN CLIMATE FUND	READINESS AND PREPARATORY SUPPORT PROGRAMME	RELATED EVENTS IN BANGLADESH
		<ul style="list-style-type: none"> <li>• Information-sharing, experience exchange and learning; and</li> <li>• Formulation of national adaptation plans and/or other adaptation planning processes.</li> </ul> <p>(28 July) The GCF Secretariat issues the third version of the RPSP proposal template, including a logframe of intended outcomes.</p> <p>(December) The Board decides to allocate an additional USD 50 million for the RPSP.</p>	
2017		<p>(16 June) The GCF Secretariat issues the fourth version of the RPSP proposal template.</p> <p>(July) The Board invites the Independent Evaluation Unit (IEU) to undertake an independent evaluation of the RPSP.</p>	<p>Country programme consultations begin, with country programme drafted and validated in December.</p> <p>Two entities become accredited.</p>
2018		<p>(February–March) The Board:</p> <ul style="list-style-type: none"> <li>• Takes note of the findings of the initial review by the Secretariat of the RPSP (Dalberg Report);</li> <li>• Approves an additional USD 60 million for the RPSP; and</li> <li>• Approves the terms of reference for the independent evaluation of the RPSP.</li> </ul>	<p>A draft country programme is submitted and reviewed by GCF.</p> <p>Readiness support for National Adaptation Plan (NAP) preparation is approved by GCF.</p> <p>Two Funded Projects are approved by GCF.</p>

## ANNEX B. BANGLADESH: PORTFOLIO OF GCF, GEF, SCF, AND CIF ACTIVITIES

ID NUMBER	GCF RPSP PROPOSAL	ACTIVITY AREA(S)	STATUS	APPROVAL DATE	FIRST DISBURSEMENT DATE	DURATION	IMPLEMENTING ENTITY	INSTRUMENT	COMMITTED AMOUNT IN USD IN USD	DISBURSED AMOUNT IN USD
1705-14657	Establishing and strengthening National Designated Authorities (NDAs)	NDA Strengthening	Approved	25 October 2015	18 January 2017	12 months	GIZ	RPSP Grant	150,000	69,353
1705-14650	Strategic frameworks for engagement with the GCF, including the preparation of country programmes	Engaging stakeholders in consultative processes	Approved	25 October 2015	11 October 2016	12 months	UNDP	RPSP Grant	150,000	150,000
1712-15016	Support for accreditation of Direct Access Entities (DAEs)	Realizing direct access	Approved	14 December 2016	18 October 2017	6 months	PwC	RPSP Grant	34,620	16,611
1712-15009	Formulation and Advancement of the National Adaptation Plan Process in Bangladesh	Areas of adaptation planning support	Approved	9 February 2018	25 June 2018	36 months	UNDP	Adaptation Planning	2,805,990	636,666
ID Number	GCF Funded Project		Status	Approval date		Duration	Implementing Entity	Instrument	Committed amount in USD	Disbursed amount in USD
FP004	Climate Resilient Infrastructure Mainstreaming (CRIM)		Active	2 November 2015		6 years	KfW			
FP069	Enhancing adaptive capacities of coastal communities, especially women, to cope with climate change-induced salinity		Active	26 February 2018		6 years	UNDP			
FP070	Global Clean Cooking Program – Bangladesh		Active	26 February 2018		3.5 years	World Bank			

ID NUMBER	GCF RPSP PROPOSAL	ACTIVITY AREA(S)	STATUS	APPROVAL DATE	FIRST DISBURSEMENT DATE	DURATION	IMPLEMENTING ENTITY	INSTRUMENT	COMMITTED AMOUNT IN USD IN USD	DISBURSED AMOUNT IN USD
	Enhancing Climate Resilience in the Third Pole		Active			5 years	WMO			
	Building Climate Change Mitigation and Climate Resilient Coastal Communities & Ecosystems in Asia (BiCCRA)		Active			5 years	IUCN			
EDA	Resilient housing and livelihood support (through crab fattening) to the vulnerable people of the coastal areas of Bangladesh		Active			5 years	PKSF			
SAP	Extended Community Climate Change Project (ECCCP)		Active				PKSF			
	Promotion of Climate-Friendly Cooking: Bangladesh, Kenya and Senegal		Active				GIZ			
ID Number	Global Environment Facility	Focal areas	Status	Approval date			Agencies	Type	GEF Grant in USD	Co-financing in USD
2777	Barrier Removal to the Cost-Effective Development and Implementation of Energy Standards and Labeling Project (BRESL)	Climate change	Project Approved	14 June 2007			UNDP	Full-size project	7,800,000	28,080,900
ID Number	Climate Investment Fund	Sector	Status	Approval date	Start date		Implementing Entity		Funding in USD	Disbursed amount in USD
XPCRBD005 A	Climate change capacity building and knowledge management	Public Sector		2 June 2011			ADB		320,000	

ID NUMBER	GCF RPSP PROPOSAL	ACTIVITY AREA(S)	STATUS	APPROVAL DATE	FIRST DISBURSEMENT DATE	DURATION	IMPLEMENTING ENTITY	INSTRUMENT	COMMITTED AMOUNT IN USD IN USD	DISBURSED AMOUNT IN USD
PPCRBD001 B	Climate smart SME financing	Private Sector		2 April 2015			IFC		10,000,000	
XPCRBD004 A	Coastal Climate-Resilient Infrastructure Project	Public Sector		5 September 2012			ADB		30,000,000	
XPCRBD002 A	Coastal Embankment Improvement Project – Phase I (CEIP-1)	Public Sector		22 April 2013			IBRD		25,000,000	
PPCRBD001 A	Investment Project 1 Promoting Climate Resilient Agriculture and Food Security/Climate Smart SME Financing			20 August 2013			IFC		3,000,000	
PPCRBD006 A	Technical Assistance Project 2 “Feasibility Study for a Pilot Program of Climate Resilient Housing in the Coastal Region”			20 August 2013			IFC		400,000	
ID Number	SCF – Scaling Up Renewable Energy Programme	Sector	Status	Approval date			Implementing Entity		CIF Grant in USD	IDA co-financing in USD
XSREBD064 A	Off-Grid Solar PV-Solar Irrigation	Public Sector		25 July 2017			ADB		22,220,000	42,000,000
XSREBD076 A	Scaling Up Renewable Energy	Renewable Energy		25 August 2017			IBRD		Loan: 26,380,000 Grant: 2,870,000	402,500,000

## ANNEX C. PERSONS CONSULTED IN DHAKA, 8-12 JULY 2018

NAME	POSITION	ORGANIZATION	DATE
Binu Pardhan <sup>24</sup>	Regional Adviser	Green Climate Fund	6 July
Kazi Shofiqul Azam Mst. Asia Khatoon Dr. Kazi Anowarul Hoque Nur Ahmed	Secretary Additional Secretary Additional Secretary Deputy Secretary	Economic Relations Division (ERD) Ministry of Finance, Government of Bangladesh	8 July
Dr. Nurul Quadir Dr. Mohammad Azizul Haque	Additional Secretary Deputy Secretary	Ministry of Environment and Forests	8 July
Mahmood Malik M. Mosleh Uddin Mafruda Rahman Tanushka M. Billah	Executive Director and CEO Unit Head & Assistant Vice President, GCF Unit Assistant Manager, GCF Unit Management Trainee – GCF Unit	Infrastructure Development Company Limited	9 July
Dr. Fazle Rabbi Sadeque Ahmed	Director, Environment and Climate Change	Palli Karma-Sahayak Foundation (PKSF)	9 July
Md. Ali Akhtar Hossain	Superintending Engineer	Local Government Engineering Department (LGED)	9 July
Md. Jasim Uddin	Project Director, Climate Resilient Infrastructure Mainstreaming (CRIM) GCF Funded Project	Local Government Engineering Department (LGED)	9 July
Mohammad Nazmul Hasan Chowdhury	Project Manager, Third Urban Governance & Infrastructure Improvement Project and Focal Person, Enhancing Urban Resilience Program (EURP) under GCF-2	Local Government Engineering Department (LGED)	9 July
Ripon Hore	Assistant Engineer, Climate Resilient Infrastructure Mainstreaming (CRIM)	Local Government Engineering Department (LGED)	9 July
Gopal Krishna Debanth	Project Director	Local Government Engineering Department (LGED)	9 July
Mirza Shaukat Ali Md. Harun-Or-Rashid	Director Assistant Director (International Convention)	Department of Environment	9 July

<sup>24</sup> Met virtually outside of field visit.



NAME	POSITION	ORGANIZATION	DATE
A.K.M. Mamunur Rashid	Climate Change Specialist	UNDP	10 July
Firdaus Ara Hussain	Principal Advisor, Climate Finance Governance (CFG) Project	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH	10 July
S.M. Mehedi Ahsan	Sector Specialist for Resilient Cities	KfW Development Bank	10 July
<i>Nihad Kabir</i> <sup>25</sup>	President	Metropolitan Chamber of Commerce and Industry	11 July
Md. Mafidul Islam	Joint Chief, General Economics Division	Planning Commission	11 July
Dr. Saleemul Huq	Director	ICCAD	12 July
Dr. M. Feisal Rahman	Assistant Professor	Department of Environmental Science Independent University, Bangladesh	12 July
Kazi Shofiqul Azam Mst. Asia Khatoon Dr. Kazi Anowarul Hoque Nur Ahmed Samia Alam Baby Rani Kormokar Saleha Binte Siraj Md. Shaheenur Rahman	Secretary Additional Secretary Additional Secretary Deputy Secretary Deputy Secretary Deputy Secretary Deputy Secretary Senior Assistant Chief	Economic Relations Division (ERD) Ministry of Finance, Government of Bangladesh	12 July

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<sup>25</sup> Met on the side of the “Private Sector’s Engagement in Green Climate Fund: Opportunities and Challenges”, organized by NDA/FP Secretariat, ERD, and UNDP at the NEC-2, Planning Commission, Dhaka on 11 July 2018.

## ANNEX D. DOCUMENTS CONSULTED

Deutsche Gesellschaft für Internationale Zusammenarbeit & Government of the People's Republic of Bangladesh (2016). Institutional and Capacity Assessment of the National Designated Authority (NDA) Secretariat of Bangladesh to the Green Climate Fund.

Deutsche Gesellschaft für Internationale Zusammenarbeit (2014). CF Ready in Bangladesh.

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# HAITI CASE STUDY REPORT

## I. INTRODUCTION AND RELEVANT BACKGROUND INFORMATION

### A. The major climate risks facing the country

Haiti is the only Least development Country (LDC) in the Western Hemisphere, and it also faces major climate-related changes and risks. Projections to 2030 foresee a rise in temperature of 0.8-1°C, an annual decrease in rainfall of 6-20 per cent, a shift in the seasonality of rainfall and a rise in average sea level. Haiti suffered devastating damage from hurricane Matthew in 2016<sup>26</sup> and has subsequently confronted several severe weather events, including severe flooding in 2017<sup>27</sup> and 2018<sup>28</sup> due to heavy rainfall and landslides. Haiti is not a major greenhouse gas (GHG) emitter, though its emissions have been growing. The cost of climate change-related impacts has been estimated at USD 1.8 billion, without factoring in the costs and measures of mitigation and adaptation (with adaptation costs estimated at USD 77 million).<sup>29</sup>

In 2014, Haiti was considered the world's fourth most vulnerable country to the effects of climate change. The main factors in the vulnerability of Haiti are its geographic location, acute deforestation and land degradation, high poverty rates, weak institutional capacity to respond, inadequate financing for implementing national climate change-response priorities and plans, as well as inadequate technological resources. The extreme weather events confronting the country along with the other factors affecting its vulnerability amount to significant obstacles to the country's development efforts. As such, Haiti has been prioritizing national adaptation to climate change, and the mitigation of devastation and loss, in no small part through increased national resilience (including institutional development).

### **The institutional arrangements of Haiti for engaging with the GCF and RPSP**

At the time of writing, Haiti had two Readiness and Preparatory Support Programme (RPSP) projects underway, with a third pending. It also had four concept notes/proposals in the pipeline, at various stages of consideration by the Green Climate Fund (GCF). While Haiti has relatively limited capacity for engaging with the GCF and RPSP, reflective of its status as an LDC and Small Island Developing State (SIDS) country, it has nonetheless maintained and developed an effective and growing relationship with the GCF.

The Ministry of Environment of Haiti has taken the lead with the GCF, as the National Designated Authority/Focal Point (NDA/FP), through the Directorate of Climate Change. Over the course of the first RPSP grant period, the Director of Climate Change of the Ministry of Environment changed in Haiti, generating a political risk to the programme's work. However, this appears not to have had any significant detrimental implications. A Technical Working Group has been developed to engage

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26 Available at <<https://www.reuters.com/article/us-climatechange-weather-risks/haiti-tops-index-of-nations-worst-hit-by-extreme-weather-in-2016-idUSKBN1D91UT>>.

27 Available at <<https://reliefweb.int/disaster/fl-2017-000043-hti>>.

28 Available at <<https://watchers.news/2018/05/08/deadly-floods-and-landslides-hit-haiti-dominican-republic-and-jamaica/>>.

29 Available at <<http://www.haitilibre.com/docs/UNDP-HT-ProEnv-EtuEconoCC.pdf>>.

with the United Nations Development Programme (UNDP) on a project basis, given that UNDP as International Accredited Entity (IAE) and Delivery Partner (DP) is responsible for the delivery of current readiness support in Haiti – though Haiti may very well choose other DPs in the future. There are no Direct Access Entities (DAEs) in Haiti for the time being, though notable progress on this matter is being made and is discussed below.

While the institutional landscape is in place for RPSP support to be received, one of the risks flagged in the second RPSP request was the “unavailability of data and information as input to projects.” This reflects a widespread challenge in Haiti and in the Caribbean, and perhaps in other regions, of countries being inconsistent in their recording and keeping track of relevant information on projects. Such inconsistency in monitoring practices at the national level makes it particularly challenging to track changes on climate related processes as required by a global fund. This reflects a real challenge stemming from the institutional environment in which the RPSP is delivered, and raises questions about current restrictions on the use of RPSP funds for concrete logistics-related development. It is however possible that the NAP-support requested may indeed help with addressing these data gaps.

### **Existing country strategies, policies and programmes to address climate change**

Prior to requesting support from the GCF, Haiti already had relevant country strategies and plans in place. Before submitting its first request, it had an Intended Nationally Determined Contribution (INDC), a Strategic National Development Plan (*Plan Stratégique de Développement d’Haïti*), National Adaptation Plan of Action ([NAPA]; *Plan d’Action National d’Adaptation* [PANA]), a National Strategy for Climate Change and a Second National Communication on Climate Change (*Deuxième Communication Nationale sur les Changements Climatiques*).

In addition, Haiti has a roadmap for a renewable energy system in Haiti (*Feuille de route pour un système énergétique durable en Haïti*), a Ministry of Agriculture, Natural Resources and Rural Development Policy for the Planning of Watersheds (*Politique du Ministère de l’Agriculture des Ressources Naturelles et du Développement Rural* [MARNDR] *pour l’aménagement des bassins versants*). It has a Strategy for Building a National Agency for Protected Areas (*Stratégie de Montage de l’Agence Nationale des Aires protégées* [ANAP]), and a Plan for relaunching coffee production in the country (*Plan de relance de la filière café*). Ahead of submitting its second request for RPSP funding, it had a National Policy on Climate Change and a National Adaptation Plan (NAP) process in place, which was initiated after the 2015 publication of its INDC, but which was significantly catalyzed by RPSP support.

Haiti is making concerted and systemic efforts to respond to the climate change challenges that it is facing, on a number of levels:

**Thematic priorities:** Within the INDC, Haiti identified the following thematic priorities: integrated water resources management; integrated coastal region management and infrastructural rehabilitation; preservation and strengthening of food security, including the development of a bio-economy; energy transition to move away from fossil fuel dependency; and the promotion of information, education and awareness-raising;

**Working with global institutions:** Haiti has sought climate adaptation and mitigation support from the GCF, the Global Environment Fund (GEF) and the Climate Investment Fund (CIF);

Building its institutional landscape: A key pillar in its strategy, institutional development and resilience-building has been the focus of much of the work of Haiti, alone and with development partners;

**Human resource development:** Haiti has sought to secure and build the experience of multi-sectoral leaders and actors, to provide the expertise required to address existing and emerging challenges. A concerted effort has been placed on attracting private sector actors and investors in helping Haiti move forward with these ambitions.

### **Activities of other climate-related global funds in Haiti**

Haiti has been supported in its climate related efforts by several funds, including the GEF, the World Bank, the Caribbean Development Bank (CDB), and the CIF, to mention the most prominent. Support from the CIF has been through its Strategic Climate Funds (SCF), sub-funds on Scaling-up Renewable Energy Program (SREP) and the Pilot Program on Climate Resilience.

## **II. RELEVANCE OF THE RPSP AND OF ITS MANDATE**

At the highest level, the RPSP is considered highly relevant by all stakeholders consulted, both overall with respect to its mandate, and more specifically to Haiti.

Both RPSP requests submitted by Haiti have been geared at establishing and strengthening the NDA/FP. The first was meant to support Haiti in developing strategic frameworks for engagement with the GCF, including the preparation of its country programme. The second request for support was intended for information sharing, experience exchange and learning. It had a particular focus on the engagement of the private sector, as well.

In both cases, the support was to assist Haiti in selecting its implementing entities, and to provide support for accreditation. Haiti did not originally request RPSP support for the development of its initial pipeline of programme and project proposals.

At a glance, the main reasons that Haiti has requested RPSP support are as follows:

- Geographical isolation, vulnerability and climate resilience (RPSP request 1 and 2);
- Development of strategies and plans (RPSP request 2);
- Drafting of country programme (RPSP request 1);
- Development of climate actions (RPSP request 1 and 2); and
- Capacity strengthening (RPSP request 1 and 2).

Given that all RPSP support must be endorsed by the Directorate of Climate Change of the Ministry of Environment in Haiti, and that this support sustains the work of Haiti on climate change as committed within the UNFCCC, the NDA/FP indicated that the RPSP is highly relevant to Haiti. Some consulted stakeholders made the point that it is a good thing the RPSP is not mandatory, although it is well encouraged.

### III. COHERENCE IN CLIMATE FINANCE DELIVERY

The RPSP has been situated to support the development of procedures within Haiti, to formalize existing systems, as in the case of the no-objection procedure (NOP), or the need for planning to be based on stakeholder consultation processes. According to one key GCF stakeholder, “[t]he RPSP enables the development of more systematic ways of approving support and ensuring country ownership.” In this sense, the strengthening of systems within Haiti are likely to benefit and enable the country’s ability to guide the work it undertakes with the support of all climate-related and environmental funds, themselves reliant on systems that are in part external to countries (e.g. of the GEF Implementing Agencies).

### IV. EFFECTIVENESS OF THE RPSP AND OF ITS PROCESSES

#### A. N1 Extent to which Readiness grants have enabled NDA/FPs to lead effective intra-governmental coordination mechanisms, including the establishment of the no-objection procedure

The assumption to test is that the first RPSP project for NDA strengthening has led to effective intra-governmental coordination mechanisms and establishment of a no-objection procedure.

The answer is partly yes, given that the country programme is not yet completely finalized.

The first RPSP grant was designed to provide strengthening support to the NDA/FP in Haiti, to promote stakeholder engagement in consultative processes, support the realization of DAEs and contribute to the development of a country programme. The second grant focused on information sharing, learning and exchange, and engagement with the private sector. Effectiveness with respect to N1 is gauged at a number of levels, including: the NOP, and the establishment of a national coordination mechanism. Concerns and limitations are also raised.

In Haiti, significant progress has been made on the development of the NOP, which is framed as a Procedural Guide (*Guide de Procedures*). The guide serves to articulate the national priorities, frameworks, policies and procedures of Haiti, and to inform all relevant actors on how to work with the Ministry of Environment to properly situate and conduct activities that would allow for non-objection to be delivered. The RPSP has been supporting the development of the guide.

As per the requirements of the GCF, the work of Haiti with the GCF is pursued through an NDA/FP. Based at the Ministry of Environment (Directorate of Climate Change), the NDA/FP coordinates all work undertaken in Haiti, including engagement across different branches of the Government. Where once the NDA/FP was really only one person, with RPSP support, the NDA/FP has evolved into a high-level body, drawing on a multi-disciplinary Technical Working Group, able to mobilise people through consultations and to share information.

A Technical Working Group has been set up to advise on engagement and activities with the GCF, led by the Ministry of Environment. The terms of reference (TOR) for this Working Group have been drafted by UNDP, with the support of the Climate Policy Lab (CPL). There are processes in place for the central Government to engage with the *Départements*/Departments (regional government entities in Haiti) on matters of climate change-related prioritizing, planning and

implementation. National framework development underpins the creation and activities of all of these structures. All of this has been put in place with the support of the RPSP.

An important constraint to the leadership of the NDA/FP in Haiti stems from capacity limitations, particularly on matters of logistics. Globally situated climate adaptation and mitigation activities, including those of GCF and in particular those related to the RPSP, are perceived as being consuming of time (for planning and participation), technical capacity, and overall logistics (including vehicles, etc.). Such logistics are not eligible for RPSP support, though they are considered important enabling factors. Key stakeholders point out that logistical support would favour a greater effectiveness of the RPSP at the country level. As poignantly expressed by one interviewee, “You have to keep in mind the strengthening of logistics of the NDA/FP. This is not eligible for support, but it should be. Developing countries lack logistical capacities to support the programme, and Haiti is not the only country!” Leniency in the provision of logistical support may very well be warranted in this respect, for national implementing entities.

As a final point, the RPSP generally enables work with international development agencies that have a great deal of experience in different contexts with the RPSP and other readiness support. Thus, Haiti’s key partner, UNDP, created experience sharing opportunities for Haiti with other Francophone countries, including from Africa, on understanding and meeting the challenges arising in the early stages of the programme. The merits of South-South peer-to-peer learning have been echoed throughout this study.

## **B. N2 Extent to which Readiness grants have enabled NDA/FPs to effectively engage stakeholders in consultative processes, including the preparation of coherent country programmes**

The assumption is that readiness grants have enabled NDA/FPs to effectively engage stakeholders in consultative processes and the preparation of a coherent country programme.

The answer is partly yes.

According to the B.20 Report, *Consolidated country and entity work programmes*, Haiti did not have a country programme in place by 8 June 2018. It did, however, have a “country programme brief” that was developed through a consultative process, outlining the priorities of the country and governed through the NDA. The first RPSP grant included the development of a country programme, including adaptation priorities, a process which was underway at the time of writing. The second grant is allowing Haiti to continue to engage with the array of stakeholders in the country.

When Haiti held its launch event for the first RPSP grant in December 2017, this was used as an opportunity to engage with the country’s stakeholders. In Haiti and elsewhere in the Caribbean, RPSP launch events are used as valuable stakeholder engagement moments. This was not the first nor the only consultative process, as Haiti has actively pursued consultations with RPSP support, in terms of training, capacity-building and participation in country programme development and coherence.



A recent such event took place in May 2018, co-organised by the NDA/FP and UNDP, which served to share information with interested stakeholders on how to access the GCF. Another event took place in June 2018 – a workshop on Direct Access – that helped to sensitize the private sector, as well. A consultation series planned for July to September 2018 has been slightly delayed due to civil unrest in the country following the increase in fuel prices in July 2018.

Though a country programme is not mandatory but encouraged, the RPSP has been used by the NDA/FP to engage with a range of national Government actors, as discussed earlier (including those in planning, agriculture, energy, and public health). In this way, work across sectors has been enabled. Intent on ensuring the country programme ultimately does not represent central Government stakeholders alone, the NDA/FP has put in place a process that includes training and consultations with the regional Departments, who are informing the country programme. Finally, the Government has started consulting with the *Plateforme de la Société Civile sur les Changements Climatiques* (PSC-CC) and engaging civil society, though this work remains nascent for time being. Civil society organizations (CSOs) in Haiti will likely only have “observer status” on the Technical Working Group.

### C. N3 Extent to which Readiness technical assistance has enabled nominated candidates to achieve accreditation as DAEs

The assumption is that readiness assistance has enabled nominated candidates to achieve accreditation.

The answer is that this did not happen, but significant progress has been made.

One key objective of the first RPSP grant was to support the realization of DAEs. With this grant, Haiti made significant progress towards this objective, through there were no accredited DAEs in Haiti at the time of writing.

The first RPSP grant allowed for a mapping of potential DAE candidates to take place, for selecting DAEs, for a gap assessment to be developed which identified potential DAE training needs, and for clarity to be acquired regarding the DAE accreditation process and checklist. In the meantime, Haiti continues to rely on an International DP and the international consultants from the CPL, in its “transition” towards making its work with DAEs a priority.

### D. N4 Extent to which information and experience-sharing events and processes have contributed to the ability of countries and DAEs to engage effectively with the GCF

The assumption is that the information sharing events organized by the GCF Secretariat – primarily the regional structured dialogues and DAE workshops – have helped countries to engage effectively with the GCF.

The answer is a resounding yes.

Haiti participated in the Caribbean regional Structured Dialogue, which took place on 19-22 June 2017. The experience of Haiti with the regional Structured Dialogues highlights their multi-faceted relevance and effectiveness, on a number of levels.

To begin with, it allowed for the creation of greater political will and commitment to the GCF and RPSP within Haiti. At the Structured Dialogue, the Environment Minister of Haiti sat on a panel with other high-profile actors from across the Caribbean, allowing both learning from others and also the sharing of the experience of Haiti with the GCF, the RPSP and climate change-related response development more broadly. As expressed by one stakeholder, “[i]t allows for the decision-makers to better understand and support the programme.”

In fact, discussions undertaken between Haiti and the Food and Agricultural Organization of the United Nations (FAO) at the Structured Dialogue, led to the development and submission of a concept note for a full project proposal between them, using a “Ridge to Reef” approach. However, given the limited funds available for the country’s participation in the event, the delegation to Belize was limited to three people. Expanding possible participation to five, at least for GCF priority countries (SIDS, LDCs and Africa) is perceived as desirable by stakeholders interviewed for this case study, given that it would allow for greater diversity of participation, including from the private sector and civil society.

#### **E. N5 Extent to which Readiness grants have enabled countries to develop National Adaptation Plans that build on existing country strategies and plans**

The assumption is that the RPSP has enabled the development of a NAP.

The answer is not yet, though significant progress is being made.

The landscape of strategies and plans related to climate change in Haiti was fairly elaborate before any RPSP support was secured, as explained above. Yet, a few key pieces were identified in the INDC as missing, and essential for Haiti to articulate, plan for and meet to get a handle on its climate change-related challenges. Notably, the INDC indicated the intention of Haiti to secure GCF funding for the development of an NAP. In fact, the RPSP was key in providing the main source of funding for NAP process development and implementation. The importance of the opening of this funding window is very clear.

Indeed, the first RPSP proposal was used to support the development of the NAP, such that progress had been made that was primed for further progress ahead of the country’s submitted request for a second round of RPSP support. A third RPSP request has also been submitted, specifically for NAP funding. Supported by UNDP, its application has been reviewed by the RA and GCF Secretariat staff, and comprehensive feedback has been provided for strengthening the proposal. Haiti aims to use most of the USD 3 million allowable allocation with this submission. The involvement of the UNDP in the NAP process, as technical specialists, came at the request of the NDA/FPs, focusing on sensitization on the NAP, scoping, recruitment of consultants, quality assurance and implementation oversight. Hence, Haiti has a NAP process in place.

#### F. N6 Extent to which Readiness grants have enabled NDAs and Accredited Entities to develop concept notes and/or project proposals to access climate finance that address high-impact priorities identified in country programmes

The assumption is that readiness funds have enabled the NDA and the DAE to develop concept notes and/or project proposals to access climate finance that address high-impact priorities.

The answer is partially yes, limited by the fact that there are no DAEs in Haiti as of yet.

At the time of writing, Haiti had one full funding proposal approved by the GCF, and had developed a pipeline of three additional requests.

On the matter of quality proposals, the RPSP provides indirect support that contributes to the development of quality concept notes and project proposals. Indeed, ahead of most submissions of RPSP requests to the Readiness Working Group (RWG), the proposals go through RAs. In this way, the RPSP proposals have a round (or more) of feedback from the RAs, which increases the quality of the RPSP requests, and also indirectly sharpens the work that eventually leads to quality, full proposals. As explained by one RA, “it is fair to say that the RPSP process allows countries to access expertise that contributes to better-quality proposals.”

Additionally, the relationship between UNDP and the NDA/FP is key with respect to the quality of proposals. While UNDP is candid about having earlier prepared standard proposals for multiple countries, it has also moved to working closely with NDA/FPs to produce contextually-tailored and quality proposals. The UNDP offers multiple levels of oversight to proposal development – including support from UNDP headquarters, the UNDP Regional Office and the UNDP Country Office – through proposal development and implementation, financially and overall.

#### G. N7 Extent to which private sector engagement in country consultative processes has helped improve the enabling environment for crowding-in private sector investment

The assumption is that the involvement of the private sector in consultations has helped to improve the conditions for crowding-in private sector investment.

The answer is yes, to some extent, while evolving favourably.

During the GCF structured dialogue in June 2017 in Belize, the importance of engaging the private sector was highlighted among national level stakeholders. In response to this highlighting, the NDA/FP from Haiti worked with UNDP and prepared a request for RPSP support submitted in December 2017, that would allow Haiti to develop projects with the private sector in a way that was aligned with the emerging country programme, while also providing for NDA strengthening. In addition, this RPSP request was situated within the Caribbean regional initiative approved in August 2017 and led by Jamaica.

The private sector appeared in the second RPSP request, prepared with UNDP, for private sector engagement specifically. Components of this work on the private sector in Haiti have entailed

conducting a market study and assessment of the private sector, to create understanding of what kind of appetite exists in the country for climate-smart investment. A climate finance monitoring system is under construction. Workshops have been undertaken with the involvement of the private sector and further engagement is planned.

It is far too early to gauge the effectiveness of RPSP support in mobilizing the private sector, given that the support has literally just commenced. However, what is clear is that the RPSP focus on the private sector, as one of its objectives, has contributed to creating a favourable environment for private sector investment in Haiti and regionally in the Caribbean, and that the request of Haiti for RPSP support reflects this. At the same time, the Private Sector Facility (PSF) of the GCF is in Haiti and supporting the development of private sector access to resources, for the development of full projects. Getting the private sector mobilized through the RPSP has been described as “a move beyond business as usual”.

## V. COUNTRY OWNERSHIP

The original proposal for the first request for RPSP support was developed in close working relationship between the NDA/FP and the GCF Secretariat. The NDA/FP attended the first GCF regional workshop. Meetings were undertaken by the NDA/FP with the Ministry of Finance on the GCF Accreditation Process. In the end, the first proposal did not go through, which resulted in the NDA/FP turning their attention to UNDP for support as a DP. At that early stage, the RPSP can be understood as having only modestly contributed to the development of country ownership over climate change adaptation and mitigation broadly. This quickly changed.

The NDA/FP worked with UNDP to redevelop their first proposal, and submitted not one but two proposals, within the allowable USD 1 million envelope. According to key stakeholders involved in these submissions, the parceling of proposals from one large one into several smaller ones is not desirable on multiple counts, significantly related to country ownership. To begin with, multiple smaller proposals take longer to develop, submit, have approved and disburse, thus slowing down a country’s leadership on readiness, and the very readiness it is meant to deliver. Next, the development of several proposals entails resource intensive activities, that also require multiple consultations with stakeholders. Least Developed Countries and SIDS like Haiti lack the capacity to undertake such processes effectively, and rely on International DPs for investing in making this possible.

One of the key dimensions of country ownership is the establishment of the NOP, which ostensibly puts national governments in the driver’s seat. At this level, the RPSP has supported country ownership for Haiti on climate change adaptation and mitigation planning. However, country ownership goes beyond the establishment of this procedure, and is rooted in part in the relationship shared between NDA/FPs and DPs.

It is not clear if the role and practices of UNDP as the principal DP have enabled or hindered country ownership in this respect. The UNDP was identified as the DP for both RPSP grants in Haiti. On the first grant, UNDP managed RPSP funding and was responsible for contracting, managing, delivering, reporting on and implementing the proposed activities, “in close coordination and under supervision of the NDA/FP”.

With the leadership offered by the NDA/FP of Haiti, on the second grant, UNDP Haiti assumed all responsibility for delivery and management, including implementation and fiduciary management, as well as the provision of national workshops. The project was overseen by the UNDP Global GCF Readiness Coordinator based at headquarters in New York, while day-to-day management was overseen by the same UNDP staffperson undertaking the pre-existing grant in the country. All monitoring and evaluation (M&E), financial and technical oversight were provided by UNDP. At the same time in Haiti, the Ministry of Finance, the Ministry of Environment and the Ministry of Planning, as a Technical Working Group, were to advise the NDA/FP on the project. The extent to which Haiti was able to provide satisfactory oversight over the quality of deliverables is questionable, given that the NDA/FP were not involved in the selection of consultants and are limited in their ability to provide quality control over their work. While this is no critique of the CPL (hired as consultants), it speaks to the lack of structured oversight of the NDA/FP over the consultants.

In the 31 January 2018 *First Progress Report* of the first RPSP grant, an overall assessment of the project was provided. In this summary, the authors concluded that “overall there is national ownership of the project and a great interest from the different sectors to get more information on GCF”. At this stage, there is widespread agreement that the NDA/FP office played and continues to play a central oversight role, with a country programme evolving, situated in a national climate change strategy, in line with the INDC, which are the markings of a country-driven and owned approach.

There is one key challenge of note to country ownership, both for Haiti and a sub-set of non-Anglophone countries, stemming from the GCF’s choice of English as its principal language of operation. As a Francophone country, Haiti has found it challenging to access GCF documentation efficiently, given that few key documents were translated into French and that proposals needed to be submitted in English. This is a major issue, though one that appears to be in the process of being addressed. For instance, the TORs for this evaluation were purposefully translated into French and made available to the NDA/FP in Haiti, on an ad hoc basis.

## VI. UNEXPECTED RESULTS

There are no known unexpected negative or positive results from RPSP activities.

## VII. CROSS-CUTTING ISSUES – GENDER EQUITY AND INCLUSIVENESS

The GCF is clearly very concerned with issues of gender equity – they are rooted in the United Nations Evaluation Group (UNED) Guidelines. Support provided by the RPSP is clearly rooted in this priority, with direct implications in Haiti.

The first RPSP request of Haiti demonstrated a gender sensitivity in planning related to outcomes, given the expressed commitment to consult with stakeholders “with equal representation of women”. In promoting the accreditation of DAEs, the proposal sought support for the capacity assessments of the national institutions selected, including on environmental and social safeguards (ESS) and gender standards. The document refers to a “gender-centered consultation mechanism for

periodic review and update of the country programme that will be developed through the NAP process”. The second RPSP request demonstrated gender-awareness, in making reference to “SMEs and women-led enterprises” in framing private sector mobilization outcomes. This also reflects the gender and ESS priorities, and the experience contributed by UNDP staff in the preparation of proposals. As stated by one stakeholder, “the whole team is very much aware of gender and ESS”.

It should be noted that NAP-related components of applications are not reviewed for Environment and Social Safeguards (ESS), beyond stakeholder engagement (as per annex III, criteria 6 of the GCF Guidebook).

## VIII. INNOVATIVENESS AND POTENTIAL FOR PARADIGM SHIFT

There is no evidence of innovativeness enabled by the RPSP in Haiti, at the current time, given the early stage of RPSP and GCF engagement in Haiti. However, as several stakeholders have pointed out, the RPSP is an important tool that has enabled climate change considerations to be integrated into the national planning of the country. Of particular note, the country’s evolving work with the private sector has been called innovative.

## IX. LIKELIHOOD OF SUSTAINED IMPACT OF THE RPSP

The impacts of RPSP activities are likely to be sustained because the Government has strong ownership of its climate change agenda. Also, Haiti is clear that RPSP support is for enabling its work with AEs as a transitional practice, until DAEs are enabled.

## X. POTENTIAL FOR BUILDING SCALE

### *Supporting stragglers*

One of the key challenges of the RPSP overall is in ensuring that countries in need of the most assistance are specifically targeted for such support. In the case of Haiti, as one of the most vulnerable countries on the planet, the country has taken the required steps for ensuring that it has been able to access RPSP support. However, there are vulnerable countries in the Caribbean and in other regions that are among the most vulnerable in the world, and they are not accessing RPSP support, nor are they part of a specific global strategy for the GCF (and the RPSP in particular) to access these countries. As noted by one key GCF stakeholder, “[w]e need to have a strategy for reaching out to those countries that are harder to reach. This still needs to be situated within a country strategy, to be country driven, but in ways that can provide support to those straggling countries that want support.”

### *A regional approach*

Most stakeholders consulted for this study advanced the merits of greater regionalism in the RPSP, and the GCF more widely.

The GCF recognizes international, regional and national accredited entities. Some of the entities that provide support to national level actors, namely the RAs, also operate at a regional level. One opportunity for building scale would be for greater attention to focus on the regional dimension of support, for regional ownership in addition to national ownership. As things stand, the Jamaica-led



regional work in which Haiti is participating, has been developed and justified at national level. While important, an opportunity is present for reorienting the RPSP to allow for regional-level justifications and ownership that are not necessarily underpinned by specific national ownership considerations and requirements. Project-level documentation should reflect this proposed regional orientation, as well.

There is also widespread belief that greater opportunities should be created for regional experience-sharing. The Structured Dialogues are considered immensely valuable and should be maintained and perhaps even developed into a more permanent platform. As explained by one stakeholder, capturing a wider expression:

“It would be great to have more regional experience sharing between the NDAs, to benefit from the momentum generated by the RPSP, because it generates momentum! The programme needs to enable greater dialogue between NDAs. I would think a platform needs to be developed to encourage this type of dialogue between NDAs.”

### *Adaptation and mitigation*

In addition to capacity-building and readiness in the broad sense, the RPSP has provided specific focus on adaptation, through the NAP. Some consulted stakeholders pointed out a gap that exists in the support offered by the RPSP, with little attention on mitigation and thinking holistically about the climate portfolio. As stated by one respondent, “it is important to look at all policies across mitigation and adaptation”.

## **XI. EFFICIENCY OF THE RPSP PROCESSES**

**GCF RPSP Guidelines:** The GCF Guidebook is adequate but has shown some limitations. In Haiti, it has been noted that the Guidebook is too bureaucratic, does not sufficiently provide guidance on the way RPSP processes operate – the “how” of the GCF – in a way that makes sense to different categories of actors.

**NDA/FP Governance Model:** The experience from Haiti supports the belief that the NDA governance model is appropriate. In other words, for an NDA to provide national level leadership, to galvanise the involvement of appropriate DPs, is indeed an effective role and one that leads to country ownership over RPSP processes.

**RPSP learning:** On the question of RPSP learning and adaptation, there is no doubt that the RPSP has been changing and evolving since the Secretariat was first established. Operational guidelines and templates have evolved, for instance, to reflect this learning. While this is positive overall, this has also led to some confusion in Haiti about what the RPSP does and does not support. For instance, there is some confusion about the relationship between the RPSP and PPF, where one ends and another begins, and if indeed they are one and the same, overlapping, or entirely distinct.

**Communication:** While the GCF learns and adapts, it must also communicate this learning and adaptation effectively to all relevant stakeholders (including NDA/FPs, DPs, DAEs, RAs and others). There is widespread belief that such communication should be both directly undertaken by the GCF and also through peer-to-peer learning processes (e.g. at the Structured Dialogues). Some

stakeholders in Haiti have also highlighted the need for more evaluative work to be undertaken by the GCF.

**Feedback from RWG:** There is enough data from Haiti to indicate that the quality of feedback provided by the RWG to proposal proponents is of variable quality. At times, feedback is extensive, very useful and tailored to context. At others, the feedback reportedly appears to be generic and lacking contextual specificity. Also, there is concern that some of the feedback requests are for unpredictable and thus less-than-useful information that is time-consuming to prepare. Notably, the need for inclusion of procurement planning has been questioned.

**Administrative processes of RPSP:** There is a widespread perception among stakeholders consulted for this case study that the administration of the RPSP has been slow at the GCF. The RWG is perceived as providing timely comments only part of the time. Furthermore, between RWG notifications and disbursements, stakeholders are also critical of the time needed for this. There is widespread perception among Haitian stakeholders that the GCF is short-staffed, and that this threatens the momentum of work within the country. As stated by one stakeholder, “[w]e wait five months for feedback and in the meantime we are losing momentum. This is a problem.” With the Fluxx system, there is a simmering belief that things will get speeded up with online processes. In any case, greater standardization, clarity and commitment to the project cycle at the GCF on the RPSP (and more broadly) is indeed desirable.

One way in which the RPSP submission processes are sped up is through the timely support of RAs and Dialogue Specialists, though work is undertaken differently in each of the GCF regions. In the Caribbean region, including in Haiti’s case, RAs, Dialogue Specialists and others work with NDA/FPs to get RPSP proposals ready ahead of submission, in order to strengthen their submissions and ensure that certain points, like ESS, are addressed.

In the working modalities of the GCF, as made evident in the case of Haiti, the RAs do not have direct access to AEs, which they can only access through the NDA/FPs. The RAs have direct access to the DAEs, however. Thus, RAs do not necessarily see reports produced by AEs for NDA/FPs. This means that RAs only have a partial picture of the work being undertaken at national level, which inhibits their ability to provide appropriate and effective support to NDA/FPs and DAEs. There is also evidence to suggest that RAs are inconsistent in the quality of the feedback and support offered in different regions, which has implications on the efficiency and effectiveness of proposal development.

With Framework Agreements (FWA), there is no need to work with UNOPS, which means one less system to work with. Conversely, for those countries and entities where there is no FWA, where new readiness has been approved, UNOPS takes over. It is therefore important for these countries and entities to learn to work with UNOPS to ensure this does not become a bottleneck. This has not been an issue so far with Haiti since they have been working with UNDP, which is under an FWA.

The UNDP and the GCF share an FWA entitled, “Framework Readiness and Preparatory Support Grant Agreement”. By virtue of this agreement, UNDP as DP is entitled to submit up to two requests for disbursement annually. This is important, in the context of the first RPSP request, given that Haiti had submitted a proposal for RPSP support which was approved, pending the clearance of the FMCA – which was not successful. As such, UNDP was identified as a suitable DP.



In undertaking the case study on Haiti, it was made clear that the lack of clear mechanism for engaging with universities through the RPSP needed to be addressed. In the case of the engagement with the university-based CPL, a lengthy process was developed to enable the involvement of CPL. This may be the case with other categories of stakeholders.

Finally, RPSP proposals take a long time to prepare. The submission to disbursement period was also considered too long by stakeholders interviewed for this study, particularly relative to the length of the grants themselves. Once grants are secured, it is also believed that greater flexibility should be allowed for their implementation, in response to challenges that emerge in different contexts.

## ANNEX A. TIMELINE OF KEY EVENTS IN THE GREEN CLIMATE FUND AND THE READINESS AND PREPARATORY SUPPORT PROGRAMME, AND RELATED EVENTS IN HAITI

YEAR	GREEN CLIMATE FUND	READINESS AND PREPARATORY SUPPORT PROGRAMME	RELATED EVENTS IN HAITI
2010	(December) The Sixteenth Session of the United Nations Framework Convention on Climate Change in Cancun (COP 16), Mexico, decides to establish a Green Climate Fund (GCF), to be designated as an operating entity of the financial mechanism of the Convention under Article 11.		
2011	(December) COP 17 in Durban, South Africa, adopts the Governing Instrument of the Green Climate Fund.		
2012	(October) The Board selects the Republic of Korea to host the Fund Secretariat.		
2013	<p>(June) The Board selects H��la Cheikhrouhou as the first Executive Director of the GCF Secretariat.</p> <p>(June) The Board requests the Secretariat to issue an invitation to developing countries to nominate a Nationally Designated Authority (NDA).</p> <p>(October) The Board agrees on a roadmap to mobilize resources.</p>	<p>(March) The Board adopts modalities for readiness support and decides to explore options for making short-term progress on readiness, including the initiation of work on operationalizing a readiness phase.</p> <p>(October) The Board decides that the GCF will provide readiness and preparatory support to:</p> <ul style="list-style-type: none"> <li>• Enable preparation of country programmes;</li> <li>• Strengthen in-country, GCF-related institutional capacities; and</li> <li>• Enable implementing entities to meet the fiduciary standards and environmental and social safeguards of the GCF.</li> </ul>	
2014	<p>(October) The Board decides only to consider funding proposals that are submitted with a formal letter of “no objection”, to ensure consistency with national climate strategies and plans and country-driven approaches.</p> <p>(November) GCF Secretariat opens its online accreditation system for national and international entities.</p>	<p>(February) The Board conceptualizes a detailed work programme on readiness, including four priority activities:</p> <ul style="list-style-type: none"> <li>• Establishment of NDAs/focal points (FPs);</li> <li>• Strategic frameworks, including the preparation of country programmes;</li> <li>• Selection of implementing entities; and</li> <li>• Initial pipelines of programme and project proposals.</li> </ul> <p>(October) The Board decides:</p> <ul style="list-style-type: none"> <li>• That all developing countries will have access to readiness support with at least 50% of readiness support allocated to</li> </ul>	

YEAR	GREEN CLIMATE FUND	READINESS AND PREPARATORY SUPPORT PROGRAMME	RELATED EVENTS IN HAITI
		<p>particularly vulnerable countries, including SIDS, LDCs and African states;</p> <ul style="list-style-type: none"> <li>• That readiness commitments will be limited to USD 1 million per country per calendar year, including up to USD 300,000 to help establish an NDA/FP; and</li> <li>• To allocate USD 15 million for the Readiness Programme, and an additional USD 14 million after receipt of the next semi-annual report.</li> </ul>	
2015	<p>(March) The Board approves the first Accredited Entities (AEs).</p> <p>(November) The Board approves the first eight investment projects before the Paris Climate Summit.</p> <p>(November) COP 21 in Paris passes the landmark international climate agreement, with the GCF as the dedicated operating entity of its financial mechanism.</p>	<p>(February) The GCF Secretariat issues the first version of the RPSP proposal template.</p> <p>(May) The GCF Secretariat issues second version of the RPSP proposal template.</p>	Publication of the INDC of Haiti.
2016	<p>(March) The Board adopts its Strategic Plan, which links the GCF to the Paris Agreement, and reconfirms the importance of the GCF RPSP.</p> <p>(October) The Board selects Howard Bamsey as the second Executive Director of the GCF Secretariat.</p>	<p>(June) The Board decides to defer the independent evaluation of the Readiness Programme to 2017.</p> <p>(June) The Board adopts a revised indicative list of activities that the Readiness Programme can support:</p> <ul style="list-style-type: none"> <li>• Establishing and strengthening NDAs/FPs points;</li> <li>• Strategic frameworks, including the preparation of country programmes;</li> <li>• Support for accreditation and accredited DAEs;</li> <li>• Information-sharing, experience exchange and learning; and</li> <li>• Formulation of national adaptation plans and/or other adaptation planning processes.</li> </ul> <p>(28 July) The GCF Secretariat issues the third version of the RPSP proposal template, including a logframe of intended outcomes</p> <p>(December) The Board decides to allocate an additional USD 50 million for the RPSP</p>	Haiti submits its first request for RPSP support in December 2016.
2017		<p>(16 June) GCF Secretariat issues the fourth version of the RPSP proposal template.</p> <p>(July) The Board invites the Independent Evaluation Unit (IEU) to undertake an independent evaluation of the RPSP.</p>	<p>The first RPSP grant of Haiti is approved on 5 June 2017.</p> <p>Haiti participates in Caribbean Structured Dialogue on 19-22 June 2017.</p>

YEAR	GREEN CLIMATE FUND	READINESS AND PREPARATORY SUPPORT PROGRAMME	RELATED EVENTS IN HAITI
			<p>Haiti submits its second request for RPSP support in September 2017.</p> <p>The second RPSP grant of Haiti is approved on 11 December 2017.</p> <p>Launch event for RPSP grant in December 2017.</p>
2018		<p>(February–March) The Board:</p> <ul style="list-style-type: none"> <li>• Takes note of the findings of the initial review by the Secretariat of the RPSP (Dalberg Report);</li> <li>• Approves an additional USD 60 million for the RPSP; and</li> <li>• Approves the terms of reference for the independent evaluation of the RPSP.</li> </ul>	<p>Haiti submits its First Progress Report on the first RPSP grant on 31 January 2018.</p> <p>Haiti organizes information-sharing event with stakeholders in May 2018.</p> <p>Haiti organizes workshop on Direct Access in June 2018.</p> <p>Launch of RPSP consultations in July/August 2018.</p>

## ANNEX B. HAITI: PORTFOLIO OF GCF, GEF, AND CIF ACTIVITIES

ID NUMBER	GCF RPSP PROPOSAL	ACTIVITY AREA(S)	STATUS	APPROVAL DATE	FIRST DISBURSEMENT DATE	DURATION	IMPLEMENTING ENTITY	INSTRUMENT	COMMITTED AMOUNT IN USD	DISBURSED AMOUNT IN USD
1705-14621	Green Climate Fund (GCF) Readiness Programme in Haiti	NDA strengthening, including country programming (SP, NDA, CP)	First Tranche Disbursed	5 June 2017	14 August 2017	24 months	UNDP	RPSP Grant	430,000	215,000
1801-15071	Mobilizing Private Sector to support climate resilient development in Haiti	Strategic Frameworks (SF)	First Tranche Disbursed	11 December 2017	8 February 2018	18 months	UNDP	RPSP Grant	350,000	175,000
1804-15182		Adaptation Planning	Internal Review				UNDP		258,000	
ID Number	GCF Funded Project		Status	Approval date		Implementation duration	Implementing Entity	Instrument	Committed amount in USD	Co-Financing in USD
FP038	GEEREF NEXT		Pending	April 2017		5	EIB		265 million	500 million
	Increasing Resilience in the Fisheries Sector of Caribbean SIDS, through Climate Change Adaptation (CCA) and Enhancing Livelihoods in Vulnerable/Fishing Communities		CN answered			10	CCCCC		50 million	35 million
	Project to fight against climate change through agroforestry and watershed management		Sent to TAP for review			6	AFD		29.48 million	13.27 million

ID NUMBER	GCF RPSP PROPOSAL	ACTIVITY AREA(S)	STATUS	APPROVAL DATE	FIRST DISBURSEMENT DATE	DURATION	IMPLEMENTING ENTITY	INSTRUMENT	COMMITTED AMOUNT IN USD	DISBURSED AMOUNT IN USD
	Enhanced climate resilience in the Trois-Rivières region of Haiti through Integrated Flood Management		CN answered				UNDP		71.54 million	37.2 million
ID Number	GEF	Focal Areas	Status	Approval date			Agencies	Type	GEF Grant	Agency Fee
1904		Climate Change		2008-09-30			UNDP	MSP	975,000	100,000
3132		Climate Change		2008-07-28			IADB	FP	1,718,182	181,818
3132		Climate Change		2008-04-02			IADB	PPG	100,000	0
3514		Climate Change		2007-06-14			UNDP	FP	144,546	5,454
4219		Climate Change		2010-01-28			IADB	MSP	500,000	50,000
4219		Climate Change		2010-01-28			World Bank	MSP	500,000	50,000
	CIF	Fund	Status	Approval date			Implementing Entity		CIF Grant in USD	IDA co-financing in USD
	Centre Artibonite Regional Development Project	Pilot Program for Climate Resilience		2014-01-27			IBRD		8 million	50 million

ID NUMBER	GCF RPSP PROPOSAL	ACTIVITY AREA(S)	STATUS	APPROVAL DATE	FIRST DISBURSEMENT DATE	DURATION	IMPLEMENTING ENTITY	INSTRUMENT	COMMITTED AMOUNT IN USD	DISBURSED AMOUNT IN USD
	Climate Proofing of Agriculture in the Centre-Artibonite Loop	Pilot Program for Climate Resilience		2015-10-20			IaDB		4.5 million	43 million
	Modern Energy Services for All	Clean technology Fund		2015-10-05			IBRD		15.65 million	
	Renewable Energy for the Metropolitan Area	Scalling Up Renewable Energy Program in Low Income Countries		2017-06-05			IBRD		11 million	
	Strengthening Hydro-Meteorological Services Project	Pilot Program for Climate Resilience		2015-03-12			IBRD		5 million	

## ANNEX C. PERSONS CONSULTED IN HAITI, 16 JULY – 7 AUGUST 2018

NAME	POSITION	ORGANIZATION	DATE
Moïse Jean-Pierre	NDA/FP	Ministry of Environment	Ongoing email communication
Neranda Maurice-George	Regional Advisor	GCF	16 July
Dorine JN-Paul	Spécialiste de Programme-Résilience	UNDP Haiti	19 July
Serge-David Telfort	Readiness Project Manager	UNDP Haiti	19 July
Laura Kuhl	Assistant Professor	School of Public Policy and Urban Affairs and International Affairs Program, Northeastern University/Climate Policy Lab (CPL)	20 July
Mieke van der Wansem	Associate Director	Fletcher School of Law and Diplomacy, Center for International Environment and Resource Policy, Tufts University/Climate Policy Lab (CPL)	20 July
Keston Perry	Postdoctoral Scholar	Fletcher School of Law and Diplomacy, Tufts University and International Consultant, GCF Readiness Programme, Haiti/Climate Policy Lab (CPL)	20 July
Jean Robert Rival	National Consultant, Spécialiste en Champ École Paysan (CEP), Agriculture de Conservation (AC) et Adaptation aux Changements Climatiques (ACC).	FAO	23 July
Claudia Ortiz	Climate Finance UNDP – Global Environment Finance Sustainable Development Cluster Bureau for Policy and Programme Support	UNDP	24 July
Julie Teng	Technical Specialist on National Adaptation Plans, Global Environment Finance Unit, BPPS	UNDP	26 July
NDA/FP team of national stakeholders (nine participants)	Various – 11 Participants	Government of Haiti	6 August



## ANNEX D. DOCUMENTS CONSULTED FOR HAITI COUNTRY REPORT

Haiti. *Readiness Proposal*, with UNDP. Strategic Frameworks, 11 December 2017.

Haiti. *Readiness Proposal*, with UNDP. NDA Strengthening & Country Programming, 5 June 2017.

Progress report on the first RPSP project implemented by UNDP, 31 January 2018.

Haiti. Contribution Prévue Déterminée au niveau National ((CPDN) Intended Nationally Determined Contribution (INDC)) Submission by Haiti – Ministry of the Environment, June 2015.

Green Climate Fund. Consolidated country and entity work programmes. GCF/B.20/11, 8 June 2018.

# KENYA CASE STUDY REPORT

## I. INTRODUCTION AND RELEVANT BACKGROUND INFORMATION

### A. Major climate risks facing the country

Kenya has a complex climate that varies significantly between its coastal, interior and highland regions, and on an annual and decadal scale. Observed mean annual temperatures have increased by 1.0°C since 1960, while there have been noticeable changes in rainfall patterns. Greater rainfall has been observed during the short rains of October to December, and the long rains of March to April have become increasingly unreliable in parts of the country.

Extreme climatic events have long posed a significant risk to regions in Kenya. Floods and droughts are a major threat, with major droughts occurring about every 10 years, and moderate droughts or floods every three to four years. Global climate change is projected to alter the mean annual climatic conditions of Kenya, as well as its pattern of climate extremes.

Kenya is highly vulnerable to the impacts of climate change, in large part because the livelihoods and economic activities of most Kenyans rely on climate-sensitive natural resources, including agriculture, tourism and energy production. This sensitivity stems in large measure from the dependence of these economic sectors on a sufficient supply of water. Kenya is already one of the most water-scarce countries in Africa. Climate change could further reduce the availability of this resource through higher evaporation, altered rainfall patterns, accelerated loss of glaciers and sea-level rise.

Agriculture remains the backbone of the economy in Kenya, generating about 26 per cent of annual GDP and providing employment, food security and (rural) livelihoods. Nearly all of the crop production (98 per cent) is rain-fed. Within the livestock sector, nearly half of production occurs in the water-scarce arid and semi-arid lands (ASALs), and droughts have historically led to significant loss of animals. Climate change is expected to adversely affect the stability of the agricultural sector in Kenya, with particular concern being raised regarding the vulnerability of the country's millions of smallholder farmers. Building resilience to climate change is therefore high on the agendas of both national and county governments.

### B. Climate change policies, strategies and institutional architecture in Kenya

Kenya has been at the forefront of advocating climate change action and passing climate change legislation. The country launched a National Climate Change Response Strategy (NCCRS) in 2010 and a National Climate Change Action Plan (NCCAP 2013-2017) in 2013, to operationalize the strategy. The NCCAP sets out priority actions for five-year periods. Many actions in the NCCAP are enabling actions, in that they provide the foundation for effective progress toward mitigation and adaptation goals, and include actions to improve the ability of Kenya to attract climate finance, while reinforcing its climate change governance structure.

The Kenya National Adaptation Plan 2015–2030 establishes the country's adaptation objectives and provides guidance on priority actions in 19 planning sectors for the national and county governments (GoK, 2016). It consolidates the country's vision on adaptation, supported by macro-level adaptation

actions that cater to economic sectors and county-level vulnerabilities, to enhance long-term resilience and adaptive capacity.

The Nationally Determined Contribution (NDC) of Kenya establishes adaptation as the country's priority response to climate change, and sets a goal of mainstreaming adaptation actions in the five-year development plans of Kenya Vision 2030, the country's long-term development strategy. In its NDC Kenya seeks to abate its GHG emissions by 30 per cent by 2030 relative to the BAU scenario, subject to international support in the form of finance, investment, technology development and transfer, and capacity building.

The Climate Change Act (CCA) was passed in 2016, and provides a framework for promoting climate-resilient and low-carbon economic development. The act adopts a climate change mainstreaming approach that includes the integration of climate change considerations into development planning, budgeting and implementation in all sectors and at all levels of government. The act requires county governments to integrate and mainstream climate change actions, interventions and duties, including mainstreaming the NCCAP into County Integrated Development Plans. It also aims to mobilize and manage public funds and other financial resources for climate change response.

The Act establishes a National Climate Change Council, chaired by the President of Kenya, with Deputy President as vice-chair, that provides an overarching national climate change coordination mechanism. However, since the enactment of the law, the council has not been constituted.

The Act also establishes the Climate Change Fund as the financing mechanism for priority climate change actions and interventions approved by the council. The fund's revenue will come from (Art 25): "monies appropriated from the Consolidated Fund by an Act of Parliament; monies received by the Fund in the form of donations, endowments, grants and gifts; and monies under and Act payable to the Fund". The fund is still to be operationalized.

The devolved governance system established by 2010 Constitution of Kenya encourages the allocation of resources for adaptation by both the national and county governments. Five county governments – Garissa, Isiolo, Kitui, Makueni and Wajir – have established County Climate Change Funds (CCCFs) that are aligned with national priorities set out in the NAP of Kenya, and enable these county governments to deliver on local adaptation priorities.

In addition to these policy and legislative developments, the Government has established an appropriate institutional framework for climate governance in the country. Specifically, it has created the Climate Change Directorate (CCD) at the Ministry of Environment and Natural Resources, which provides the day-to-day technical coordination of all matters on climate change. The CCD has established climate change unit/desk offices in various Government ministries, departments and agencies (MDAs).

The National Environmental Management Authority (NEMA) is the National Implementing Entity (NIE) for the adaptation fund and Green Climate Fund (GCF). The mandate of NEMA is to exercise general supervision and coordination over all matters relating to the environment, and to be the principal instrument of government in the implementation of all policies relating to the environment. The CCA has accorded NEMA the role of monitoring and enforcing the compliance of climate change interventions.

Other institutions that have funds available for climate change adaptation activities include the National Drought Management Authority (NDMA) and the National Environment Fund (NETFUND). The NDMA oversees the adaptation and resilience building in 23 ASAL counties, and supports programmes that promote drought resilience, while the strategic direction of NETFUND is to support the development of 100 green companies by 2025.

The Kenya Climate Change Working Group (KCCWG) is a registered association of 270 agencies working on climate change, drawn from local, national and international CSOs, research institutes and universities, the private sector, media and other stakeholders. In collaboration with partners such as Oxfam, PACJA, GoK, Trocaire, Action Aid and others, the network has conducted climate change research and advocacy both locally and globally.

The Pan African Climate Justice Alliance (PACJA) is an African coalition of Civil Society Organizations (CSOs) that promotes and advocates for climate-friendly and equity-based development. The PACJA has been actively engaging with the GCF with support from the “GCF CSO readiness for the Green Climate Fund – Africa focus” project, funded by the Federal Ministry for Environment, Nature Conservation, Building and Nuclear Safety of the Federal Republic of Germany (BMU). The PACJA has been advocating key institutions like the National Designated Authority (NDA), implementing entities and the GCF Board and Secretariat to step up their efforts in ensuring transparent and accountable procedures, and for the structured and effective engagement of civil society. The PACJA has been attending GCF Board meetings.

### C. Activities of other climate-related global funds and bilateral aid in Kenya

According to the Climate Funds Update website (CFU, 2017), multilateral climate funds approved some USD 100 million to the country between 2002 and 2017. The majority (67 per cent) of this funding targets mitigation activities, mainly through the Scaling-Up Renewable Energy Program for Low Income Countries (SREP) and the Clean Technology Fund (CTF). Of the remaining funding, 29 per cent focuses on adaptation, through the Special Climate Change Fund (SCCF), Adaptation for Smallholder Agriculture Programme (ASAP) and Adaptation Fund (AF). Only 4 per cent is spent on activities centered on reducing emissions from deforestation and degradation (REDD), through the World Bank’s Forest Carbon Partnership Facility (FCPF).

The majority (67 per cent) of multilateral climate finance went to energy and generation supply, including geothermal and other renewable energy sources. This is followed by agriculture (19 per cent), multi-sectorial projects (10 per cent) and forestry (4 per cent). Water and sanitation is not targeted at all, which marks a big contrast with the national and sub-national priorities of water-related activities.

The NEMA is the NIE for the AF. The AF approved a USD 10 million NEMA project in 2014: “Integrated Programme to build resilience to climate change and adaptive capacity of vulnerable communities in Kenya.” The project is still under implementation, and the executing entities are Kenya Forestry Research Institute (KEFRI), TARDA and CDA.

## D. Institutional arrangements in Kenya and capacities for engaging with the GCF and RPSP

Kenya designated the National Treasury as the NDA and Mr. Thugge, its Principal Secretary, as Focal Point (FP) for the GCF. The contact person is Mr. Peter Odhengo, Policy Advisor in the Technical Unit.

The NDA is a small unit but very active in its engagement with national, sub-national, regional and international stakeholders to raise knowledge and understanding of the GCF and its priorities, criteria and requirements. The NDA regularly organizes forums, workshops and meetings with stakeholders from national and county governments, and with Accredited Entities (AEs), CSOs and the private sector. A no-objection procedure (NOP) is in place, and a draft GCF strategy was developed with support from United Nations Development Programme (UNDP) under the BMU readiness programme. Rather than focusing on priorities, programmes and pipelines, the strategy is focused on proposed governance and coordination mechanisms, albeit lacking in detail with regard to the composition of the various bodies and committees that are being considered. It also emphasizes the importance of the Private Sector Facility (PSF), and the need to capitalize on the opportunities offered by the PSF through a partnership between NDA and the private sector, to build on existing work and platforms to crowd-in and maximise the engagement of the private sector at the national, regional and international levels.

Overall, the National Treasury of Kenya is providing leadership in climate finance matters. It is planning to float a sovereign green bond at the end of 2018; to set up a task force on green finance with representation from the Kenya Banking Association, KAM and KEPSA; and is in the process of developing a Climate Change Budget code (CCBC), which will help integrate and track climate-sensitive expenditure within the national budget, and is expected to support effective financial management for Low-Carbon Resilient Development (LCRD) investments.

The NEMA – the NIE for the AF – became accredited to the GCF in 2016, in a fast-track process, on account of its accreditation to the Adaptation Fund.

Four GCF projects are at different stages of proposal development at NEMA, but none have been recommended for approval thus far. The NEMA has recently received a readiness grant (approved in May 2018) to strengthen its project and programme design capacities, and address gaps in knowledge and systems, particularly related to environmental and social safeguards (ESS), gender policies, and monitoring and evaluation. The grant will also serve to support its grant award accreditation through training and capacity building. The NEMA also applied for Project Preparation Fund (PPF) funding.

A NAP was approved earlier this year (2018), through the Food and Agricultural Organization of the United Nations (FAO) as Delivery Partner (DP), and will commence implementation shortly.

Other entities that applied for accreditation are Kenya Commercial Bank (KCB), which applied in late 2017 with support from the United Nations Environment Programme (UNEP) through the BMU readiness programme, and the Geothermal Development Company (GDC), which applied in 2015 for accreditation for large projects. Since GDC received technical assistance from PwC, the application has not progressed due to difficulties with implementing the action plan. The UNEP recently started supporting GDC in their accreditation process.

The GDC is a wholly owned parastatal of the Government of Kenya and is mandated to execute geothermal development, including prospecting, drilling, harnessing and selling steam to electricity

generating companies. Kenya has vast undeveloped geothermal potential along the Rift Valley in excess of 10,000 MW. It has about 630 MW installed geothermal generation capacity, with plans to add more than 1,700 MW over the next several years. The country has at present a total installed power of 2,370 MW. The AfDB has led a major geothermal development project in Mengai since 2010, and is planning to fund more projects. The KfW has also provided loans for geothermal development in Bogoria-Silali.

Other national entities that are considering accreditation are NETFUND, KIRDI, Green Trust Initiative, Kenya Climate Innovation Centre and ACTS (African Centre for Technology Studies). International Accredited Entities (IAEs) in Kenya include UNDP, UNEP, FAO, African Development Bank (AfDB), Agence Française de Développement (AFD), KfW Development Bank, International Finance Corporation (IFC)-World Bank, European Investment Bank (EIB), International Union for Conservation of Nature and Natural Resources (IUCN) and International Fund for Agricultural Development (IFAD).

Acumen and Deutsche Bank are international institutions that have projects that are set to operate in Kenya. This is through the KawiSawi ventures Fund in East Africa and Universal Green Energy Access Programs, respectively. Both projects have regional operations dealing with access to clean energy. In addition, the GEEREF NeXt project of the EIB is a fund investing in renewable energy and energy efficiency projects, by providing long-term and patient capital, also operates in Kenya, among 30 other countries.

Another multi-country (16 countries in Africa and one in Latin America) project by the AFD, “Transforming Financial Systems for Climate”, was submitted for the July Board meeting, and is awaiting consideration by the Board.

The IUCN and UNEP are developing project proposals that are in an advanced stage, with national entities NDMA and KIRDI, respectively.

## II. RELEVANCE OF THE RPSP AND OF ITS MANDATE

The Readiness Programme is perceived as being very relevant by the NDA and the Direct Access Entity (DAE).

The NDA applied for a readiness grant in 2015. It was approved in 2015, but no disbursement followed due to missing documentation including a procurement plan and an inception report. Due to the time elapsed, the grant application expired, and a new application was submitted in 2018, for three installments of USD 300,000. The grant has not been recommended for approval due to shortcomings in the application.

The NDA received readiness support from UNDP through the BMU readiness programme. This readiness grant was used to organize forums and hold stakeholder consultations, and to draft a GCF strategy.

The DAE, NEMA, also benefited from BMU funded readiness support, delivered by the World Resources Institute (WRI) and UNEP, on ESS and gender policies, and for developing concept notes and project proposals.

In 2017 NEMA applied for a GCF readiness grant (approved in May 2018) to strengthen its project and programme design capacities, and address gaps in knowledge and systems, particularly related to ESS

and gender policies and monitoring and evaluation. The grant will also serve to support its grant award accreditation through training and capacity building. The NEMA also applied for PPF funds.

Kenya applied for a National Adaptation Plan (NAP) grant that was approved in early 2018, with the FAO as DP.

### III. COHERENCE IN CLIMATE FINANCE DELIVERY

It is too early to say if there has been coherence, as only one of the two approved RPSP grants has just commenced implementation. No formal coordination process is in place at the NDA at present, but it is envisaged in the draft GCF strategy prepared with support from UNDP under the BMU readiness programme.

### IV. EFFECTIVENESS OF THE RPSP AND OF ITS PROCESSES

#### A. N1 Extent to which Readiness grants have enabled NDA/FPs to lead effective intra-governmental coordination mechanisms, including the establishment of the no-objection procedure

The assumption to test is that the first RPSP project for NDA/FP strengthening has led to effective intra-governmental coordination mechanisms and a no-objection procedure.

The answer is that the NDA has yet to access a GCF Readiness grant.

An NOP is in place and intra-governmental coordination related to the GCF is still to be formalized. According to some interviewees, too much onus has been placed on the NDA, and there is a need for more inclusive governance.

#### B. N2 Extent to which Readiness grants have enabled NDA/FPs to effectively engage stakeholders in consultative processes, including the preparation of coherent country programmes

The assumption is that Readiness grants have enabled NDA/FPs to effectively engage stakeholders in consultative processes and the preparation of a coherent country programme.

The answer is that the NDA has yet to access a GCF readiness grant.

The BMU and other funding bodies – e.g. New Partnership for Africa's Development (NEPAD) and others – have so far supported the stakeholder consultations, workshops and forums of the NDA.

The GCF does not have a national-level CSO engagement policy. The engagement of CSOs is through NDAs, and they have to ensure information seeps down. Kenya does not have a CSO stakeholder engagement structure, and needs to do more on CSO engagement, also at the level of its DAE, NEMA. Nonetheless the NDA has done a very good job involving CSOs according to PACJA.

### C. N3 Extent to which Readiness technical assistance has enabled nominated candidates to achieve accreditation as DAEs

The assumption is that readiness assistance has enabled nominated candidates to achieve accreditation.

The answer is that NEMA is currently the only DAE, and achieved accreditation without benefiting from GCF technical assistance under the Readiness Programme.

The Geothermal Development Company (GDC) received PricewaterhouseCoopers (PwC) assistance. However, following the release of the assessment and action plan, no progress has been made in the accreditation due to the difficulties in addressing some of the gaps and recommendations. The UNEP, with BMU support, has recently started supporting GDC in furthering its application. The Kenya Commercial Bank (KCB) also received technical assistance during its application process from UNEP under the BMU programme.

### D. N4 Extent to which information and experience-sharing events and processes have contributed to the ability of countries and DAEs to engage effectively with the GCF

The assumption is that the information sharing events organized by the GCF Secretariat – primarily the regional Structured Dialogues and DAE workshops – have helped countries to engage effectively with the GCF.

The answer is that the NDA and DAE have indicated they have benefited from close interactions with the GCF, through country visits and structured dialogues and Board meetings. These have increased their understanding of the GCF, and have deepened their engagement with the Fund.

The NDA did not attend the latest Structured Dialogue in April 2018 in Mali.

### E. N5 Extent to which Readiness grants have enabled countries to develop National Adaptation Plans that build on existing country strategies and plans

The assumption is that the RPSP has enabled the development of an NAP.

The answer is that an NAP prepared with the support of FAO as DP was approved in 2018, and is expected to start implementation soon.

### F. N6 Extent to which Readiness grants have enabled NDA/FPs and AEs to develop concept notes and/or project proposals to access climate finance that address high-impact priorities identified in country programmes

The assumption is that Readiness funds have enabled the NDA/FP and the DAE to develop concept notes and/or project proposals to access climate finance that address high-impact priorities.

The answer is not yet.

Earlier readiness support to NEMA provided by WRI and UNDP led to the development of a number of concept notes and project proposals. They are in various stage of development. So far, no project has



been approved yet, but at least one is at an advanced stage. Project Preparation Facility (PPF) funds have also been requested for two proposals. It is expected that the recently approved GCF Readiness grant will lead to successful project submissions in the near future.

### G. N7 Extent to which private sector engagement in country consultative processes has helped improve the enabling environment for crowding-in private sector investments

The assumption is that the involvement of the private sector in consultations has helped to improve the conditions for crowding-in private sector investments.

The answer is no.

While private sector associations such as KEPSA and KAM are aware of the opportunities, and have been invited to various fora and consultations organized by the NDA and regional/international entities, there has been no dedicated engagement. According to the private sector, an annual stakeholder workshop is not enough. Instead, a well-organized calendar and a more structured engagement is required. The other issue raised is that of obtaining clarity on which AEs to partner with for projects and for the development of proposals. The private sector has suggested the NDA organize B2B meetings to establish priorities and facilitate partnerships with international and regional AEs.

## V. COUNTRY OWNERSHIP

Kenya has strong capacities for climate change action at the national level and is far advanced in terms of climate change legislation and policies. It is strongly engaged with the GCF, as is evident from its DAE's pipeline of project proposals, the requests for readiness and PPF, and applications for accreditation and the interest shown by national entities in accreditation. There is a general strong interest in climate finance among national entities and the private sector in Kenya. The establishment of a National Climate Fund, yet to be operationalized, will further strengthen country ownership.

The overview of institutional landscape and governance in the "Climate change policies, strategies and institutional architecture in Kenya" background section of this report, provides an insight into the breadth of the climate change institutions in Kenya.

The NDA is located in the National Treasury, which is a large government department, and has limited technical capacity. As climate change competencies reside in the Ministry of Environment and Forestry, it has taken time for Government agencies to fashion a new relationship with the National Treasury on climate change-related matters.

The NDA is a small unit but very active in its engagement with national, sub-national, regional and international stakeholders to raise the knowledge about the GCF and its priorities, criteria and requirements. The NDA regularly organizes forums, workshops and meetings with stakeholders from national and county governments, AEs, CSOs and the private sector. A NOP is in place, and a draft GCF strategy was developed with support from UNDP under the BMU readiness programme. Rather than focusing on priorities, programmes and pipelines, the strategy is focused on proposed governance and coordination mechanisms, albeit lacking in detail with regard to the composition of the various bodies and committees that are being considered. It also emphasizes the importance of the PSF, and the

need to capitalize on the opportunities offered by the PSF, through a partnership between the NDA and the private sector to build on existing work and platforms to crowd-in and maximise the engagement of the private sector at the national, regional and international levels. Very few comments were made about the draft GCF strategy, and some interviewees suggested it was not a useful document.

Overall, the National Treasury of Kenya is providing leadership in climate finance matters. It is planning to float a sovereign green bond at the end of 2018; it set up a task force on green finance with representation from the Kenya Banking Association, KAM and KEPSA; and is in the process of developing a Climate Change Budget Code (CCBC), which will help integrate and track climate-sensitive expenditure within the national budget, and is expected to support effective financial management for low-carbon resilient development investments.

The KCB, an apex bank in stage 1 of accreditation, is seen as a forerunner in green finance, and the bank has been used as a case study, with countries like Mongolia and Botswana having visited KCB to learn. The bank is in talks with the NDA and the Treasury on sovereign green bonds, which are expected to be floated by December 2018. The KCB has identified 10-12 sectors, including green buildings, CSA, and renewable energy, for climate investments, and has developed a pipeline of potential projects.

Yet Kenya is lagging behind in terms of implementation and accessing climate finance directly. The reasons for this are multiple. In part it has to do with operational capacity constraints, institutional policy gaps in ESS and gender, and the weak programme- and project-design capacities of its only DAE, NEMA, which are now being addressed in a recently approved readiness grant. Although NEMA has engaged on proposal design processes and submitted four project proposals, it has not yet been successful in securing approvals. The direct accessing GCF financing has also been slowed by the long accreditation process of its apex financial institution, the KCB.

Country ownership may also be hampered by the lack of a country programme, and a more formalized, institutionalized form of NDA governance. Nonetheless, many stakeholders, with some notable exceptions, are of the view that the NDA has played a supportive role, has been inclusive in its consultations and has fostered partnerships between national entities and international AEs, resulting in at least three projects under development, one of which, by IUCN and NDMA is ready for submission.

More broadly, there is a lack of clarity of climate finance delivery channels, especially at the sub-national level, although climate change funds have now been established in five ASAL counties.

Country ownership is further complicated by the ongoing devolution, and the weak capacities for implementing climate change policies at the county level, which are being gradually addressed with support from the AF and bilateral donors.

Other factors that may constitute barriers to country ownership have to do with the lack of clarity in roles and functions, and the ensuing overlapping of mandates of different institutions, conflicting roles of different sector institutions, and a lack of clarity over the role of NEMA in climate change adaptation in the agriculture sector. The lack of coordination between different institutions and competition for scarce funding, along with the resulting lack of collaboration is further exacerbating the effective design and implementation of climate programmes.

The complexity of the climate change institutional infrastructure in Kenya – further challenged by overlapping mandates, intense competition for funds, and generally weak and untested climate finance delivery channels – will require effective coordination, governance, prioritization and further capacity building to ensure that opportunities offered by international climate finance can be fully realized.

## VI. UNEXPECTED RESULTS

No unexpected results were mentioned or recorded.

## VII. CROSS-CUTTING ISSUES – GENDER EQUITY AND INCLUSIVENESS

The RPSP grant to NEMA, as well as the NAP, are expected to strengthen the country's capacity to develop and implement gender sensitive and inclusive programmes and projects.

## VIII. INNOVATIVENESS AND POTENTIAL FOR PARADIGM SHIFT

It is too early to say, as the RPSP has barely begun implementation in Kenya.

The NAP proposal has a Theory of Change (ToC) that reflects on achieving a paradigm shift. The RPSP has a catalytic role that helps to reach the goal of a paradigm shift towards climate resilience development.

## IX. LIKELIHOOD OF SUSTAINED IMPACT OF THE RPSP

There is a likelihood of sustained impact as both the RPSP grants to NEMA and the NAP will strengthen capacities and lay the foundation for further programme and project development with the involvement of stakeholders at the national and sub-national level.

## X. POTENTIAL FOR BUILDING SCALE

The potential for building scale can come from different RPSP support pillars: (i) Accrediting more national entities should lead to scale, in the sense of both the number and type of projects, provided accredited national entities are subsequently equipped with project design skills, capacities and structures; (ii) country programmes, provided they are strategic and include a longer-term vision of where the country wants to go – in terms of climate-resilient and low-carbon development – and they articulate a road map to achieve the vision; (iii) NAPs, provided they lay the foundation for the scaled-up implementation of adaptation action; and (iv) private sector engagement, and creating an enabling environment for crowding-in private sector investment.

The latter will likely play a key role, given the limitations on public, bilateral and multilateral funding sources. It is therefore imperative that countries consider how to attract private finance.

The RPSP could play a catalytic role by supporting assessments and identifying short-term actions to remove barriers to private sector engagement and investment. The RPSP could also support collaborative processes to assist governments in: identifying priority initiatives that target specific sectors, knowledge and capacity gaps; developing a strategic plan and a multi-stakeholder plan, and in identifying the most obvious and urgent regulatory initiatives (GCF, 2017).

The financial sector in Kenya offers significant potential for delivering the scaled-up response necessary to realise its NDC targets by 2030. This is partly enabled by the KCB, an apex bank with a strong interest in green finance, as is evident from its green bonds initiative.

In addition, Kenya values the role of experienced regional and international Accredited Entities (AEs) that can assist the country in leveraging the financing and technical expertise required.

The potential for scaling can also be located in local finance delivery channels, through the county-level climate change funds, and at the national level, once the National Climate Change Fund becomes effective.

There is no evidence in the RPSP applications of Kenya that scaling is being addressed, although NEMA raised the issue in a regional readiness meeting.

## **XI. EFFICIENCY OF THE RPSP PROCESSES**

The NEMA had a good experience with applying for an RPSP grant; the GCF was quick to respond. However, the process still took more than a year due to the delay in obtaining the no-objection letter from the NDA. As a result, the readiness grant has come very late, in May 2018.

The approved NDA grant application made in 2015 expired without any disbursements made due to non-compliance with document requirements. A new grant application for three years was made in 2018 and has not been approved.

The delay in processing the NAP grant application with FAO as delivery partner had less to do with the GCF than with all the national entities involved, the approvals required, and with the amendment to the legal agreement of GCF with FAO. However, the GCF review took time and it could do better.

The accreditation process has been experienced as being very challenging and frustrating, by both the KCB and GDC.

The GDC applied for accreditation for large projects in 2015 following receipt of the letter of recommendation of the NDA. The GDC applied through the web portal and never received a response. It received support from PwC, which produced an assessment and action plan, and told them that they would be fit for accreditation provided the GDC put in place the policies and measures laid out in the action plan. Subsequently someone from the GCF Secretariat said it was not possible for GDC to apply for large-project accreditation, and that it was only for banks. This clearly contradicted the conclusions of PwC. They are therefore still at stage 1. The GCF is not providing enough guidance, and there is no direct contact. The GDC was directed to the NDA, but it would prefer a direct link with the GCF, as the NDA is not equipped to advise on accreditation. It should be noted that in 2015 seven senior managers at GDC, including its MD, had their positions terminated due to tendering irregularities. New appointments were made in 2017.

The KCB started collecting data and relevant documents for its accreditation application in 2016, based on a desktop assessment of gaps, with support provided by UNEP under the BMU readiness programme. It submitted its application online in October 2017. It was the decision of the NDA that KCB and NEMA be supported by UNEP. An email was received one month later. The questionnaire lacks specificity and should give more details on the requirements for documents. It should be made very clear which documents are required under the sections, to avoid delays because of not having

attached the right document in the right place. The GCF should update the online application form, improve the template and provide more guidance, also in the form of examples. The GCF should tailor its template to the banking sector. According to UNEP, the KCB set up a good team, and was very organized and committed.

In mid-May 2018, the KCB sent back its application, and had not yet received feedback on its status as of 26 June 2018.

## ANNEX A. TIMELINE OF KEY EVENTS IN THE GCF AND THE RPSP, AND RELATED EVENTS IN KENYA

YEAR	GREEN CLIMATE FUND	READINESS AND PREPARATORY SUPPORT PROGRAMME	RELATED EVENTS IN KENYA
2010	(December) The Sixteenth Session of the United Nations Framework Convention on Climate Change in Cancun (COP 16), Mexico, decides to establish a Green Climate Fund (GCF), to be designated as an operating entity of the financial mechanism of the Convention under Article 11.		Kenya launches a National Climate Change Response Strategy (NCCRS).
2011	(December) COP 17 in Durban, South Africa, adopts the Governing Instrument of the Green Climate Fund.		
2012	(October) The Board selects the Republic of Korea to host the Fund Secretariat.		The Kenya Climate Innovation Centre (KCIC) is launched by the World Bank Group's Climate Technology Program.
2013	<p>(June) The Board selects H��la Cheikhrouhou as the first Executive Director of the GCF Secretariat.</p> <p>(June) The Board requests the Secretariat to issue an invitation to developing countries to nominate a Nationally Designated Authority (NDA).</p> <p>(October) The Board agrees on a roadmap to mobilize resources.</p>	<p>(March) The Board adopts modalities for readiness support and decides to explore options for making short-term progress on readiness, including the initiation of work on operationalizing a Readiness phase.</p> <p>(October) The Board decides that the GCF will provide Readiness and preparatory support to:</p> <ul style="list-style-type: none"> <li>• Enable preparation of country programmes;</li> <li>• Strengthen in-country, GCF-related institutional capacities; and</li> <li>• Enable implementing entities to meet the fiduciary standards and environmental and social safeguards (ESS) of the GCF.</li> </ul>	Kenya adopts a National Climate Change Action Plan (NCCAP 2013-2017) in 2013 to operationalize the NCCRS strategy.
2014	(October) The Board decides only to consider funding proposals that are submitted	(February) The Board conceptualizes a detailed work programme on	Kenya designates the National Treasury as the NDA and FP institution for the GCF. The Principal Secretary is

	<p>with a formal letter of “no objection”, to ensure consistency with national climate strategies and plans and country-driven approaches</p> <p>(November) The GCF Secretariat opens its online accreditation system for national and international entities.</p>	<p>Readiness, including four priority activities:</p> <ul style="list-style-type: none"> <li>• Establishment of NDAs/focal points (FPs);</li> <li>• Strategic frameworks, including the preparation of country programmes;</li> <li>• Selection of implementing entities; and</li> <li>• Initial pipelines of programme and project proposals.</li> </ul> <p>(October) The Board decides:</p> <ul style="list-style-type: none"> <li>• That all developing countries will have access to readiness support with at least 50% of readiness support allocated to particularly vulnerable countries, including SIDS, LDCs and African states;</li> <li>• That readiness commitments will be limited to USD 1 million per country per calendar year, including up to USD 300,000 to help establish an NDA/FP; and</li> <li>• To allocate USD 15 million for the Readiness Programme, and an additional USD 14 million after receipt of the next semi-annual report. <ul style="list-style-type: none"> <li>o allocate USD 15 million for the Readiness Program, and an additional USD 14 million after receipt of the next semi-annual report.</li> </ul> </li> </ul>	<p>nominated as the NFP.</p>
2015	<p>(March) The Board approves the first Accredited Entities (AEs).</p> <p>(November) The Board approves the first eight investment projects before the Paris Climate Summit.</p> <p>(November) COP 21 in Paris passes the landmark international climate agreement, with the GCF as the dedicated operating entity of its financial mechanism.</p>	<p>(February) The GCF Secretariat issues the first version of the RPSP proposal template.</p> <p>(May) The GCF Secretariat issues the second version of the RPSP proposal template.</p>	<p>Kenya adopts a National Adaptation Plan 2015–2030, providing guidance on priority actions in 19 planning sectors for the national and county governments.</p> <p>In July 2015 Kenya submits its INDC, which sets out a greenhouse gas (GHG) emissions reduction target of 30% by 2030 compared to a business-as-usual (BAU). On adaptation, the INDC describes priority across 17 sectors.</p> <p>In October 2015 the NDA submits two readiness requests: for NDA strengthening and for Direct Access Entity Support by PwC for the GDC.</p> <p>In 2015 the KawiSafi Ventures Fund multi-country (Kenya and Rwanda initially) project is approved.</p>
2016	<p>(March) The Board adopts its Strategic Plan, which links the GCF to the Paris Agreement, and reconfirms the importance of the GCF RPSP.</p> <p>(October) The Board selects Howard Bamsey as the second Executive Director of the GCF Secretariat.</p>	<p>(June) The Board decides to defer the independent evaluation of the Readiness Programme to 2017.</p> <p>(June) The Board adopts a revised indicative list of activities that the Readiness Programme can support:</p> <ul style="list-style-type: none"> <li>• Establishing and strengthening NDAs/FPs;</li> </ul>	<p>The Climate Change Act (CCA) is passed in 2016. The act adopts a climate change mainstreaming approach that includes integration of climate change considerations into development planning, budgeting and implementation in all sectors and at all levels of government. The Act establishes a high-level National</p>

		<ul style="list-style-type: none"> <li>• Strategic frameworks, including the preparation of country programmes;</li> <li>• Support for accreditation and accredited DAEs;</li> <li>• Information-sharing, experience exchange and learning; and</li> <li>• Formulation of national adaptation plans and/or other adaptation planning processes.</li> </ul> <p>(28 July) The GCF Secretariat issues the third version of the RPSP proposal template, including a logframe of intended outcomes.</p> <p>(December) The Board decides to allocate an additional USD 50 million for the RPSP.</p>	<p>Climate Change Council chaired by the President and a Climate Fund with the dual role of resource mobilization support and a coordinating mechanism for climate finance. It also establishes a Climate Change Directorate as secretariat to the Council and lead agency on national climate change plans and actions.</p> <p>The Cabinet adopts a National Policy on Climate Finance, which sets out a guiding framework for enhancing national financial systems and institutional capacity for accessing, managing and monitoring of climate finance.</p> <p>In March 2016, NEMA obtains accreditation to the GCF. Support for the accreditation process was provided by the GCF Readiness Programme.</p>
2017		<p>(16 June) The GCF Secretariat issues the fourth version of the RPSP proposal template.</p> <p>(July) The Board invites the IEU to undertake an independent evaluation of the RPSP.</p>	<p>In July 2017, the Cabinet Secretary for the Ministry of Environment and Natural Resources launched the Green Economy Strategy and Implementation Plan (GESIP) 2016-2030. It is a blueprint for enhancing low-carbon, resource-efficient, equitable and inclusive socio-economic transformation, and is aligned with the UN SDGs.</p> <p>At COP 22, the CBIT is formally launched with Kenya among the first countries selected to pioneer the CBIT.</p> <p>In July 2017, NEMA, through the NDA, submits a readiness request for a capacity strengthening programme.</p> <p>In April 2017, FAO, through the NDA, submits a readiness proposal for a NAP.</p> <p>The Kenya National GCF Strategy is produced by the National Treasury with funding from the GCF Readiness Programme.</p> <p>In April 2017, the NDA holds two GCF sensitization workshops for 47 counties, with funding from the GCF Readiness Programme.</p>
2018		<p>(February–March) The Board:</p> <ul style="list-style-type: none"> <li>• Takes note of the findings of the initial review by the Secretariat of the RPSP (Dalberg Report);</li> <li>• Approves an additional USD 60 million for the RPSP; and</li> </ul>	<p>The NAP readiness proposal is approved by the GCF in January 2018.</p> <p>NEMA, through the NDA, submits a readiness request for a capacity strengthening programme.</p> <p>The NDA submits a second RPSP proposal for three years for NDA</p>

		<ul style="list-style-type: none"> <li>• Approves the terms of reference for the independent evaluation of the RPSP.</li> </ul>	strengthening and country programming.
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## ANNEX B. KENYA. PORTFOLIO OF GCF, AF AND CIF ACTIVITIES

ID NUMBER	GCF RPSP PROPOSAL	ACTIVITY AREA(S)	STATUS	APPROVAL DATE	FIRST DISBURSEMENT DATE	DURATION	IMPLEMENTING ENTITY/DP	INSTRUMENT	COMMITTED AMOUNT IN USD	DISBURSED AMOUNT IN USD
1705-14643	Direct Access Entity Support		Completed	Oct 2015	Oct 2015		PwC			37,000
1705-14652	NDA Strengthening		Expired	2 Sep 2015			NDA	RPSP Grant	150,000	
1709-14884	NEMA capacity strengthening programme towards accessing climate finance from the GCF		Effective	May 2018			NEMA	RPSP Grant	431,060	
1712-15014	Adaptation Planning		Effective	31 Jan 2018			FAO	RPSP Grant	3,000,000	
ID Number	GCF Funded Project		Status	Approval date		Duration years				
FP005	KawiSafi Ventures Fund		Active	Nov 2015		5	Acumen	Funded project	Loan 20 million Grant 5 million	8.15 million
FP027	Universal Green Energy Access Programme (UGEAP)		Active	Oct 2016		15	Deutsche Bank	Funded project		
FP038	GEEREF Next		Active	Apr 2017		20	EIB	Funded project	Loan 250 million Grants 15 million	
	Agriculture project		CN received			20	KfW			
	Enhancing community resilience through tree crop based livelihood options in		Completeness check finalized				NEMA			

ID NUMBER	GCF RPSP PROPOSAL	ACTIVITY AREA(S)	STATUS	APPROVAL DATE	FIRST DISBURSEMENT DATE	DURATION	IMPLEMENTING ENTITY/DP	INSTRUMENT	COMMITTED AMOUNT IN USD	DISBURSED AMOUNT IN USD
	Makueni, Kilifi and Murang'a Counties in Kenya									
	Sustainable Forest Finance to transition forests into Jurisdictional REDD+ - Leveraging private sector capital to finance the preservation of forests and peatlands for inclusion in nested REDD+ programme		Secretariat and iTAP Review			5	Conservation International			
	Laikipia Green Integrated Investment Programme	Funding Proposal				3	NEMA			
	Enhancing the resilience of communities and ecosystems in the Athi River Catchment Area, Kenya	Funding Proposal								
	Enhancing Resilience of Smallholder Farmers in Kenya by Promoting CSA along Value Chains in targeted Counties	Funding Proposal				5	NEMA			
	TWENDE: Towards Ending Drought Emergencies: Ecosystem Based Adaptation in Kenya's Arid and Semi-Arid Rangelands	Funding Proposal				5	IUCN			
	Green Bond Cornerstone Fund	Secretariat and iTAP Review				13	IFC			
	Climate Investor One	Secretariat and iTAP Review				20	FMO			

ID NUMBER	GCF RPSP PROPOSAL	ACTIVITY AREA(S)	STATUS	APPROVAL DATE	FIRST DISBURSEMENT DATE	DURATION	IMPLEMENTING ENTITY/DP	INSTRUMENT	COMMITTED AMOUNT IN USD	DISBURSED AMOUNT IN USD
	Transforming Financial Systems for Climate	Secretariat and iTAP Review				7	AFD			
	Devolved climate change governance to strengthen resilience of communities' in target counties	Secretariat and iTAP Review					NEMA			
	Adaptation to Climate Change - Induced Water Stress Through Promotion of Small Scale Rain Water Harvesting in Selected Counties	Secretariat and iTAP Review					NEMA			
	Mainstreaming environmental sustainability and Climate change in Ministries, Departments, Agencies (MDAs), Small and Medium Enterprise (SMEs) and targeted Private sector entities.	Secretariat and iTAP Review					NEMA			
	Low Emissions, Efficient Transport with a Focus on the Co-benefits of Enhanced Air Quality	Secretariat and iTAP Review					NEMA			
	National Seed Collections for Climate-Resilient Agriculture in Africa (Seeds4Resilience)	Secretariat and iTAP Review				20	KfW			
	National Environment Trust Fund Green Environment Fund (netgef)	Secretariat and iTAP Review				5	AfDB			
	Transforming Institutional Capacity for effective Ecosystem based Adaptation	Secretariat and iTAP Review				10	FAO			

ID NUMBER	GCF RPSP PROPOSAL	ACTIVITY AREA(S)	STATUS	APPROVAL DATE	FIRST DISBURSEMENT DATE	DURATION	IMPLEMENTING ENTITY/DP	INSTRUMENT	COMMITTED AMOUNT IN USD	DISBURSED AMOUNT IN USD
	and Climate Change Mitigation in Kenya.									
	Sanitation and Hygiene for Communities Vulnerable to Climate Change	Secretariat and iTAP Review				3	UNOPS			
	Greening Kenya: stimulating (industrial) competitiveness and investments in the face of resource scarcity and climate change	Secretariat and iTAP Review				6	UNEP			
	Integrated Green Climate Innovations for Increasing Water and Land Productivity for Smallholder Farming Systems in the ASAL Counties of Kenya	Secretariat and iTAP Review				12	NEMA			
	Promotion of Climate-Friendly Cooking: Bangladesh, Kenya and Senegal	Secretariat and iTAP Review					GIZ			
	Africa Green Financing Facility (AGFF)	Secretariat and iTAP Review					AfDB			
Adaptation Fund										
	Project title	Sector	Status	Approved		Duration	NIE		AF Grant	
KEN/NIE/Multi/2013/1	Integrated Programme To Build Resilience To Climate Change and Adaptive Capacity Of Vulnerable Communities In Kenya		Project funded	Oct 2014		3	NEMA		9,998,302	4,956,906

ID NUMBER	GCF RPSP PROPOSAL	ACTIVITY AREA(S)	STATUS	APPROVAL DATE	FIRST DISBURSEMENT DATE	DURATION	IMPLEMENTING ENTITY/DP	INSTRUMENT	COMMITTED AMOUNT IN USD	DISBURSED AMOUNT IN USD
	Technical Assistance Grant for ESP and Gender		Readiness grant	Dec 2016			NEMA		25,000	
GEF										
GEF ID	Project title	Project type	Status	Approval date			GEF Agency		GEF project grant	Co-financing
9674	Strengthening National Capacity in Kenya to Meet the Transparency Requirements of the Paris Agreement and Sharing Best Practices in the East Africa Region	MSP	Project approved				CI		1,000,000	1,100,000
9326	RLACC - Rural Livelihoods' Adaptation to Climate Change in the Horn of Africa (PROGRAM)	FP	Project approved				AfDB		2,577,778	58,668,000
5154	Sustainable Conversion of Waste to Clean Energy for Greenhouse Gas (GHG) Emissions Reduction	MSP	Project approved				UNIDO		1,999,998	9,824,718
CIF										
	Project title	Fund					MDB		Funding	Co-financing

ID NUMBER	GCF RPSP PROPOSAL	ACTIVITY AREA(S)	STATUS	APPROVAL DATE	FIRST DISBURSEMENT DATE	DURATION	IMPLEMENTING ENTITY/DP	INSTRUMENT	COMMITTED AMOUNT IN USD	DISBURSED AMOUNT IN USD
	Concessional Finance Program for Geothermal Generation	Clean Technology Fund		June 2018			AfDB		29.65 million	127 million
	Electricity Modernization Project	SREP		Mar 2015			IBRD		7.5 million	13.2 million
	Menengai Geothermal Development Project	SREP		Dec 2011			AfDB		25 million	478 million

## ANNEX C. PERSONS CONSULTED IN KENYA, JUNE-JULY 2018

NAME	POSITION	ORGANIZATION	DATE
Mr. Peter Odhengo Mr. Hillary Korir	Policy Advisor Economist	NDA/National Treasury and Planning	June 18-22 and July 12
Ms. Wangare Kirumba Ms. Anne Mumbi Gateru Ms. Sarah Kamau	Coordinator  Programme Officer NIE secretariat	NEMA	June 2018
Dr. George Muia  Ms. Caroline Tele  Ms. Dorothy Muruthi	General Manager, Strategy, Research and Innovation  Chief Officer, Corporate Planning and Strategy  Planning Officer, Corporate Planning and Strategy	Geothermal Development Company	2018
Dr. Luther Anukur Ms. Yasuda Kaori	Regional Director Strategic Partnerships & Programme Development Coordinator	IUCN	2 July 2018
Ms. Nancy Soi	Programme Officer	UNEP	3 July 2018
Mr. Geoffrey Omedo	Programme Officer	UNDP	3 July 2018
Ms. Zipora Otieno	National Technical Coordinator	FAO	3 July 2018
Mr. Raphael De Guerre	Senior Programme Officer	AFD	3 July 2018
Ms. Olivia Ms. Odhiambo Mr. Julius Karanja	Senior Programme Manager Programme Assistant	PACJA	4 July 2018
Ms. Judith Sidhi Odhiambo	Head of Corporate and Regulatory Affairs	KCB (nominated for accreditation)	26 June 2018
Dr. Kelvin Kisha	Senior Researcher	KIRDI	10 July 2018
Dr. George Mwaniki	Director for Research and Planning	Netfund (National Environment Trust Fund)	10 July 2018
Ms. Joyce Njogu Mr. David Njugi Mr. Elija Mr. Isabu Mr. Mutisya Ndunda Ms. Anne Kariuki	Head of KAM consulting Energy Services Officer Project Coordinator, SUNREF Project Team Leader, SUNREF Energy Officer, CEEC	KAM	16 July 2018
Ms. Faith Ngige Dr. Suresh Patel	Public-Private Dialogue Officer Director Elekea Limited	KEPSA	16 July

## ANNEX D. DOCUMENTS CONSULTED

Assessing institutional barriers to national adaptation plan implementation in the agricultural sector. Working paper of the Integrating Agriculture in National Adaptation Plans project. FAO and UNDP, 2017.

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Kenya Climate Change Working Group website

PACJA website. Available at <[www.pacja.org](http://www.pacja.org)>.

StARCK+ web site: [www.starckplus.com](http://www.starckplus.com) Strengthening Adaptation and Resilience to Climate Change in Kenya, a DFID climate change programme in Kenya.



# MONGOLIA CASE STUDY REPORT

## I. INTRODUCTION AND RELEVANT BACKGROUND INFORMATION

### A. The major climate risks facing the country

Mongolia has a severe continental climate due to its being a landlocked country surrounded by high mountains, a great distance from the sea. It is situated on a high-elevation plateau, 1,580 meters above sea level. Climate change assessments undertaken in the country in 2009 and 2014 showed that fragile ecosystems, a reliance on pastoral animal husbandry and rain-fed agriculture, and its growing and urbanizing population have all combined to make the socio-economic development of Mongolia vulnerable to climate change impacts.

Observed data at meteorological stations in Mongolia have shown that annual mean air temperature increased by 2.24°C between 1940 and 2015, with the warmest 10 years in the past 76 occurring in the past decade. Winter precipitation has increased and is further projected to increase while annual precipitation decreased by 7 per cent over the past 76 years, resulting in a higher aridity index.<sup>30</sup> In its 2014 Global Climate Risk Index, the advocacy group Germanwatch ranked Mongolia the eighth most vulnerable country to direct economic losses from weather-related events.

The higher temperatures have resulted in the rise in precipitation in the winter, and less rainfall and more evapotranspiration in the summer. The autumn is short and dry, followed by a long, cold winter with temperatures dropping to -40°C. This has increased the risk of Dzud in the winter – a slow-onset yet predictable disaster in which livestock perish in high numbers. This usually occurs when a summer drought is followed by a heavy winter snowfall that makes already-scarce pastures inaccessible to livestock. The difficulties are compounded by the population owning ever-increasing numbers of animals to compensate for declining livestock prices, resulting in the overgrazing of large areas of the country's pastures.

One of the biggest environmental problems is urban air pollution. Nearly half of the country's population reside in the capital city of Ulaanbaatar, which in 2013 had a population of 1.372 million, according to Government statistics. This city is the only one in the country that has a population of more than 100,000. Erdenet, the second-largest city in Mongolia, has a population of only around 95,000. About 55 per cent of the population of Ulaanbaatar lives in areas with substandard housing and utilities, referred to as the Ger areas, after a traditional round-shaped dwelling. These households rely on coal for heating and cooking, which causes massive pollution problems during the long winter.

The mining of coal, copper, gold, and iron ore represents more than 90 per cent of exports from the country, with coal exports to China making up around 50 per cent of the total. Balancing the exports of coal with environmental goals is a challenge. The sharp drop in mineral prices from 2011

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30. Foreword by Tserenbat Namsrai, Member of Parliament and Minister of Environment and Tourism, in: *Mongolia Third National Communication under the United Nations Framework Convention on Climate Change*, Ulaanbaatar, Mongolia, 2018.

onwards, and the compensating macroeconomic policies to buffer the economy from this external shock ultimately led to a balance of payments crisis in 2016, requiring an Extended Fund Facility loan from the International Monetary Fund (IMF) and other donors, totaling USD 5.5 billion in May 2017.<sup>31</sup>

## B. The institutional arrangements of Mongolia for engaging with the GCF and RPSP

Mongolia chose the Ministry of Environment and Tourism (MET) to be its National Designated Authority (NDA), with Dr. Dagvadorj Damdin as the contact person, soon after the Green Climate Fund (GCF) issued invitations to developing countries in 2013. However, the Government dismissed most of the staff in the NDA Secretariat during the fiscal crisis of 2014–2015, to comply with austerity measures imposed by the Government to cope with a budget crisis. The next contact person was Mr. Yeruult B., a former Director of the International Cooperation Department of the Ministry, who served as the NDA for a short time in 2015 (see annex A for a timeline of key events in the GCF, the Readiness and Preparatory Support Programme [RPSP], and Mongolian engagement with the GCF).

The Government appointed a new NDA – Dr. Batjargal Zamba – in October 2015 when the Minister realized that he needed an expert with more specific climate change knowledge to effectively represent Mongolia in the United Nations Framework Convention on Climate Change (UNFCCC) and to benefit from the GCF. In February 2015, a former Minister of Environment and Tourism, Ms. Oyunkhorol D., approved an order to establish the Climate Change Project Implementing Unit (CCPIU) in the Environment and Climate Fund (ECF) of the MET, and brought back most of the dismissed staff who were now paid from project funds rather than from the budget of the Ministry. The unit currently has 11 staff (one scientific advisor, two project managers, five greenhouse gas [GHG] inventory specialists [two with the Joint Credit Mechanism Secretariat] and one administrative officer). In addition to coordinating climate change related issues, the unit implements two main projects financed by GEF and implemented through UNEP: (i) the preparation of the national communication under the UNFCCC, and (ii) the preparation of the Biennial Update Report to the UNFCCC. Upon the appointment of Dr. Batjargal Zamba as National Focal Point (NFP) for the GCF, this unit started serving as the NDA Secretariat.

As required, the NDA has submitted all six RPSP grant proposals in 2017 and 2018, with various Delivery Partners (DPs). The No-Objection Procedure (NOP) has not yet been formalized – this and the preparation of the country programme are the two major objectives of the first RPSP grant currently being implemented, and expected to close in October 2018. As an interim measure, the NDA has organized stakeholder validation workshops in advance of issuing the no-objection for the nine Funded Project proposals that have so far been submitted to the GCF, four of which have been approved (see annex B).

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<sup>31</sup> Neil Saker, *Mongolia turns the corner with USD 5.5 billion IMF-led financing package*, IMF Asia and Pacific Department, 31 May 2017.

The NDA organized a stakeholder workshop on 7 June 2018 to present progress made toward formalizing the NOP and preparing the country programme. The draft NOP presented at the workshop envisaged the establishment of a Country Coordinating Group (CCG) comprising representatives of the NDA; MET; Ministry of Finance; Ministry of Food, Agriculture and Light Industry; Ministry of Energy; Ministry of Construction and Urban Development; and XacBank – a local bank that is accredited as a Direct Access Entity (DAE) to the GCF, and which is currently implementing two GCF-supported projects. The CCG would have the responsibility of completing both the no-objection assessment forms for Funded Project proposals and the DAE nomination forms for local entities seeking accreditation with the GCF.

A workshop presentation by an international consultant envisaged the establishment of a Country Stakeholder Convention (CSC) to inform and engage stakeholders in strategic GCF and other climate finance issues. The NDA would organize one dedicated annual CSC event and additional CSC meetings targeting specific stakeholder groups (such as non-governmental organizations [NGOs], the private sector, DAEs, donors, International Accredited Entities (IAEs), and regional/local authorities) on a case-by-case basis. The CSCs would have an advisory, not decision-making role. The NDA was planning to hold the first annual Convention in September or October 2018, when the NOP and the country programme were to be finalized.

The NDA, who is also the UNFCCC Focal Point (FP), is one of several environmental FPs for the Global Environment Facility (GEF), the Convention on Biological Diversity (CBD), the United Nations Convention to Combat Desertification (UNCCD), the Montreal Protocol, the Adaptation Fund (AF), the United Nations Programme on Reducing Emissions from Deforestation and Forest Degradation (UN-REDD), and the Climate Technology Centre and Network (CTCN), all of whom are located in the MET.

The evaluation team held a focus group with the FPs for UNFCCC, GCF, GEF, UN-REDD, Climate Investment Funds (CIF), CBD, Stockholm Convention on Persistent Organic Pollutants, CTCN and the NDC Partnership on 7 June after the stakeholder workshop (see the list of persons consulted in annex C; some are FPs for several conventions). As a group, they were enthusiastic about the GCF because it could potentially provide additional resources to address many environmental concerns, so long as there is a significant climate aspect, as there is with forestry, for example. They did not regard the GCF as an elephant that was pushing aside other environmental agendas. The Ministry has long had a mechanism for prioritizing projects for the GEF (as the financial mechanism for the conventions), and they expected that this mechanism would now be extended to prioritizing GCF projects.

The NDA has submitted six RPSP proposals to the GCF, four of which have been approved:

- “NDA Strengthening and Country Programmes” – XacBank as Delivery Partner (DP), first disbursement, October 2017;
- “Readiness Support for Enhancing Access to Green Finance in Mongolia” – The Global Green Growth Institute (GGGI) as DP, first disbursement September 2017;
- “Scaling-up Implementation of Low-Carbon District Heating Systems in Mongolia” – UNEP as DP, first disbursement May 2018; and

- “Building Capacity to Advance National Adaptation Plan Process in Mongolia” – UNEP as DP, approved May 2018.

The former NDA (Dr. Dagvadorj Damdin) originally submitted the first RPSP proposal for NDA strengthening and country programmes in May 2015, which was approved in October 2015, with GIZ as the DP. However, its implementation was delayed for two years when the NDA unit was downsized due to the fiscal crisis and GIZ decided to focus on readiness support to LDCs. Therefore, the NDA asked XacBank to be the DP after XacBank received accreditation in October 2016 for projects up to USD 50 million and resubmitted the RPSP proposal in February 2017.

In parallel, Mongolia has actively built up its project pipeline with the GCF already approving four Funded Projects, two of them being implemented by XacBank, one by the European Bank for Reconstruction and Development (EBRD), and one by the Asian Development Bank (ADB). In addition, two project-preparation proposals have been submitted, but not yet approved, to the Project Preparation Facility (PPF) of the GCF, and UNDP has very recently submitted a proposal for the first adaptation project with a volume of about USD 60 million.

### C. Existing country strategies, policies and programmes to address climate change

Mongolia has adopted an impressive array of strategies, policies and laws in relation to green development, including those focused on renewable energy and energy efficiency. Addressing climate change is regarded as a major issue for the future sustainable development of the country, in particular for clean energy, the agricultural sector, and for the water supply. The main milestones are listed below:

- In 2011, the Parliament endorsed the National Action Programme on Climate Change (NAPCC);
- In 2014, the Parliament approved the Green Development Policy;
- In 2015, the Parliament approved State Policies on Food and Agriculture, Energy, Industry, and Forests, and the Government submitted its Intended Nationally Determined Contribution (INDC) to COP 21 in Paris;
- In 2016, the Parliament approved Mongolia’s Sustainable Development Vision–2030 and the Government Action Programme for 2016–2020; and
- In 2018, the draft Country Programme is under development and is planned to be completed by October. In parallel, work has begun to develop a National Adaptation Plan (NAP).

It is fair to say that the engagement of Mongolia with the GCF has been based on its own country development strategies and policies, and the INDC it submitted to COP21 in Paris, where the Paris Climate Agreement was signed.

## D. Activities of other climate-related global funds in Mongolia

Mongolia has received support for 35 projects from the GEF, for USD 43.8 million since 1998. These include 12 full-size projects, 11 medium-size projects, and 12 enabling activities. Two of these are currently active and a third is under preparation (see annex B).

Mongolia has received support for one project for USD 5.5 million from the AF, implemented by UNDP. Approved in June 2011 and closed in December 2017, this project piloted an ecosystem-based adaptation approach to maintaining water security in critical water catchments in Mongolia. The UNDP has just submitted an adaptation project proposal to the GCF, taking into account some findings of this previous project. Moreover, the MET together with UNDP is planning to develop a follow-up project on ecosystem-based adaptation in river basins, to be funded by the AF.

Mongolia has received support for one project for USD 12.4 million from the Scaling-up Renewable Energy Programme of the CIF. The project is being implemented by the World Bank, which has provided additional financing of USD 42 million. Approved in June 2017, this is scaling-up renewable energy production (solar) in western Mongolia.

## II. RELEVANCE OF THE RPSP AND OF ITS MANDATE

Mongolia has been a front-runner among developing countries in terms of engaging with the GCF. A Mongolian bank – XacBank – became the first private sector entity to become accredited as a DAE, and it did this without asking for support from the Readiness Programme because it wanted to move fast. XacBank is implementing two GCF Funded Projects that were prepared without support from the Readiness Programme.

Two other Mongolian banks – the Golomt Bank and the Trade and Development Bank – are also seeking accreditation as DAEs, so far again without asking for Readiness support. Two international accredited entities – EBRD and ADB – have received GCF approval for Funded Projects in Mongolia. Notwithstanding these achievements, the Readiness Programme has been very relevant to Mongolia.

First of all, Mongolian participants at the Asia Structured Dialogues in Bali, Indonesia and in Da Nang, Viet Nam in 2017 and 2018 respectively, and at the DAE workshops in Songdo, Republic of Korea in 2018, said that they learned a lot at these events about how the GCF operates in ways that are both similar to and different from other climate-related global funds. The participants from XacBank stated that the information obtained enabled them to share experiences with representatives from other countries and to develop Funded Projects for approval (see section IV, N4 below for additional details).

Second, it is important to formalize, or institutionalize the engagement of Mongolia with the GCF going forward, by going beyond the submission and approval of individual funded projects, to incorporate them into a country programme and an NAP, and to establish agreed procedures for no-objection by the NDA and for the consultation of stakeholders. The first RPSP grant for NDA strengthening and country programme development, that was resubmitted in February 2017 and started implementation in October 2017, is helping the NDA to do precisely this, while consulting with other Government ministries and non-government stakeholders along the way.

This RPSP grant is helping in the preparation of the country programme of Mongolia, including in the preparation of high-priority concept notes consistent with the country's climate change strategies and policies. As the NDA indicated, future RPSP grants should aim not only to build the capacities of the NDA itself but also to involve other governmental and non-governmental agencies – namely the National Development Agency which has a mandate to coordinate development policy and planning nationwide.

Third, the second and third RPSP grants for enhancing access to green finance and for scaling up low-carbon district heating systems are in effect supporting the preparation of Funded Projects for submission to the GCF, the first of which was submitted in March 2018. These projects are very consistent with the climate change strategies and policies of Mongolia, which aim among other things to expand renewable energy production and enhance energy efficiency.

The fourth RPSP grant, approved in May 2018, is to build capacity for the advancement of national adaptation planning in Mongolia, consistent with the country's needs in this area; it is the most recent addition to the RPSP programme.

The fifth RPSP proposal is a request for in-kind technical assistance (TA) from PricewaterhouseCoopers (PwC) to assess the capacity gaps of the Environment and Climate Fund of the MET, so that it can become accredited as a DAE.

The sixth RPSP proposal, with the International Finance Corporation (IFC) as the DP, plans to work with the private sector, in cooperation with the Mongolian Bankers Association. This aims to improve the enabling environment by strengthening sustainable finance practices by non-bank financial institutions. This TA proposal is closely linked to the second RPSP grant on green finance, both of which have involved working with the Mongolian Bankers Association.

In sum, the RPSP activities are relevant to the climate change strategies and policies of Mongolia, and are perceived as valuable by Mongolian participants. They are contributing to regular GCF programming, and are responding to identified private sector needs and priorities. The GCF is strategically important to XacBank because it has a triple mission summarized as “people, planet, and prosperity”. They established their Eco Banking Department (EBD) in 2009, which now manages their activities with the GCF; one of the department's key performance indicators is the submission of at least two proposals to the GCF each year – whether for a PPF or a Funded Project. The senior management of XacBank views the bank as a green bank that is demonstrating the profitability of green investments in a conducive policy environment. The profit margins on GCF loans are reportedly lower than average for the bank as a whole, because it takes more time to meet the more stringent requirement of GCF, particularly with respect to planning, measurement, monitoring, and reporting. That is, when entrepreneurs come to them for financing, the original concepts tend to be quite imprecise, so that the staff in their EBD have to work with the entrepreneurs to bring their proposals up to GCF standards. However, GCF projects contribute to the bank's other missions, namely, “people” and the “planet”.

### III. COHERENCE IN CLIMATE FINANCE DELIVERY

As already indicated, other climate-related global funds – such as the GEF, AF and CIF – are also supporting projects in Mongolia that are being implemented by UNDP and the World Bank. The

EBRD and ADB are also implementing GCF-supported projects in the country. We found a strong desire among these development partners to work with the Government and with each other on climate change mitigation and adaptation. They appreciated that the Government has strong ownership of its climate change agenda based on the strategies and policies it had adopted. They agreed that development partners should fill gaps and avoid duplication.

The principal factor that is leading to coherence between the GCF and other sources of climate finance is not the Readiness Programme as such, but the Government's strong ownership of its climate agenda. The Green Development Policy of Mongolia is reaching out for support from all climate-related funds, but both the Government and development partners told us that the Government will only accept donor-funded projects that are consistent with country's strategies, policies and laws. For example, the Ministry of Energy is working with the EBRD to study the introduction of an auction system for solar energy, and with the ADB to put in place regulations for grid-connected households to have solar panels on their homes.

A development partner coordination group, chaired by the UN Resident Representative, meets monthly. While their discussions cover all development issues, they frequently focus on climate issues due to the high priority that the Government places on addressing climate change. They are aware of the Readiness Programme, in particular of the NAP being prepared by UNEP and the current efforts of the NDA/FP to finalize the country programme.

Development partners recognized and accepted that the GCF emphasizes principles and approaches that are somewhat different from other climate-related global funds, such as strong country ownership, DAEs, and a diverse range of financial instruments in addition to grants, such as soft loans, equity and guarantees. Like other funds, the GCF also emphasizes strict environmental and social safeguards and gender issues.

Development partners felt that it was appropriate, at this initial stage for the country programme of Mongolia, to focus on its engagement with the GCF. They were also in favour of expanding this country programme to encompass the engagement of Mongolia with all external sources of climate finance. Both the National Development Agency and the Ministry of Finance also desired the country programme to expand in this way in the future.

Guidelines for country programme development are becoming more concrete.<sup>32</sup> The IAEs such as UNDP, UNEP and IFC have entity work programmes on an international level, while XacBank has one at national level.

Development partners noted that the GCF prefers to fund large investment projects, while Mongolia also needs TA to enhance its capacity with respect to climate change. Could others help fill this gap? Each of the environmental conventions has funds for capacity building. The sixth RPSP grant is effectively a TA proposal which IFC is supporting as part of its advisory services work. The GEF supports enabling activities to help countries fulfil essential reports to the environmental conventions and to identify priority activities within a country, and provides a GEF-NGO Network to help empower the engagement of civil society in the implementation of GEF programmes.

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<sup>32</sup> See doc. GCF/B.20/11, and examples of completed country programmes are provided in doc. GCF/B.20/11/Add 0.1.



Mongolia could also access the new Capacity Building Initiative for Transparency (CBIT), created under the Paris Agreement, and administered by the GEF.

## IV. EFFECTIVENESS OF THE RPSP AND OF ITS PROCESSES

### A. N1 Extent to which Readiness grants have enabled NDA/FPs to lead effective intra-governmental coordination mechanisms, including the establishment of the no-objection procedure

The assumption to test is that the first RPSP project for NDA/FP strengthening has led to effective intra-governmental coordination mechanisms and a no-objection procedure.

The answer is yes, but later than originally planned and not yet completely finalized.

In 2014, the Climate Change Coordination Office (CCCO) within the Ministry of Environment and Tourism (MET) was dissolved in response to austerity measures imposed by the Government to cope with a budget crisis, that was caused by falling export revenues from minerals and coal. Some mandates of the CCCO were delegated to the Climate Change and International Cooperation Department, which has two officers in charge of climate change issues. The main technical tasks of the CCCO, including the national communications to the UNFCCC, were transferred to the new CCPIU. Shortly afterwards, the GIZ renounced on the implementation of the first NDA/FP strengthening project, which had been approved on 22 October 2015. The reason given was that GIZ could not cover their transaction costs with the agreed agency fee of 10 per cent, and that the Federal Ministry for Economic Cooperation of Germany (BMZ) was not ready to continue covering the deficit for countries other than Least Developed Countries (LDCs; Mongolia is a lower middle-income country.)

Also, the new Environment Minister appointed the current National Focal Point, Dr. Batjargal Z., on 26 October 2015 after realizing that greater and more specific climate change knowledge was needed to successfully represent Mongolia in the UNFCCC, and to benefit from the GCF. After the CCPIU was established in the ECF of the MET, the former staff of CCCO came back on a project basis, with temporary contracts funded by extra-budgetary projects from the GEF. The CCPIU is now the NDA Secretariat with two staff members. Dr. Batjargal continues to serve as NFP to the present day.

After XacBank became accredited as a DAE in October 2016, Dr. Batjargal resubmitted the first RPSP proposal for NDA/FP strengthening and country programmes in February 2017. The XacBank was the DP, and it received its first disbursement in October 2017. This grant includes the development of an NOP and stakeholder consultations in the preparation of the country programme for engaging with the GCF going forward. The NDA asked XacBank to be the DP for this grant because the NDA was not confident that the ECF – where the NDA was located – could meet the standards required in the Financial Management Capacity Assessment (FMCA) of the GCF, for DPs who are not accredited.

The project started slowly, with both the NOP and the country programme being developed with the help of six national consultants headed by the former NDA (Dr. Dagvadorj Damdin) and supported by an international consultant (Juerg Klarer), who had previously worked for GIZ. Draft concept



notes were developed in a participatory workshop from 4–6 June 2018, followed by a stakeholder seminar held on 7 June 2018. There was general agreement about the way forward, although the final composition and procedures of the Country Coordination Group still needed to be worked out.

## **B. N2 Extent to which Readiness grants have enabled NDA/FPs to effectively engage stakeholders in consultative processes, including the preparation of coherent country programmes**

The assumption is that readiness grants have enabled NDA/FPs to effectively engage stakeholders in consultative processes and the preparation of a coherent country programme.

The answer is partly yes.

The NDA has held numerous workshops during the past two years, to a large extent funded by RPSP support. The preparation of the country programme was advancing, but not yet finalized at the time of writing. It was presented in outline format at the stakeholder seminar on 7 June 2018 and was foreseen to be finalized by the time the RPSP grant closes in October 2018.

Based on this presentation, it appears to be a coherent document with a description of the climate change issues facing Mongolia, the various actions foreseen, the coordination mechanism planned, and several draft concept notes being prepared for future GCF-supported projects.

While the country programme is now at an advanced drafting stage, the development of the NAP, which was only approved in May 2018, has not yet started. Nevertheless, Mongolia has advanced in submitting nine Funded Project proposals to the GCF – of which four have been approved – without waiting for the completion of the country programme and the NOP. This is due to the particular circumstances described under N1 above.

It is important to note also that Mongolia has been developing strategy documents, policies and laws relating to climate change since 2010, and that the INDC document submitted to COP 21 in Paris in 2015 is similar to a country programme. This means that Funded Project submissions were conceived within the context of these strategies, policies, and laws.

## **C. N3 Extent to which Readiness technical assistance has enabled nominated candidates to achieve accreditation as DAEs**

The assumption is that Readiness assistance has enabled nominated candidates to achieve accreditation.

The answer is that this did not happen.

The XacBank, which is accredited as a DAE, managed the accreditation process on its own. After being nominated by the NDA, the bank submitted its application in July 2015. It worked for 15 months with the GCF Secretariat to finally obtain accreditation status in October 2016, gaining the capability to implement projects of up to USD 50 million. Among other things, they had to translate all relevant internal documents from Mongolian into English. The XacBank did not request technical assistance from the GCF, in order not to delay the process and because they were convinced they could handle the accreditation preparation themselves, although ultimately

underestimating the volume of work involved. The XacBank was the first private sector entity from a developing country to be accredited as a DAE by the GCF. This particular accreditation process therefore had a pilot character for both the GCF Secretariat and XacBank.

Throughout the GCF accreditation process, XacBank benefited from its history of international entities having an ownership stake in the bank (e.g., EBRD, IFC), which required the bank to establish high-quality governance processes and procedures long before the GCF accreditation process had begun. For instance, XacBank had already adopted a comprehensive Social and Environmental Management System (SEMS) policy in 2002, which was revised in 2008, 2011, and 2014. A key outcome of having the SEMS in place is that all sub-projects financed by the bank comply with the bank's SEMS List of Excluded Activities, and therefore the national environmental, health, safety and labour regulations and standards of Mongolia. This expedited the accreditation process somewhat.

The EBD of XacBank was formally established in 2009. It is the only department at XacBank that engages with the GCF, but GCF engagement is not the only responsibility of the department. The EBD has had previous experience implementing various energy efficiency and renewable energy projects and programmes, and co-operation with many international and bilateral organizations, including GCF, Kiva, Netherlands Development Bank (FMO), IFC, EBRD, JCM, ADB, and more.

The MET asked XacBank to handle the administration of the first RPSP grant, since it was an accredited entity when the proposal was resubmitted in February 2017. This means that XacBank has handled the procurement of six national consultants and an international one, while the NDA Secretariat in the CCPIU is effectively the executing agency for the grant.

These consultants are helping to prepare the no-objection procedure and the country programme. XacBank receives an 8 per cent agency fee but was not sure if this would cover their total related overhead costs. This RPSP grant was not principally a business proposition for them. They claim that they have done this as a favour to the Government, due to their good working relationship. The first disbursement of USD 250,000 was received in October 2017, and the Bank will need to submit their completion report and audit report in October 2018 in order to receive the second and final disbursement of USD 50,000.

The ECF, where the NDA Secretariat resides, applied in June 2017 to the GCF to receive in-kind technical assistance through PwC to assess the gaps in its capacities, so that it may become accredited as a DAE. This application has not yet been approved, since both the GCF and the NDA have doubts as to whether ECF is ready to be accredited, primarily because it is not a clearly established separate legal entity.

Two other private banks, the Golomt Bank and the Trade and Development Bank, have on their own initiative submitted requests for accreditation to the GCF, without asking for technical assistance or support from the GCF. The second aforementioned bank is far bigger than XacBank, and could request accreditation for up to USD 250 million. The only remaining public bank, the

State Bank, is not considered to be ready for accreditation. The NDA gave general information on the GCF to the interested banks without providing encouragement or discouragement.<sup>33</sup>

#### D. N4 Extent to which information and experience-sharing events and processes have contributed to the ability of countries and DAEs to engage effectively with the GCF

The assumption is that the information-sharing events organized by the GCF Secretariat – primarily the regional Structured Dialogues and DAE workshops – have helped countries to engage effectively with the GCF.

The answer is a likely yes.

Two staff from the NDA Secretariat participated in both Structural Dialogues organized for Asian countries in Bali, Indonesia in April 2017 and Da Nang, Vietnam, in April 2018, and the National Focal Point participated in the recent DAE workshop in Songdo, Republic of Korea in June 2018. They confirmed that they learned a lot about GCF modalities and the experiences of other countries in Bali and Da Nang, and the National Focal Point contributed actively as panel member in Da Nang and Songdo.

The Minister for Environment and Tourism also participated in Da Nang; he gave a speech, participated in a panel, and had several bilateral discussions with other ministers and high-level representatives of other countries which he considered very useful. The Minister and the NDA plan to participate in future meetings of this type.

A representative of the Ministry of Finance also participated in the Da Nang dialogue in 2018. Two XacBank staff members participated and acted as resource persons in the Songdo meeting, sharing their experiences. They plan to continue to participate in future DAE workshops.

Even though respondents said so, we could not establish in more precise terms whether participation in the above-mentioned events actually enabled the NDA and other participants to engage more effectively with the GCF than they could before attending these meetings.

#### E. N5 Extent to which Readiness grants have enabled countries to develop National Adaptation Plans that build on existing country strategies and plans

The assumption is that the RPSP has enabled the development of a NAP.

The answer is not yet.

The RPSP proposal to develop the NAP was approved in May 2018, for USD 2.9 million with UNEP as the delivery partner. It is anticipated that this will take into account the various strategies,

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<sup>33</sup> This is partially in view of the up-coming creation of the Mongolian Green Finance Corporation (MGFC), which will work with all banks.

policies, and laws in place in relation to climate change as well as the draft country programme and its finalization process.

This may also draw upon the experience of the recently concluded AF project implemented by UNDP, and the local consultants who have helped to prepare the follow-on project for risk reduction that UNDP has just submitted to the GCF for around USD 60 million. If approved, this will be the first adaptation-focused project in Mongolia that GCF has funded.

#### **F. N6 Extent to which Readiness grants have enabled NDA/FPs and AEs to develop concept notes and/or project proposals to access climate finance that address high-impact priorities identified in country programmes**

The assumption is that Readiness funds have enabled the NDA/FP and the DAE to develop concept notes and/or project proposals to access climate finance that address high-impact priorities.

The answer is yes.

The second and third RPSP grants in Mongolia are being used by their DPs (GGGI and UNEP, respectively) to develop Funded Project proposals to submit to the GCF (i) for enhancing access to green finance in Mongolia, and (ii) for scaling up the use of low-carbon district heating systems in Mongolia. If approved and implemented, these projects would contribute in direct ways or via intermediaries to reducing GHG emissions and to achieving the INDC of Mongolia.

The second RPSP grant helped procure several national consultants to prepare the proposal for the Mongolian Green Finance Corporation (MGFC). This was needed since there was limited capacity in the MET to prepare the proposal for USD 30 million equity participation by the GCF, which was submitted to the GCF in March 2018.

The Ministry of Finance was involved in the preparation of the funding proposal as one of the four members of the Steering Committee and participated in stakeholder consultations, including the stakeholder workshop that was held in March 2018 as part of the NOP. The Ministry monitored the financial issues in the proposal as it was being developed. The Ministry will have shares in the MGFC when it is established, like it does in many public-private partnerships in Mongolia. It is planned that the MGFC will have its capital provided 40 per cent by the GCF, 30 per cent by the Government via the Ministry of Finance, and 30 per cent by the private banks which had initiated the project.

With support from the third RPSP grant, which received its first disbursement in May 2018, UNEP has started to develop a Funded Project proposal to scale up the use of energy-efficient district heating systems in Mongolia, and to identify potential alternative heat supply options in the Ger areas. Ultimately, this will be done with private sector participation, to reduce both GHG emissions and air pollution from the multiple coal fire places.

The FMO, UNDP, ADB, and XacBank have also submitted four more Funded Project proposals to the GCF in 2017 and 2018, but without Readiness support (see annex B.) The XacBank proposal, entitled “Energy Efficiency Consumption Loan Programme,” is to improve access to financing for Mongolian consumers seeking to finance energy efficiency products such as eco cars, housing appliances, and housing solutions such as retrofitting, housing construction, and housing purchase.

The XacBank has also submitted a proposal for a PPF grant to prepare a project entitled “Mini-grid/off-grid Solution for Ger Area.” They have submitted a PPF proposal in this case because a comprehensive feasibility study is necessary to identify the best technical configurations, financing structure, legal arrangements, and procurement processes, among other things.

In addition, in the context of developing the country programme, a workshop was held in the first week of June 2018, where the first drafts for 12 concept notes were prepared, which are still to be confirmed as priorities in the final country programme.

The sequence of events for the first four Funded Projects therefore did not follow the standard pattern, but future project proposals will likely do so, being aware that concept notes are encouraged but are not obligatory before the submission of Funded Project proposals to the GCF.

### G. N7 Extent to which private sector engagement in country consultative processes has helped improve the enabling environment for crowding-in private sector investments

The assumption is that the involvement of the private sector in consultations has helped to improve the conditions for crowding-in private sector investments.

The answer is yes, to some extent.

Up until now, it has mainly been the private banking sector which has been actively involved in the preparation and implementation of climate change related projects. These are on-lending GCF financing to private sector firms and households for renewable energy and energy efficiency investments. First, there is XacBank, which was the first private bank to be accredited by the GCF as a DAE, and which is implementing two Funded Projects, both on-lending schemes mainly to the private sector.

Then, there is the Mongolian Bankers Association (MBA) which has actively advocated for involving additional banking and non-banking financial institutions in the country’s engagement with the GCF. These efforts have been supported by GGGI for the banking sector and by the IFC for the non-banking financial sector. They have so far resulted in one Funded Project proposal, that was submitted by XacBank to the GCF in March 2018 to establish a MGFC (see details under N6 above).

The IFC has in February 2018 submitted a RPSP proposal to provide technical assistance to the financial sector to develop and strengthen sustainable finance with private and public financial institutions other than banks, for example the stock exchange. As the target groups are different, there will be no competition with the MGFC.

Very few private sector representatives were present at the stakeholder workshop held on 7 June 2018 in Ulaanbaatar. The approach was first to discuss the progress in preparing the NOP and the country programme among a more restricted group of mainly Government and donor representatives, plus some local NGOs, before calling for a stakeholder convention in the autumn of 2018. Only representatives from six ministries and XacBank are currently foreseen in the proposed Country Coordinating Group, that will coordinate GCF-supported activities in the country. Based on the experience and effectiveness of this coordination group, its composition may be expanded and

revised. At this stage, this group has much less representation from civil society and the private sector than the Country Coordinating Mechanisms associated with the Global Fund to Fight AIDS, Tuberculosis, and Malaria.

The Mongolia Renewable Energy Association has organized nine annual Renewable Energy Forums, including the most recent one in May 2018. The XacBank has been involved in organizing these since 2014 and has also organized a Green Finance Forum for the last two years in 2017 and 2018. This is one way in which the private sector – beyond banks – has learned about the GCF, with there being more than 300 participants at the last Green Finance Forum.

## V. COUNTRY OWNERSHIP

Mongolia has strong country ownership of GCF-supported programmes and projects as evidenced by all the country strategies, policies, and laws that the country has adopted since 2005 in relation to green development, including renewable energy and energy efficiency. Climate change is regarded as a major issue for the future sustainable development of the country, in particular for the agricultural sector, clean energy and water supply.

Mongolia has strong country ownership of donor-supported climate-related activities. The Ministry of Finance has to clear all official development assistance (ODA). Therefore, it has a major role in ensuring that donor-funded projects are consistent with the country's priorities. Donor-funded projects are supposed to fill gaps and avoid duplication.

The Government of Mongolia has had strong country ownership of its energy strategy, as evidenced by the policies and laws that have been passed in relation to renewable energy since 2005. The Parliament approved the National Renewable Energy Programme in 2005 and the Renewable Energy Law in 2007. The latter introduced feed-in tariffs to create incentives to invest in renewable energy of USD 0.08-0.095 per KWH for wind, and USD 0.15-0.18 per KWH for solar. The Green Development Policy in 2014 introduced targets to increase renewable energy to 20 per cent of electricity production by 2020, and to 30 per cent by 2030. The country is set to achieve the 20 per cent target one year early, in 2019.

The engagement of Mongolia with the GCF has been based on its own country development strategies and policies, and the INDC it submitted to COP21 in Paris. The INDC report submitted resembles a country programme. The Biennial Update Report (BUR) to the UNFCCC in August 2017 provides an update, with extensive information on new climate change data for Mongolia, on measures taken and on planned actions for mitigation and adaptation. The Ministry of Finance was heavily involved in the formulation of the INDC under the Paris Agreement, and the Economic Policy Department in the Ministry of Finance has participated in the preparation of the country programme.

Six national experts headed by the former contact point for the GCF have been working for several months on the draft country programme for engaging with the GCF going forward, following the template from the GCF. The final draft was slated to be presented to a stakeholder convention in September or October 2018. While this initial country programme focused on the country's engagement with the GCF, and includes concept notes for a series of priority projects to be

submitted to the GCF, the Ministry of Finance would like to see it expanded in the future to encompass engagement on climate issues with all development partners and donors.

The NDA is always involved in the early stages of project development to minimize the risk of rejection at the later stages. Because of this, it has so far never rejected a project proposal. It has asked questions and either encouraged or discouraged the further pursuit of a project. It has also assisted with the preparation of projects and organized validation workshops prior to issuing a no-objection to Funded Project proposals.

The country is on its way to achieving the planned results of its approved Readiness activities (as detailed in the following list), but with some delays due to the interruption in the implementation of the first RPSP activity on NDA strengthening and country programmes:

- (i) The NDA/FP is established and functional;
- (ii) Stakeholder consultations are being organized by the NDA/FP;
- (iii) An NOP has been established, although not yet completed;
- (iv) A country programme has been developed and agreed upon with the major stakeholders;
- (v) A DAE has been accredited; and
- (vi) One or more Funded Project proposals have been submitted to (and approved by) the GCF.

As explained under section IV above, the results for points (i), (ii), and (v) are in place, while (iii) and (iv) are likely to be completed by October 2018. Regarding result (v), Mongolia has prepared one Funded Project Proposal with Readiness support (not yet approved), and is currently preparing a second with Readiness support.

## VI. UNEXPECTED RESULTS

There are no known negative results from RPSP activities, but some of the expected positive results have been delayed, as explained in sections IV and V above.

## VII. CROSS-CUTTING ISSUES: GENDER EQUITY AND INCLUSIVENESS

Mongolia has a reverse gender gap in terms of education. Women are often better educated since men are expected to work earlier as herders: 64.3 per cent of tertiary school graduates are women.<sup>34</sup> Some 60–70 per cent of university students are women, and women live 10 years longer than men. However, household heads are usually men who own the assets and have therefore better access to credit. Men also still occupy most of the leadership positions in Government and industry. Although 20 per cent of the seats in Parliament are reserved for women, 21 of 21 governors of provinces are men. Domestic violence against women, often after alcohol consumption, is another issue.

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34. Gender Overview Mongolia: A Desk Study: Tsolmon Begzsuren and Dolgion Aldar. Available at <<https://www.eda.admin.ch/dam/countries/countries-content/mongolia/en/SDC-Gender-%20Overview-Mongolia-%202014-EN.pdf>>.



The GCF has taken strong positions on environment, social, and gender issues. For example, the XacBank loan from GCF requires that 50 per cent of all micro, small and medium-sized enterprises (MSMEs) receiving loans should be for female beneficiaries; reportedly, 75 per cent of the on-lending is going to women-led businesses, defined as either owned by a woman, managed by a woman or where most of the workforce are women. This exceeds the minimum of 50 per cent defined in the funding agreement. Gender promotion and social inclusion have also been built into the on-lending agreements in the MCFC project prepared with the support of GGGI.

Informal lenders tend to lend mostly to poor people, but so far no emphasis on the rural or urban poor was observed in the on-lending schemes, only to micro and small enterprises. The limited access to credit for clients without collateral remains an issue. An assessment for this target group would be desirable.

## VIII. INNOVATIVENESS AND POTENTIAL FOR PARADIGM SHIFT

The fact that XacBank was the first private bank accredited as a DAE by the GCF is certainly an innovation. That the NDA Secretariat is housed in the ECF, which is fully funded by external projects from donors, may also be an innovation, although this was borne out of necessity to cope with budgetary constraints. The NDA said that this arrangement provides more flexibility and enables them to work with a broader range of stakeholder groups – including Government, non-government and private sector – than would be possible as part of the MET.

The second RPSP grant supported the preparation by GGGI Mongolia of the Funded Project proposal for the establishment of the MGFC. This is planned to be capitalized at 40 per cent by the GCF, 30 per cent by the Government via the Ministry of Finance, and 30 per cent by private banks, which had worked with GGGI for one-and-a-half years to initiate the project before the RPSP grant started to support the initiative. This design and the planned outreach by banks to private clients is also innovative.

The IFC submitted in February 2018 an RPSP proposal for TA to the financial sector, to develop and strengthen sustainable finance with private and public financial institutions other than banks (e.g. the stock exchange). As the target groups are different, there will be no competition with the MGFC. This is another innovation. The IFC project also plans to develop Mongolia as a regional centre for sustainable finance, and then to advise other countries in that field.

Both GCF projects with XacBank are loans in US dollars that were fully disbursed by the GCF in single tranches at the outset. The first project was the MSME Business Loan Programme for GHG Emission Reduction for USD 20 million (with a USD 500,000 grant component). The XacBank applied for this project to extend an existing programme that it had started a few years earlier. The loan has a maturity of five years. The interest rate is variable: six-month LIBOR plus 0.5 per cent.

The second XacBank project is for USD 8.65 million to finance a local entrepreneur to establish a 10 MW solar farm. This has a fixed interest rate of 3 per cent over 10 years. Both loans have one-year grace periods. For both loans, XacBank has had to manage the foreign exchange risks associated with repayments in US dollars.

The XacBank has also submitted a Funded Project proposal to the GCF entitled “Energy Efficiency Consumption Loan Programme”, to improve access to financing for Mongolian consumers seeking



to finance energy efficiency products such as, eco cars, housing appliances, and housing solutions such as retrofitting, housing construction, and housing purchase.

The bank has also submitted a PPF grant proposal in February 2018 to prepare a project entitled “Mini-grid/off-grid Solution for Ger Area”, since a comprehensive feasibility study is necessary to identify the best technical configurations, financing structure, legal arrangements, and procurement processes, among other factors. If they receive the PPF grant, they will have to submit the full proposal within two years.

The combined effect of these projects should make an impact on public awareness of the need and possibility of changing towards alternative energy supplies, and of increasing the efficiency of energy use. The up-coming NAP and the first adaptation project prepared by UNDP should also raise the awareness of adaptation needs and options. Combined with the ongoing efforts to finalize the country programme, shifting the paradigm has begun in the sense that not only strategies and laws have been enacted, but also practical steps have been taken to realize changes on the ground.

## IX. LIKELIHOOD OF SUSTAINED IMPACT OF THE RPSP

The impacts of the RPSP activities are likely to be sustained because the Government has strong ownership of its climate change agenda.

## X. POTENTIAL FOR BUILDING SCALE

The on-lending programmes of XacBank have been accessible to all interested and solvent private clients since 2017, and the programmes of the forthcoming MGFC will be as well. In fact, the approach to reach these target groups via the banking system has been designed to reach scale, albeit so far with a limited total credit volume. Several other activities are also designed to reach out to private clients, like the RPSP proposal on the non-banking financial sector prepared by IFC.

The IFC supports a network called the Sustainable Banking Effort in 35 countries, and Mongolia has recently extended advice to Cambodia, via the MBA. As the banking sector in Mongolia has early experiences with green financing, the lessons learnt could be of great interest to a number of other countries.

If the UNDP adaptation project on risk reduction in rural areas is approved, its USD 60 million budget makes it likely to reach out to a significant number of herders and families in rural areas.

While some projects, both funded and in the pipeline, have been prepared without Readiness funding, the preparation of the country programme and of 12 draft concept notes has been supported by Readiness funding and will likely result in further Funded Projects. Hence, the RPSP has had a more or less direct contribution to the preparation of Funded Projects, which by design are made for scaling up. However, to arrive at a large scale will take several more years. Whether they will be continued and expanded after GCF funding has ceased is also another matter that cannot be answered at the present time.

## XI. EFFICIENCY OF RPSP PROCESSES

The radical dissolution of the CCCO in 2014-2015 slowed down the re-submission of the first RPSP project after GIZ pulled out of the already approved project. The precarious budgetary situation of the Government imposed the creation of a private sector-like structure for the NDA Secretariat, with projects funding contracts for staff, like a consulting company. For the time being, this appears to be working well and allowing for greater autonomy and flexibility than is possible as part of the MET. Moreover, the recruitment of a former Minister of Nature and Environment as National Focal Point has facilitated networking with ministries and other stakeholders beyond the working level. However, the effectiveness of these arrangements are very dependent on his skills and good will as the MOP, and on the intra-governmental coordination mechanisms, while stakeholder consultations are being institutionalized with the support of the RPSP grant. A shortage of project funding to pay staff salaries or the sudden departure of the National Focal Point (albeit not likely), pose risks to the continuation of the current momentum Mongolia has in engaging with the GCF.

The initiative to involve the XacBank as DP for the RPSP project facilitated a smooth implementation of the project's administrative part – like the procurement for the consulting team for the country programme's development – while the NDA Secretariat maintained control of the content and policy aspects.

The first RPSP activity is also helping to formalize the NOP for submitting Funded Project proposals to the GCF. The NDA believed that this will help establish more consistent procedures that will become quicker and more efficient over time.

The GGGI grant was implemented and the IFC proposal was prepared in relatively short periods of around six months, building on earlier efforts in both areas. The GGGI grant received its first disbursement in September 2017, three months after the approval of the RPSP grant in June, and submitted the Funded Project proposal to the GCF in March 2018.

According to GGGI, lack of clarity has made it challenging to work with the GCF. When issues arise, it is not always clear whom to contact within the GCF or whom to work with to resolve the issues. They have not found the guidelines to be too heavy to work with, but the frequent changes they went through posed challenges. There have been many moving parts as the GCF institutionalizes its operations. For GGGI Mongolia, the GHG calculation was the hardest part in preparing the Funded Project proposal for the Green Finance Corporation.

Comparing the GCF with the GEF and the CIF, the GEF is very country-driven due to the System for Transparent Allocation of Resources (STAR) allocation system. The EBRD has found the CIF the easiest to work with, since they were set up specifically for multi-lateral development banks like EBRD. They have found the GCF to be somewhere in-between. The GCF has a very thorough review process. This means it takes more time and resources to prepare a GCF project and involves an additional level of reporting. The EBRD would like to be more involved, as an Accredited Entity, in the GCF policy formulation process.

On the initiative of the NDA, XacBank applied for accreditation in March 2015 and achieved it in October 2016, at the end of a long process characterised by the President of XacBank as being “difficult” and “cumbersome”. One of the reasons was that all documentation had to be translated

into English. Also, this was the first accreditation of a private sector entity as a DAE. To paraphrase the President of Xacbank, they were the first commercial bank to request accreditation and the GCF Secretariat was still in the process of working out its accreditation procedures. The President also said that their accreditation process should not be viewed as representative of how long the process can take, because theirs was the first one.

## ANNEX A. TIMELINE OF KEY EVENTS IN THE GREEN CLIMATE FUND AND THE READINESS AND PREPARATORY SUPPORT PROGRAMME, AND RELATED EVENTS IN MONGOLIA

YEAR	GREEN CLIMATE FUND	READINESS AND PREPARATORY SUPPORT PROGRAMME	RELATED EVENTS IN MONGOLIA
2010	(December) The Sixteenth Session of the United Nations Framework Convention on Climate Change in Cancun (COP 16), Mexico, decides to establish a Green Climate Fund (GCF), to be designated as an operating entity of the financial mechanism of the Convention under Article 11.		Parliament approves “Mongolian livestock” National Programme.
2011	(December) COP 17 in Durban, South Africa, adopts the Governing Instrument of the Green Climate Fund.		Parliament approves National Action Programme on Climate Change (NAPCC).
2012	(October) The Board selects the Republic of Korea to host the Fund Secretariat.		
2013	<p>(June) The Board selects H��la Cheikhrouhou as the first Executive Director of the GCF Secretariat.</p> <p>(June) The Board requests the Secretariat to issue an invitation to developing countries to nominate a Nationally Designated Authority (NDA).</p> <p>(October) The Board agrees on a roadmap to mobilize resources.</p>	<p>(March) Board adopts modalities for readiness support and decides to explore options for making short-term progress on Readiness, including the initiation of work on operationalizing a Readiness phase.</p> <p>(October) Board decides that the GCF will provide Readiness and preparatory support to:</p> <ul style="list-style-type: none"> <li>• Enable the preparation of country programmes;</li> <li>• Strengthen in-country, GCF-related institutional capacities; and</li> <li>• Enable implementing entities to meet the fiduciary standards and environmental and social safeguards (ESS) of the GCF.</li> </ul>	Government designates the Ministry of Environment and Tourism as the National Focal Point (NFP), with Dr. Dagvadorj Damdin as contact person.
2014	(October) Board decides only to consider funding proposals that are submitted with a formal letter of “no objection”, to ensure consistency with national climate strategies and plans and country-driven approaches.	<p>(February) Board conceptualizes a detailed work programme on Readiness, including four priority activities:</p> <ul style="list-style-type: none"> <li>• Establishment of NDAs/Focal Points (FPs);</li> </ul>	Parliament approves Green Development Policy.

YEAR	GREEN CLIMATE FUND	READINESS AND PREPARATORY SUPPORT PROGRAMME	RELATED EVENTS IN MONGOLIA
	(November) GCF Secretariat opens its online accreditation system for national and international entities.	<ul style="list-style-type: none"> <li>• Strategic frameworks, including the preparation of country programmes;</li> <li>• Selection of implementing entities; and</li> <li>• Initial pipelines of programme and project proposals.</li> <li>• (October) Board decides: <ul style="list-style-type: none"> <li>• That all developing countries will have access to Readiness support with at least 50% of Readiness support allocated to particularly vulnerable countries, including SIDS, LDCs and African states;</li> <li>• That Readiness commitments will be limited to USD 1 million per country per calendar year, including up to USD 300,000 to help establish an NDA/FP; and</li> <li>• To allocate USD 15 million for the Readiness Programme, and an additional USD 14 million after receipt of the next semi-annual report.</li> </ul> </li> </ul>	
2015	<p>(March) The Board approves the first Accredited Entities (AEs).</p> <p>(November) The Board approves the first eight investment projects before the Paris Climate Summit.</p> <p>(November) COP 21 in Paris passes the landmark international climate agreement, with the GCF as the dedicated operating entity of its financial mechanism.</p>	<p>(February) GCF Secretariat issues the first version of the RPSP proposal template.</p> <p>(May) GCF Secretariat issues second version of the RPSP proposal template.</p>	<p>Parliament approves State Policies on Food and Agriculture Policy, Energy, Industry, and Forests.</p> <p>(May 28) The NDA submits first RPSP proposal for “NDA Strengthening and Country Programmes” with GIZ as Delivery Partner – approved October 22.</p> <p>Mr. Yeruult B., former Director of the International Cooperation Department of MET, serves as the NFP for the GCF for a short period of time.</p> <p>(26 October) Dr. Batjargal Zamba, former Minister of Nature and Environment, appointed as NFP for the GCF.</p> <p>Government submits Intended Nationally Determined Contribution to COP 21 in Paris.</p>
2016	<p>(March) The Board adopts its Strategic Plan, which links the GCF to the Paris Agreement, and reconfirms the importance of the GCF RPSP.</p> <p>(October) The Board selects Howard Bamsey as the second Executive Director of the GCF Secretariat.</p>	<p>(June) The Board decides to defer the independent evaluation of the Readiness Programme to 2017.</p> <p>(June) The Board adopts a revised indicative list of activities that the Readiness Programme can support:</p> <ul style="list-style-type: none"> <li>• Establishing and strengthening NDAs/focal points;</li> <li>• Strategic frameworks, including the preparation of country programmes;</li> </ul>	<p>Parliament approves Mongolia’s Sustainable Development Vision–2030.</p> <p>Parliament approves Government Action Programme for 2016–2020.</p> <p>(October) GCF approves XacBank for accreditation as a DAE – the first private sector company accredited as a DAE.</p>

YEAR	GREEN CLIMATE FUND	READINESS AND PREPARATORY SUPPORT PROGRAMME	RELATED EVENTS IN MONGOLIA
		<ul style="list-style-type: none"> <li>• Support for accreditation and accredited DAEs;</li> <li>• Information-sharing, experience exchange and learning; and</li> <li>• Formulation of national adaptation plans and/or other adaptation planning processes.</li> </ul> <p>(28 July) GCF Secretariat issues the third version of the RPSP proposal template, including a logframe of intended outcomes.</p> <p>(December) The Board decides to allocate an additional USD 50 million for the RPSP.</p>	<p>(October) GCF approves first Funded Project on “GCF-EBRD Sustainable Energy Financing Facilities” for which Mongolia is one of 10 countries.</p> <p>(December) GCF approves second Funded Project on “MSME Business Loan Programme for GHG Emission Reduction” implemented by XacBank.</p>
2017		<p>(16 June) GCF Secretariat issues the fourth version of the RPSP proposal template.</p> <p>(July) The Board invites the Independent Evaluation Unit (IEU) to undertake an independent evaluation of the RPSP.</p>	<p>(10 February) NDA submits RPSP proposal on “Building Capacity to Advance National Adaptation Plan in Mongolia” – resubmitted on 22 December and approved 22 May 2018.</p> <p>(14 February) NDA resubmits first RPSP proposal for “NDA Strengthening and Country Programmes” with XacBank as Delivery Partner.</p> <p>(14 February) NDA submits second RPSP proposal on “Enhancing Access to Green Finance in Mongolia” with GGGI as Delivery Partner.</p> <p>(30 April) NDA submits third RPSP proposal on “Scaling-up of Implementation of Low-Carbon District Heating Systems in Mongolia” with UNEP as Delivery Partner.</p> <p>(5 June) GCF approves second RPSP proposal on Green Finance – GGGI receives first disbursement on 21 September.</p> <p>(29 June) NDA submits RPSP request for technical assistance from PwC for accreditation gap assessment of ECF as a DAE – not yet approved.</p> <p>(13 October) XacBank receives first disbursement for first RPSP proposal on NDA Strengthening.</p> <p>(October) GCF approves third Funded Project on “Renewable Energy Programme #1 – Solar”, implemented by XacBank.</p>

YEAR	GREEN CLIMATE FUND	READINESS AND PREPARATORY SUPPORT PROGRAMME	RELATED EVENTS IN MONGOLIA
2018		<p>(February–March) The Board:</p> <ul style="list-style-type: none"> <li>• Takes note of the findings of the initial review by the Secretariat of the RPSP (Dalberg Report);</li> <li>• Approves an additional USD 60 million for the RPSP; and</li> <li>• Approves the terms of reference for the independent evaluation of the RPSP.</li> </ul>	<p>(29 January) GCF approves third RPSP proposal on District Heating Systems – UNEP receives first disbursement on 3 May.</p> <p>(9 February) NDA submits sixth RPSP proposal to “Strengthen Sustainable Finance Practices in Mongolia and Encourage Regional Knowledge Sharing” with IFC as Delivery Partner – not yet approved</p> <p>(February) GCF approves fourth Funded Project on “Ulaanbaatar Green Affordable Housing and Resilient Urban Renewal Project” implemented by the Asian Development Bank.</p>

## ANNEX B. MONGOLIA: PORTFOLIO OF GCF, GEF, AF, AND CIF ACTIVITIES

ID NUMBER	GCF RPSP PROPOSAL	ACTIVITY AREA(S)	STATUS	APPROVAL DATE	FIRST DISBURSEMENT DATE	DURATION	IMPLEMENTING ENTITY	INSTRUMENT	COMMITTED AMOUNT IN USD	DISBURSED AMOUNT IN USD
MNG-RS-001	Establishing and strengthening National Designated Authority (NDA) and Focal Point (NFP), and strategic frameworks for engagement with the Fund, including the preparation of country programmes	NDA Strengthening and Country Programming	First tranche disbursed	22 Oct 2015	13 Oct 2017	12 months	XacBank	RPSP Grant	300,000	250,000
MNG-RS-002	Readiness Support for Enhancing Access to Green Finance in Mongolia	Strategic Frameworks	First tranche disbursed	5 June 2017	21 Sept 2017	12 months	Global Green Growth Institute (GGGI)	RPSP Grant	350,000	297,500
MNG-RS-003	Scaling-up Implementation of Low-Carbon District Heating Systems in Mongolia	Strategic Frameworks	First tranche disbursed	29 Jan 2018	3 May 2018	12 months	UNEP	RPSP Grant	368,000	250,000
	Building Capacity to Advance National Adaptation Plan Process in Mongolia	Adaptation Planning	In legal processing	22 May 2018		36 months	UNEP	RPSP Grant	2,895,461	
	Support for Accreditation of Direct Access Entities	Accreditation Support	Submitted 29 June 2017			6 months	PwC	RPSP Grant	33,915	
	Readiness Support to Strengthen Sustainable Finance Practices in Mongolia and Encourage Regional Knowledge Sharing	Strategic Frameworks	Submitted 9 Feb 2018			3 years	IFC	RPSP Grant	353,050	



ID NUMBER	GCF RPSP PROPOSAL	ACTIVITY AREA(S)	STATUS	APPROVAL DATE	FIRST DISBURSEMENT DATE	DURATION	IMPLEMENTING ENTITY	INSTRUMENT	COMMITTED AMOUNT IN USD	DISBURSED AMOUNT IN USD
	GCF Project Preparation Facility	Activity area(s)	Status	Approval date	First disbursement date	Duration	Implementing Entity	Instrument	Committed amount in USD	Disbursed amount in USD
	Strengthening and Enhancing the Application of Environmental Sound Technologies Related to Holistic Waste Management in Addressing Climate Change Challenges in Mongolia		Submitted to PPF				UNEP	PPF Grant		
	Mini-grid/off-grid Solution for Ger Area		Submitted to PPF 28 Feb 2018				XacBank	PPF Grant		
ID number	GCF Funded Project		Status	Approval date		Duration	Implementing Entity	Instrument	Committed amount in USD	Disbursed amount in USD
FP025	GCF-EBRD Sustainable Energy Financing Facilities		Effective	October 2016		15 years	EBRD	Funded Project	Loan 344 million Grant 34 million	
FP028	MSME Business Loan Programme for GHG Emission Reduction		Effective	December 2016		5 years	XacBank	Funded Project	Loan 19.5 million Grant 0.5 million	20.0 M
FP046	Renewable Energy Programme #1 – Solar		Effective	October 2017		10 years	XacBank	Funded Project	Loan 8.7 million	8.7 M
FP077	Ulaanbaatar Green Affordable Housing and Resilient Urban Renewal Project		Loan negotiations	February 2018		8.5 years	ADB	Funded Project	Loan 95 million	

ID NUMBER	GCF RPSP PROPOSAL	ACTIVITY AREA(S)	STATUS	APPROVAL DATE	FIRST DISBURSEMENT DATE	DURATION	IMPLEMENTING ENTITY	INSTRUMENT	COMMITTED AMOUNT IN USD	DISBURSED AMOUNT IN USD
									Grant 50 million	
	Climate Investor One		Submitted Feb 2017				FMO (Netherlands Development Bank)			
	Improving Adaptive Capacity and Risk Management of Rural Communities in Mongolia		Submitted March 2017				UNDP			
	Upscaling Renewable Energy in Western Mongolia		Submitted October 2017				ADB			
	Energy Efficiency Consumption Loan Programme		Submitted March 2018				XacBank			
	Mongolian Green Finance Corporation		Submitted March 2018				XacBank			
ID number	Global Environment Facility	Focal areas	Status	Approval date			Agencies	Type	GEF Grant	Co-financing
5803	Preparation of Mongolia's First Biennial Update Report (BUR) to UNFCCC	Climate change	Active	12 June 2014			UNDP	Enabling activity	352,000	35,000
5830	Nationally Appropriate Mitigation Actions in the	Climate change	Active	16 May 2016			UNDP	Medium-size project	1,269,863	6,900,000

ID NUMBER	GCF RPSP PROPOSAL	ACTIVITY AREA(S)	STATUS	APPROVAL DATE	FIRST DISBURSEMENT DATE	DURATION	IMPLEMENTING ENTITY	INSTRUMENT	COMMITTED AMOUNT IN USD	DISBURSED AMOUNT IN USD
	Construction Sector in Mongolia									
9834	Strengthening Capacity in the Agriculture and Land-use Sectors in Mongolia for Enhanced Transparency in Implementation and Monitoring of Mongolia's Nationally Determined Contribution (NDC) under the Paris Agreement	Climate change	Concept approved 1 June 2017				FAO	Medium-size project	863,242	1,160,000
	Adaptation Fund	Sector	Status	Approval date	Start date		Implementing Entity		AF Grant	Disbursed
MNG/MIE/EB/2011/1	Ecosystem Based Adaptation Approach to Maintaining Water Security in Critical Water Catchments in Mongolia	Water management	Active	22 June 2011	14 June 2012	6 years	UNDP		5,500,000	4,968,853
	SCF – Scaling Up Renewable Energy Programme	Sector	Status	Approval date			Implementing Entity		CIF Grant	IDA Co-financing
P152343	Upscaling Rural Renewable Energy – Solar PV	Renewable energy	Active	17 June 2017			World Bank		12,400,000	42,000,000

## ANNEX C. PERSONS CONSULTED IN ULAANBAATAR, 4-8 JUNE 2018

NAME	POSITION	ORGANIZATION	DATE
Dr. Batjargal Zamba Chuluunkhuu Baatar Dorjpurev J. Davaadorj G. Batimaa P.	GCF Focal Point Managing Officer Mitigation expert (Energy) Crop production expert	Environment and Climate Fund  Mongolia Water Forum	4 June
Enkhtuvshin Sevjid Sarantuya Ganjuur	Director-General Director	National Agency for Meteorology and Environment Monitoring for Mongolia	4 June
Romaine Brillie Sarnai Battulga  Bolormaa Chimednamjil Zoljargal Jargalsalkhan Shinenemekh Voloov Tuguldur Baavai	Country Representative Market Analyst – Green Affordable Housing Green Investment Specialist Market Analyst Market Analyst – Waste Management and Sanitation Solutions Funding Proposal Development Specialist	Global Green Growth Institute	4 June
Amar Hanibal Tuul Galzagd Anand Batsukh Greg Zegas	President Director, Eco Banking Dept. Senior Project Development Officer, Eco Banking Department Project Development Officer, Eco Banking Department	XacBank	4 June
Ts. Zorigtbat	Acting Director, Financial Policy Department	Ministry of Finance	5 June
Ariuntuya Dorjsuren Anand Tsog Bulgan Tumendemberel  Batbaatar Batkhuu Erdenebulgan Luvsandorj Dorj Isheekhuu Oyunchimeg L.	Director-General, Climate Change and International Cooperation Climate Change Officer Director-General, Green Development Policy and Planning Dept Officer Director, Division of Water Resources Senior Officer, Forest Policy and Coordination Dept. Officer, Monitoring	Ministry of Environment and Tourism (MET)	5 June

NAME	POSITION	ORGANIZATION	DATE
Naidalaa Badrakh Enkhlin Davaajav	Board Member Project and Partnership Manager	Mongolia Sustainable Finance Corporation	5 June
Suzanna Sumkhuu	Officer, Development Policy and Planning Division	National Development Agency	5 June
Enkhtaivan G.	Policy and Planning Dept.	Ministry of Energy	5 June
Poonam Pillai Erdene-Ochir Badarch	Disaster Risk Management Specialist Operations Officer	World Bank, Washington World Bank, Ulaanbaatar	5 June
Arnaud Heckmann	Senior Urban Development Specialist	Asian Development Bank	6 June
Batmunkh Batbold	Senior Financial Sector Specialist	International Finance Corporation, Ulaanbaatar	6 June
Alexis France Cynthia Page Anton Dan-Chin-Yu		EBRD, London EBRD, London EBRD, Moscow	6 June
Klaus Schmidt-Corsitto Erdenebat Erdenejav	Programme Manager Former Project Manager	GIZ	6 June
Daniela Garparikova	Deputy Resident Representative	UNDP	7 June
Dagvadorj Damdin Juerg Klarer B. Erdene Oyuntsetseg Oidov Mendbayar Sambuu	In-Country Facilitator Consultant Head of Board Members Head Manager	NDC Partnership Æquilibrium Consulting GmbH, Amriswil, Switzerland Mongolian Environmental Civil Council Development Horizons Foundation Mongolian National Recycling Association NGO	7 June Stakeholder Workshop
Ariuntuya Dorjsuren Anand Tsog Oyunsanaa Byambasuren Khishigjargal B.	Director-General, Climate Change and International Cooperation Climate Change Officer Director-General, Department of Forest Policy and Coordination Programme Manager, UN-REDD Director, Division of Water Resources Minister for Environment and Tourism (MET), Member of Parliament	Ministry of Environment and Tourism (MET)	7 June

NAME	POSITION	ORGANIZATION	DATE
Erdenebulgan Luvsandorj Tserenbat, Namsrai		Ministry of Environment and Tourism (MET)	7 June
Dr. Batjargal Zamba Chuluunkhuu Baatar	GCF Focal Point Managing Officer	Environment and Climate Fund	8 June

## ANNEX D. DOCUMENTS CONSULTED FOR MONGOLIA COUNTRY REPORT

Mongolia. 2015. Intended Nationally Determined Contribution (INDC) Submission by Mongolia to the Ad-Hoc Working Group on the Durban Platform for Enhanced Action (ADP).

Mongolia. Six Readiness and Preparatory Support Proposals between February 2017 and February 2018.

Mongolia. August 2017. Mongolia's Initial Biennial Update Report to the UNFCCC (BUR).

Mongolia. 2018. Third National Communication under the UNFCCC.

Mongolia. April 2018. Green Climate Fund Country Programme Brief.

Mongolia Country Brief to GCF Board 17.

Draft No-Objection Procedure.

Draft Country Coordination Mechanism.

Outline of Draft Country Programme, presentations to stakeholder workshop, 7 June 2018.

IFC- Readiness proposal on Strengthen Sustainable Finance Practices in Mongolia .

Readiness proposals on all other Readiness projects in Mongolia.

Progress report on Readiness project implemented by GGGI.

XacBank. NDA Readiness Programme Interim Report, 13 April 2018.

GCF, GEF, AF, and CIF projects in Mongolia.

Climate change challenges and priorities in Mongolia, presentation by Dr. Zamba Batjargal to stakeholder workshop, 7 June 2018.

# NAMIBIA CASE STUDY REPORT

## I. INTRODUCTION AND RELEVANT BACKGROUND INFORMATION

### A. The major climate risks facing the country

Located in the south-western region of the African continent, Namibia covers 825,418 km<sup>2</sup> and has some 1,500 km of coast line along the South Atlantic Ocean. Namibia is one of the largest and driest countries in sub-Saharan Africa, and has a population of approximately 2.5 million. The climate in Namibia can be categorized as desert, arid and semi-arid, with a high degree of variability. The country contributes less than 0.1 per cent of global greenhouse gas emissions, and per capita carbon dioxide emissions are around a quarter of the global average.

Mining is a major contributor to the Namibian economy in terms of economic output and exports. Other primary economic sectors such as agriculture and fisheries provide key contributions. Tourism also acts as an economic pillar and contributes up to 14.2 per cent of national GDP.

Of all the world's countries, Namibia is one of the most vulnerable to the impacts of climate variability and change. The country's susceptibility, due to its location in Southern Africa, is further exacerbated by an inherent water deficit and exposure to high temperatures during the spring/summer months (September–February). Evidence of climate variability and change include a retracted, variable and intense rainy season, resulting in lower water availability and increased temperatures (that have been above the global mean for the past 10 years). Farming ability has been significantly reduced in some areas while it is becoming increasingly challenging for the rural population to sustain livelihoods and income from the country's very limited arable land. Over half of all Namibian livelihoods rely on subsistence agriculture. Water is a high-value commodity in Namibia, as only 1 per cent of rainfall recharges underground water resources, with the rest lost to evaporation and uncaptured runoff.

Climate change is the most significant sustainable development challenge in Namibia. It also offers opportunities for a paradigm shift toward a low-emission, high-resilience and more inclusive economy. With its abundance of solar irradiation (among the top three countries worldwide), as well as its seawater and saline underground water sources, Namibia has vast untapped potential for low-emission energy generation and access, as well for the desalination of water for higher climate resilience. Greater energy and water security would drive the transition of Namibia toward a sustainable development pathway, based on the emergence of renewable energy and desalination sectors that can offer sustainable employment, secure incomes and a boost to the macro economy, while also creating opportunities to export water and energy to neighbouring states.

### B. Climate change policies, strategies and institutional architecture in Namibia

Development in Namibia is guided by its long-term National Policy Framework, Vision 2030, which transcribes into its National Development Plans (NDPs) for five-year periods. The country is currently in its fifth NDP.



Water is the first resource addressed in Vision 2030, which also mentions seawater desalination as one possible innovative approach for tackling inherent water limitations. On energy, it advocates for the adoption of sustainable energy policies and the use of renewable energy as a means of curbing environmental degradation caused by the over-exploitation of forest and other woodland resources. It can therefore be said that Vision 2030 shows cognizance of a low-carbon and high-resilience development pathway for Namibia.

Namibia approved a National Policy on Climate Change (NPCC) in 2011, and a National Climate Change Strategy and Action Plan (NCCSAP) 2013–2020 in 2014. They strengthen the climate action ambitions of the Government and support its short- to medium-term climate and development agenda.

In 2015, Namibia submitted its first Nationally Determined Contribution (NDC), in which the aim was to reduce greenhouse gas emissions by approximately 89 per cent by 2030, relative to a business-as-usual scenario. There is a strong focus on adaptation within its NDC. Specific examples of adaptation objectives come in the form of Climate Smart Agriculture (CSA); economic and livelihood diversification; smart irrigation and water management systems; and the development of early warning systems and climate data and forecasting. Together with the NPCC and the NCCSAP, the National Communications report, the Biennial Update Report (BUR) and the NDC enable national policy responses while contributing to international obligations and commitments to meet the decisions of the UNFCCC Conference of the Parties (COP).

The NDC of Namibia will be implemented and coordinated by the multi-sectoral National Climate Change Committee (NCCC), established in 2001, with the help of the Parliamentary Standing Committee on Economics, Natural Resources and Public Administration, and the Ministry of Environment and Tourism (MET). The MET is responsible for all environmental issues in the country and is also the National Focal Point to the UNFCCC. Among the core functions of the NCCC are developing national communications to the UNFCCC, developing national positions on climate change, defining climate change capacity-building needs and institutional requirements, and advising a national strategy for adaptation to climate change.

Approximately 10 per cent of the estimated USD 33 billion needed to implement the NDC will be sourced by Namibia; the remaining 90 per cent of funding is dependent on international finance transfers. This total figure is broken down through approximately USD 22 billion being focused on adaptation, and approximately USD 11 billion on mitigation.

A Disaster Risk Management Act was gazetted in 2012 and a Disaster Risk Management Plan is also in place to cover drought and flood events, amongst others. In 2015, the MET and the United Nations Development Programme (UNDP) issued the NAMA: Rural Development in Namibia through Electrification with Renewable Energies. No funding has been secured so far for its implementation.

Namibia has recently committed to scaling up its response to climate change by establishing a High-level Cabinet Committee on Climate Change (HCCC). The committee will be led by the Minister for International Relations and Cooperation and supported by the MET, the Ministry of Agriculture, Water and Forests (MAWF), the Ministry of Mines and Energy (MME), and the Ministry of Finance and Economic Development and Planning. This Committee, coupled with a Green Climate Fund (GCF ) Country Strategy – the development of which was supported by SouthSouthNorth (SSN) and the

Department for International Development (DFID) of the United Kingdom, and which is near completion – indicates the readiness of Namibia to take on a paradigm shifting approach that would accelerate interventions to mitigate key impacts and to secure adaptive capacities at all levels.

### C. Activities of other climate-related global funds and bilateral aid in Namibia

The Adaptation Fund (AF) approved one project in 2017. The project was proposed by the National Implementing Entity (NIE) – the Desert Research Foundation of Namibia (DRFN) – and is a pilot for a rural desalination plant that uses renewable power and membrane technology, totaling approximately USD 5 million in grant funding. The DRFN is considering applying for GCF accreditation in the future. With the funding from the Climate Finance Readiness Programme of the AF, a considerable number of awareness campaigns have taken place together with other civil society organizations in Namibia, as well as capacity building activities for NIE staff.

Through the Global Environment Facility (GEF), Namibia has attracted a number of small projects including a Climate Change Adaptation Project under the Country Pilot Partnership Programme. It ran from 2008–2012 and supported drip irrigation techniques, conservation agriculture and the rearing of indigenous livestock species in Omusati Region. In 2015, the “Scaling up community resilience to climate variability and climate change in Northern Namibia, with a special focus on women and children” (SCORE) project was launched. In the field of mitigation, a number of projects were supported or are ongoing, including the Barrier Removal to Namibian Renewable Energy Programme (NAMREP), the Namibia Energy Efficiency Programme in Buildings (NEEP) and the Concentrating Solar Power Technology Transfer for Electricity Generation (CSP TT) project.

At the bi-lateral level, Namibia participated in an African Adaptation Project (AAP), funded by the Government of Japan. It is also implementing a Biodiversity Management and Climate Change Project in partnership with the GIZ (Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH), while KfW Development Bank is currently supporting the Government with a feasibility study for a seawater desalination plant.

In May 2018, the Agence Française de Développement (AFD)-funded SUNREF project in Namibia was launched in Windhoek. The programme, which is already operational in a number of other African countries, will over the course of three years mobilize three local Namibian banks, namely First National Bank Namibia, Bank Windhoek, and Nedbank Namibia. These institutions will offer financing to support private sector investments in the areas of sustainable agriculture, sustainable tourism, renewable energy and energy efficiency. The aim of the SUNREF Namibia programme is to promote access to affordable green technologies, and it is being implemented by the Environmental Investment Fund (EIF) in collaboration with a technical assistance facility to support the participating banks, as well as project developers throughout the implementation of the programme. Financing will be made available by the participating banks, who will each disburse EUR 15 million throughout the programme.

Namibia was among the 10 countries that received assistance from the German Government to prepare and ready itself for the GCF and other climate financing windows. As such, GIZ supported the integration of climate change activities into the national planning and budgeting process, whilst KfW

support was provided for the development of a project pipeline. The support under KfW culminated in a long list of 29 projects that to-date form the Namibian long list of investment proposals. Namibia also received financial support from the Government of the United Kingdom through SSN to develop a country strategy for submission to the GCF.

#### D. The institutional arrangements of Namibia for engaging with the GCF

Namibia designated the MET as the National Designated Authority/Focal Point (NDA/FP) institution for the GCF. The National Focal Point (NFP) is Mr. Petrus Muteyauli, Deputy Director of Multilateral Environmental Agreements within the MET.

The NCCC of Namibia serves as the GCF Steering Committee (GCF SC). The Steering Committee has been instrumental since 2013, and has been active throughout the process of consulting with stakeholders and reviewing and recommending proposed projects for a “GCF pipeline of projects” for Namibia. The High-level Climate Change Committee that is currently being established would be responsible for approving country strategies and project proposals, and recommending Accredited Entities (AEs).

Established by an Act of Parliament in 2001, the EIF became operational in 2011. It was created with a mandate of being a sustainable source of funding for the development and implementation of environmentally sustainable development projects and programmes, in partnership with both public and private sector organizations. Its activities overlap with the results areas of the GCF in the areas of natural resource management, green technology and low carbon development, nature-based tourism, and capacity building. In 2015, the EIF achieved GCF accreditation without receiving Readiness and Preparatory Support Programme (RPSP) support.

In 2014, the DRFN became accredited to the AF as an NIE. National Implementing Entities can directly apply for financing and manage all aspects of climate adaptation and resilience projects, from design through to implementation and monitoring. The DRFN is a non-governmental organization (NGO) focused on maintaining a healthy natural environment that supports the livelihood of the Namibian people. As noted earlier, it is considering applying for accreditation as a Direct Access Entity (DAE) of the GCF. Similarly, the Nature Foundation of Namibia has been nominated for GCF accreditation and is currently preparing an application dossier.

In 2016, before receiving any Readiness grants, Namibia, through the EIF, submitted two adaptation projects, CRAVE (FP023) and “Empower to adapt: creating climate-change resilient livelihoods through community-based natural resource management in Namibia” (FP024). Each was valued at approximately USD 10 million.

Moreover, FP024 was the first pilot Enhanced Direct Access (EDA) project approved by the GCF. It is built on the strong institutional foundation of the Namibian Community-Based Natural Resource Management (CBNRM) network, which consists of communal conservancies and community forests in the rural communal areas of Namibia. These networks will be the conduit for the implementation of the local-level climate action of the project.

Similarly, the CRAVE project, executed by the MAWF, is built on the strong baseline investment of the Government made through the Namibia Comprehensive Conservation Agriculture Programme (NCCAP), and the revised Namibia Agriculture Policy of 2015. To date, Namibia has developed and piloted some of the most promising climate adaptation agricultural practices, but on a small scale. The Country CSA Programme aims to build the resilience of agricultural farming systems for enhanced food and nutrition security in Namibia. National priority programmes, such as the Namibia CSA Programme, the NCCAP and others, constitute crucial baseline investment initiatives for GCF projects. However, most of the desired outcomes as expressed in policy documents and strategies developed to date have not yet been realized, and remain policy intentions. Largely, this is due to lack of adequate, scalable financial and technological resources.

Another project submitted to the GCF in 2016, “Tourism Adaptation Project: Increasing Climate Change Resilience of CBNRM through Adaptation in the Tourism Sector in Namibia”, fell short, prompting an EIF readiness grant application that year. The readiness grant of USD 392,000, requested and approved in November 2016, was accessed with the very specific objective of strengthening the tourism adaptation project proposal under development, in addition to building the capacity of the EIF in terms of environmental and social safeguards (ESS) and gender analysis, monitoring and evaluation, and fiduciary standards.

To strengthen the proposal, the grant has sought to enable regional stakeholder consultations (as well as providing resources for actually writing the project proposal). Furthermore, the grant has been meant to support the establishment of a coordination mechanism for the NDA/FP to enhance oversight of the EDA Tourism Adaptation programming process. The proposed project effectively represents an ensuing phase of EIF’s support package to the CBNRM Programme of Namibia, and is designed to augment the first CBNRM EDA proposal entitled “Empower to Adapt: Creating Climate Resilient Livelihoods through CBNRM in Namibia”, approved in October 2016.

According to its CEO, the EIF learned by doing; initially hiring external consultants to lead the development of GCF projects, and subsequently taking ownership and leading the proposal development internally. It learned from previous projects, both funded by the GEF and others, and built on these as the basis of the first projects it submitted to the GCF. Its initial pipeline is primarily driven by the CBNRM programme in Namibia, which has provided a strong avenue for integrating climate change considerations and support climate resilience and action at the local level.

The EIF ascribes its successful project pipeline development to having built its initial capacity with Government resources, and aligning its due diligence processes with those of the GCF. Through a cooperation agreement with the Development Bank of Southern Africa’s Green Fund, the capacity of the EIF was further strengthened. The EIF is also benefiting from a unique institutional position in the architecture of the environmental and climate change policies and strategies implementation regime of Namibia. It enjoys broad political support, receives budgetary support from the Government, is mandated to procure funds from international donors, and is equipped with GCF-aligned project management systems. Along with these benefits and its access to a network of NGOs, CBNRM Community-Based Organizations (CBOs) and to local government, the EIF has become a key partner of the GCF in Namibia. The EIF is set to expand its activities and operations in private sector investments, including as an implementing agency in the SUNREF project of the AFD.

The efforts of Namibia to access climate finance have so far concentrated on grants; its experience with loans and large-scale projects is quite limited or non-existent. Private sector engagement has equally been superficial and mostly limited to awareness raising. As indicated in the NDC of Namibia, in the expansion of the EIF into new activity areas, and the future accreditation of the Development Bank of Namibia (DBN) and other banks in the country, this is set to change.

## II. RELEVANCE OF THE RPSP AND OF ITS MANDATE

The Readiness Programme is perceived as very relevant to the NDA/FP. Its first Readiness grant helped with progress on full Funded Project development, in particular to help meet ESS, gender and stakeholder engagement requirements. More recently, the Programme has contributed to strengthening the institutional capacity of the NDA/FP, to enabling stakeholder consultations and to developing the country programme of Namibia.

In 2016, one of the projects presented by the EIF to the GCF had a lot of shortcomings and needed to be strengthened. One of the accreditation conditions for the EIF was addressing ESS and gender policies, and stakeholder consultations. The Readiness grant requested in 2016 was used to address these, and was thereby accessed with a very specific objective. Implementation of activities took place in 2017. Of note, some activities, such as creating a computerized ESS monitoring system,<sup>35</sup> were put on hold, given that external services needed to be procured.

The grant also helped in the holding of successful national consultations, which are very costly because of the size of the country. An extension of the readiness for EIF capacity building on fiduciary standards, to move from micro to small projects and on-lending, was moved to 2018.

## III. COHERENCE IN CLIMATE FINANCE DELIVERY

In the case of Namibia, it is too early to say what the contribution of the RPSP to coherence in climate finance delivery with other multilateral entities has been. Among the objectives of the second Readiness grant on NDA/FP strengthening is the development of a country programme on the basis of the existing draft country strategy, and building on previous Readiness support received from BMZ and DFID. This activity is expected to enhance the coherence of climate finance delivery.

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<sup>35</sup> The system will enable the tracking of ESS indicators.

## IV.EFFECTIVENESS OF THE RPSP AND OF ITS PROCESSES

### A. N1 Extent to which Readiness grants have enabled NDA/FPs to lead effective intra-governmental coordination mechanisms, including the establishment of the no-objection procedure.

The assumption to test is that the first RPSP project for NDA/FP strengthening had led to effective intra-governmental coordination mechanisms and a no-objection procedure.

The answer is partly yes, given that it is very early on in the grant.

The NDA/FP only started implementing its first Readiness grant in June 2018. Namibia has a no-objection procedure (NOP) in place, which will be strengthened through the development of criteria under the Readiness grant. Among other activities, the Readiness project will develop a system for reviewing requests for, and the issuing of No-Objection Letters (NOLs). It will also support stakeholder engagement activities in all 14 regions across all levels of Government.

### B. N2 Extent to which Readiness grants have enabled NDA/FPs to effectively engage stakeholders in consultative processes, including the preparation of coherent country programmes.

The assumption is that Readiness grants have enabled NDA/FPs to effectively engage stakeholders in consultative processes and the preparation of a coherent country programme.

The answer is not yet.

The NDA/FP only started implementing its first Readiness grant in June 2018. Among other activities, the project will refine the current draft country programme strategy. A draft GCF Country Strategy was developed in 2017, with support from SouthSouthNorth and DFID.

The readiness support under the German Federal Ministry for Economic Cooperation and Development (BMZ) in 2014 was primarily directed at developing a pipeline of projects to be submitted to the GCF. The duration of the BMZ Readiness support exercise was relatively short; broader stakeholders were not fully consulted on the identification of projects. Furthermore, after developing the Intended Nationally Determined Contributions (INDC 2015) of Namibia, the final list of projects under the BMZ lacked essential elements outlined in the INDCs.

Green Climate Fund Readiness funding will therefore be used to develop priorities for GCF funding, which are consistent with the country's strategies and plans (including the INDC), and the Initial results management framework of the GCF. It will also provide support for a review and development of the project pipeline, with a broader gender-sensitive stakeholder involvement across the country, and include civil society, indigenous people, academia, and the private sector (micro, small and medium-size enterprises) in doing so.

**C. N3 Extent to which Readiness technical assistance has enabled nominated candidates to achieve accreditation as DAEs.**

The assumption is that Readiness assistance has enabled nominated candidates to achieve accreditation.

The answer is no.

The EIF is currently the only DAE in Namibia. It achieved accreditation without benefiting from GCF technical assistance. The MET is planning to hold an accreditation workshop to create awareness among national entities on GCF accreditation processes. The EIF is planning to apply for an upgrade in accreditation for on-lending and for micro- to small-scale projects. These planned actions will be implemented without RPSP support. The EIF expects that, through its role as implementing agency for the SUNREF projects, it will build a track record on on-lending that will support its upgrade in accreditation with the GCF.

**D. N4 Extent to which information and experience sharing events and processes have contributed to the ability of countries and DAEs to engage effectively with the GCF**

The assumption is that the information-sharing events organized by the GCF Secretariat – primarily the regional structured dialogues and DAE workshops – have helped countries to engage effectively with the GCF.

The answer is yes.

The DAE and NDA/FP indicated having benefited from close interactions with the GCF, through country visits, structured dialogues and Board meetings. These have increased their understanding of the GCF, and have deepened their engagement with it.

**E. N5 Extent to which Readiness grants have enabled countries to develop National Adaptation Plans that build on existing country strategies and plans**

The assumption is that the RPSP has enabled the development of a National Adaptation Plan (NAP).

The answer is no.

At the time of writing, the NDA/FP was considering the development of a National Adaptation Plan (NAP). None has been prepared and submitted, as of yet.

**F. N6 Extent to which Readiness grants have enabled NDA/FPs and AEs to develop concept notes and/or project proposals to access climate financing that address high-impact priorities identified in country programmes**

The assumption is that Readiness funds have enabled the NDA/FP and the DAE to develop concept notes and/or project proposals to access climate finance, that address high-impact priorities.

The answer is partly yes.

The first Readiness grant led to the strengthening of a full Funded Project proposal, FP024, and is still being used for the development of an EDA tourism and adaptation project that is referred to in the grant application, titled, “Tourism Adaptation Project: Increasing Climate Change Resilience of CBNRM through Adaptation in the Tourism Sector in Namibia.”

The earlier KfW readiness support also led to a pipeline of 29 projects, three of which received further project development support. One of these, an aquifer project in Windhoek, was submitted to the GCF but needed substantial revision, and has not progressed since then.

### G. N7 Extent to which private sector engagement in country consultative processes has helped improve the enabling environment for crowding-in private sector investments

The assumption is that the involvement of the private sector in consultations has helped to improve the conditions for crowding-in private sector investments.

The answer is not yet.

It is not yet possible to establish how and to what extent private sector engagement has helped improve the overall enabling environment, in ways that encourage the crowding-in of private sector investments.

The NDA/FP of Namibia clearly recognizes the need for further and deeper engagement with the private sector. Indeed, the Readiness grant is supporting the development of a mobilization strategy targeting the private sectors, to create awareness about accessing resources under the private sector facility (PSF). It will also enable the identification of barriers to the participation of the private sector in country priorities, and of the measures necessary to overcome them. Also, a key activity of the Readiness grant of the DAE targeted at a tourism and adaptation project proposal, is consultation with the private sector. Therefore, both the consultations and the strategizing have the potential to lay the basis for engaging the private sector and enabling private sector investment in future projects. For the time being, this remains a potential rather than an actualized fact.

## V. COUNTRY OWNERSHIP

Namibia is very confident that its GCF projects and processes are country driven, and in line with its national strategies and plans. As far as Namibia is concerned, they are not driven by international or bilateral organizations.

Country ownership of GCF projects is strongly expressed in the current pipeline of approved projects, which is rooted in a well-established CBNRM approach, in expertise developed in Namibia, and in the more recent Conservation Agriculture programmes of the MAWF. The CBNRM benefits from strong buy-in from certain groups and stakeholders. However, there is a recognition of the need to expand into other areas, such as water and energy. Such an expansion would require significant engagement with different groups and sectors. The MET has identified 10 major thematic areas aligned with the NDC and Sustainable Development Goals (SDGs), for programmatic and project ideas, e.g. water, food security,



energy, and including cross-cutting issues such as empowerment, gender, vulnerable groups, youth and knowledge management.

Through its first Readiness grant, the capacity of Namibia to develop, implement and monitor the GCF projects of the DAE is being further strengthened. Although the public sector is equipped to deliver climate programmes, there is much room for improvement through better coordination and leadership, including through the involvement of the private sector and civil society to leverage their capacities to deliver. Furthermore, the vulnerabilities to climate change of natural resources arise at the micro level, and understanding and addressing them requires the building of capacity at the local level. The EDA projects are achieving this to an extent, and the Readiness grant is supporting consultations at the regional level in all 14 regions of the country. Due to the size of the country, the sparse population, and the dominance of regional languages – only 8 per cent of Namibians are English speakers, despite English being the national language – extensive engagement is costly and requires translation into local languages.

The EIF and MET play a critical role in the development of national development plans by the national planning commission, and furthermore support sectoral reporting. The MET also works closely with the Ministry of Finance (MoF), and is partially supervised by the MoF. The MAWF is very important, and they are an Executing Entity (EE) for GCF projects. The MET and EIF have not yet engaged with the Ministry of Land Reform, but this could be important in the future.

The MET and EIF have worked closely with a civil society organization (CSO) umbrella, though the latter is somewhat dormant now as a result of a lack of funding.<sup>36</sup> A stakeholder meeting was held in August 2017 to review a stakeholder engagement strategy that had been developed. It was also used to elicit feedback on the second project (i.e. FP024) submitted to the GCF, and to consult on a pipeline of future projects. The MET and EIF also have a good relationship with two universities in Namibia.

However, some actors question whether the NDA/FP has invested enough in developing an effective collaboration with CSOs. There is a need for more facilitation to make this happen, and a dilemma also presents itself with respect to the use of funds for these purposes; CSOs lack resources to effectively engage, while the EIF does not have resources for doing so given their resources are directed into projects. Nonetheless, the NDA/FP is building on an existing track record of stakeholder consultation and ownership in CBNRM, and also in the climate change area through its NCCC. These processes and mechanisms will be further strengthened and expanded as a result of the Readiness support.

It must also be noted that the country's huge distances and its local languages are a hindrance, or at least make country ownership at local levels more expensive because of travel and translation costs.

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<sup>36</sup> Since Namibia was classified as an upper-middle income country by the World Bank, it has lost some of its Overseas Development Assistance (ODA). The classification of Namibia conceals severe inequities. Wealth is concentrated in just 5 per cent of the population due to historical reasons, and the country has one of the highest income inequalities in the world. Namibia is resource-rich and has good governance architecture, but has struggled to develop its economy beyond natural resource exploitation.

## VI. UNEXPECTED RESULTS

No unexpected results were mentioned, recorded or identified.

## VII. CROSS-CUTTING ISSUES – GENDER EQUITY AND INCLUSIVENESS

Both Readiness grants have been strengthening the gender equity and inclusiveness of current and future projects and programmes. This has been done in a number of ways, including:

- Training of CBOs;
- Performing gender assessments and studies;
- Conducting stakeholder consultations with specific emphasis on gender and vulnerable communities;
- Developing guidelines for stakeholder consultations that put emphasis on gender and indigenous communities; and
- Ensuring the final version of the country programme strategy is gender- and socially-inclusive.

## VIII. INNOVATIVENESS AND POTENTIAL FOR PARADIGM SHIFT

It is too early to conclude something meaningful about the extent to which the RPSP is enabling a paradigm shift in Namibia. Thus far, climate projects have been very small-scale and community-based, reaching only a small percentage of vulnerable communities, and have been limited to natural resource management (except for a few pilot mitigation projects funded by the GEF on Concentrated Solar Power [CSP] and Energy Efficiency). Experience with larger-scale adaptation and mitigation programmes has yet to be gained, and integrating climate change considerations into mainstream development programmes is relatively limited.

Although there are indications in the INDC and draft country strategy that the country is scaling up its engagement with climate finance, and is intending to expand to other sectors and to leverage the private sector, in all likelihood achieving a paradigm shift will be a longer process, requiring sustained Government support for longer-term planning and for creating an enabling environment. It will be heavily dependent on the availability of financial and technology resources, the development and deployment of new tools and approaches, as well as on strengthening the climate rationale of projects. These will also need to be rooted in good technical studies, and underpinned by robust monitoring and evaluation systems.

Current Readiness activities in Namibia have so far focused primarily on putting in place basic systems and stakeholder consultations, with only limited attention to addressing critical bottlenecks and diagnostics (with the exception of the identification of barriers for private sector investment in the second Readiness grant application). A number of interviewees highlight the lack of resources for undertaking technical studies to underpin the country programme, and in the development of high-quality projects with strong climate rationale. Also, engaging and leveraging the private sector requires

more than awareness raising, demanding a more structured engagement (e.g. as facilitated through the development of the tourism EDA project proposal with Readiness support).

## IX. LIKELIHOOD OF SUSTAINED IMPACT OF THE RPSP

It is likely that the impact of the RPSP is being sustained through the momentum created as a result of a growing GCF project portfolio, a country programme that is a living document, and the prospect of a scaled-up ability to access climate finance. However, without diminishing the unique and important role CBNRM is playing, it is important that climate finance moves beyond small-scale projects. This will necessitate upgrades in accreditation to larger-scale projects and the inclusion of loans and other financial instruments. Thought will have to be given to how successful micro projects can be replicated and scaled to realize the full potential of climate-sensitive CBNRM. The NDA/FP, the NCCC and the nascent high-level committee on climate change will have key roles in ensuring such momentum is sustained.

## X. POTENTIAL FOR BUILDING SCALE

The potential for building scale can come from all RPSP support pillars: (i) accrediting more national entities should lead to scale, both in the sense of number and type of projects, provided accredited national entities are subsequently equipped with project development skills, capacities and structures; (ii) country programmes, provided they are strategic and include a longer-term vision of where the country wants to go in terms of climate-resilient and low-carbon development, and articulate a road map to achieve the vision; (iii) NAPs, provided they lay the foundation for scaled-up implementation of adaptation actions; (iv) NDA/FP strengthening, including effective intra-governmental coordination, and stakeholder engagement. An inclusive governance model and structured engagement could lead to scaling of climate programmes; (v) structured dialogues: the sharing of experiences and the opportunities for learning and interactions is already leading to the scaling-out of good practices outside the country.

Namibia is currently implementing country programming activities with GCF Readiness support, with a view to preparing a country programme that will scale up and complement its country strategy, which aims to ensure transformative and economy-wide project proposals are developed and submitted to GCF in a coordinated manner.

The financial sector in Namibia offers significant potential to deliver the scaled-up response necessary to realize the country's NDC targets by 2030. In addition, Namibia values the role of experienced regional and international AEs that can assist the country in leveraging the financing and technical expertise required. Namibia has also indicated it is seeking to replicate its good practices and wants to help Botswana, Malawi and Swaziland. Namibia is writing a good practices document from their experiences in engaging with the GCF.

## XI. EFFICIENCY OF RPSP PROCESSES

### On accreditation

Once nominated as a DAE, the EIF successfully completed the accreditation process in 2015. Accreditation was achieved within six months and without support from the RPSP; the EIF used its own resources for this. The AgriBank of Namibia asked for support for accreditation from KfW, and is in stage one of the process.

The DBN submitted an accreditation application to the GCF secretariat in 2016. Nearly a year later, in 2017, they received feedback on the completeness check. The DBN and others indicated that the application form is too generic, which leads to confusion on what exactly is required. It would be preferable for application forms to be tailored to different categories of entities such as banks.

The application process would also be helped if there was more informative interaction with the GCF during the process. The GCF should invite applicants to its headquarters in Songdo, Republic of Korea. The Structured Dialogues have sufficient financial resources to enable the participation of accredited entities. During GCF country visits, it would also be beneficial if someone from the accreditation team were to conduct workshops to clarify accreditation matters.

Finally, for stakeholders in Namibia, the GCF is considered to be too remote in Korea. The time difference is a challenge. The establishment of regional hubs is currently being considered, and has already been approved for Latin America and the Caribbean (LAC). Namibia is a potential regional hub; if a hub were to be established, it would of course decrease the distance between Windhoek and Songdo.

### **On DAE and NDA/FP Readiness support**

According to the EIF, the efficiency of Readiness pre-approval processes has improved.

The speed with which the second Readiness grant was approved was faster than the first one, but the surprisingly lengthy post-approval process then slowed down the entire process. Post-approval processes are considered cumbersome and lengthy before any disbursement is made: this was the case for the second Readiness grant.

In the case of the first RPSP grant, it was not a very cumbersome experience, and the EIF, NDA/FP and the Regional Advisor (RA) worked closely together to ensure a relatively quick turnaround. They managed to sign all the papers within three to four months. The disbursement of the first tranche was also smooth.

The RA has been very helpful in the context of the Readiness grant, i.e. project design and submission. However, their part-time position is a major limitation to the type of valued support they might otherwise provide.

## ANNEX A. TIMELINE OF KEY EVENTS IN THE GREEN CLIMATE FUND AND THE READINESS AND PREPARATORY SUPPORT PROGRAMME, AND RELATED EVENTS IN NAMIBIA

YEAR	GREEN CLIMATE FUND	READINESS AND PREPARATORY SUPPORT PROGRAMME	RELATED EVENTS IN NAMIBIA
2010	(December) The Sixteenth Session of the United Nations Framework Convention on Climate Change in Cancun (COP 16), Mexico, decides to establish a Green Climate Fund (GCF), to be designated as an operating entity of the financial mechanism of the Convention under Article 11.		
2011	(December) COP 17 in Durban, South Africa, adopts the Governing Instrument of the GCF.		Under the guidance of the Ministry of Environment and Tourism (MET) and with support from the National Climate Change Committee (NCCC), a Cabinet-endorsed National Policy on Climate Change (NPCC) was produced in 2011, which articulates the country's response to climate change.
2012	(October) The Board selects the Republic of Korea to host the Fund Secretariat.		
2013	<p>(June) The Board selects H��la Cheikhrouhou as the first Executive Director of the GCF Secretariat.</p> <p>(June) The Board requests the Secretariat to issue an invitation to developing countries to nominate a Nationally Designated Authority (NDA).</p> <p>(October) The Board agrees on a roadmap to mobilize resources.</p>	<p>(March) The Board adopts modalities for Readiness support and decides to explore options for making short-term progress on Readiness, including the initiation of work on operationalizing a Readiness phase.</p> <p>(October) The Board decides that the Fund will provide Readiness and preparatory support to:</p> <ul style="list-style-type: none"> <li>• Enable the preparation of country programmes;</li> <li>• Strengthen in-country, GCF-related institutional capacities; and</li> <li>• Enable implementing entities to meet the fiduciary standards and environmental and social safeguards (ESS) of the GCF.</li> </ul>	<p>A concrete and time-bound National Climate Change Strategy and Action Plan (2013-2020) is adopted, guiding the implementation of the National Policy on Climate Change.</p> <p>A Water Management Act is gazetted. The Act calls for the development of Integrated Water Resources Management plans for the development, conservation, management and control of water resources in Namibia.</p> <p>BMZ commissions GIZ and KfW to support climate finance readiness in Namibia. KfW is tasked with supporting the development of a project pipeline. GIZ is tasked with supporting the integration of climate change activities into national planning and the budgeting process.</p> <p>A climate finance Readiness needs assessment is undertaken by the Overseas Development Institute (ODI), the African Climate Finance Hub (ACFH) and WRI in close collaboration with GIZ, with the support of BMZ.</p>

YEAR	GREEN CLIMATE FUND	READINESS AND PREPARATORY SUPPORT PROGRAMME	RELATED EVENTS IN NAMIBIA
2014	<p>(October) The Board decides only to consider funding proposals that are submitted with a formal letter of “no objection”, to ensure consistency with national climate strategies and plans and country-driven approaches.</p> <p>(November) The GCF Secretariat opens its online accreditation system for national and international entities.</p>	<p>(February) The Board conceptualizes a detailed work programme on Readiness, including four priority activities:</p> <ul style="list-style-type: none"> <li>• Establishment of NDAs/Focal Points (FPs);</li> <li>• Strategic frameworks, including the preparation of country programmes;</li> <li>• Selection of implementing entities; and</li> <li>• Initial pipelines of programme and project proposals.</li> </ul> <p>• (October) The Board decides:</p> <ul style="list-style-type: none"> <li>• That all developing countries will have access to Readiness support with at least 50% of Readiness support allocated to particularly vulnerable countries, including SIDS, LDCs and African states;</li> <li>• That Readiness commitments will be limited to USD 1 million per country per calendar year, including up to USD 300,000 to help establish an NDA/FP; and</li> <li>• To allocate USD 15 million for the Readiness programme, and an additional USD 14 million after receipt of the next semi-annual report.</li> </ul>	<p>In 2014, Namibia becomes the first non-Annex I Party to submit the First Biennial Update Report to the UNFCCC.</p> <p>Namibia designates the MET as the NDA and FP institution for the GCF. Namibia nominates Mr. Petrus Muteyauli, Deputy Director of Multilateral Environmental Agreements, as the National Focal Point (NFP).</p> <p>The Desert Research Foundation of Namibia is accredited to the Adaptation Fund.</p> <p>KfW organizes a stakeholders workshop with participation of different sectors and NGOs. A project pipeline is developed.</p> <p>GIZ organizes training on climate proofing.</p> <p>GIZ supports entity stocktaking and provides advice on accreditation.</p> <p>As part of CF Ready, GIZ organizes an African South-South exchange and leadership initiative with Namibia, Zambia, Tanzania and Uganda.</p>
2015	<p>(March) The Board approves the first Accredited Entities (AEs)</p> <p>(November) The Board approves the first eight investment projects before the Paris Climate Summit</p> <p>(November) COP 21 in Paris passes the landmark international climate agreement, with the GCF as the dedicated operating entity of its financial mechanism.</p>	<p>(February) The GCF Secretariat issues the first version of the RPSP proposal template.</p> <p>(May) The GCF Secretariat issues second version of the RPSP proposal template.</p>	<p>Namibia approves the Namibia Agriculture Policy and a Comprehensive Conservation Agriculture Strategy.</p> <p>The Environmental Investment Fund (EIF) is accredited to the GCF in July 2015.</p> <p>Deutsche Bank submits the multi-country Universal Green Energy Access Programme (UGEAP); it is approved by the Board in 2016; it is still pending.</p> <p>The MET and UNDP issue a NAMA: Rural development in Namibia through electrification with renewable energies. No funding has yet been secured.</p>

YEAR	GREEN CLIMATE FUND	READINESS AND PREPARATORY SUPPORT PROGRAMME	RELATED EVENTS IN NAMIBIA
2016	<p>(March) The Board adopts its Strategic Plan, which links the GCF to the Paris Agreement, and reconfirms the importance of the GCF RPSP.</p> <p>(October) The Board selects Howard Bamsey as the second Executive Director of the GCF Secretariat.</p>	<p>(June) The Board decides to defer the independent evaluation of the Readiness programme to 2017.</p> <p>(June) The Board adopts a revised indicative list of activities that the Readiness programme can support:</p> <ul style="list-style-type: none"> <li>• Establishing and strengthening NDAs/FPs;</li> <li>• Strategic frameworks, including the preparation of country programmes;</li> <li>• Support for accreditation and accredited DAEs;</li> <li>• Information-sharing, experience exchange and learning; and</li> <li>• Formulation of national adaptation plans and/or other adaptation planning processes.</li> </ul> <p>(28 July) GCF Secretariat issues the third version of the RPSP proposal template, including a logframe of intended outcomes.</p> <p>(December) The Board decides to allocate an additional USD 50 million for the RPSP.</p>	<p>In 2016, in the run-up to the 20<sup>th</sup> UNFCCC Conference of the Parties (CoP), Namibia submits its INDC.</p> <p>The EIF submits an Entity Support readiness request in May 2016; it is approved in November 2016.</p> <p>The EIF submits two full funding proposals in April and August respectively:</p> <ul style="list-style-type: none"> <li>• FP023 “Climate Resilient Agriculture in three of the Vulnerable Extreme northern crop growing regions (CRAVE)”; and</li> <li>• FP024 “Empower to Adapt: Creating Climate-Change Resilient Livelihoods through Community-Based Natural Resource Management (CBNRM) in Namibia”.</li> </ul> <p>They are approved by the GCF in October 2016.</p> <p>The United Kingdom, through South-South-North, supports the development of a GCF country strategy.</p>
2017		<p>(16 June) The GCF Secretariat issues the fourth version of the RPSP proposal template.</p> <p>(July) The Board invites the IEU to undertake an independent evaluation of the RPSP.</p>	<p>The Cabinet decides to establish a High-Level Committee on Climate Finance, to be chaired by the Ministry for International Relations and Cooperation, supported by the MET, MAWF, MME, MoF, Economic Development, and the NPC.</p> <p>The National Development Plan (NDP) 5 (2017/18-2022/23) undergoes finalization and is geared to meet specific climate mitigation targets.</p> <p>The EIF submits SAP1 “Improving rangeland and ecosystem management practices of smallholder farmers under conditions of climate change in Sesfontein, Randfontein, and Warmquell areas of the Republic of Namibia”. It is approved in February 2018.</p>

YEAR	GREEN CLIMATE FUND	READINESS AND PREPARATORY SUPPORT PROGRAMME	RELATED EVENTS IN NAMIBIA
			<p>In April 2017 the EIF submits a request under the RPSP for NDA strengthening, Country Programming and Entity Support; it is approved in September 2017, and it becomes effective in February 2018.</p> <p>A draft GCF country strategy is produced with the support of South-South-North.</p> <p>The Adaptation Fund approves the DRFN project proposal “Pilot rural desalination plants using renewable power and membrane technology”.</p>
2018		<p>(February–March) The Board:</p> <ul style="list-style-type: none"> <li>• Takes note of the findings of the initial review by the Secretariat of the RPSP (Dalberg Report);</li> <li>• Approves an additional USD 60 million for the RPSP; and</li> <li>• Approves the Terms of Reference for the independent evaluation of the RPSP.</li> </ul>	<p>The SUNREF project of the AFD is launched in Windhoek; it is being implemented by the EIF in collaboration with the Technical Assistance Facility.</p> <p>The EIF submits a funding proposal “Ecosystem based adaptation of communities living in Namibia’s communal conservancies and community forests through climate resilience of their natural resource based assets”. It requires major revision.</p> <p>The RPSP proposal for NDA strengthening, Country Programming and Entity Support begins implementation.</p>

## ANNEX B. NAMIBIA: PORTFOLIO OF GCF, AF AND GEF ACTIVITIES

ID NUMBER	GCF RPSP PROPOSAL	ACTIVITY AREA(S)	STATUS	APPROVAL DATE	FIRST DISBURSEMENT DATE	DURATION	IMPLEMENTING ENTITY	INSTRUMENT	COMMITTED AMOUNT IN USD	DISBURSED AMOUNT IN USD
1705-14693	Increasing Climate Change Resilience of Tourism-Reliant Communities in Namibia and Strengthening Institutional Capacities of the EIF as an accredited entity	Entity Support readiness	Disbursed	1 Nov 2016	29 May 2017	12 months	EIF	RPSP Grant	391,009	



ID NUMBER	GCF RPSP PROPOSAL	ACTIVITY AREA(S)	STATUS	APPROVAL DATE	FIRST DISBURSEMENT DATE	DURATION	IMPLEMENTING ENTITY	INSTRUMENT	COMMITTED AMOUNT IN USD	DISBURSED AMOUNT IN USD
1706-14772	Strengthening National Designated Authorities, Strategic framework for engagement with the Fund and Support of accreditation of local institutions	NDA strengthening , Country Programming and Entity Support	First tranche disbursed	28 Sep 2017	7 Mar 2018	24 months	EIF	RPSP Grant	300,000	
ID NUMBER	GCF FUNDED PROJECT		STATUS	APPROVAL DATE		DURATION YEARS				
FP023	Climate Resilient Agriculture in three of the Vulnerable Extreme northern crop growing regions (CRAVE)		Effective	October 2016	July 2017	5	EIF	Funded project	Grant 9.5 million	3.08 million
FP024	Empower to Adapt: Creating Climate-Change Resilient Livelihoods through Community-Based Natural Resource Management (CBNRM) in Namibia		Effective	October 2016	July 2017	5	EIF	Funded project	Grant 10 million	0.43 million
FP027	Universal Green Energy Access Programme (UGEAP)		Pending	August 2015		15	Deutsche Bank	Funded project	Equity 78.4 million Grant 1.6 million	
SAP001	Improving rangeland and ecosystem management practices of smallholder farmers under conditions of climate change in Sesfontein, Randfontein, and Warmquelle areas of the Republic of Namibia		Pending	March 2018		5	EIF	Funded project	Grant 9.3 million	

ID NUMBER	GCF RPSP PROPOSAL	ACTIVITY AREA(S)	STATUS	APPROVAL DATE	FIRST DISBURSEMENT DATE	DURATION	IMPLEMENTING ENTITY	INSTRUMENT	COMMITTED AMOUNT IN USD	DISBURSED AMOUNT IN USD
	Water Banking for Resilience to Climate Variability in Windhoek and Central Areas of Namibia		Stage 4: FP received	Submitted Oct 2018			UNDP			
	Ecosystem based adaptation of communities living in Namibia's communal conservancies and community forests through climate resilience of their natural resource based assets		Major revision (SMT decision)	Submitted Oct 2018			EIF			
	Low-Carbon Public Transport in Windhoek		PI received							
ADAPTATION FUND										
	PROJECT TITLE	SECTOR	STATUS	APPROVED		DURATION	NIE		AF GRANT	
NAM/NIE/Water/2015/1	Pilot rural desalination plants using renewable power and membrane technology	Water	Project funded	October 2017		4	DRFN		4,999,674	
	Technical Assistance Grant for ESP and Gender		Readiness grant	December 2016			DRFN		20,000	
GEF										
GEF ID	Project title	Project type	Status	Approval date			GEF Agency		GEF project grant in USD	Co-financing in USD
3793	Namibia Energy Efficiency Programme (NEEP) In Buildings	MSP	Completed	Feb 2009			UNDP		859,000	3,500 000 from Government

ID NUMBER	GCF RPSP PROPOSAL	ACTIVITY AREA(S)	STATUS	APPROVAL DATE	FIRST DISBURSEMENT DATE	DURATION	IMPLEMENTING ENTITY	INSTRUMENT	COMMITTED AMOUNT IN USD	DISBURSED AMOUNT IN USD
3793	Namibia Energy Efficiency Programme (NEEP) In Buildings	PPG		Feb 2009			UNDP		50,000	
4163	Concentrating Solar Power Technology Transfer for Electricity Generation in Namibia (CSP TT NAM)	FP	On-going	Jun 2010			UNDP		1,718,000	18,436,000 from Government
4163	Concentrating Solar Power Technology Transfer for Electricity Generation in Namibia (CSP TT NAM)	PPG		May 2010			UNDP		50,000	

## ANNEX C. PERSONS CONSULTED IN NAMIBIA, JUNE–JULY 2018

NAME	POSITION	ORGANIZATION	DATE
Mr. Petrus Muteyauli Mr. Paulus Ashili Mr. Sion Shifa Ms. Lesley-Anne van Wyk	Deputy Director NFP Chief Conservation Scientist Senior Conservation Officer Project Coordinator	Ministry of Environment and Tourism, Namibia	28 June and 6 July
Mr. Karl M. Aribeb Ms. Selma Shitilifa Ms. Aina Maria Iteta	Director of Operations Project Coordinator M&E Officer	Environmental Investment Fund	29 June 4-5 July (in Ondangwa) 4-5 July (in Ondangwa)
Ms. Maxi Pia Louis	Director	Namibia Association of CBNRM Support Organizations	2 July
Ms. Martha Naanda	Head of Environment and Energy	UNDP	2 July
Mr. Angus Middleton Ms. Britta Hackenberg	Executive Director Director of Projects	Namibia Nature Foundation	3 July
Dr. Martin B. Schneider Ms. Bernadette Shalumbu-Shivute	Executive Director Project Coordinator	Desert Research Foundation of Namibia (DRFN)-Accredited to AF	3 July
Ms. Andrea Lohnert	Senior Sector Coordinator	KfW	3 July
Ms. Maano Nepembe	Manager: Research and Product Development	Development Bank of Namibia-Nominated for Accreditation	3 July
Mr. Bryn Canniffe	Technical Assistant	Ministry of Environment and Tourism	4 July
Hon. Kashuupulwa	Governor of Oshana		July 4 (in Oshakati, Oshana)
Mr. Dempers		Namibia Development Trust	5 July (in Ondangwa)
Ms. LuiPERT		Namibia Development Trust	5 July (in Ondangwa)

## ANNEX D. DOCUMENTS CONSULTED FOR NAMIBIA COUNTRY REPORT

Country Strategy to the Green Climate Fund, May 2017 draft. Republic of Namibia.

INDC of the Republic of Namibia to the UNFCCC, September 2015.

Third National Communication of the Republic of Namibia to the UNFCCC, November 2015.

Second Biennial Update Report (BUR2) of the Republic of Namibia to the UNFCCC, November 2016.

The Climate Finance Readiness Programme: Results so far. Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH. Published 2017.

Understanding climate finance readiness in Namibia. Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH. October 2013.

NACSO web site. Available at <<http://www.nacso.org.na/news/2018/07/eif-empowering-communities-to-adapt-to-climate-change>>.

AFD website. Available at <<https://www.sunref.org/en/lafd-successfully-launched-sunref-in-namibia/>>.

# PARAGUAY CASE STUDY REPORT

## I. INTRODUCTION AND RELEVANT BACKGROUND INFORMATION

### A. The major climate risks facing the country

Paraguay is a landlocked country in the heart of South America, bordering Argentina, Brazil and Bolivia. It has a small and open economy with a yearly economic growth of 5 per cent. Electricity production, soy and livestock made up some 70 per cent its exports in 2016.

Agriculture is the primary driver of the economy, which is highly vulnerable to climate change. The country is responsible for only 0.03 per cent of greenhouse gas (GHG) emissions.<sup>37</sup> According to the Climate Change Vulnerability Index, Paraguay is in the “extreme risk” category, 8th out of 33 countries in Latin America and the Caribbean (LAC). Paraguay has promised to reduce by 20 per cent its 416 million tons of CO<sub>2</sub> emission by 2030.<sup>38</sup> However, in recent years it has lost a high proportion of its forest when compared to other countries in the world. Four years ago, land-use change and forestry contributed around 78 per cent of total emissions. From 2005 to 2014, emissions grew nearly twice as fast, from 100 Mt to 180 Mt.<sup>39</sup>

Despite having the Itaipu Hydroelectric Dam, which it shares with Brazil, Paraguay still relies on firewood and biomass waste as energy sources. Biomass use represents a significant health and energy-security risk, and half of the biomass energy is consumed by the country’s industrial sector.

As a vulnerable country, adaptation is the key element for moderating damage. The lack of available information and strategies on how to deal with the impacts of climate change cause environmental, social, health and economic problems. It is therefore necessary for the country to make an action plan for adaptation, in which all of the country’s possible actors should be included.

### B. The institutional arrangements of Paraguay for engaging with the GCF and RPSP

On 27 November 2015, the Republic of Paraguay nominated the Secretariat of Planning for Economic and Social Development (STP) as the National Designated Authority/Focal Point (NDA/FP). The majority of consulted stakeholders noted that the STP is well positioned to assume this role, as it is the entity responsible for planning and coordinating all projects in Paraguay. The Minister of the STP, the Honorable Jose Molinas is the main point of contact for the Green Climate Fund (GCF). This year, the STP adopted a resolution creating a unit dedicated to GCF issues (Directorate of Green Climate Fund Affairs), composed of two STP staff who also occupy other functions within the STP. Based on the resolution, the unit is in charge of relations and presenting proposals to the GCF.

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37 Carbon Dioxide Information Analysis Center. Available at <[http://cdiac.ess-dive.lbl.gov/trends/emis/tre\\_coun.html](http://cdiac.ess-dive.lbl.gov/trends/emis/tre_coun.html)>.

38 SEAM. Direccion Nacional de Cambio Climatico.

39 World Resource Institute. Climate Watch Data. Available at <<https://www.climatewatchdata.org/countries/PRY>>.

In June 2018, the Secretary of the Environment became the Ministry of Environment and Sustainable Development (SEAM; Ministerio del Ambiente y el Desarrollo Sostenible), demonstrating the country's commitment to addressing climate change-related issues. The SEAM is responsible for ensuring the implementation of the United Nations Framework Convention on Climate Change (UNFCCC) and for implementing strategies related to climate change. In 2017, Paraguay passed the National Law on Climate Change (No. 5875/17) new law on climate change, and SEAM became the authority responsible for making sure that the law is implemented.

In 2001, the National Commission on Climate Change (CNCC) was created. Chaired by SEAM, it acts as an interministerial coordination mechanism for issues related to climate change. The CNCC is composed of 34 institutions from both the Government and civil society.

The NDA/FP has submitted two proposals to the Readiness and Preparatory Support Programm (RPSP), both of which have been approved. They are implemented by the Development Bank of Latin America (CAF) and Fundacion Avina, through accredited entities at regional level. The STP has also submitted a proposal for two GCF projects, both of which have been approved.

### C. Existing country strategies, policies and programmes to address climate change

Paraguay has a wide array of policies, strategies and programmes aimed at addressing climate change. The country has put a particular emphasis on mitigation and is working toward consolidating its approach to climate change adaptation, though more work is needed in this regard. The main milestones are listed below:

- National Climate Change Program (Decree 14943/01 [2001]);
- National Climate Change Policy (2011);
- National Climate Change Plan (NCCP), Phase 1 – Mitigation Strategy (2014);
- In 2015, the country adopted its Nationally Determined Contribution (NDC), which aims to reduce by 20% national GHG emissions by 2030;
- National Development Plan 2014-2030 – the plan makes the eradication of extreme poverty its paramount objective, and contains an ambitious reform agenda to achieve it;
- National Energy Policy (2016) – the policy outlines energy efficiency as one of its priority objectives and contains an Action Plan to encourage growth in this sector, through promoting energy efficiency in industry and supporting technological improvement; and
- National Law on Climate Change (2017).

### D. Activities of other climate-related global funds in Paraguay

Paraguay has received USD 3.4 million in support from the Global Environment Facility (GEF) for three projects in the area of climate change (see annex B). The country has also received support for one project for USD 7.51 million from the Adaptation Fund (AF), implemented by UNEP. Approved in March 2017, the project “Ecosystem Based Approaches for Reducing the Vulnerability of Food Security to the Impacts of Climate Change in the Chaco region of Paraguay”, seeks to

enhance available information and knowledge on climate resilience, to implement concrete cost-effective, on-the-ground adaptation measures and to strengthen institutional capacities to adequately address climate change adaptation issues.

## II. RELEVANCE OF THE RPSP AND OF ITS MANDATE

Paraguay is one of the countries in Latin America most vulnerable to climate change, a situation that makes accessing climate finance necessary if the country is to meet its national climate change commitments. Consulted stakeholders acknowledged that Paraguay currently lacks the institutional capacity and strong inter-institutional coordination necessary to plan for, attract and report on climate financing.

The institutional landscape in Paraguay has become increasingly fragmented in recent years, making communication and coordination between the various ministries quite difficult. With regards to climate change, the Ministry of Agriculture and Livestock (MAG; *Ministerio de Agricultura y Ganaderia*) used to be a single body dealing with environmental issues. Both SEAM and the National Forest Institute (INFONA; *Instituto Forestal Nacional*) used to be part of the MAG, but became their own entities in 2000 and 2008, respectively. The country's main coordination mechanism when it comes to climate change – the National Commission on Climate Change (CNCC) – regroups 34 institutions at least twice a year, and extra-ordinary reunions can be organized upon request of its members. However, the SEAM noted that the participation of some institutions has been quite low and that interinstitutional coordination remains a major challenge in Paraguay. To this end, the first RPSP grant, which aims to strengthen the NDA and support participatory multi-stakeholder processes, is extremely relevant to national stakeholders.

This institutional fragmentation has also resulted in the dispersion of resources across several ministries, some of which have very limited budgets. For instance, the MAG has a budget of 0.98 per cent of the overall national budget while the Ministry of Environment has a budget of only 0.03 per cent. Consulted national ministries noted in the interviews that they were highly committed to addressing climate change issues. They also stated that their limited budgets and the high rotation of staff within their ministries constitutes a huge limitation to accessing climate financing, as their staff often do not have the required capacity to develop proposals. Therefore, while many consulted ministries had not yet heard of or knew very little about the GCF Readiness Programme, they felt that a programme aimed at strengthening national institutional capacities for accessing climate financing is extremely relevant to their needs and priorities.

In 2015, the Government created 216 Local Development Councils (LDC) “as a space where local governments, along with representatives of the private sector and civil society design, implement and monitor their local development plan through a participatory and transparent process”.<sup>40</sup> Based on a study of the local development plans conducted by the STP (the NDA) in 2017, key stakeholders at the local level do not have the capacities or financial resources to integrate climate change into their local plans and to plan or access financing for the implementation of climate change mitigation or adaptation activities. The second RPSP grant, which aims to strengthen the

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<sup>40</sup> 15 June 2017. “Readiness and Preparatory Support Proposal”, Presented to the GCF Secretariat by Fundacion Avina.



capacities of local actors to plan for and access climate financing, is therefore highly relevant to the needs and priorities of local stakeholders.

The GCF and its RPSP programme is also very relevant to the private sector in Paraguay. In recent years, the private sector has become more and more cognizant of the need to support clients in increasing their productivity, while also supporting sustainable economic growth. Funding sources available in Paraguay offer high interest, short-term funding schemes and the private sector therefore seeks funding from international financing mechanisms that can offer long-term concessional funding. Consulted stakeholders from the private sector did not know of the Readiness Programme but did acknowledge that they would be interested to learn more about the process of obtaining accreditation and accessing GCF resources.

### III. COHERENCE IN CLIMATE FINANCE DELIVERY

Considering that the first RPSP project (aimed at strengthening the NDA/FP function) started implementation in mid-2018, it is not yet possible to assess the contribution of the RPSP to the coherence of the GCF in climate finance delivery with other multilateral entities. Nonetheless, it is possible to provide a picture of the current situation in terms of coherence and the intent of the RPSP to address coherence issues.

Other climate-related global funds, namely the GEF and the AF, are providing funding for projects implemented in Paraguay by UNDP, UNEP and Conservation International. The Food and Agriculture Organization of the United Nations (FAO) and the Inter-American Development Bank (IDB) will also implement GCF-supported projects which have recently been approved but for which the first tranche of funding has yet to be disbursed. Furthermore, the IDB, the CAF, and Conservation International have recently submitted concept notes to the Project Preparation Facility (PPF) seeking GCF support in developing full blown proposals for the strengthening of urban resilience in riverside Asuncion (an IDB project) and for enhancing the sustainability of the national energy matrix and the competitiveness of forest production through multifunctional forestry plantations. In Paraguay, development partners including multilateral development banks and UN agencies are strongly committed to working on climate change issues.

Consulted stakeholders highlighted that the NDA/FP (the STP) has a strong ownership of climate change mitigation and adaptation priorities. Indeed, the STP, which is responsible for coordinating the country's planning and international cooperation efforts, spearheaded the development of the National Development Plan 2015-2030 and National Development Contribution. In that sense, the STP noted that it is very well-positioned to ensure that development projects on climate change are aligned national priorities and do not duplicate each other. This being said, there appears to be an important lack of coordination regarding the development and implementation of climate change-related projects in Paraguay.

When the evaluation team asked national ministries which entities were currently working on climate change issues and on readiness, no one was able to provide the evaluators with a full picture. A few months ago, the SEAM discussed with the STP that a database consolidating the information of all ongoing climate change related projects currently does not exist in Paraguay. Both entities agreed that such a system would be essential for ensuring coherence among such

projects and would also allow for the better monitoring of and reporting on climate financing. The draft Country Programme (further described in section IV, N2 below) currently includes the pipeline for GCF approved and potential projects and the objective is to eventually fill this pipeline with other, non-GCF projects in order to provide a more holistic view of the country's portfolio of climate change-related projects.

Several ministries and development partners (e.g. United Nations, MDBs) further noted that, at project level, development partners work closely with each other but that there is a need for greater coordination in identifying and developing a portfolio of climate change mitigation and adaptation projects so as to avoid duplication and enhance synergies among development partners. The National Commission on Climate Change (CNCC), convened by SEAM, meets biannually to discuss climate change-related mitigation and adaptation issues, although extraordinary sessions can be organized upon member requests. Green Climate Fund-supported projects have been presented by the STP in this multi-stakeholder coordination mechanism, although the projects were presented only once they were already conceptualized. Consulted stakeholders suggested that this space be used at the stage of conceptualizing ideas so as to ensure stronger participation. However, some stakeholders, including SEAM, noted that coordination among institutions remains an important challenge in Paraguay.

## IV.EFFECTIVENESS OF THE RPSP AND OF ITS PROCESSES

### A. N1 Extent to which Readiness grants have enabled NDA/FPs to lead effective intra-governmental coordination mechanisms, including the establishment of the no-objection procedure

The assumption to test is that the first RPSP project for NDA/FP strengthening has led to effective intra-governmental coordination mechanisms and a no-objection procedure.

The answer is not yet.

In 2017, the NDA/FP submitted a first RPSP proposal to the GCF for the strengthening of the NDA/FP function, including the development of effective coordination mechanisms and the no-objection procedure. The project, which was approved in February of 2018, is being executed by the CAF, a regional Accredited Entity (AE). This project only started implementation in June 2018 following some delays on account on the AE, which encountered some difficulties in contracting a consultant to support the implementation of the project. Because of these delays, the AE was granted an extension and the project is now set to finalize in January 2020. Many of the project's activities, especially those related to the establishment of coordination mechanisms, has been put on hold until the new government assumes office in August 2018.

It is very important to note that two GCF projects were approved by the GCF Secretariat in early 2018, before the country started receiving support from the RPSP. In both cases, the NDA/FP (the STP) has presented a no-objection letter (NOL); however, consulted stakeholders at the STP noted that the no-objection procedure (NOP) was not formalized at the time and that the RPSP support is essential to make this a more formal, consultative and efficient process. For the project Promoting private sector investments in energy efficiency in the industrial sector in Paraguay (also called the

Efficient Energy project), the STP was required by law to consult with the Ministry of Finance, which is responsible for ensuring that the loan is aligned with the SNIP (the national system of Paraguay for public investments), because the project included concessional funding. However, the no-objection process did not involve extensive stakeholder consultation beyond this. For instance, the SEAM noted that they learned about the Efficient Energy project only once it had already been approved.

As part of the first RPSP grant, the NDA/FP has drafted a formal NOP, which sets out the requirements for the no-objection process. The draft procedure foresees the establishment of an inter-institutional committee comprised of the STP (NDA/FP), the SEAM, the Ministry of Finance and the Ministry of Foreign Affairs. For all projects presented to the GCF, the committee would be required to give its no-objection, and the draft procedure describes the roles and responsibilities of each of the ministries in this process. This draft procedure will be shared with the relevant ministries and is expected to be finalized once the new government assumes office.

## **B. N2 Extent to which Readiness grants have enabled NDA/FPs to effectively engage stakeholders in consultative processes, including the preparation of coherent country programmes**

The assumption is that readiness grants have enabled NDA/FPs to effectively engage stakeholders in consultative processes and the preparation of a coherent country programme.

The answer is not yet.

A first draft of the country programme was prepared by the NDA/FP jointly with the GCF Secretariat in May 2017, in parallel with the development of the first RPSP proposal which aims to support, among other things, the development of a country programme. The STP confirmed that the draft country programme it developed strongly aligns with the country's National Development Plan and NDCs. This draft country programme includes a pipeline of GCF projects, including two projects already approved and soon to be implemented by the IDB and FAO, as well as three additional projects in the pipeline (with IDB, CAF and Conservation International as AEs).

The RPSP project that supports the development of this country programme started implementation in June 2018. One of the first activities consisted in presenting the draft country programme to key stakeholders at an exposition on climate change in Asuncion, Paraguay, which was attended by 250 individuals from various ministries and civil society organizations (CSOs). Key stakeholders closely involved on climate change issues, notably the SEAM and INFONA (*Instituto Forestal Nacional*), expressed concerns that they had not been consulted on the design of the draft country programme, which includes a number of GCF projects that have already been approved or are in the process of being designed. The STP noted that the RPSP project will precisely contribute to finalizing the country programme in a participatory manner, notably by establishing a series of working groups in which key ministries and civil society will take part to further define key priorities for climate-change related projects. So as to avoid inefficiencies and discontinuity in the elaboration process of

the country programme, these working groups will be established once the new government assumes office in August 2018.

The decision of the STP to design a country programme and start building a pipeline of GCF projects – two of which have already been approved – without extensive national consultation needs to be considered in the context of high political turn over and the lengthy processes for approving a GCF proposal. The STP seized the opportunity to access climate financing and consulted stakeholders applauded the strong leadership of the NDA/FP in supporting the development and approval of two GCF projects. Stakeholders further noted that the country may not have achieved such results should an extensive consultative process have been followed, especially considering the time it takes for approving GCF projects. There were concerns that the Government could have changed before the approval of the GCF projects, which could have jeopardized their development and approval. Going forward, consulted Government, civil society and UN stakeholders identified the need for a greater consultative process in the identification and design of GCF projects to ensure greater coherence any synergies among key stakeholders working to address climate change.

### C. N3 Extent to which Readiness technical assistance has enabled nominated candidates to achieve accreditation as DAEs

The assumption is that readiness assistance has enabled nominated candidates to achieve accreditation.

The answer is that this has not happened, yet.

Currently, there are no DAEs accredited by the GCF in Paraguay. The projects of the GCF and RPSP are all being executed by regional or international accredited entities, including the IDB, the FAO, CAF and Fundación AVINA. Consulted AEs currently working in Paraguay highlighted that there is an important added value in using international and regional AEs with previous GCF experience, considering that developing GCF proposals is so complex. For instance, the regional GCF portfolio of the IDB is composed of seven projects, while the CAF and Fundación Avina are executing four and two projects, respectively. All accredited entities acknowledged that their previous experience with the GCF was essential in developing GCF projects in Paraguay and them getting approved.

The regional/international AEs consulted noted that seeking accreditation with the GCF is not an easy process. For instance, Fundación Avina noted that it took approximately one year for them to finally obtain accreditation, and that there were a lot of requirements the organization had to meet even though they only sought accreditation for projects up to USD 10 million. Fundación Avina confirms receiving an 8.5 per cent agency fee for executing the RPSP project, and highlighted that this does not cover their total related overhead costs which normally stand at 17 per cent. Furthermore, the entity confirmed that the third and final payment is to be disbursed upon completion of an audit conducted at the end of the project. This means that the entity has to finance the cost of project implementation between the 12<sup>th</sup> and 18<sup>th</sup> month, which can have important repercussions on the cash flow of a small organization like Fundación Avina. For these reasons, consulted accredited entities believe that the process of seeking accreditation, developing GCF

proposals and executing projects may prove too costly for national entities, especially in small countries with limited resources such as Paraguay.

Nonetheless, the NDA/FP did confirm the country's strong interest in achieving the accreditation of national entities in Paraguay. Indeed, accreditation is one of five pillars covered by the first RPSP project executed by CAF, which started implementation in June 2018. As a first step, the project will aim to do a landscape analysis to better understand the potential roles public and private sector entities could play in implementing the programming priorities of Paraguay with respect to the GCF. Of the potential candidates, it will identify those with strong capacity and explain to them how they could potentially benefit from obtaining accreditation and what the process would entail. However, the ongoing RPSP project does not go beyond the identification of potential candidates and the dissemination of information related to the accreditation process. Interviewed stakeholders who are executing this RPSP project agreed that direct entity accreditation will not result from the implementation of this project alone. More targeted technical assistance would be required following the implementation of the RPSP project to achieve this result.

#### **D. N4 Extent to which information and experience-sharing events and processes have contributed to the ability of countries and DAEs to engage effectively with the GCF**

The assumption is that the information sharing events organized by the GCF Secretariat – primarily the regional structured dialogues and DAE workshops – have helped countries to engage effectively with the GCF.

The answer is to a certain extent.

The NDA/FP participated in two Structured Dialogues organized for Latin American countries in Colombia in April 2018 and in Honduras in October 2016. A representative of the Ministry of Finance also participated in the latest Structured Dialogue, although the evaluation team was unable to secure an interview with them and therefore could not gather information regarding the usefulness of the Structured Dialogue for the Ministry of finance. In addition to its participation in the Structured Dialogues, the NDA/FP also participated in the latest GCF workshop in Songdo, Republic of Korea. Representatives from AEs (i.e. Fundacion Avina, CAF<sup>41</sup>) also participated in both the Structured Dialogues and the GCF workshop in Songdo.

The NDA/FP highlighted that the Structured Dialogues have been extremely useful for exchanging with their counterparts in other Latin American countries, helping them better understand how NDAs from other countries are structured and interact with the GCF. When attending the Structured Dialogues, the NDA/FP learned that other NDA/FPs in the region had established units dedicated to managing all GCF-related matters. The NDA/FP confirmed that this led to the creation in 2018 of

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<sup>41</sup> The evaluators were made aware during an interview with CAF that their colleagues in the Regional Office participated in the Structured Dialogues, but the evaluators were not able to secure an interview with them and therefore did not gather CAF perspectives regarding the effectiveness of the dialogues.

the Directorate of Green Climate Fund Affairs (*Dirección de Asuntos del Fondo Verde para el Clima*), which sits within the STP (i.e. the NDA/FP).

Fundacion Avina noted that, although they found the Structured Dialogues interesting, the exchanges that took place were somewhat basic and not as useful for them since they already had an understanding of the GCF based on prior experiences with the Fund. Fundacion AVINA found the workshop in Songdo much more useful as it helped them gain a more in-depth understanding of how the GCF is structured, how proposals are reviewed and by whom, etc. The GCF is very far away from Latin America and all communication has been done by email or telephone; Fundacion Avina was happy to finally put a face to those working at the GCF. The accredited entity believes that the knowledge it has gained during the workshop in Songdo will help its staff develop future proposals more efficiently (see section on Efficiency for shortcomings in proposal development process).

#### **E. N5 Extent to which Readiness grants have enabled countries to develop National Adaptation Plans that build on existing country strategies and plans**

The assumption is that the RPSP has enabled the development of an NAP.

The answer is no.

Paraguay adopted its National Adaptation Plan (PNACC; *El Plan Nacional de Adaptación al Cambio Climático*) in 2016 without support from the RPSP. The development of the NAP was spearheaded by the Ministry of Environment with support from the GEF.

This said, the NDA/FP intends to use RPSP resources available for NAP development. In this regard, the NDA/FP reached out to the UNEP Regional Office in Panama, seeking their support as an accredited entity for the development of an RPSP proposal which, if approved by GEF, would support the development of regional adaptation plans in the six regional ecosystems of Paraguay. The purpose of developing the regional plans would be to establish linkages between the NAP that was adapted in 2016, and the work that is being done at the local level through the RPSP grant executed by Fundacion Avina.

A first draft of this third RPSP proposal was developed by UNEP in collaboration with the STP and the SEAM in 2017. However, the STP and the SEAM disagreed on some technicality regarding the design of the project and the proposal was never presented to the GCF. In the coming months, the STP plans to resume discussions with the SEAM to come to an agreement regarding the design of the RPSP grant. However, the STP did mention that there has been a rotation of staff in the UNEP office in Panama, and that their point of contact for the development of the RPSP project is no longer working in the regional office. They have tried re-establishing contact with UNEP but so far have had no success. This could further delay the development of this third RPSP proposal.



## F. N6 Extent to which Readiness grants have enabled NDA/FPs and AEs to develop concept notes and/or project proposals to access climate finance that address high-impact priorities identified in country programmes

The assumption is that readiness funds have enabled the NDA/FP and the DAE to develop concept notes and/or project proposals to access climate finance that address high-impact priorities.

The answer is no.

Paraguay has managed to get two GCF projects approved without RPSP support, while three other projects are at various stages of development.<sup>42</sup> The Poverty, Reforestation, Energy and Climate Change project (PROEZA), to be executed by the FAO, was approved by the GCF Secretariat in March 2018. The objective of this USD 90 million is to increase the resilience to climate change of vulnerable populations and to reduce deforestation in Paraguay. The project “Promoting private sector investments in energy efficiency in the industrial sector in Paraguay”, a USD 43 million project which aims to increase access of SME to medium and long-term financing to invest in more efficient energy, promotes sustainable productivity and growth. The idea of this project was born out of a market study financed by the IDB before the GCF even came about in Paraguay. In 2015, when the market study was completed, the IDB saw an opportunity for the study to feed into the design of the proposal which was submitted by the IDB to the GCF in November 2015. According to the IDB, the development of the GCF proposal was a very lengthy and complex process, which would have been very difficult without previous legwork financed by the IDB (thereby demonstrating the relevance of RPSP or PPF support for the development of GCF proposals).

The IDB submitted in December 2016 a concept note to the PPF for a project entitled “Strengthening urban resilience in the coastal zone of Asunción”. This ambitious USD 754 million project aims to reduce the risk of floods, strengthen the resilience of vulnerable communities, and recover the ecosystem of the Asuncion area through the promotion of infrastructure and housing that is climate resilient and low in emissions. Some USD 575,000 has been requested to prepare the master plan for the intervention area, along with an environmental and social impact study, resettlement plan and communication strategy.

As for the IDB, it has managed to secure through the NDC Pipeline Accelerator Fund<sup>43</sup> (ACL) USD 450,000 to carry out the other studies that will feed into the proposal: (i) risk of disasters and climate change; (ii) population and gender action plan; (iii) alternatives for infrastructure designs and housing low in emissions and resilient to climate; (iv) economic and financial feasibility; and (v) design of the governance scheme.

The CAF submitted in December 2017 a concept note to the PPF for a project entitled “Program to increase the area of forest production to contribute in the short and medium term to the sustainability of the National Energy Matrix (MEN) and the competitiveness of Paraguayan national

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<sup>42</sup> The projects ‘Poverty, Reforestation, Energy and Climate Change’ (PROEZA) and ‘Promoting private sector investments in energy efficiency in the industrial sector in Paraguay’, were both approved in March 2018.

<sup>43</sup> The NDC Pipeline Accelerator Trust Fund is an IDB-led climate finance facility aimed at fast tracking bankable and sustainable projects that move Latin America and the Caribbean closer to realizing the targets of the 2015 Paris climate conference.

production”. Finally, Conservation International is currently developing a Concept Note for a project entitled “Grassroot Solutions: resilient livestock production to the climate in the meadows of the Southern Cone”. The RPSP did not have any influence on the development of these projects and proposals.

## G. N7 Extent to which private sector engagement in country consultative processes has helped improve the enabling environment for crowding-in private sector investments

The assumption is that the involvement of the private sector in consultations has helped to improve the conditions for crowding-in private sector investments.

The answer is not yet.

The Roundtable for Sustainable Finance (MFS; *Mesa de Finanzas Sostenibles*) is a roundtable established in 2012 which regroups 13 financial institutions<sup>44</sup> registered in Paraguay. Its mission is to promote the responsibility and leadership of the financial sector in supporting and strengthening sustainable economic development. In this regard, it seeks to promote investment in inclusive green projects and encourage multistakeholder dialogue to strengthen an innovative, efficient and clean economy. The MFS has established partnerships with INFONA, SEAM, and UNEP.<sup>45</sup> In recent years, the private sector in Paraguay has undoubtedly become an increasingly important actor for addressing climate-change related issues.

Consulted stakeholders from the *Meza de Finanzas Sostenibles* noted that to achieve their mandate, banks in Paraguay need access to long-term and low interest rate financing; however, most financing currently available in Paraguay is short-term. Therefore, the *Meza de Finanzas Sostenibles* has started to turn to multilateral development banks, including the World Bank and the Inter-American Development Bank, to obtain loan-term, concessional loans. Consulted stakeholders from the MFS noted that they do not know much about the GCF or its RPSP programme, but noted a strong desire to learn more about the type of funding offered by the GCF and the conditions/modalities to access it (e.g. how to develop proposals, report on funding, etc.). They expressed a strong interest in potentially becoming an accredited entity and wanted to know more about the process for achieving this.

The RPSP project which started implementation in June 2018, does include one component on private sector mobilization. The project notably aims to complete a mapping exercise to identify private sector entities that could collaborate with the GCF in the near future, as well as providing training to private sector entities to disseminate information on the different GCF instruments. The RPSP project also aims to develop mechanisms for involving the private sector in the development of future GCF proposals.

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<sup>44</sup> The 13 financial institutions forming part of the *Meza de Finanzas Sostenibles* are: Banco Sudameris; Banco Continental; Visión Banco; Banco Regional; BBVA; Banco Itapúa; Banco Atlas; Banco Itaú Paraguay S.A; Bancop; Interfisa Banco; Banco GNB; Banco BASA; and Banco Nacional de Fomento.

<sup>45</sup> *Mesa de Finanzas Sostenibles*. Available at <<http://mfs.org.py/en/>>.



## V. COUNTRY OWNERSHIP

The Government has a well-defined agenda for addressing climate change mitigation and adaptation, as evidenced by the strong legal framework which has been developed in the past decade. Although, as noted above, further coordination among key stakeholders is warranted, the GCF projects approved to date are aligned with the country's National Development Plan and its accompanying NDCs. The fact that the NDA/FP has spearheaded the development of this plan has enabled it to ensure alignment with key national development priorities for climate change mitigation and adaptation.

However, as noted in the effectiveness section, a strong inter-institutional mechanism supporting the conceptualization and development of GCF proposals is still lacking, and more coordination is necessary, especially with the Ministry of Environment, which is responsible for the implementation of the National Law on Climate Change. The first RPSP grant is expected to contribute to the establishment of such mechanisms, which if functional should contribute to a stronger country ownership of the GCF portfolio in Paraguay.

The second RPSP project should also contribute to increasing country ownership, especially because of its strong "bottom-up" approach. Essentially, this RPSP grant aims to strengthen the capacities of selected local development councils (LDCs) to mainstreaming climate change in their local development plans. The selection of these LDCs will be based on an assessment of LDCs which have the most potential to contribute to the realization of the NDCs. Consulted stakeholders note that local capacity building is extremely important for Paraguay (and LAC in general) because local governments tend to have weak capacities. For the moment, the function of implementing the NDC in Paraguay is primarily centralized at the national level, but to be meaningful and effective, the NDCs need to be implemented at all levels, especially the local level. Therefore, the RPSP grant with Fundacion Avina aims to increase the capacity and knowledge of selected LDCs to access funding and implement activities that are aligned with the NDCs. In addition to supporting the development of 12 climate action strategies that will be embedded in the local development plans, the RPSP grant also expects to support the development of three concept notes that have been developed by LDCs and submitted to the GCF. If successful, local governments will directly access GCF funding and implement the project, thereby significantly increasing the country's ownership of the GCF portfolio at all levels.

The development of the RPSP proposals have been country-driven in the sense that there is a strong leadership coming from the NDA/FP, and the accredited entities have confirmed that it is the NDA/FP which has identified the objectives of the RPSP grants. However, the lack of knowledge about the RPSP programme among key national institutions and the lack of coordination with these institutions, especially the SEAM, in developing these proposals, is preoccupying. The second RPSP project proposal (with Fundacion Avina) states that "both the SEAM and STP are key Ministries in the coordination of the climate change and sustainable development agendas. The SEAM will participate throughout the implementation of the readiness proposal in several activities that require their input and ensure connection between local action and contribution to Nationally Determined contributions". However, the SEAM confirmed knowing very little about the RPSP

programme and not understanding clearly its role in implementing said RPSP project, despite the proposal mentioning that the SEAM would be a key implementation actor.

## VI. UNEXPECTED RESULTS

It is too early to tell whether RPSP activities will have any positive or negative unexpected results in Paraguay.

## VII. CROSS-CUTTING ISSUES – GENDER EQUITY AND INCLUSIVENESS

The NDA/FP and the AEs consulted noted that the GCF Readiness Programme has been proactive in advocating for the inclusion of gender in proposal. The first RPSP grant (aimed at strengthening the NDA/FP) originally planned for the elaboration of a gender strategy, but consulted stakeholders at the STP noted that since the SEAM has recently developed a gender strategy, the project will align with this new gender strategy, instead of creating a new gender strategy. An alignment exercise will be conducted to ensure that the implementation of the first RPSP grant aligns with the gender strategy of the SEAM.

Gender equality is fully embedded in the second RPSP grant with Fundacion Avina. The RPSP proposal states that the RPSP grant will strengthen the capacities of LDCs “to mainstream climate change with a gender sensitive approach”. The project foresees the development of guidelines to help local stakeholders mainstream climate change and gender in their local development plans. The project proposal also foresees the development of climate change working groups whose meetings will be gender balanced and as inclusive as possible (inviting women from different groups, including indigenous peoples). Twelve two-day capacity building workshops on gender and climate change (one workshop per municipality) will be completed and the learning generated from these workshops will feed into the development of gender-sensitive local climate change strategies. At the end of the project, best practices on incorporating gender and climate change into local development plans will be shared with other municipalities. The importance this RPSP grant gives to gender is evidenced by the financial resources dedicated to this component: nearly one fifth (USD 99,400 of USD 517,130 has been allocated to the hiring of a gender expert).

## VIII. INNOVATIVENESS AND POTENTIAL FOR PARADIGM SHIFT

The bottom-up approach proposed by the second RPSP grant could be considered innovative, as further discussed in sections V and X of this case study.

## IX. LIKELIHOOD OF SUSTAINED IMPACT OF THE RPSP

It is still early to tell whether the impacts of the RPSP activities are likely to be sustained. In Paraguay, national institutions, including the STP, experience high staff turnover due to a large proportion of employees working under contractual arrangements, and also because some Government officials join the private sector, which offers better salaries and benefits. Furthermore, Government changes in the country are often accompanied by an important loss of institutional memory and shifting national priorities, with changes in Government staff occurring at all levels,

from the ministers themselves to technical staff. This reality is present in many Latin American countries, but even more so in Paraguay, according to the majority of consulted stakeholders, potentially posing risks to the sustainability of RPSP results.

The STP is aware of this challenge and has adopted a strategy to ensure that the RPSP grant has the most impact, regardless of the direction this new Government will take. While the NDA is waiting until the new Government assumes office to build coordinating mechanisms with key institutions, it has started putting in place some internal structure (i.e. the Unit for the GCF within the STP) to ensure the sustainability of the NDA/FP for the GCF. Within the Unit for GCF affairs, only one staff member is expected to stay following the change of Government; everyone else within the STP, from the Minister to its technical staff, are expected to leave. To mitigate the risk associated with high staff turnover, the NDA/FP ensured that the terms of reference for the various consultants that will be working on the implementation of the first RPSP grant<sup>46</sup> are drafted before the new administration takes over in August 2018.

Despite these efforts, several national stakeholders did raise the possibility that the NDA/FP could change when the new Government assumes office. While many acknowledged that it makes sense for the STP – as the Secretariat responsible for setting the country’s development objectives and for coordinating public development projects and programmes – to assume the role of the NDA/FP, many also highlighted that with the new change in Government the SEAM may be in a better position to undertake this role, mainly for two reasons. First, the SEAM, which used to be the Secretary of the Environment, became in July 2018 the Ministry of Environment and Sustainable Development. As a Ministry, the SEAM will now have more political power than the STP, which remains a Secretariat. Second, the Government of Paraguay adopted in 2017 the National Law on Climate Change, which identifies the SEAM as the national entity responsible for implementing this law. The SEAM is also the focal point for other international organizations on climate change, namely the GEF and the AF, and several stakeholders felt that it would only be natural that the SEAM takes on the role of the NDA. A sudden change in the NDA could significantly affect the implementation of ongoing RPSP projects, especially since the SEAM has very limited knowledge of the GCF Readiness Programme and of the RPSP projects recently approved in Paraguay.

## X. POTENTIAL FOR BUILDING SCALE

The RPSP project with Fundacion Avina has good potential for scaling up. As noted above, in 2015, the Government created 216 LDCs. The project is essentially considered a pilot which is expected to assess and identify 12 municipalities with the highest potential for contributing to the implementation of the NDCs, and develop their capacities to address climate change issues. This will be done through a number of interventions. Through the project, collaboration agreements will be signed with the mayors of the municipalities and Climate Change Working Groups will be established within the 12 local community councils. The working groups will conduct studies to better understand the threats of climate change in their areas and to identify opportunity for action.

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<sup>46</sup> The first RPSP grant will be implemented with the support of five consultants (one consultant/consulting firm will be assigned one project component each). The first consultant was already hired in June 2018 and the remaining consultants will be hired in the coming months.

The findings of these studies will feed into the development of 12 climate action strategies. The RPSP will then support the development of three concept notes to be submitted to the GCF which, if approved, would support the implementation of the climate action strategies. The RPSP project also includes one component which focusses on sharing best practices and lessons learned with other municipalities. If successful, the experience of this RPSP grant has the potential to be scaled up to other municipalities of Paraguay.

## XI. EFFICIENCY OF THE RPSP PROCESSES

There have been numerous bottlenecks which have delayed the approval and implementation of the two RPSP grants in Paraguay. Stakeholders have emphasized that the approval and disbursement process of the RPSP is cumbersome, which defeats the whole purpose of a readiness programme, as such a programme should provide rapid support to countries in preparation for GCF projects (i.e. a type of readiness that is needed now may no longer be relevant to the country a year from now, hence why rapid support is needed).

The first RPSP grant (executed by CAF) was approved in March 2017 and the legal agreement was only signed six months later, in September 2017. Then, the first disbursement took place in 15 January 2018. The implementation of this first grant did not actually start until June of 2016 because of difficulties encountered by the CAF in contracting a consultant who would support the implementation process. As for the second RPSP grant, Fundacion Avina (the Accredited Entity), started developing the proposal in April of 2017, and a first version was submitted to the GCF in September that year. After several rounds of feedback, this second grant was finally approved in February 2018. To this day, the legal agreement with GCF has yet to be signed and the accredited entity has not yet been able to access funding and start implementation. In June 2018, GCF asked UNOPS to provide support for the legal agreement, but as of July 2018 – when the data collection mission took place – Fundacion Avina was still unclear about when the agreement would be signed and when they should expect to receive the first disbursement.

The NDA/FP and the EAs highlighted that the communication between them and the GCF Regional Advisor (RA) has been very fluid, and they appreciated the Advisor's efforts to always make herself available to provide advice during RPSP proposal development. However, at the time of proposal development, there was a lot of back and forth between the AE, the RA and the GCF Secretariat, causing substantial delays between the first submission of the proposal and its approval. It was not always clear from the beginning what the GCF wanted to see in the proposal, and many times there were misalignments and contradictions between the instructions coming from the Board, the Secretariat and the RA. They also felt the time difference between Paraguay and Songdo, and the high rotation within the GCF Secretariat, made the communication more difficult.

Overall, the proposal development and approval process was very confusing for the NDA/FP and the AE, leading to a lot of back and forth between them and the GCF. Fundacion Avina noted that on one occasion they had changed their proposal based on feedback from the RA, and then the GCF Secretariat told them the opposite and they therefore had to revert to the original version. Overall, the NDA/FP and the AE felt that the process for evaluating the proposals were not entirely clear and thought the increasing transparency in this process would allow for much more efficient proposal development.

Language also proved to be an issue when developing the proposals. The proposal template and guidelines provided by GCF are in English but national stakeholders all work in Spanish. All the documents had to be written in Spanish for the NDA/FP and other key national stakeholders and then had to be translated into English for the GCF Secretariat. This was costly and time consuming, and all consulted stakeholders highlighted that the GCF should consider providing and receiving documentation in Spanish.

## ANNEX A. TIMELINE OF KEY EVENTS IN THE GREEN CLIMATE FUND AND THE READINESS AND PREPARATORY SUPPORT PROGRAMME, AND RELATED EVENTS IN PARAGUAY

YEAR	GREEN CLIMATE FUND	READINESS AND PREPARATORY SUPPORT PROGRAMME	RELATED EVENTS IN PARAGUAY
2010	(December) The Sixteenth Session of the United Nations Framework Convention on Climate Change in Cancun (COP 16), Mexico, decides to establish a Green Climate Fund (GCF), to be designated as an operating entity of the financial mechanism of the Convention under Article 11.		
2011	(December) COP 17 in Durban, South Africa, adopts the Governing Instrument of the Green Climate Fund.		<p>(July) The National Forestry Institute (INFONA; Instituto Nacional Forestal), the Federation for the Self-Determination of Indigenous Peoples (FAPI; Federación por la Autodeterminación de los Pueblos Indígenas) and the Secretary of the Environment (SEAM; Secretaría del Ambiente), signed the Paraguay National Joint Programme (NJP) of the UN-REDD.</p> <p>(November) The National Climate Change Policy is approved.</p> <p>(November) Paraguay submits the Second National Communication to the United Nations Framework Convention on Climate Change (UNFCCC).</p>
2012	(October) The Board selects the Republic of Korea to host the Fund Secretariat.		
2013	<p>(June) The Board selects Héra Cheikhrouhou as the first Executive Director of the GCF Secretariat.</p> <p>(June) The Board requests the Secretariat to issue an invitation to developing countries to nominate a Nationally Designated Authority (NDA).</p> <p>(October) The Board agrees on a roadmap to mobilize resources.</p>	<p>(March) The Board adopts modalities for readiness support and decides to explore options for making short-term progress on readiness, including the initiation of work on operationalizing a Readiness phase.</p> <p>(October) The Board decides that the GCF will provide Readiness and preparatory support to:</p> <ul style="list-style-type: none"> <li>• Enable preparation of country programmes;</li> <li>• Strengthen in-country, GCF-related institutional capacities; and</li> </ul>	

YEAR	GREEN CLIMATE FUND	READINESS AND PREPARATORY SUPPORT PROGRAMME	RELATED EVENTS IN PARAGUAY
		<ul style="list-style-type: none"> <li>• Enable implementing entities to meet the fiduciary standards and environmental and social safeguards (ESS) of the GCF.</li> </ul>	
2014	<p>(October) The Board decides only to consider funding proposals that are submitted with a formal letter of “no objection”, to ensure consistency with national climate strategies and plans and country-driven approaches</p> <p>(November) The GCF Secretariat opens its online accreditation system for national and international entities.</p>	<p>(February) The Board conceptualizes a detailed work programme on Readiness, including four priority activities:</p> <ul style="list-style-type: none"> <li>• Establishment of NDAs/focal points (FPs);</li> <li>• Strategic frameworks, including the preparation of country programmes;</li> <li>• Selection of implementing entities; and</li> <li>• Initial pipelines of programme and project proposals.</li> </ul> <p>• (October) The Board decides:</p> <ul style="list-style-type: none"> <li>• That all developing countries will have access to readiness support with at least 50% of readiness support allocated to particularly vulnerable countries, including SIDS, LDCs and African states;</li> <li>• That readiness commitments will be limited to USD 1 million per country per calendar year, including up to USD 300,000 to help establish an NDA/FP; and</li> <li>• To allocate USD 15 million for the Readiness Programme, and an additional USD 14 million after receipt of the next semi-annual report</li> </ul>	<p>Paraguay develops the National Climate Change Plan (NCCP): Phase 1 – Mitigation Strategy to achieve the goals set under the NDC (Nationally Determined Contribution).</p> <p>(December) The Government publishes the National Development Plan Paraguay 2030.</p>
2015	<p>(March) The Board approves the first Accredited Entities (AEs).</p> <p>(November) The Board approves the first eight investment projects before the Paris Climate Summit.</p> <p>(November) COP 21 in Paris passes the landmark international climate agreement, with the GCF as the dedicated operating entity of its financial mechanism.</p>	<p>(February) The GCF Secretariat issues the first version of the RPSP proposal template.</p> <p>(May) The GCF Secretariat issues the second version of the RPSP proposal template.</p>	<p>(November) The Government designates the Secretariat of Planning for Economic and Social Development (STP) as the NDA with His Excellency Mr. Jose Molinas Vega as contact person.</p>
2016	<p>(March) The Board adopts its Strategic Plan, which links the GCF to the Paris Agreement, and reconfirms the importance of the GCF RPSP.</p> <p>(October) The Board selects Howard Bamsey as the second Executive Director of the GCF Secretariat.</p>	<p>(June) The Board decides to defer the independent evaluation of the Readiness Programme to 2017.</p> <p>(June) The Board adopts a revised indicative list of activities that the Readiness Programme can support:</p> <ul style="list-style-type: none"> <li>• Establishing and strengthening NDAs/FPs;</li> <li>• Strategic frameworks, including the preparation of country programmes;</li> </ul>	<p>(July) FAO partnered with the Ministry of Agriculture and Livestock (MAG) and other Government agencies in Paraguay through AMICAF (Analysis and Mapping of Impacts under Climate Change for Adaptation and Food Security).</p> <p>(29 August) NDA submits RPSP proposal on “Strengthening mechanisms for access and financing of projects to address the challenges of climate</p>

YEAR	GREEN CLIMATE FUND	READINESS AND PREPARATORY SUPPORT PROGRAMME	RELATED EVENTS IN PARAGUAY
		<ul style="list-style-type: none"> <li>• Support for accreditation and accredited DAEs;</li> <li>• Information-sharing, experience exchange and learning; and</li> <li>• Formulation of national adaptation plans and/or other adaptation planning processes.</li> </ul> <p>(28 July) The GCF Secretariat issues the third version of the RPSP proposal template, including a logframe of intended outcomes.</p> <p>(December) The Board decides to allocate an additional USD 50 million for the RPSP.</p>	<p>change” – resubmitted on 15 February 2017 and approved 15 March 2017, with CAF (Development Bank of Latin America) as Delivery Partner.</p>
2017		<p>(16 June) The GCF Secretariat issues the fourth version of the RPSP proposal template.</p> <p>(July) The Board invites the IEU to undertake an independent evaluation of the RPSP.</p>	<p>(10 October) NDA submits RPSP proposal on “Enhancing the role of Local Development Councils to contribute to the implementation of the country’s NDC and access to climate finance” – resubmitted on 17 November 2017 and approved 13 April 2018, with Fundacion Avina as Delivery Partner.</p>
2018		<p>(February–March) The Board:</p> <ul style="list-style-type: none"> <li>• Takes note of the findings of the initial review by the Secretariat of the RPSP (Dalberg Report);</li> <li>• Approves an additional USD 60 million for the RPSP; and</li> <li>• Approves the terms of reference for the independent evaluation of the RPSP.</li> </ul>	<p>(March) The GCF approves Funded Project on “Poverty, Reforestation, Energy and Climate Change Project (PROEZA)” implemented by FAO.</p> <p>(March) The GCF approves Funded Project on “Promoting private sector investments in energy efficiency in the industrial sector in Paraguay” implemented by IDB.</p> <p>(5 July) The Secretary of the Environment (SEAM) becomes the Ministry of Environment and Sustainable Development, giving more power to the entity in charge of climate change-related issues.</p>



## ANNEX B. PARAGUAY: PORTFOLIO OF GCF, GEF, AF, AND CIF ACTIVITIES

ID NUMBER	GCF RPSP PROPOSAL	ACTIVITY AREA(S)	STATUS	APPROVAL DATE	FIRST DISBURSEMENT DATE	DURATION	IMPLEMENTING ENTITY	INSTRUMENT	COMMITTED AMOUNT IN USD	DISBURSED AMOUNT IN USD
PRY-RS-001	Strengthen mechanisms for access and financing of projects to address the challenges of climate change	NDA Strengthening and Country Programming	First tranche disbursed	15/3/2017	15/1/2018	12 months	Corporación Andina de Fomento (CAF)	RPSP Grant	300,000	275,550
PRY-RS-002	Enhancing the role of Local Development Councils to contribute to the implementation of the country's NDC and access to climate finance	Strategic Frameworks	First tranche disbursed	13/4/2018	16/5/2018	18 months	Fundación Avina	RPSP Grant	592,813	297,407
	GCF PROJECT PREPARATION FACILITY	ACTIVITY AREA(S)	STATUS	APPROVAL DATE	FIRST DISBURSEMENT DATE	DURATION	IMPLEMENTING ENTITY	INSTRUMENT	COMMITTED AMOUNT IN USD	DISBURSED AMOUNT IN USD
	Strengthening Urban Resilience in Riverside Asuncion		Submitted to PPF				IDB	PPF Grant		
	Enhancing the sustainability of the national energy matrix and the competitiveness of forest production through multifunctional forestry plantations		Submitted to PPF				CAF	PPF Grant		
ID NUMBER	GCF FUNDED PROJECT		STATUS	APPROVAL DATE		DURATION	IMPLEMENTING ENTITY	INSTRUMENT	COMMITTED AMOUNT IN USD	DISBURSED AMOUNT IN USD
FP062	Poverty, Reforestation, Energy and Climate Change Project (PROEZA)		Pending	Mar-18		5 years	FAO	Funded Project	Grant 25.1 million	

ID NUMBER	GCF RPSP PROPOSAL	ACTIVITY AREA(S)	STATUS	APPROVAL DATE	FIRST DISBURSEMENT DATE	DURATION	IMPLEMENTING ENTITY	INSTRUMENT	COMMITTED AMOUNT IN USD	DISBURSED AMOUNT IN USD
FP063	Promoting private sector investments in energy efficiency in the industrial sector in Paraguay		Pending	Mar-18		5 years	IDB	Funded Project	Loan 20.0 million	
									Grant 3.0 million	
ID NUMBER	GLOBAL ENVIRONMENT FACILITY	FOCAL AREAS	STATUS	APPROVAL DATE			AGENCIES	TYPE	GEF GRANT IN USD	CO-FINANCING IN USD
5668	Innovative Use of a Voluntary Payment for Environmental Services Scheme to Avoid and Reduce GHG Emissions and Enhance Carbon Stocks in the Highly Threatened Dry Chaco Forest Complex in Western Paraguay	Climate change	Project approved	27/3/2016			Conservation International	Full-size Project	2,201,614	2,117,460
9818	Second Biennial Update Report of Paraguay	Climate change	Project approved	14/6/2017			UNDP	Enabling Activity	352,000	55,000
5475	Third National Communication on Climate Change and First Biennial Update Report	Climate change	Project approved	9/10/2013			UNDP	Enabling Activity	852,000	320,000

ID NUMBER	ADAPTATION FUND	SECTOR	STATUS	APPROVAL DATE	START DATE	DURATION	IMPLEMENTING ENTITY		AF GRANT IN USD	DISBURSED AMOUNT IN USD
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PRY/MI E/Food/2 012/1	Ecosystem Based Approaches for Reducing the Vulnerability of Food Security to the Impacts of Climate Change in the Chaco region of Paraguay	Food security	Project funded	17/3/2017	-	3.5 years	UNEP		7,128,450	961,591
<b>ID NUMBER</b>	<b>CIF</b>	<b>SECTOR</b>	<b>STATUS</b>	<b>APPROVA L DATE</b>		<b>DURATIO N</b>	<b>IMPLEMENTI NG ENTITY</b>		<b>CIF GRANT IN USD</b>	<b>CO-FINANCING IN USD</b>
No activities										

Other projects in the pipeline of Paraguay that contribute to the reduction of emissions

PROJECTS	IMPLEMENTAT ION PERIOD	TOTAL COST (*)	GOVERNMENT CONTRIBUTI ON (PER CENT)	GOVERNMENT DISBURSMENT	REDUCTI ON Gg CO2/EQ
		USD MILLION		USD MILLION	
Project Landscape of Green Production, Sustainable Commodities. Eastern Region	2014- 2019	29,3	49,4	14,5	15,3
Project to reduce deforestation in sustainable production and responsibly demand of meat. Western region.	2017- 2021	8,3	37,3	NA	5,0
	2017- 2022				
PROMESA: Voluntary Program of Incentives of Payment for Environmental Services to avoid and reduce greenhouse gas emissions in the Bosque Chaco Seco	2016- 2020	4,4	10,2	0,45	5,7
Green and inclusive economy project to promote sustainable development and reduce poverty	2014- 2018	1,7	NA	NA	NA
Project Inclusive Paraguay	2013- 2018	28,5	NA	NA	NA
Sustainable Rural Development Project (PRODERS)	2014- 2020	146,7	NA	NA	NA

PROJECTS	IMPLEMENTATION PERIOD	TOTAL COST (*)	GOVERNMENT CONTRIBUTION (PER CENT)	GOVERNMENTS DISBURSEMENT	REDUCTION Gg CO2/EQ
		USD MILLION		USD MILLION	
Paraguay forest conservation project (Project ID 953)	2010-2040	7,5	NA	NA	0,8
Program Reforest Monday	2012-2015	---	NA	NA	1,61
Project to improve the electricity transmission and distribution system of the metropolitan system of Paraguay (Phase II)	2016	NA	NA	NA	NA



## ANNEX C. PERSONS CONSULTED IN ASUNCION, 16-23 JULY 2018

NAME	POSITION	ORGANIZATION	DATE
Jose Molinas Vega	Minister, Executive Secretary	Secretariat of Planning for Economic and Social Development (STP)	July 16
Jazmin Gustale Gill	Vice Minister of Inclusive Economic Growth		July 16
Emiliano Fernandez Franco	Vice Minister for Poverty Alleviation and Social Development		July 16/July 23
Gisela Dimodica Canela	Director - Division of International Cooperation		July 16/July 23
Maria Jose Lopez	Consultant - CAF		July 16/July 23
Jorge Gonzalez	Division for Policy Analysis and Public Affairs		July 16
Kevin Goetz	Consultant		July 23
Hugo Alberto Arce Aguirre	Head of the Department of Negotiation and Debt Management	Ministry of Finance	July 17
Fernando Santander	Head of the Department of International Cooperation		
Rolf Hackbart	Permanent Representative of FAO in Paraguay	Food and Agriculture Organization of the United Nations (FAO)	July 17
Fabiola Alcorta	Assistant FAO Representative (Programme)		
Cesar Balbuena	Consultant		
Aram Cunego	Monitoring and Evaluation Consultant		
Muneyuki Nakata	Junior Professional Officer - Climate Change		
Damiana Mann	Planning Director	National Forestry Institute (INFONA)	July 18
Ethel Estigarribida	Head of the Department of Climate Change	Ministry of Environment	July 18
Nora Paez	Head of the Department of Adaptation		
Eduardo Von Glasenapp	First Secretary, Coordinator of the Environmental Affairs Unit	Ministry of Foreign Affairs	July 18
Lourdes Miranda	Head of Climate Change Affairs		
Ramon Jimenez Gaona	Minister of Public Works	Ministry of Public Works and Communications	July 18
Mauricio Bejarano	Vice Minister of Mines and Energy		

NAME	POSITION	ORGANIZATION	DATE
Cesar Berni	Consultant		
Jose Maciel	President	Agencia Financiera de Desarrollo (AFD)	July 19
Martin Salcedo	Member of the Board of AFD		
Cesar Cardozo	Financial Planning Manager		
Manuel Fernandini	Senior Specialist – Connectivity, Markets and Finance Division	Inter-American Development Bank (IDB)	July 19
Maria Netto	Senior Specialist – Connectivity, Markets and Finance Division (Washington)		
Francisco Obreque	Agricultural Specialist	World Bank	July 19
Maurizio Guadagni	Rural Development Specialist		
Andrea Rodriguez	GCF Focal Point	Fundacion Avina	July 19
Eduardo Rotela Renna	Program Manager		
Veronique Gerard	Programme Officer – Sustainable Development	United Nations Development Programme (UNDP)	July 20
Hipolito Acevei	Head of FAPI	Federation for the Self-Determination of Indigenous Peoples (FAPI)	July 20
Mirta Pereira	Legal Advisor		
Marcelo Arevalos	Project Advisor	GUYRA Paraguay	
Cecilia Pizzurno	Climate Change and Biodiversity Coordinator		
Maria Luz Centurion	Territorial Planning Director/ Avina	Secretariat of Planning for Economic and Social Development (STP)	July 20
Rafael Gonzalez	Adviser / PROEZA		
Omar Fernandez	Manager - Corporate Banking Division (Sudameris Bank)	Roundtable for Sustainable Finance	July 20
Hugo Martin Villalba Torres	Risk Officer - Environmental and Social Risk Management (BBVA)		
Leticia Torres	Planning Director	Ministry of Agriculture and Livestock	July 23
Jorge Gärtner	Representative Director of CAF		July 23

NAME	POSITION	ORGANIZATION	DATE
Nara Vargas	Chief Executive Officer - Climate and Environment Division	Development Bank of Latin America (CAF)	
Antonio Garcia	GCF Focal Point		



## ANNEX D. DOCUMENTS CONSULTED FOR PARAGUAY COUNTRY REPORT

Paraguay. National Climate Change Program, 2001.

Paraguay. National Climate Change Policy, 2011.

Paraguay. National Climate Change Plan (NCCP): Phase 1 – Mitigation Strategy, 2014.

Paraguay. National Development Plan 2014-2030, 2015.

Paraguay. Intended Nationally Determined Contribution.

Paraguay. Two Readiness and Preparatory Support Proposals between August 2016 and October 2017.

Paraguay. Systematic Country Diagnostic (World Bank Group), 2018.

Draft Country Programme Brief, 2018 (Spanish version).

CAF – Readiness proposal on Strengthen mechanisms for access and financing of projects to address the challenges of climate change in Paraguay, 2016.

Fundacion Avina – Readiness proposal on Enhancing the role of Local Development Councils to contribute to the implementation of the country's NDC and access to climate finance in Paraguay, 2017.

GCF, GEF, AF and other projects in Paraguay.

Secretariat of Planning for Economic and Social Development (STP). Systematization of experiences in the framework of the Green Climate Fund.

## SENEGAL CASE STUDY REPORT

### I. INTRODUCTION AND RELEVANT BACKGROUND INFORMATION

#### A. The major climate risks facing the country

Global warming is affecting Senegal in alarming ways, and the country will endure an average projected temperature rise of 1.17°C to 1.41°C by 2035, according to the Nationally Determined Contribution (NDC) of Senegal. Future risks linked to climate change between 2030 and 2050 will have diversified impacts in the various regions and economic sectors of the country. The tendency is towards a slight increase in heavy rain events, with increases in droughts and more days of strong rains, though during briefer periods. There has already been an increase in more extreme weather such as heat waves, droughts, flooding, hurricanes and fires across the many ecosystems of Senegal, as well as sea-level rise and coastal erosion.

Recent decades have shown the high vulnerability of the Sahel zone to drought, mainly in the agricultural sector, with social impacts pushing affected people into an exodus towards urban areas and other countries and continents, including Europe. Flooding represents a major problem that brings economic, social, health and environmental impacts. In 2012, floods affected nearly 300,000 people and caused 26 deaths, affecting some 8,000 drinking water sources and around 5,000 families.

The economy of Senegal depends heavily on climate-sensitive sectors such as agriculture, fishing and tourism, and remains dependent on fossil fuels. To address these challenges and realize the country's long-term aspiration of becoming an emerging economy by 2035, it has developed climate-related policies, and legal and institutional frameworks. It has also implemented actions to mobilize financial resources from different sources to achieve its objectives. Investments related to climate change include coastal protection and infrastructure against flooding, coastal erosion and salinization, promoting resilient agriculture and sustainable land management. Most of the high-impact potential projects developed for funding by the the Green Climate Fund (GCF) therefore include activities with medium (Category B) environmental and social risks, that require significant financial resources.

Senegal is also experiencing an acute energy crisis that is hampering its economic growth and development. SENELEC, the state-owned national grid operator, faces challenges in finding financing to cope with ever-growing energy demands, the maintenance of existing plants and an inefficient fuel supply. As a result, Senegal has been forced to run regular load shedding. Energy production is expensive, as it relies for the most part on petroleum imports. The scarcity of capital means that Senegal needs to turn to the private sector for financing future power projects.

#### B. Senegal Climate Change framework

The Government of Senegal has embarked on a multi-faceted response to the adverse effects of climate change. The United Nations Framework Convention on Climate Change (UNFCCC) was signed in June 1992 and ratified in May 1994. The instruments dedicated to the implementation of the Convention's terms are the national implementation strategy of the Convention (SNMO),

elaborated in 1999, and the National Adaptation Programme of Action (NAPA) for Climate Change, adopted in 2006. The NAPA identified four priority programmes: (i) development of agroforestry, (ii) coastal protection, (iii) rational use of water, and (iv) education and public awareness.

Through these priorities, the following projects were implemented:

- Climate change adaptation project in the areas of watershed management and water retention;
- Adaptation to coastal erosion in vulnerable areas;
- Adaptation to climate change: responding to shoreline change and its human dimensions in West Africa, through integrated coastal area management; and
- Integrating climate change adaptation into sustainable development.

Others are currently being implemented, in particular:

- Strengthening land and ecosystem management under conditions of climate change in the Niayes and Casamance regions;
- Mainstreaming ecosystem-based approaches to climate resilient rural livelihoods in vulnerable rural areas, through the farmer field school methodology; and
- Promoting innovative finance and community-based adaptation in communes surrounding community natural reserves (Ferlo, Niokolo Koba, Senegal river basin delta, and Saloum delta).

Three national communications strategy documents on climate change have been submitted (1997, 2010, and 2015). The Kyoto Protocol was signed and ratified in 2001. To date, five Clean Development Mechanism (CDM) projects have been submitted in Senegal. In 2012, a technology needs assessment (TNA) was carried out. Senegal also developed a National Adaptation Plan (NAP) for fisheries and Nationally Appropriate Mitigation Actions (NAMA) related to bio-gas, photovoltaic solar systems and LED public efficiency lighting. Senegal prepared its Intended National Determined Contribution (INDC) – aligned with its national priorities – in autumn 2016, before the Paris Conference, and the country's long-term strategy was outlined in the *Plan Sénégal Emergent* (PSE) in 2014.

Senegal is aiming for a 5 per cent reduction in its greenhouse gas (GHG) emissions by 2030. To achieve this target, the country requires financial and technological transfer, and capacity building support. The needs for adaptation and mitigation are estimated (both conditional and unconditional) at USD 14.558 billion and USD 6.8 billion, respectively. A low carbon development strategy was also initiated, and through the Climate Technology Centre and Network (CTCN), three projects have been approved, mostly in the energy efficiency sector.

### C. Institutional setup

Senegal has a functioning institutional arrangement for addressing climate change. The *Ministère de l'Environnement et du Développement Durable* (MEDD) oversees all climate change-related activities. The National Designated Authority/Focal Point (NDA/FP) for the GCF was designated in 2016 to be the Climate Change Division, headed by Madeleine Diouf Sarr, in the Department for Environment and Classified Establishments (DEEC), and she has since assured continuity. The

same NDA/FP is also Focal Point for the Adaptation Fund (AF) and for the carbon market procedures. The Global Environment Facility (GEF) is covered by the Director of Environment. Cheikh Sylla, the former Director for Environment, was FP for climate funding until 2014, when he moved to become Environment Advisor to the Primature (Prime Minister's Office). He is also an Alternate Board Member at the GCF.

The NDA/FP is supported by a multi-stakeholder technical committee, the National Climate Change Committee (COMNACC), which was established as early as 1994, institutionalized by a 2003 ministerial decree and reinforced by a 2011 presidential decree. The COMNACC oversees the coordination, consultation, information-sharing, management and monitoring of the implementation of the UNFCCC and its legal instruments. It has several sub-committees (on finance, technology transfer, capacity building, mitigation and adaptation) and reports directly to the Minister of the MEDD.

The *Ministère de l'Économie et des Finances et du Plan* (MEFP) oversees the national coherence of the budget. According to interviews conducted with some of their representatives, all GCF funds should come through the MEFP, unlike the current setup. Another suggestion was that incoming funding should be based on a GCF contract with the Government of Senegal – as usually happens with development banks, including the GEF – instead of directly between the GCF and an International Accredited Entity (IAE) or Direct Access Entity (DAE). They did, however, confirm that the DAE in Senegal, the *Centre de Suivi Écologique* (CSE), involves the MEFP in projects.

The MEFP is a member of the *Comité de Pilotage* for the country programme. In the view of MEFP representatives, this committee has so far not been sufficiently formalized and they are waiting for the Government decree (*arrêté*) creating it and formalizing its procedures. The draft decree foresees that the MEFP will be co-chairing the steering committee. The representatives of the MEFP that were interviewed also wondered about how the process of selecting the NDA/FP was developed, and think it should have been installed in the MEFP instead of in the MEDD. They were apparently not consulted in the process. For the GEF, the MEDD is the focal point and endorses all GEF projects. During the implementation phase, the MEFP is overseeing financial executing procedures.

The country representative of the Global Green Growth Institute (GGGI) has tried since 2016 to support the NDA/FP, and has sought RPSP funding to do so. However, there has reportedly not been a clear response by the NDA/FP and nothing has come out of it. The GGGI is working with sectors to develop appropriate projects.

## D. Overview of the GCF Readiness Programme and Funded Projects in Senegal

As part of the implementation of the GCF in Senegal, the MEDD via the Division for Climate Change in the Department of Environment and Classified Establishments (DEEC) acts as the NDA/FP. It solicited USD 300,000 in October 2015 from the GCF Readiness and Preparatory Support Programme (RPSP) to prepare the country for access to GCF resources and Funded Projects.

As summarized by the NDA/FP, the RPSP in Senegal has two major objectives:

1. Strengthening NDA/FP effectiveness and capacity of coordination, and its technical and institutional capacities to carry out GCF-related tasks; establishing appropriate no-objection procedures (NOPs); and monitoring allocated funding (activity 1); and
2. Ensuring stakeholder engagement in the consultation and development of the strategic framework document, in order to facilitate smooth engagement with GCF for the preparation and implementation of the country programme. It also seeks to build country ownership to better access international climate finance and minimize the challenges linked to the early phase of GCF operations in Senegal (activity 2).

Enhancing the strategic framework and developing a country programme for engagement with the GCF will ensure that project proposals submitted to GCF will increasingly be in line with national priorities, as well as promote climate relevant transformational development.

In parallel, three Funded Projects were approved by the GCF for Senegal. The FP003 (Increasing Resilience of Ecosystems and Communities through Restoration of the Productive Bases of Salinized Lands) was approved in Nov 2015 for desalination and land management, with USD 7.61 million of GCF funding, plus USD 550,000 in co-financing; it is to be implemented with CSE, but so far has not moved forward. This is because the target number for a planned result had been changed by the executing agency, and the GCF Board specifically inquired about it, finding it a major change. In recent months, the project document was reworked with the help of an international consultant and CSE is soon expected to re-submit the revised project.

The two other approved Funded Projects, FP021 and FP049 (flood protection in urban areas with the *Agence Française de Développement* [AFD], and the rural resilience initiative with the World Food Programme [WFP] to improve the food and income security of rural households) have not yet started. The project with AFD was supposed to commence around the time of this evaluation, given that the Funded Activity Agreement (FAA) had just recently been signed. At the time of writing, the WFP had not yet signed the Accreditation Master Agreement (AMA) and the FAA.

## E. Activities of other climate-related funds and bilateral donors in Senegal

For implementing UNFCCC actions in the country, financial resources were received through the GEF for enabling environmental programmes; for national communications (USD 400,000); NAPA preparation (USD 195,000); TNA preparation (USD 120,000); and for NAMAs and Least Developed Countries Fund (LDCF) preparation (USD 300,000). Recently, INDC preparation (USD 150,000) was funded by UNEP and UNEP DTU. Senegal was also able to implement projects from the AF (USD 8,6 million).

For LDCF projects, the Climate Change Adaptation Project in the Areas of Watershed with the International Fund for Agricultural Development (IFAD) has been closed. The global amount is USD 5 million. Other projects being implemented include: PFNAC (USD 5.46 million), *Projet de Renforcement de la Gestion des Terres et des Ecosystèmes* (PRGTE) (USD 4.1 million), *PROJET CEP* (USD 6.23 million), and *Projet d'Appui aux Filières Agricoles* (PAFA) (USD 5 million). The global amount without the NAPA comes to USD 20.8 million.

Bilateral support from partners such as France (FFEM), Japan (JICA), Germany (GIZ) and multilaterals (i.e. the EU) enabled the operationalization of COMNACC. This helped to establish

and strengthen the institutional framework for dialogue on climate change. Funds are managed by the administrative unit of the *Direction de l'Environnement et des Établissements Classés* (DEEC) of the MEDD, and a technical unit exists to monitor the implementation of programmes. This has been a challenge because of the multiple actors and the geographical distribution of interventions, while national procurement procedures delayed execution.

## II. RELEVANCE OF THE RPSP AND OF ITS MANDATE

The submission of the first RPSP project for USD 300,000 in October 2015 was made very quickly. This was followed by an 18-month period for preparing an extensive inception report with detailed data planning, before the first tranche of USD 120,000 was released in February 2017. It was difficult at the time to find specialized French-speaking consultants, and therefore the request for proposals had to be repeated, with implementation only starting in July 2017.

In December 2017, the NDA/FP asked for a no-cost extension of the first tranche. Along with the similar request of Gabon, this was new territory for the GCF, which took time to deal with the request and has still not responded to the NDA/FP at the time of writing. The USD 120,000 has now nearly been spent. According to the CSE, the audit report on the first tranche should be prepared by September 2018, although it still needs to be translated into English. The budget for using a local audit company is anticipated to be USD 5,000 to USD 10,000. This is in addition to the translation requirements for half-yearly progress reports (one of which had been prepared by the time of writing) and a short monthly update on a voluntary basis to the Regional Advisor (RA).

The NDA/FP has indicated having 10 staff, including three interns. They are working in one unit for mitigation and a second one for adaptation projects, though the latter projects are the only ones that have been developed so far. The NDA/FP is seen by many stakeholders in Senegal as very busy and slow in responding to information requests. The country programme was in its final stages of preparation at the time of writing, along with the NOP. Both were presented as drafts at a workshop on 17 July 2018, where the evaluation team was invited to participate.

On 13 June 2018, the RA organized a webinar on the NOP, for which she invited Tunisia and Gabon to present. Ten countries participated – DRC Kinshasa, Mali, Gabon, Burkina Faso, Madagascar, Cote d'Ivoire, Cameroon, Mauritania, Senegal, and Tunisia – along with the Sahara and Sahel Observatory (OSS) and the Banque de Développement d'Afrique de l'Ouest (BOAD), which is an Accredited Entity (AE). The GCF templates changed often in recent years, which required a lot of explanation to the NDA/FPs.

Since first being made available in July 2017, RPSP funding has allowed for the following activities to be organized:

- Launch of activities for the RPSP of Senegal, held on 10 July 2017. The objective of this workshop was to inform all stakeholders of the processes undertaken by the Government and the NDA/FP, to clarify and streamline ways of accessing the GCF, and to launch the RPSP of Senegal;

- Development of a website on implementing the Readiness Programme;<sup>47</sup>
- Training on 29 September 2017, on climate finance and how to access the GCF, understanding the tools of climate finance and the challenges and opportunities offered by climate finance, particularly by the GCF;
- Review and analysis of relevant strategies and policies, and definition of priority sectors related to climate and sustainable development, held on 13 October 2017, allowing stakeholders to discuss the relevance to the GCF of strategic documents, and to define the strategic axes relevant for each sector;
- Intra-regional stakeholder consultation forums for country programme formulation. Their purpose was to gather input from regional actors in developing the country programme through the identification of planned and ongoing adaptation and mitigation initiatives and projects;
- Three meetings with stakeholders from most of the regions of Senegal in December 2017;
- The holding of two roundtables to discuss the country programme, and three training sessions on the development of bankable projects attuned to the different types of actors, on 23–25 April 2018; and
- A technical validation workshop for the country programme, on 17 July 2018.

A series of planned activities have also been identified, as follows:

- Development of a manual of procedures, for processes relating to calls for projects and the monitoring of projects;
- Development and implementation of the communication strategy and plan;
- Capitalizing on lessons learned in implementing the process with stakeholders; and
- Holding a high-level workshop on GCF policies, the GCF investment framework, Readiness Programme activities and country programme validation.

The RPSP also provided assistance to the *Caisse Nationale de Crédit Agricole du Sénégal* (CNCAS) for preparing its accreditation with the help of PricewaterhouseCoopers (PwC). The process is in stage 2 of review, and approval is anticipated in 2019. The only accredited entity so far is the CSE, which received fast-track accreditation in 2015, as it had been accredited earlier by the AF.

The main value of the RPSP is that it has accelerated the climate change agenda in Senegal, even before the Government had put related funds into the budget. The amount of funds spent at the time of writing is small (less than USD 120,000), but it had had a catalyzing effect in getting stakeholders mobilized and advancing the drafting of the country programme and NOP, with the help of national and international consultants. This took quite some time, but the process has been advancing well with the main stakeholders – including in the regions outside of Dakar – being aware of the tasks ahead.

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<sup>47</sup> Available at <[www.fvc-senegal.sn](http://www.fvc-senegal.sn)>.



The three approved Funded Projects were developed and approved before the preparation of the draft country programme, which is also the case with the development of three additional projects under preparation.

It was repeatedly noted that the NDA should more regularly communicate with concerned stakeholders about the schedule for reviews of projects in the pipeline. The private sector has been critical about being sufficiently informed about processes and requirements for obtaining funding.

### III. COHERENCE IN CLIMATE FINANCE DELIVERY

The tasks of the NDA/FP have also involved being responsible for dealing with other climate funding agencies like the GEF and the AF, the AFD, Food and Agricultural Organization (FAO) and WFP, World Bank and UNDP.

As already indicated, the GEF and the AF are also supporting projects in Senegal that are being implemented by UNDP and the CSE (see information in overview table in annex B). The expectation is that the country programme also includes other sources of funding and implementing partners, and indeed there are many donors which propose projects in the draft country programme, which was presented at the 17 July 2018 workshop.

Except for GCF projects, it is the MEFP that coordinates such projects. It still has to be seen whether the *Comité du Pilotage* for the country programme will be able to ensure future coordination, with the active participation of the MEFP (see next section under N1).

### IV. EFFECTIVENESS OF THE RPSP AND OF ITS PROCESSES

#### A. N1 Extent to which Readiness grants have enabled NDA/FPs to lead effective intra-governmental coordination mechanisms, including the establishment of the no-objection procedure

The assumption to test is that the first RPSP project for NDA/FP strengthening has led to effective intra-governmental coordination mechanisms and a no-objection procedure.

The answer is yes, but later than originally planned and not yet completely finalized.

The project started slowly, because it was difficult to find specialized consultants and the call for offers had to be repeated. The consultants started their work in July 2017. The CES worked with them in commenting on their draft reports, assuring reports, purportedly assuring more substantial reviews than the NDA/FP substantial reviews more than the NDA/FP.

The NDA/FP started the process of setting up the steering committee (*Comité de Pilotage*) after the effective approval of the readiness project in October 2016. During the recruitment of consultants, the NDA/FP asked each ministry or key organization to nominate a representative, and proposed a draft decree (*arrêté*) to be approved by the committee. The first meeting was chaired by the Secretary General of the MEDD and the Director of Cabinet of the former Minister of Environment; many inputs for the draft decree were received. Along with the consultant funded by the readiness project, Abdoulaye Seck, the NDA/FP asked for the improvement of the draft decree, to guarantee a



practical and transparent procedure, define a clear role for non-governmental organizations (NGOs) and the civil society, as well as to ensure the financial sustainability of the steering committee.

Projects are to be reviewed by a technical committee and then decided upon by the steering committee. The decision criteria are listed in a presentation by the consultant to the country programme seminar, which was made available to the evaluation mission. The criteria are based on the GCF criteria for investments as well as specific criteria for Senegal, such as coherence with the PSE, complementarity and non-duplication with other projects, and socio-economic impact in the local context.

At the time of writing, the NOP was about to be finalized, the validation by COMNACC was obtained, while the decree of the Prime Minister was still a work in progress. In practice, the steering committee has already been meeting and taking decisions. Coherence is further to be increased through the development of a website where all projects subjected to the NOP would be made available to the public. Further proposals are meant to establish a list of relevant experts and to assure the durable funding of the two committees (pilottage and technical).

The Environmental Advisor in the Prime Minister's Office (Primature), Cheikh Sylla, is a member of the steering committee. In view of his position and seniority, he can call a meeting in the Primature to decide on controversial issues. This has not happened yet and he has not participated in the meetings so far, since the invitations from the NDA/FP arrived without an official letter from the Minister. This was an important issue to be addressed.

## **B. N2 Extent to which Readiness grants have enabled NDA/FPs to effectively engage stakeholders in consultative processes, including the preparation of coherent country programmes**

The assumption is that Readiness grants have enabled NDA/FPs to effectively engage stakeholders in consultative processes and the preparation of a coherent country programme.

The answer is partly yes.

The country programme has been an attempt to provide an overall strategic framework for GCF projects in Senegal. It builds on the INDC report to the UNFCCC. Country programme development started with a kick-off meeting in July 2017, with about 60 participants from Government, civil society and the private sector. This was important as it allowed their mobilization and buy-in. This was followed-up with individual interviews with most participants, including those from regions outside the capital, which proved to be very valuable.

The project proposals followed the GCF template for projects. Of course, decisions needed to be taken on how to fill it in, focusing on policies, mobilization of funds and capacity building. The international consultant brought on for this work was chosen in part for his experience with other donor agencies, in particular the International Finance Corporation (IFC). The national consultant is a professor at the Cheikh Anta Diop University of Dakar.

The NDA/FP has held several workshops over the last two years, to a large extent funded through the RPSP (see details above and in annex E). Though still to be finalized at the time of writing, the

country programme had advanced well. An advanced draft was presented at the stakeholder seminar on 17 July 2018. It is anticipated that the country programme will be finalized by the end of 2018.

Based on the presentation at this workshop, the country programme appears to be a coherent document. It comprises a description of climate change issues facing Senegal, a long list of mainly adaptation projects, with a projected total funding volume of about USD 6.422 billion (for the 2018–2025 period) and USD 2.635 billion (for the 2026–2030 period) for submission to the GCF. However, the climate rationality of most of these projects is not yet clearly established. The main task to follow is then to ensure the preparation of good projects, developing intended projects into actual projects with a clearly articulated climate rationale. The next step may very well entail the preparation of a short list of high priority projects, including the hosting of a workshop in each concerned line ministry for the preparation of proposals (at least one per ministry).

Also, the country programme would benefit from being properly aligned with the INDC. The mitigation projects under the Ministry of Petroleum and Energy need to be quantified in terms of greenhouse gas emissions reduction, taking into account the difficulties of change management. This will need further inputs from consultants and scientists, as neither the NDA/FP nor the Ministry of Petroleum and Energy will be able to do this alone.

The private energy sector for renewable energies (RE) has obtained favourable and stable long-term conditions for solar, wind and bio-gas projects through 25-year contracts with the public grid operator. A few such projects are already operational and others are soon to be realized.

The development of a project proposal for preparing the NAP is underway by UNDP and is almost finalized. Funding in the order of USD 2.9 million will be requested. The GIZ is supposed to work in parallel on developing scientific support for it and also on addressing particular issues facing the small islands off the Senegalese coast.

As things stand, Senegal has already submitted three Funded Projects and had them approved in November 2015, October 2016 and September 2017 (see details in annex B), without waiting to integrate them into a country programme or a NAP. It is also important to recognize that Senegal has developed strategy documents, policies and laws relating to climate change since 1999, and that the INDC document submitted to COP 21 in Paris in 2016 is similar to a country programme. This means that the submissions of the three approved Funded Projects were conceived within the context of these strategies, policies, and laws.

### C. N3 Extent to which Readiness technical assistance has enabled nominated candidates to achieve accreditation as DAEs

The assumption is that readiness assistance has enabled nominated candidates to achieve accreditation.

The answer is partly yes.

Support has been provided for one candidate institution, the CNCAS, and for an upgrade of the only accredited organization, the CSE, but not for two other interested funds.

The CSE had already obtained accreditation in 2015 as the first DAE in Africa. This was done without RPSP support on a fast track, as the CSE had already been accredited by the AF. The CSE

has been working on the upgrade of its accreditation to risk level B and for small projects up to USD 50 million, from the current level of micro projects up to USD 10 million. For this process, they received USD 205,000 in RPSP support, approved in October 2017. The first tranche of USD 140,000 was disbursed in October 2017.

This process, supported by consultants under the RPSP for the areas of evaluation and monitoring, financial management and gender, is considered as having been beneficial to the CSE. It is an exercise expected to be finalized by the end of 2019. However, the CSE might ask for the actual upgrade of its accreditation only after 2020, when the five-year period of its original accreditation is over. In the meantime, they continue to develop proposals for Funded Projects. Also, according to the CSE, the GCF responds too slowly on accreditation and other matters.

There are important concerns related to accreditation that merit attention. The management fee of 9 per cent for the first RPSP project is not covering the costs of the CSE. It has been suggested that CSE staff could assume the job of consultants in Senegal. Indeed, CSE staff were accepted for one consultancy in another country in the region. The CSE is implementing the RPSP in six other countries in the region.

The CNCAS had started to work on accreditation in February 2017, when it had registered its self-assessment with the GCF and then received the nomination letter from the NDA/FP. They found the exercise long and difficult, partially because it was in English. They also found it interesting and productive for reviewing their procedures and adding new ones. In February 2018, they received a one-week mission from PwC, which reviewed their policies and procedures for a gap assessment followed by an action plan. They are now in stage 2 of the accreditation process, with anticipated completion of the process in early 2019. The CNCAS is aiming for risk level B and medium-size projects from USD 50 million to USD 250 million. According to them, the NDA/FP has been supportive the whole way through.

For the time being, CNCAS can already cooperate with the CSE on projects as an executing agency. They have pursued projects in renewable energies including solar, for instance, but with their own resources. With FONSI (Fonds Souverain d'Investissements) and FONGIP (Fonds de Garantie des Investissements Prioritaires), CNCAS is both competing and cooperating.

The FONSI was created in 2014 to provide equity capital to larger companies. Part of the Ministry of Finance, it is semi-independent and its 27 staff are not public servants. The FONSI takes part in COMNACC. They advocate for a better access of the private sector to RPSP, and suggest a specific window through the COPERES (Conseil Patronal des Energies Renouvelables du Sénégal). The FONSI started to work on accreditation, became registered with the GCF and got the nomination letter from the NDA/FP. They hired a consultant with their own funds, as they were told that PwC were only available for one institution per country. They aim at risk level B and medium-size projects from USD 50 million to USD 250 million.

Their portfolio so far is worth about USD 150 million, all in the public sector. The FONSI was created because commercial banks do not provide long-term capital. Although commercial banks have access to a lot of cash, they are risk averse, in particular for new sectors, as private investors generally are. For Renewable Energies (RE) projects, the lifetime is usually at least 15 years, while the contracts of Independent Power Producers (IPP) with SENELEC which runs the grid, are for 25

years. The FONSIS could be a new provider of equity capital. They are considering participating in the Renewable Energy and Energy Efficiency Fund (REEF) prepared by the African Development Bank (AfDB) and GGGI, similar to the Environment and Climate Fund (ECF) in Mongolia, for which the project proposal was also prepared by GGGI.

The FONGIP was created in 2013 to provide guarantees to banks lending to small and medium companies. Though part of the Ministry of Finance, it is semi-independent, and their staff are not public servants. They are already active in the renewable energy sector. The FONGIP can guarantee up to 70 per cent of the credit for new companies to a maximum of FCFA 500 million per annum (approximately USD 890,000), up to 50 per cent for existing companies and up to 80 per cent for young entrepreneurs. They reported that only 2 per cent of the guarantees have been lost. The FONGIP wants to be accredited. It registered its self-assessment on the GCF website in January 2018, receiving an automated reply indicating it could expect an answer within two weeks. Since then, there has been silence from the GCF, with only occasional feedback from the NDA/FP indicating that a solution would surely be found.

In Senegal as elsewhere, private banks are increasingly interested in lending on renewable energy projects, though understandably shying away from unknown risks. It is possible to mitigate such risks and encourage greater lending, where appropriate bodies are involved. In Senegal, FONGIP may be able to provide such guarantees. For larger projects, FONSIS may be able to offer equity participation, given its activity in this field.

However, debates remain about the appropriate number of AEs in any one country. In Senegal, some believe that two DAEs is enough. Thus, with the CSE in place, likely soon to be followed by the CNCAS, there may be no need to also accredit FONSIS and FONGIP. This is also a wider question that needs to be grappled with by the GCF: should country-level needs on this matter be analyzed and decided by the GCF in its reviews of accreditation requests, or should this be undertaken by any one NDA/FP at country level?

Another matter also needs attention. On accreditation matters, entities consulted by the evaluation indicated that working with the GCF has been slow, heavy, cumbersome, too centralized in Senegal through the NDA/FP, and too distant and far away in Songdo (see the points made in the efficiency section below). They point to a need for accreditation-related processes to be accelerated. They also point to a need for more and clearer information from the GCF Secretariat on what to expect throughout the accreditation process and when.

#### **D. N4 Extent to which information and experience-sharing events and processes have contributed to the ability of countries and DAEs to engage effectively with the GCF**

The assumption is that the information sharing events organized by the GCF Secretariat – primarily the regional Structured Dialogues and DAE workshops – have helped countries to engage effectively with the GCF.

The answer is likely yes.

The NDA/FP participated in the Structured Dialogue in Mali and the DAE workshop in Songdo, Republic of Korea. The Secretary General of the MEDD headed the Senegalese Delegation to the Structured Dialogue in Mali this year and found it stimulating, in particular to meet with representatives of other countries of the region and to exchange experiences.

These meetings were considered useful despite not leaving enough time for in-depth bilateral discussions with all countries. The “coffee corners” at the Mali meeting were a good start but the time allotted to them was seemingly not enough. It was suggested that virtual or in-person meetings of smaller country groups would be valuable ways for experiences to be shared.

#### **E. N5 Extent to which Readiness grants have enabled countries to develop National Adaptation Plans that build on existing country strategies and plans**

The assumption is that the RPSP has enabled the development of a NAP.

The answer is not yet.

The NAP is listed as a project on p.87 of the draft country programme. The UNDP is engaged to apply soon for readiness funds through the CSE for a USD 2.9 million project for NAP development. This is a complementary project with GEF and GIZ, where UNDP is responsible for developing the strategy and sectoral studies through this project. Project development has been very slow, at nearly two years, as it started even before the current UNDP desk officer took office. Changes of GCF policies in terms of their funding criteria, approach, and vision on the NAP, resulted in the UNDP needing to improve its proposal. In their view, the GCF needs to stabilize the review criteria, so as to avoid delays in the future.

#### **F. N6 Extent to which Readiness grants have enabled NDA/FPs and AEs to develop concept notes and/or project proposals to access climate finance that address high-impact priorities identified in country programmes**

The assumption is that readiness funds have enabled the NDA/FP and the DAE to develop concept notes and/or project proposals to access climate finance that address high-impact priorities.

The answer is no.

It seems that the three approved Funded Projects went ahead without relating to a country strategy, but also later got stuck for various reasons (see below, under efficiency). The project with AFD was supposed to start shortly, given that the Funded Activity Agreement (FAA) had just recently been signed. The WFP had not yet signed the Accreditation Master Agreement (AMA) and the FAA, at the time of writing.

There are also suggestions that the DAE (CSE) should implement the first project in Senegal, before any IAE does. For that, the CSE must communicate the revised project document to the GCF Secretariat, which would then send it for technical review. The CSE was also preparing concept notes for other projects and intended to submit them for review by the GCF Secretariat.

The sequence of events for the first three Funded Projects therefore did not follow the standard pattern, though future project proposals will likely do so. It is also worth noting that concept notes are encouraged but not obligatory before the submission of Funded Project proposals to the GCF.

### G. N7 Extent to which private sector engagement in country consultative processes has helped improve the enabling environment for crowding-in private sector investment

The assumption is that the involvement of the private sector in consultations has helped to improve the conditions for crowding-in private sector investment.

The answer is not yet.

There is reportedly a lack of clarity among private entrepreneurs on whether and how GCF funding can be used for private sector, as opposed to public sector projects, including smaller interventions (even with the support of the NDA/FP and in line with the country programme). There were only a few private sector representatives at the country programme workshop on 17 July 2018. Nevertheless, they were interested in learning more about how to engage with the GCF.

The NDA/FP has organized a series of consultation meetings with the various stakeholders, including a training workshop on project development with representatives of private companies. While appreciated, this appears now to have been sufficient. Indeed, requests for more targeted trainings have been articulated. As an important aside, training is likely also to be required for the media, to avoid any misinformation and the creation of unrealistic expectations of the GCF.

It has often been reiterated that the private sector way and speed of doing things is very different from that of the GCF.<sup>48</sup> Some private sector actors in Senegal indicate that the channeling of all GCF funds through the NDA/FP is too centralised and slow, and too far from the working style and expectations of the private sector. They advocate for the better and more direct access of the private sector to the RPSP, and suggest a specific window through the COPERES (*Conseil Patronal des Energies Renouvelables du Sénégal*). They also suggest examining the possibility of web-based approvals of smaller projects, using standard and objective criteria and a software designed for that purpose. The NDA/FP in Bangladesh is leading the development of such a software with the help of GIZ.

Some progress is also expected from the financial sector project currently being prepared by the AfDB for four African countries, for which GGGI has been preparing the Senegal component with their own funds. The objective is to help the commercial banks offer longer credit periods (to increase them from the current maximum 7 to 15 years), to align better with the lifetime of RE projects. The commercial banks also lack the technical competence for RE projects, meaning technical assistance (TA) is needed. GIZ has already done some work with the *Banque Commerciale pour le Marché de l'Entreprise* (BCME) for RE and other projects.

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<sup>48</sup> It also must be recognized that delays in GCF responses have become shorter, in particular since the March 2018 Structured Dialogue in Mali (where widespread criticism was voiced).

In October 2015, the IFC had submitted an RPSP proposal to provide TA to the energy sector for improving the rules for independent power producers (IPP). This was approved in March 2016 for USD 600,000, but since then has not moved forward. Reportedly, this is because of the differing legal opinions of the GCF and IFC legal departments, about which standards for proper business conduct to apply – those from GCF or those from IFC.

This has yet to be solved, but the Ministry for Petroleum and Energy has made a successful tender call for the construction of 20 MW and 30 MW solar panel stations in two regions, and has negotiated contracts for 25 years with private contractors for some USD 0.29 per KWH delivered for the grid. The medium-term perspective is to increase the solar energy capacity to 100 MW and then to 200 MW, which is significant in view of the installed capacity of 850 MW based on diesel fuel. The financial contribution of the IFC is about USD 1.2 million, while Senegal contributes USD 0.65 million.

The non-implementation of the IFC project under the RPSP therefore did not stop the ministry from going ahead with IPPs. While the RPSP project might never be realized, the NDA/FP is not yet ready to cancel it. The MEDD is part of the *Comité Technique* of the aforementioned project with IPPs.

## V. COUNTRY OWNERSHIP

The country is on its way to achieving the planned results of its approved readiness activities, as follows, but with some delays due to the late start of the first RPSP activity on NDA/FP strengthening and country programmes:

- The NDA/Focal Point is established and functional;
- Stakeholder consultations are being organized by the NDA/FP;
- An NOP has been established, although not yet completed;
- A country programme has been developed and agreed upon with the major stakeholders;
- A DAE has been accredited; and
- One or more Funded Project proposals have been submitted to (and approved by) GCF.

The NDA/FP is in the driver's seat for country programme development. The process of country programme preparation was very inclusive through its multiple consultations and also involved stakeholders in the regions outside of Dakar.

The country programme built on the longstanding policies for addressing climate change that Senegal has developed as one of the early supporters of the Kyoto and then the Paris agreements. It has developed and submitted its INDC report and strategies for adaptation and mitigation. Further work to emphasize more clearly the crucial importance of addressing climate change in the strategic PSE is underway with the support of GIZ, which also advises the MEFP on how to integrate climate change into its budgeting and planning processes.

In Senegal, three Funded Projects were approved ahead of the country programme, two of them prepared by IAEs and one by the CSE, a national agency. Their implementation was then delayed for various reasons. This does not point to full country ownership but rather to a process driven by



IAEs that rushed into action. In several meetings, the expectation was made clear that the current and additional DAEs would get preference over IAEs for project planning and implementation.

The MEFP has to clear all Official Development Assistance (ODA). Therefore, it has a major role in ensuring that donor-funded projects are consistent with the country's priorities. Donor-funded projects are supposed to fill the gaps and avoid duplication. However, the MEFP is not involved in GCF projects and is claiming that the NDA/FP should be with them rather than with the MEDD. Although the MEFP has appointed a member to take part in the meetings, they wait for an official decree formalizing the *Comité de Pilotage* for the country programme, before participating in it.

The CSE contributes to country ownership by using mostly Senegalese staff and also mostly national consultants. There are many qualified experts in Senegal who often have international experience, having lived and worked abroad for many years before repatriating.

Translations into English are requiring extra efforts and are complicating the preparation of projects and accreditations. All forms are in English, as is the GCF website. This is a hindrance for country ownership, as Government staff, experts, entrepreneurs and media need to be fluent in English to engage with the GCF.

## VI. UNEXPECTED RESULTS

There are no known negative results of RPSP activities, but some of the expected positive results have been delayed, as explained above.

## VII. CROSS-CUTTING ISSUES – GENDER EQUITY AND INCLUSIVENESS

The GCF has taken strong positions on environment, social, and gender issues.

The CSE developed a gender policy and appointed a gender FP under the RPSP-supported and planned upgrade of its accreditation. This example is being followed by the CNCAS in its preparations for accreditation.

The NDA/FP, however, has not maintained gender-specific statistics, for example on the diversity of participation in workshops and seminars. While Senegal has a national strategy on gender equity and equality<sup>49</sup>, the NDA/FP has not integrated its priorities into the GCF and RPSP work effectively. The proper integration of minority groups and broader social inclusion was also underdeveloped at the time of writing.

## VIII. INNOVATIVENESS AND POTENTIAL FOR PARADIGM SHIFT

The work of the RPSP in Senegal has been particularly innovative. The RPSP support for NDA/FP strengthening in Senegal, to the tune of USD 300,000 and approved in 2015, was among the first of its kind in Africa. It was undertaken with the CSE, itself among the first group of DAEs in Africa, also in 2015. In December 2017, the NDA/FP asked for a no-cost extension of the grant. This was

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<sup>49</sup> Available at <<http://www.directiongenre.com/docs/SNEEG%202.pdf>>.



one of the first such cases for the GCF, and it has taken much time to address; a response to NDA/FP has still not been issued.

There is potential for greater private sector involvement in Senegal. The FONSIS is a new provider of equity capital and wants to become accredited. The CNCAS plans to become more involved in lending to the RE sector, once accredited. Yet, as described in chapter IV under N7 above, the Ministry of Petroleum and Energy issued a successful call for tender, for the building of 20 MW and 30 MW solar panel stations in two regions. They have negotiated contracts for 25 years with private sector contractors for about USD 0.29 per KWH delivered to the grid. For 2019, a plan is in the works for a wind power project of 150 MW in the country's north, with financing from FMO/Holland (an entrepreneurial development bank). These last developments have been taking place without GCF involvement, subsequent to the early RPSP project approved for the IFC that did not materialize (as discussed above). Just as Senegal is not waiting for the RPSP to innovate, the RPSP and the GCF should be mindful about enabling the innovativeness of Senegal.

## IX. LIKELIHOOD OF SUSTAINED IMPACT OF THE RPSP

It is far too early to being able to foresee whether the impacts of the RPSP activities are likely to be sustained. There are signs that the institutional and legal infrastructure will soon be consolidated. In view of the strong overall commitment of the Government to address climate change, there are chances that this will become a sustainable and continuous effort.

## X. POTENTIAL FOR BUILDING SCALE

While RPSP activities as such are not designed to be scaled up, their implementation is laying the ground for projects which are. This is true for the country programme, which provides a framework for all projects. The list of projects envisaged is long and has a high budgetary volume.

The main pathways for scaling up in Senegal will be the accreditation of the CNCAS, once completed, and of FONSIS and possibly FONGIP, if accepted. The full involvement of these financial intermediaries will allow reaching out to private entrepreneurs, mainly in the RE sector, for further increasing their capacities for generating electricity with solar energy and wind power.

There are also ambitious projects for adaptation in various stages of preparation with the AFD, the AF and the GEF. The project for preparing a NAP by UNDP is nearly ready for submission. It would provide a strategic and up-to-date framework for future adaptation projects, which are designed with an ambitious scope but so far lack a clear climate rationale, as seen in the country programme. These are indispensable for developing with concept notes that have a good chance of approval.

## XI. EFFICIENCY OF THE RPSP PROCESSES

While the RPSP project for NDA/FP strengthening and country programme development was approved in August 2015 as one of the first in Africa, it did not become effective before October 2016, with a first disbursement in February 2017. In the interim, an extensive inception report had to be prepared as requested by the GCF secretariat. After a long search for consultants to prepare the draft country programme, implementation started in July 2017, two years down the road.

The NDA/FP asked for a no-cost extension for the project at the end of 2017, again a novelty for the GCF, but had not received a response by the time of writing. As the first tranche of USD 120,000 was almost spent, the question remains about when the second tranche of USD 160,000 may be released and with what termination target date.

In view of the late start, progress in preparing the draft country programme and a draft NOP has been reasonably fast, also in view of the extensive consultation processes undertaken for both, which will facilitate their acceptance. For the NOP, a *Comité de Pilotage* has been foreseen, for which the formal process still needs to be defined and confirmed by a Governmental Decree. In the meantime, however, the NDA/FP issues no-objection letters (NOLs) after a positive review by a committee of technical experts, and consultations with the members of the *Comité de Pilotage*, which has already met several times but not with all its members present.

The initial accreditation of the CSE was among the first in Africa. As the CSE had already been accredited by the AF, it passed through the process quickly and without RPSP support, gaining accreditation for low risk projects and micro projects. Its current effort to get an upgrade to risk level B and small projects of up to USD 50 million, is supported by USD 205,000 in RPSP support. The first disbursement was made in October 2017, which means it has been underway for almost a year. This does not pose a problem, though, as the CSE might only go for the upgrade in 2020, when the five years of its first accreditation will come to term.

Accreditation for the CNCAS was supported by a readiness grant approved in May 2017 for a PwC mission in February 2018, to undertake a gap assessment leading to an action plan. The initial self-assessment had been done and submitted in February 2017, which makes it a long process to a likely 2019 accreditation. However, as various policies like gender had to be newly developed and others had to be revised, it is not surprising that significant time has been needed. The last missing piece, a rating statement from an international rating agency, was due to be received before the end of July 2018.

Two other candidates for accreditation, FONSIS and FONGIP, are trying to progress. The first one has secured the help of a consultant hired for doing a gap assessment, after a request for support through PwC was denied. The second continued to wait for an answer on how to proceed after its self-assessment, which had been submitted in January 2018.

The frequent changes in required information related to the development of NAP-related projects, for which the preparation process has already been ongoing for more than two years, has been a sore point for UNDP. This reflects a near-generalized perception that dealing with the GCF requires a lot of time and patience. One interviewee reported the case of a workshop in Senegal where a participant summarized his impressions about the GCF in a pointed way: “*Le Fond Vert, ce n’est pas le feu vert!*” (loosely translated as, ‘The Green [Climate] Fund, does not amount to a green light!’).

## ANNEX A. TIMELINE OF THE KEY EVENTS OF THE GREEN CLIMATE FUND AND THE READINESS AND PREPARATORY SUPPORT PROGRAMME, AND RELATED EVENTS IN SENEGAL

YEAR	GREEN CLIMATE FUND	READINESS AND PREPARATORY SUPPORT PROGRAMME	RELATED EVENTS IN SENEGAL
2006			National Adaptation Programme of Action (NAPA) on Climate Change is adopted.
2010	(December) The Sixteenth Session of the United Nations Framework Convention on Climate Change in Cancun (COP 16), Mexico, decides to establish a Green Climate Fund (GCF), to be designated as an operating entity of the financial mechanism of the Convention under Article 11.		National Communication is submitted to United Nations Framework Convention on Climate Change (UNFCCC).
2011	(December) COP 17 in Durban, South Africa, adopts the Governing Instrument of the Green Climate Fund.		National Climate Change Committee (COMNACC) is reinforced by presidential decree.
2012	(October) The Board selects the Republic of Korea to host the Fund Secretariat.		A study on a technological needs assessment (TNA) is carried out.
2013	<p>(June) The Board selects Hélé Cheikhrouhou as the first Executive Director of the GCF Secretariat.</p> <p>(June) The Board requests the Secretariat to issue an invitation to developing countries to nominate a Nationally Designated Authority (NDA).</p> <p>(October) The Board agrees on a roadmap to mobilize resources.</p>	<p>(March) The Board adopts modalities for readiness support and decides to explore options for making short-term progress on readiness, including the initiation of work on operationalizing a Readiness phase.</p> <p>(October) The Board decides that the GCF will provide Readiness and preparatory support to:</p> <ul style="list-style-type: none"> <li>• Enable preparation of country programmes;</li> <li>• Strengthen in-country, GCF-related institutional capacities; and</li> <li>• Enable implementing entities to meet the fiduciary standards and environmental and social safeguards (ESS) of the GCF.</li> </ul>	.
2014	<p>(October) The Board decides only to consider funding proposals that are submitted with a formal letter of “no objection”, to ensure consistency with national climate strategies and plans and country-driven approaches</p> <p>(November) The GCF Secretariat opens its online accreditation system for national and international entities.</p>	<p>(February) The Board conceptualizes a detailed work programme on Readiness, including four priority activities:</p> <ul style="list-style-type: none"> <li>• Establishment of NDAs/focal points (FPs);</li> <li>• Strategic frameworks, including the preparation of country programmes;</li> <li>• Selection of implementing entities; and</li> <li>• Initial pipelines of programme and project proposals.</li> </ul> <p>• (October) The Board decides:</p>	Government publishes long-term strategy in the Programme Sénégal Emergent (PSE)

YEAR	GREEN CLIMATE FUND	READINESS AND PREPARATORY SUPPORT PROGRAMME	RELATED EVENTS IN SENEGAL
		<ul style="list-style-type: none"> <li>• That all developing countries will have access to readiness support with at least 50% of readiness support allocated to particularly vulnerable countries, including SIDS, LDCs and African states;</li> <li>• That readiness commitments will be limited to USD 1 million per country per calendar year, including up to USD 300,000 to help establish an NDA/FP; and</li> <li>• To allocate USD 15 million for the Readiness Programme, and an additional USD 14 million after receipt of the next semi-annual report.</li> </ul>	
2015	<p>(March) The Board approves the first Accredited Entities (AEs).</p> <p>(November) The Board approves the first eight investment projects before the Paris Climate Summit.</p> <p>(November) COP 21 in Paris passes the landmark international climate agreement, with the GCF as the dedicated operating entity of its financial mechanism.</p>	<p>(February) The GCF Secretariat issues the first version of the RPSP proposal template.</p> <p>(May) The GCF Secretariat issues the second version of the RPSP proposal template.</p>	<p>Government submits Intended Nationally Determined Contribution (INDC) to COP 21 in Paris.</p> <p>The NDA submits request for USD 300,000 from the RPSP to prepare the country for access to GCF resources and funded projects.</p> <p>Three FPs are approved.</p> <p>The CSE gets accreditation on fast track, as it had been accredited before by the AF.</p> <p>A low-carbon development strategy is also initiated, and through the Climate Technology Centre and Network (CTCN), three projects are approved, mostly in the energy efficiency sector.</p>
2016	<p>(March) The Board adopts its Strategic Plan, which links the GCF to the Paris Agreement, and reconfirms the importance of the GCF RPSP.</p> <p>(October) The Board selects Howard Bamsey as the second Executive Director of the GCF Secretariat.</p>	<p>(June) The Board decides to defer the independent evaluation of the Readiness Programme to 2017.</p> <p>(June) The Board adopts a revised indicative list of activities that the Readiness Programme can support:</p> <ul style="list-style-type: none"> <li>• Establishing and strengthening NDAs/FPs;</li> <li>• Strategic frameworks, including the preparation of country programmes;</li> <li>• Support for accreditation and accredited DAs;</li> <li>• Information-sharing, experience exchange and learning; and</li> <li>• Formulation of national adaptation plans and/or other adaptation planning processes.</li> </ul>	<p>The Climate Change Division in the MEDD is designated as National Designated Authority (NDA) for the GCF.</p> <p>The NDA prepares an extensive inception report with detailed planning of the activities for the first tranche of USD 120,000.</p> <p>First RPSP project for NDA strengthening becomes effective.</p>

YEAR	GREEN CLIMATE FUND	READINESS AND PREPARATORY SUPPORT PROGRAMME	RELATED EVENTS IN SENEGAL
		<p>(28 July) The GCF Secretariat issues the third version of the RPSP proposal template, including a logframe of intended outcomes.</p> <p>(December) The Board decides to allocate an additional USD 50 million for the RPSP.</p>	
2017		<p>(16 June) The GCF Secretariat issues the fourth version of the RPSP proposal template.</p> <p>(July) The Board invites the IEU to undertake an independent evaluation of the RPSP.</p>	<p>First tranche of USD 120,000 is released in Feb 2017 for the RPSP project on NDA support.</p> <p>Country Programme development starts with a kick-off meeting in July with some 60 participants from Government, civil society and private sector.</p> <p>The NDA organizes three meetings with stakeholders from most regions of Senegal.</p> <p>The NDA asks in Dec 2017 for a no-cost extension of the first tranche.</p> <p>The CSE works on upgrading its accreditation, aiming at risk level B and medium-size projects from USD 50 million to USD 250 million.</p>
2018		<p>(February–March) The Board:</p> <ul style="list-style-type: none"> <li>• Takes note of the findings of the initial review by the Secretariat of the RPSP (Dalberg Report);</li> <li>• Approves an additional USD 60 million for the RPSP; and</li> <li>• Approves the terms of reference for the independent evaluation of the RPSP.</li> </ul>	<p>The Country Programme is in its final stages of preparation, along with the no-objection procedure.</p> <p>The NDA organizes a technical validation workshop of the country programme.</p> <p>The Caisse Nationale de Crédit Agricole du Sénégal (CNCAS) is preparing its accreditation with the help of PwC, aiming at risk level B and medium-size projects from USD 50 million up to USD 250 million.</p>

## ANNEX B. SENEGAL: PORTFOLIO OF GCF, AF AND GEF ACTIVITIES

RPSP									
ID	DELIVERY PARTNER/AE	SUBMISSION DATE	COMMITTED AMOUNT IN USD	INSTRUMENT	ENDORSEMENT	APPROVAL DATE	EFFECTIVE DATE	DISBURSEMENT DATE	DISBURSED AMOUNT IN USD
1705-14638	CSE	08/10/2015	300000	RPSP Grant	10/16/2015	10/08/2015	10/28/2016	23/02/2017	120000,00
1706-14734	CSE	14/02/2017	205 000		03/02/2017	05/10/2017	08/28/2017	31/10/2017	140000,00
1706-14758	PwC	28/04/2017	29 722		05/11/2017	05/17/2017	NA	12/04/2017	29521,00
1705-14651	IFC	26/10/2015	600 000		08/13/2015	03/16/2016	NA	NA	NA

### GCF Funded Projects

APPROVED REF.	PROJECT NAME	AE	FAA STATUS	STATUS	APPROVAL DATE	DURATION (M)	GCF FINANCING	Co-FINANCING IN USD	TOTAL FUNDS IN USD
FP003	Desalination and land management	CSE	Pending	Active	November 2015	4	Grant 7.61 million	0.55 million	8.16 million
FP021	Urban Flood Management Project	AFD	Pending	Active	October 2016	5	Grant 15 million	56 million	83.73 million
FP049	Integrated management of climate risks for small holder farmers	WFP	Pending	Active	September 2017	4	Grants 9.98 million	0	9.98 million
	Transforming Financial Systems for Climate Change	AFD		Active		6	Grants €31 million Guarantees €31 million Loans €268 million	€552 million	€1.04 billion
	Dakar Bus Rapid Transit Pilot Project	WB		Active		5	Loan 28.10 M	436.46 million	464.56 million

	Sustainable Forest Management	UNDP		Inactive		5	Grants 35.87 M	3.99 million	39.86 million
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ADAPTATION FUND									
PROJECT ID	PROJECT SITE	APPROVAL DATE	DURATION	STATUS	AMOUNT_DIBURSED	GRANT AMOUNT IN USD	PROJECT TITLE	IE	IE TYPE
SEN/NIE/Coastal/2015/1	Saloum Islands (Dionewar)	05/07/2017	3 years	Project funded		1 351 000	Resilience of coastal communities	CSE	NIE
		23/12/2016		Readiness grant		10 000	Technical Assistance Grant for Gender	CSE	NIE
		16/02/2016		Readiness grant		18,000	Technical Assistance Grant for ESP	CSE	NIE
SEN/NIE/Coastal/2010/1	Rufisque, Saly, and Joal	17/09/2010		Project Completed	8,619,000	8,619,000	Adaptation to Coastal Erosion in Vulnerable Areas	CSE	NIE
GEF									
GEF_ID	FOCAL AREA	GEF AGENCY	PROJECT TYPE	APPROVAL DATE	GEF PROJECT GRANT	GEF AGENCY FEE	TOTAL TRANSACTION		
4055	Climate Change	UNDP	FP	12/11/2009	2,000,000	200,000	2,200,000		
4055	Climate Change	UNDP	PPG	28/09/2009	100,000	10,000	110,000		
4080	Climate Change	UNDP	FP	12/11/2009	960,000	96,000	1,056,000		
4080	Climate Change	UNDP	PPG	04/03/2010	40,000	4,000	44,000		
4095	Climate Change	UNDP	MSP	02/02/2010	920,000	92,000	1,012,000		
4095	Climate Change	UNDP	PPG	25/02/2010	80,000	8,000	88,000		

## ANNEX C. PERSONS CONSULTED IN DAKAR, 16 – 20 JULY 2018

NAME	ORGANIZATION	DATE
Ouverture Atelier Programme du Pays	Ministère de l'Environnement et du Développement durable (MEDD)	17 July
Mireille AFOUDJI	ENDEV/GIZ	17 July
Madeleine Diouf SARR	MEED	17 July
Youssouf NDIAYE, Director	Ministère de l'Environnement et du Développement durable (MEDD)	17 July
Abdoulaye BA, Project and Business Development Manager	Conseil Patronal des Energies Renouvelables du Sénégal (CODERES)	
Abdoulaye SECK, Consultant	COSEER Energie Renouvelable et Environment SEnergySAfrica	
Antoine FAYE, Consultant	Fayan Consulting, COMNACC Chair of Finance Commission	
Dr. Assize TOURE, General Director Déthiè Soumaré NDIAYE, Head of Climate Finance Unit Aïssata Boubou SALL, Responsible Monitoring and Evaluation Daouda GUENE, Head Accounting	Centre de Suivi Écologique (CSE)	18 July
Mamadou MBAYE, Directeur Executif Evelyne Dioh SIMPA, Chargée d'Investissements	Fonds souverains d'investissements stratégiques (FONSIS)	18 July
Abdourahmane SY, Directeur du Pôle Gestion Modiene Joe NDIAYE, Chef de Département Adrienne NDONG, Financial Analyst	Fonds de garantie des investissements prioritaires (FONGIP)	18 July
Malick NDIAYE, Director General Abdou Aziz DIEDHIOU, Chef Département Etudes et Stratégies, Plus other senior managers	Caisse nationale de crédit agricole du Sénégal (CNCAS)	18 July
Libasse BA, Coordinator Energy Emmanuel SECK, Programme Manager	ENDA ENERGY	18 July
El Hadji Malick SARR	Agence Nationale d'Insertion et de Développement Agricole (ANIDA)	18 July
Madeleine Diouf SARR	MEDD	18 July
CheikhNdiaye SYLLA	PRIMATURE (PM Office)	19 July
Yacine FALL	Programme Alimentaire Mondiale (PAM)	19 July
Ndèye Fatou Diaw GUENE	Programme des Nations unies pour le développement (PNUD)	19 July



Matar SYLLA, National Coordinator Bassirou SARR, Extension Officer	Programme National de Biogaz Domestique (PNB-SN)	19 July
Louis SECK	Ancien ministre des énergies renouvelables	19 July
Ibrahima NIANE	Ministry of Petroleum and Energy	20 July
Aboubacry NDIAYE, Budgetary Programming Arona DIA and Papa Natan DIAYE, Cooperation and External Financing Gabriel SARR, Planning Department	Ministère de l'Economie des Finances et du Plan	20 July
Makhfousse SARR	Organisation des Nations unies pour l'alimentation et l'agriculture FAO	20 July
Antoine FAYE	Fayan Consulting, COMNACC Chair of Finance Commission	20 July
Amadou Iamine Guisse Madeleine Diouf SARR	SG MEDD NDA MEDD	20 July
Mahamadou TOUNKARA, Resident Representative Amadou Lamine FALL, Investment Officer	GGGI	20 July
Malle FOFANA		20 July

## ANNEX D. DOCUMENTS CONSULTED FOR SENEGAL COUNTRY REPORT

Senegal. 2015. Intended Nationally Determined Contribution (INDC), Climate Action Plan submitted to the UNFCCC.

Senegal. Jan 2016. Third National Communication under the UNFCCC.

Senegal, Country Programme Brief, 2 December 2016.

Senegal, Country Profile on GCF website. Available at <<https://www.greenclimate.fund/countries/-/country-profiles/senegal>>.

Senegal. Readiness Inception Document, submitted by the NDA to the GCF secretariat on 5 September 2016.

Senegal. MEDD, Rapport d’Evaluation des Projets Fonds Vert pour le Climat, Dakar 2018.

Senegal. Plan Senegal Emergent (PSE), Dakar, February 2014.

Senegal Country Programme 2018 - 2030, 1 July 2018.

Draft Country Programme, presentation by Prof. Boubakar Fall at the CP stakeholder workshop, Dakar, 17 July 2018.

Draft No Objection Procedure, presentation by Abdoulaye Seck at the CP stakeholder workshop, Dakar, 17 July 2018.

Readiness project proposals on all readiness projects in Senegal.

CSE – Manuel de Gestion du Cycle de Project, Dakar Novembre 2014.

## ANNEX E. SENEGAL RPSP ACTIVITIES (SEMINARS, TRAINING WORKSHOPS)

INTITULÉ DE L'ACTIVITÉ	NOMBRE DE JOURS	NOMBRE DE PARTICIPANTS	DATES
Session de formation sur la finance climatique afin de renforcer les capacités techniques des acteurs clés dans le cadre des procédures du FVC	1	50	Sep 2017
Session de formation sur la mobilisation des ressources financières liées au climat, prenant en compte les besoins spécifiques et les complémentarités entre secteurs public et privé , ONG	1	50	23, 24, et 25 avril 2018
Session de formation sur le développement de projets bancables, y compris la préparation de budget	1	50	
Session de formation sur les opportunités financières offertes par le FVC et les modalités d'accès	1	50	
Atelier national pour mettre en place un cadre institutionnel qui aidera l'AND dans ses tâches de coordination et de consultation des parties prenantes	1	60	
Atelier pour l'analyse des stratégies et politiques nationales liées au climat et au développement durable	1	60	Octobre 2017
Atelier de consultation avec les parties prenantes sur le projet de Document de programme-pays	1	60	10 et 19 avril 2018
Réunion interministérielle sur les politiques et le cadre d'investissements du FVC, en vue de créer des synergies et pour informer les ministères au plus haut niveau sur les objectifs et les activités du programme de préparation	1	60	
3 Forums Locaux	1	40	18-19 décembre 2017
	1	40	21-22 décembre 2018
	1	40	28-29 décembre 2017
Atelier de validation du programme pays	1	60	17 July 18
3 réunions en direction de l'AND pour la revue des propositions de projet et de l'état d'avancement de la formulation/développement de projets	1 matinée	30	Réunion 1: 9 septembre 2016
	1 matinée	30	Réunion 2: 29 août 2018

INTITULÉ DE L'ACTIVITÉ	NOMBRE DE JOURS	NOMBRE DE PARTICIPANTS	DATES
	1 matinée	30	Réunion 3: mercredi 18 avril 2018
4 Réunions de consultations sur le projet de Document Pays	1 matinée	30	10 avril 2018
	1 matinée	30	19 avril 2018
	1 matinée	30	
	1 matinée	30	
Organiser une réunion de Screening afin d'identifier une entité et de l'aider à préparer et à soumettre sa demande d'accréditation auprès du GCF avec le COMNACC			6 octobre 2018
Réunion consultants composante 1 / groupe Finance COMNACC pour la présentation des critères d'évaluation des projets			25 septembre 2017
Réunion avec les consultants sur la définition des critères de priorisation des projets du programme pays			31 janvier 2018
Réunion avec le Groupe thématique finance du COMNACC sur les critères de selection pour le programme pays			23 février 2018
La formalisation du système d'examen des propositions et de formulation de recommandations (non-objections) pour les projets à soumettre au GCF			Août - septembre 2018

# VANUATU CASE STUDY REPORT

## I. INTRODUCTION AND RELEVANT BACKGROUND INFORMATION

### A. The major climate risks facing the country

Vanuatu is an archipelago of over 80 islands located in the South Pacific, and is regarded a Small Island Developing State (SIDS). Considered a Least Developed Country (LDC) by the UN Economic and Social Council, it ranks 134 out of 188 countries and territories on the Human Development Index (HDI). The economy of Vanuatu is heavily dependent on agriculture (primarily subsistence farming), fishing, tourism and offshore financial services. Vanuatu is a relatively new country. It became independent in 1980 and achieved relative political stability only recently. The country lies in a global hotspot for high seismic and volcanic activity, and is also prone to periodic cyclones. With almost 64 per cent of the population exposed to natural disasters, the World Risk Index for 2012–2016 ranks Vanuatu as the world's highest risk country in terms of natural disasters. Indeed, in 2015 the category 5 (the most intense on the scale) Cyclone Pam created one of the worst natural disasters in the history of Vanuatu, as it wrought damage of close to USD 360.4 million across the Pacific region. Vanuatu is also highly vulnerable to the adverse effects of climate change, and ranked 41 on the Global Climate Risk Index of 2016.

### B. The institutional arrangements of Vanuatu for engaging with the GCF and RPSP

In Vanuatu, the national focal point for the United Nations Framework Convention on Climate Change (UNFCCC) and the National Designated Authority (NDA) for the Green Climate Fund (GCF) is the same person: the Director General of the Ministry for Climate Change Adaptation, Meteorology, Geo-Hazards, Environment, Energy and Disaster Management (MoCC). In this function, the NDA is supported by the National Advisory Board on Climate Change and Disaster Risk Reduction (NAB), which was set up by the Council of Ministers in 2012 to perform as the advisory body on climate change and natural disasters, and on climate finance. The NAB is co-chaired by the NDA and the Director of the National Disaster Management Office (NDMO).

Although there currently are no Direct Access Entities (DAEs) in Vanuatu, a number of development partners are active, many of whom are accredited and have acted as Delivery Partners (DPs) for Readiness. These include the Global Green Growth Institute (GGGI), the Secretariat of the Pacific Regional Environment Programme (SPREP), and Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ).

The Secretariat of the Pacific Community (SPC) and GIZ have implemented a programme called “Coping with Climate Change in the Pacific Island Region” (CCCPIR), which has supported Readiness activities in Vanuatu. Under the programme, GIZ provided long-term technical assistance to the NDA, and supported the development of the National Vulnerability Assessment Framework (VAF) and Standard Operating Procedures (SOP) for climate project appraisal to be used by the NAB. In addition to such Readiness activities prepared by other partners, Vanuatu has received three grants through the Readiness and Preparatory Support Programme (RPSP) of the GCF:

1. “Strengthening country capacity and engaging stakeholders in consultative processes” – to support the development of a country programme (CP) and strengthen the NDA, with GIZ as DP, approved in 2015;
2. “Readiness support for providing access to finance” – to provide support to develop a Funded Proposal, with SPREP as DP, approved in 2015; and
3. “Strengthen country capacity, engaging stakeholders in consultative processes and provide access to finance” – used primarily for studies to establish the National Green Energy Fund (NGEF) with GGGI as DP, approved in 2017.

Vanuatu is also the recipient of a GCF-Funded Project “Climate Information Services for Resilient Development Planning in Vanuatu (Van-CIS-RDP)”, with a budget of USD 21.8 million approved in December 2016, with SPREP as DP. Other proposals are being processed with the Project Preparation Facility (PPF):

1. “Enhancing Early Warning Systems to build greater resilience to hydro and meteorological hazards in Pacific SIDS” – a regional project with WMO as DP;
2. “Promotion of energy efficient appliances, lighting and equipment in Pacific Island Countries” – with UNEP as DP; and
3. “Designing Coastal and Marine Ecosystem Resilience Programme” – with UNEP and IUCN as DPs.

Other concept notes are under various stages of preparation. For instance, Vanuatu is considering whether to request seed funding for the NGEF through the Simplified Approval Process Pilot Scheme. Such concepts are being considered in-country and are not yet shared with the GCF.

### C. Existing country strategies, policies and programmes for addressing climate change

As a response to its high vulnerability, Vanuatu pays particular attention to climate change. It was one of the first countries to sign and ratify the UNFCCC in 1993, and has continued to build a climate policy framework. The Priority and Action Agenda (PAA) 2006-2015 of the Government of Vanuatu states a vision for “An Educated, Healthy and Wealthy Vanuatu”. The National Sustainable Development Plan (NSDP) of Vanuatu, also called the “Vanuatu 2030 The People’s Plan”, details a strategy to guide sustainable development in Vanuatu from 2016-2030. The NSDP articulates a national vision of “A stable, sustainable and prosperous Vanuatu”, built around three pillars: society, environment and economy. Vanuatu submitted the first Intended Nationally Determined Contribution (INDC) in September 2016. This aligns with the National Energy Road Map (NERM) target of 65 per cent renewable energy by 2020, and sets a target to transition to 100 per cent renewable energy in the electricity sector by 2030. The INDC does not set adaptation targets but reflects the priorities identified in the National Adaptation Programme of Action (NAPA) and National Climate Change and Disaster Risk Reduction (CCDRR) Policy 2015. Vanuatu established the MoCC in 2013 to streamline efforts on climate change, and it also houses the Vanuatu Meteorological and Geo-Hazards Department (VMGD) and the NDMO.

## D. Activities of other climate-related global funds in Vanuatu

Since the inception of the Global Environment Facility (GEF), Vanuatu has been the recipient of 49 projects with GEF grants totalling USD 208.15 million. Under GEF-6, the allocation for the climate change focal area was USD 3 million, and all of it was utilized. Under the Climate Investment Funds (CIF), Asian Development Bank (ADB) and World Bank have implemented the Energy Access Project (Small Hydropower Project) and two stages of the Rural Electrification Project, with budgets of approximately USD 7 million each. Under the Forest Carbon Partnership Facility (FCPF), “Capacity building and dissemination of the REDD+ strategies, consultation and empowerment at local community level and continuation of information sharing and early dialogue” is a USD 3.5 million project being implemented by the World Bank.

## II. RELEVANCE OF THE RPSP AND OF ITS MANDATE

Vanuatu is highly vulnerable to adverse effects of climate change and natural disasters, and there is a need for climate investment. Yet, there are limitations in its capacity to engage with climate finance broadly, and with GCF specifically. Vanuatu has nominated an NDA, who is the Director General of the MoCC. However, there are currently no DAEs in Vanuatu, although a Readiness request is being planned to support a Government institution for nomination. The relevance of the Readiness grants is to be assessed in light of this background.

First, the NDA and International Accredited Entities (AEs) have participated in the Pacific Structured Dialogue in Micronesia (2018) and Tonga (2017). The stakeholders also participated in the DAE workshops, where they held bilateral discussions with various GCF divisions. Participants reported immense value in these discussions, including exploring the possibility of the joint-accreditation of government departments. This allowed them to interface with the GCF and develop familiarity. These interactions brought more clarity about the funding windows of the GCF, and allowed Vanuatu to develop an internal pipeline of proposals and concepts.

Vanuatu has received three Readiness grants. The first of these was under the activity area of “strengthening country capacity and engaging stakeholders in consultative processes”, with GIZ as the DP, applied for and approved in 2015. This grant was used to supplement the ongoing activities of another SPC/GIZ readiness programme. The support provided by GIZ to the region is channelled through the SPC, using a programme titled “Coping with Climate Change in the Pacific Island Region” (CCCPIR). A component of this programme was focused on providing technical assistance to the NDA, which yielded the placement of a long-term technical adviser and other staff to support the NDA. This programme also supported Vanuatu in the establishment of the NAB. Supporting the CCCPIR, the RPSP grant had two work packages, one focused on NDA strengthening and the second on strategic engagement with GCF respectively. The RPSP grant was thus implemented in conjunction with the CCCPIR in an intertwined way.

With GIZ support, the NDA undertook a survey in 2017 related to Vanuatu priorities to draft a country programme on a preliminary basis, prepare the SOP and VAF to support the NAB, establish the no-objection procedure (NOP), engage with the private sector, and to engage on finance and Environmental and Social Safeguards (ESS). The RPSP support, although smaller than that

provided by the CCCPIR, is crucial and highly relevant as it supports the strengthening of the NDA and bolsters strategic engagement frameworks.

The second Readiness grant was implemented by SPREP to determine the Climate Information and Services (CIS) needs of policy developers, planners and decision makers in Vanuatu. Specifically, it was used to undertake three activities: consultations to identify CIS needs and capacity gaps; lessons learned from other CIS programmes in the region; and the designing of an assessment framework and baseline conditions for undertaking CIS application. The need for this aligns with high vulnerability of Vanuatu as evidenced by the outcomes of Cyclone Pam, and as articulated in the NAPA (2007), the Strategic Development Plan for Vanuatu Meteorological and Geo-Hazards Department, the Priorities Action Agenda and the Climate Change & Disaster Risk Reduction Policy. The information collected through the Readiness activities was directed towards the development of a Full GCF Funded Proposal: “Pacific Climate Adaptation Policy and Planning Support through Applied Climate Information Services” (Pac CLIM APPS). This project was approved in December 2016, contributing to the pipeline, as well as a stated policy emphasis.

The final Readiness support was a grant of USD 370,000, with GGGI as DP. This grant was used to support the establishment of the NGEF as approved by the Council of Ministers of Vanuatu in April 2016. The NGEF was identified as a priority area in the NERM, a strategy which focuses on the five key priorities: energy access, affordable energy, secure and reliable energy, sustainable energy, and green growth over 2016-2030. The establishment of the NGEF operationalizes the priorities identified in the INDC of Vanuatu. Readiness funding was used to undertake feasibility studies regarding the NGEF strategy and implementation priorities. The information collected with the Readiness support was then used for the design of the NGEF and its operationalization. In June 2018, the NGEF bill was approved by Parliament. The Readiness grant is, therefore, relevant to the mitigation priorities as it contributes directly.

### III. COHERENCE IN CLIMATE FINANCE DELIVERY

Vanuatu has a number of active development partners, many of whom have a regional presence, while several are present in the country as a whole. Many of the projects funded by GEF, CIF, and GCF are implemented by these partners, and some of the relevant partners include: WMO, World Bank, ADB, GIZ, UNDP, SPREP, FAO, UNEP and IUCN. Bilateral aid is primarily led by Australia and New Zealand. According to a SPREP report in 2015, there were 32 projects that were funded by external sources related to climate change, including projects implemented by UNEP at VMGD, CCCPIR (SPC-GIZ), mapping fisheries in the Pacific Island, FAO support to food security and agriculture in response to Cyclone Pam, a World Bank project aimed at increasing the resilience of Vanuatu residents, a LIDAR survey of Aneityum, and others.

Covering a similar time period (2010–2014), a report reviewing climate finance in the Pacific found that a total of USD 49.4 million in grant (or grant-equivalent) finance was allocated to Vanuatu for activities that principally targeted climate change objectives. An additional USD 148.6 million in Overseas Development Assistance (ODA) that targeted other objectives was reported as having co-benefits for climate change objectives (i.e. climate change was tagged as a ‘significant’ policy objective). Of the USD 49.4 million specifically targeting climate change objectives, 57.2 per cent (USD 28.2 million) supported mitigation activities, 39.9 per cent (USD 19.7 million) was for



adaptation, and 2.9 per cent (USD 1.4 million) targeted both objectives simultaneously. The largest single sources of climate finance for Vanuatu in the review period were the GEF (under both its Trust Fund and Least Developed Countries Fund), Australia, and the United Arab Emirates (UAE). The GEF concentrated mainly on “environmental policy”, while Australia’s support was spread across multiple sectors (and included a component of direct budget support) and the UAE focused on solar energy projects. Overall, the sectors that have received the largest allocations are environmental policy, renewables, and disaster prevention and preparedness.

With the establishment of the NAB and its subsidiary Climate Finance Working Group (CFWG), it was expected that climate activities in the country would achieve more coherence. However, one evident challenge remained before the CFWG in the identification of projects for screening. To illustrate, more recently China has emerged as a major development partner, providing support primarily on infrastructure projects and on the basis of requests directly from the Government. As the mandate of CFWG revolves around projects with an explicit focus on climate or environment related projects, such infrastructure projects are not necessarily screened by the NAB or CFWG. As a result, while coherence is expected to be achieved in climate action, it also faces challenges in the changing dynamic of the donor landscape.

An underlying factor of coherence is that all the Readiness grants were designed to support existing or future programmes. The grant for NDA strengthening was designed to closely work with the CCCPIR framework of ongoing long-term support, wherein it supported specific dimensions of the NDA strengthening and enhancing of strategic engagement frameworks. The Readiness grant accessed by SPREP to determine the CIS was successfully used for the development of a GCF Funded Project. The third grant was used to undertake studies for the establishment of the NGEF. In this way, Readiness has supported the enhancement of existing Government programmes or contributed to building future programmes.

## IV.EFFECTIVENESS OF THE RPSP AND OF ITS PROCESSES

### A. N1 Extent to which Readiness grants have enabled NDA/FPs to lead effective intra-governmental coordination mechanisms, including the establishment of the no-objection procedure

The assumption to test is that the first RPSP project for NDA/FP strengthening had led to effective intra-governmental coordination mechanisms and a no-objection procedure.

The answer is partially yes, attributed also to the other readiness activity in the country.

In 2012, the NAB was established with the support of the CCCPIR (SPC-GIZ), as a new institutional arrangement for the joint governance of climate change and disaster risk reduction. The NAB is co-chaired by the Director General of the MoCC, who is also the NDA of the GCF. Members of the NAB are senior-level representatives from key sectoral Government agencies, and non-governmental organization (NGO) representatives. The members are nominated by the Director General of the MoCC and appointed by NAB Co-Chairs. The NAB meets six times per year and can invite observers and visitors. Through the SPC-GIZ CCCPIR programme and the UNDP Pacific

Risk Resilience Programme, some salary support was provided for the Secretariat of the NAB (vacant during the evaluation visit).

The NAB has two key subsidiary bodies that support its function and provide guidance on the issuance of a letter of no-objection (NOL). The CFWG includes 15 members representing the MoCC, the Prime Minister's Office, and the ministries of finance, agriculture, infrastructure and public utilities, along with the National Trade Development Committee Secretariat, non-governmental organisations, development partners, and private sector partners. The CFWG was appointed to: provide strategic direction on climate finance-related matters for the Ministry of Climate Change Adaptation and the Government of Vanuatu; progress the National Implementing Entity (NIE)<sup>50</sup> Accreditation agenda to provide direct access to multilateral climate funds such as the GCF and the Adaptation Fund (AF); support the NAB as required to facilitate dialogue with partners on climate finance issues; and support the coordination, steering, and implementation of climate finance programmes and projects.

In addition, the NAB is supported by a Project Screening Committee (PSC). Its membership includes representatives from the PMO, and the departments of women's affairs, finance, environment, meteorology geo-hazards, local authorities, and the NAB Secretariat. The PSC is constituted to expedite project appraisal processes, by reviewing and making recommendations to the NAB, based on the priorities and needs of Vanuatu, on projects seeking Government endorsement. This is done through the SOP – a template that was developed based on the requirements of several development partners, that creates a coherent and standardized way in which information about the proposed projects is managed. The PSC, upon appraising projects based on the SOP and the priorities of the Government, advises the NDA. The NDA then issues the NOL.

The development of the SOP was supported by the RPSP via the SPC-GIZ CCCPIR programme. Further, this programme in partnership with SPREP and Griffith University's iCLIM project, supported the launch of a web-based platform<sup>51</sup> that provides access to climate finance information. Part of these activities were supported through the GCF RPSP grant implemented in 2016. Both the CCCPIR and RPSP grants were administered by the GIZ, in an intertwined way such that specific contributions are not distinguishable. Nonetheless, intra-governmental coordination mechanisms and a NOP have been established, in part supported by the RPSP.

## B. N2 Extent to which Readiness grants have enabled NDA/FPs to effectively engage stakeholders in consultative processes, including the preparation of coherent country programmes

The assumption is that Readiness grants have enabled NDA/FPs to effectively engage stakeholders in consultative processes and the preparation of a coherent country programme.

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<sup>50</sup> Direct Access Entities were alternatively called National Implementing Entities in Vanuatu.

<sup>51</sup> Available at <<http://www.nab.vu>>.

The answer is partly yes.

A readiness grant for NDA strengthening was proposed in 2015 and became effective in 2016, with GIZ as DP. This grant constituted two work packages, for NDA strengthening and the development of a strategic framework for engagement with the GCF. Under the second Work Package, a survey was launched in September 2017 to collect public opinion related to the GCF priorities of Vanuatu. This was collated into a preliminary draft of the country programme. In addition, the NDA has hosted two major climate finance forums, and ongoing one-on-one meetings and capacity development interventions with Government and non-government stakeholders. This component allowed the NDA to clarify the pipeline in project development and make it publicly available through the NAB portal.

A severe challenge in stakeholder engagement, however, has been the lack of capacity. While strong relations exist between the NDA and all the DPs, two challenges are evident. Firstly, the NDA is dependent on the DPs for the delivery of programming and engagement. Given the lack of DAEs (addressed below), the NDA was somewhat dependent on the good relationship with DPs for delivery of readiness and other support. Secondly, during the evaluation visit, the contracts of staff (supported by DPs) in the NDA secretariat had lapsed due to the unavailability of budgeted government funds, and the NDA secretariat consisted only of the Director General and the Executive Officer of the MoCC. With a mounting work load related to the GCF, aside from the regular work load, the NDA was seriously limited in capacity. Furthermore, some of the core NDA/NAB functions are supported by development partner staff, and are open to the vagaries of international careers and capacities.

### C. N3 Extent to which Readiness technical assistance has enabled nominated candidates to achieve accreditation as DAEs

The assumption is that Readiness assistance has enabled nominated candidates to achieve accreditation.

The answer is no.

Currently there are no DAEs in Vanuatu, although a Readiness request is being planned to support a Government entity towards nomination as a DAE. No Readiness support has been accessed for accreditation. Accreditation is seen as strongly desirable for a Government entity, so that GCF funds can be managed by an in-country DP. The Climate Finance Roadmap 2016-2020 places accreditation in its first priority area. The CCDRR Policy further emphasises finance and gaining direct access to the GCF through DAE accreditation. However, accreditation has been a very significant challenge. No national-level entity currently has the capacity to become a DAE under the GCF. This is primarily related to the lack of financial management capacity (as specified under the Financial Management Capacity Assessment [FMCA]), the ESS, or gender policy. However, at a recent GCF information-sharing event, some of the country representatives had an informal and bilateral discussion with the GCF and arrived at the conclusion that a consortium of ministries and departments led by the Ministry of Finance may meet some of the requirements for accreditation. This is based on the precedent set by Fiji where the Fiji Development Bank was able to achieve accreditation with another national agency.

A Vanuatu Climate Change Finance Review<sup>52</sup> was published in June 2018, a month prior to the evaluation visit. This report identifies the importance of accreditation for access to the AF and the GCF, and looks at the gaps solely from the lens of Public Financial Management (PFM) reform. This report identifies the following gaps needed to be overcome by the PFM System of the Government of Vanuatu: (i) a code of ethics; (ii) disclosure and conflict of interest policies; (iii) policies to deal with financial mismanagement and malpractice; (iv) an investigation function; and (v) actions to put in place anti-money laundering and anti-terrorist financing.

The civil society organizations (CSOs) and private sector stakeholders interviewed for this evaluation were also initially enthusiastic about GCF but were overcome with the challenge of accreditation. Indeed, a group of CSOs recalled working intensively on a proposal, that was delayed by the GCF on account of accreditation and other issues. It is expected that in the short and medium-term future, Vanuatu can access GCF finance only through international entities, many of whom do not have presence in the country. This further exposed the country to the vagaries of International AEs, wherein a priority project for the country may not necessarily suit the strategic priorities or interests of the International AE. As such, the lack of a DAE remains a challenge not addressed by RPSP, and a bottleneck in ownership and in access to GCF by Vanuatu.

#### D. N4 Extent to which information and experience-sharing events and processes have contributed to the ability of countries and DAEs to engage effectively with the GCF

The assumption is that the information-sharing events organized by the GCF Secretariat – primarily the regional structured dialogues and DAE workshops – have helped countries to engage effectively with the GCF.

The answer is likely yes.

Representatives from Vanuatu have participated in at least two Regional GCF Workshops, including Structured Dialogues in Micronesia (2018) and Tonga (2017). In addition, members of International AEs have also participated in DAE workshops (as in Songdo, Republic of Korea), where they held bilateral discussions with various divisions of the GCF. In addition to events organized through the RPSP, there have been a number of in-country events for the sharing of information and awareness. These include a Climate Finance Forum in late 2016, where climate finance directives and programmes were discussed, resulting in the formulation of the Climate Change Finance Roadmap and Action Plan for Vanuatu 2016-2020. Other events organized with full or partial support of the Readiness grant include: Public Forum on the Green Climate Fund (21 March 2017); Vanuatu Green Climate Fund Readiness Programme Summit (11–12 March 2017); GCF Readiness Programme workshop on Vulnerability Assessment Framework (30 November 2017); NAB Portal Training (30 January 2018); Private Sector Tradeshow on Climate Finance (5 April 2018).

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<sup>52</sup> Vanuatu Climate Change and Disaster Risk Finance Assessment: final report, prepared by the Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH, the Pacific Community, the Pacific Islands Forum Secretariat, and the United Nations Development Programme – Suva, Fiji: Pacific Islands Forum Secretariat, 2018.

Furthermore, a number of private sector-focused events have been organized, which have been jointly supported by the Readiness grant, as well as by DPs such as GGGI, UNDP and GIZ.

Attendance at information-sharing events has increased clarity about the GCF, both for national stakeholders and sectoral stakeholders. For instance, it was through attendance at GCF events that the understanding was developed related to the potential of consortium-based accreditation. Through the national level events, the private sector, CSOs and others have gained clarity and dispelled misconceptions, leading to more realistic expectations of the GCF.

#### **E. N5 Extent to which Readiness grants have enabled countries to develop National Adaptation Plans that build on existing country strategies and plans.**

The assumption is that the RPSP has enabled the development of a National Adaptation Plan (NAP).

The answer is no.

During interviews undertaken for this evaluation, it was reported that the preparation of the NAP was to be undertaken by UNEP, an International AE that does not have a national presence. This arrangement was agreed upon by the previous NDA and UNEP at the onset of the GCF and the RPSP. However, the previous incumbent was no longer in the position, and there was little institutional memory or recollection of the arrangement with UNEP. Providing evidence of the challenges of working with International AEs that do not have in-country presence, communication between the current NDA Secretariat and UNEP was not entirely clear, and as a result there was no progress on the development of a NAP.

#### **F. N6 Extent to which Readiness grants have enabled NDA/FPs and AEs to develop concept notes and/or project proposals to access climate finance that address high-impact priorities identified in country programmes.**

The assumption is that Readiness funds have enabled the NDA/FP and the DAE to develop concept notes and/or project proposals to access climate finance that address high-impact priorities.

The answer is partly yes.

One Readiness grant was directly used for the development of a proposal that became a GCF Funded Project. A Readiness grant under the area of Pipeline Development was approved in 2016 with a budget of USD 137,316, and with SPREP as DP. This grant was specifically designed to undertake the following activities:

- Targeted in-country consultation with key stakeholders to identify CIS needs and associated capacity gaps.
- Analysis of lessons learned from CIS-related programs/projects in the western Pacific.
- Design of an assessment framework and baseline conditions for undertaking CIS socio-economic Cost-Benefit Analysis as well as monitoring and evaluation (M&E).

The results of these activities contributed to the development of a full GCF proposal entitled: “Pacific Climate Adaptation Policy and Planning Support through Applied Climate Information Services” (Pac CLIM APPS). The USD 21.8 million project was approved in December 2016 and is the only fully funded GCF Funded Project in Vanuatu. The project aims to expand the use of CIS in five sectors: tourism, agriculture, infrastructure, water management and fisheries. Further, a few project ideas have been identified through the preliminary survey and discussion on the country programme.

#### G. N7 Extent to which private sector engagement in country consultative processes has helped improve the enabling environment for crowding-in private sector investments.

The assumption is that the involvement of the private sector in consultations has helped to improve the conditions for crowding-in private sector investments.

The answer is not yet.

Partially through the Readiness grant, the NDA and development partners in Vanuatu had undertaken at least two events to engage with the private sector. In April 2018, the Readiness partners, the NDA and the Vanuatu Business Resilience Committee (VBRC) organized a Private Sector Climate Finance Tradeshow. The VBRC is a committee of the Vanuatu Chamber of Commerce and Industry (VCCI), and an initiative of several business networks and entities coming together – one of two such committees in the region along with Fiji. The VBRC was specifically formed to support businesses to build resilience and promote collaboration with other actors. The objectives of the tradeshow included showcasing the private sector’s potential, building a relationship between the private sector and the DPs, sharing experience between the Government and the private sector, and developing new ideas.

In another initiative supported through the RPSP, the GGGI supported the Government in its setting up of the NGEF. The NGEF supports small businesses – that are interested in setting up solar energy and energy efficiency businesses – to take loans and create them. This aligns with the National Energy Roadmap and will also meet the needs of the private sector.

However, there remain many challenges in achieving the meaningful engagement of the private sector in Vanuatu. The private sector actors that are currently the focus of engagement are generally small businesses and enterprises. The report of the tradeshow eloquently identifies barriers to private sector engagement in climate finance, some of which are quoted below:

- Private Sector has low technical climate skills, misunderstanding of language, climate finance illiteracy and low understanding of climate vulnerability issues;
- There is much perceived red tape, bureaucracy, time delays from concept development to funding disbursement;
- AEs are not adequately engaging with the private sector prior to submitting projects for funding;
- Lack of capacity to write proposals and the difficulty of private sector actors with donor application forms; and



- The current scale of climate finance does not match private sector requirements/ability to absorb/scalability.

Without meeting some of these challenges, there remains a mismatch of scale, time, and capacity between the private sector and GCF.

## V. COUNTRY OWNERSHIP

In undertaking this case study, the following framework of country ownership has been used:

- (i) The NDA is established and functional;
- (ii) Stakeholder consultations are being organized by the NDA;
- (iii) A no-objection procedure has been established, although not yet completed;
- (iv) A country programme has been developed and agreed upon with the major stakeholders;
- (v) A DAE has been accredited; and
- (vi) One or more Funded Project proposals have been submitted to (and approved by) the GCF.

Of these, the first three have been achieved. The NDA has been established in the MoCC; there are stakeholder consultations, and a NOP has been established. However, there are limitations in all the results.

(i) The NDA is supported in the function by long-term staff placed by the GIZ. However, during the evaluation visit, the staff contracts that were planned to be taken over by the Government had concluded, and the positions had been recently vacated. Recruitment of staff is not a Readiness activity under the GCF, therefore RPSP support could not be used to support positions for the NAB Secretariat. This highlights a serious limitation of the RPSP in meeting the Readiness needs, where a serious challenge was capacity. Without any staff support, it was up to the NDA to undertake all day-to-day responsibilities related to GCF, among his other duties. With extensive responsibilities on all fronts, the capacity (or lack thereof) of the NDA was a challenge. Furthermore, the NDA has been established in a relatively new ministry, and the incumbents have been appreciated. Yet, as the full scale and potential of GCF is realized, this arrangement may become precarious and it may be possible that the NDA is shifted to another Government agency with more clout, capacity or centralized authority.

(ii) Stakeholder consultations are organized through the NAB, and CFWG/PSC. These committees represent the diversity of Government and non-government stakeholders in Vanuatu. Indeed, the VBRC and the Vanuatu Climate Action Network (VCAN) of civil society partners enjoy member and observer status at some platforms, and this demonstrates the extent of inclusion. Yet, Vanuatu is an archipelago of more than 80 islands, many languages and many indigenous communities. Although national consultations are well organized, the extent of regional, community, and other levels of consultation is not assessed by this evaluation. There are several challenges in organizing detailed consultations, including the distances and prohibitive cost of transport between islands.

(iii) The NOP has been established in a way that the CFWG and PSC review full concept notes. However, this detailed review of proposals is undertaken at the country level, without pre-emptive engagement with the GCF. This process can have three challenges. Firstly, the time and resources spent on a concept note/proposal is increased when reviews by NDAs and GCF are done sequentially and not in parallel. Secondly, there remains the possibility that a proposal that obtains a

NOL by the NDA will not be supported by the GCF. In the case of Vanuatu, the NOL is more than just that; it can rather be regarded as a statement of consensus-based support and national priority. Lastly and importantly, the NAB and the CFWG screen projects with an explicit climate focus. Other projects, including large infrastructure projects, may entirely bypass the screening of the NAB although they may have significant climate impacts. This underlines a limitation of the current national procedures.

On factor (iv), limited progress has been made, as described in Section 4. Factor (v) on accreditation is also described in Section 4, but it should be reiterated that this remains a serious limitation in the ownership of Vanuatu of its engagement with the GCF. Lastly, factor (vi) is achieved in that a GCF Funded Project is approved. However, this is being implemented by an international DP.

Overall, this evaluation found a lot of interest in the GCF and climate finance. Cyclone Pam is a vivid and relatively recent memory. Vanuatu has also demonstrated the leadership to draft and enact diverse policies on its vision related to climate adaptation and mitigation. As Vanuatu moves towards relative political stability, there is an opportunity to increase coordinated climate action and a country-owned climate programme. However, with serious issues in capacity at the NDA and DAEs (or lack thereof), a fully country-owned programme is not completely realized.

## VI. UNEXPECTED RESULTS

No unexpected results were found through this case study.

## VII. CROSS-CUTTING ISSUES – GENDER EQUITY AND INCLUSIVENESS

Vanuatu is a traditionally male-dominated society, with a rank of 134 out of 188 on the Gender Development Index of the UNDP<sup>53</sup>. According to this report, women have fewer expected years of schooling and lower estimated gross national income per capita than men. Women are more involved in the subsistence economy, and are therefore, more vulnerable to the effects of climate change and disaster.

However, some signs of progress are also evident. According to the Pacific Leaders' Gender Equality Declaration Report 2016, the share of women in senior management in the public sector increased to 3.4 per cent in 2016 compared to 0.3 per cent in 2010. In 2013, the Parliament passed the Vanuatu Municipalities (Amendment) Act No. 11 of 2013, providing for reserved seats for women in the municipal councils. Vanuatu 2030 NSDP regards gender and equitable development as cutting across its three pillars: Society, Environment and Economy. The Government also articulated the National Gender Equality Policy 2015–2019 with a mission to “promote equal rights, opportunities and responsibilities amongst men and women and eliminate all forms of discrimination and violence against women and girls”. Gender is also highly elevated in the CCDRR Policy, and Vanuatu led the gender platform negotiations at UNFCCC with the Mary J. Robinson Foundation.

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<sup>53</sup> <http://hdr.undp.org/en/composite/GDI>



Operationally, projects seeking external funding, through climate finance or more broadly, are required to report on gender. The Department of Strategic Policy, Planning and Aid Coordination (DSPPAC) of the Prime Minister's Office (PMO) registers all development projects, and its reporting template requires information on beneficiaries, specifically women and vulnerable groups. In parallel, climate finance projects are screened at the NAB. The SOP, developed for project screening at the NAB, require project proponents to report on considerations of gender, disability, indigenous concerns, women, youth, children and vulnerable groups, beneficiaries, overall use of gender and social inclusion considerations.

## VIII. INNOVATIVENESS AND POTENTIAL FOR PARADIGM SHIFT

In the case of Vanuatu, two Readiness grants have resulted in projects with the potential to contribute to a paradigm shift towards low-emission and climate-resilient development pathways. First, by consolidating internal and external funds, and attracting co-finance, the NGEF is focusing on energy access and energy efficiency. It is currently seeking a seed funding portfolio of USD 15 million. The establishment of NGEF is likely to contribute to the goals of the Vanuatu INDC and Vanuatu National Energy Roadmap (2013- 2020), and shift Vanuatu towards a positive direction. Another readiness grant contributed to the development of a GCF Funded Project, "Climate Information Services for Resilient Development in Vanuatu". This project is designed to use science to prepare the policymakers and public in Vanuatu for changing climate, thereby contributing to adaptation activities in the country. The third Readiness grant has contributed to institutional capacity, with less tangible results but with equal potential impact.

There is the perception of a missed opportunity herein. The current focus of the RPSP, and GCF broadly, has been on projects that are relatively large in scale compared to some of the local ideas and needs. For instance, the private sector and CSOs currently engaging with climate finance in Vanuatu present innovative solutions – crossbreeding of livestock, for example – at scales which are much smaller than the smaller GCF projects of USD 10-50 million. During consultations for this evaluation, such small-scale innovators felt side-lined by the GCF procedures.

## IX. LIKELIHOOD OF SUSTAINED IMPACT OF THE RPSP

The impacts of the RPSP activities are likely to be sustained. Two Readiness grants have directly resulted in tangible results – a Funded Project and the establishment of the NGEF. The other Readiness grant has resulted in the establishment of the NOP and other means of NDA strengthening. These have contributed to the strength of institutions and are likely to be sustainable in the prevailing political stability and continued leadership.

## X. POTENTIAL FOR BUILDING SCALE

Two of three Readiness grants have contributed to projects directly, both with potential for replication. The NGEF was established with the support of a Readiness grant in 2017. The NGEF supports energy access and energy efficiency through small loans at the community level. This is designed as a revolving fund to attract domestic and external funds, in turn providing loans to customers through intermediaries. In this way, the NGEF will leverage current energy funds to attract larger funds from the development partners. The activities will be targeted at improving

energy access, efficiency and use of renewable energy. In order to contribute to the seed funding portfolio of USD 15 million, the GGGI and NDA are considering a proposal to the GCF under the Simplified Approval Process window.

Yet another Readiness grant contributed to the development of GCF Funded Project, “Climate Information Services for Resilient Development in Vanuatu”, with SPREP as DP. With GCF support, the project will contribute to a sophisticated understanding of climate patterns and provide the right data for adaptation planning and policy implementation. This is a four-year project of USD 21.8 million, with 17 per cent co-financing through the Government of Vanuatu and the DPs. Interestingly, the project will correct the scale of information; where Vanuatu has relied on global-scale models for extreme weather events, this project will provide more precise information.

## XI. EFFICIENCY OF RPSP PROCESSES

There are mixed lessons on the efficiency of the RPSP process in Vanuatu. The stakeholders interviewed were highly appreciative of the individual staff – including the RA of the GCF – as she was able to understand the country and regional context, and provide feedback accordingly. In other evidence of developing efficiency, the SOP developed as part of the Readiness grant on NDA strengthening, has streamlined the process for screening projects at the NAB and CFWG. This SOP is also aligned with climate finance partners broadly, not only with the GCF, and is therefore a tool that lends efficiency to the screening process. Finally, the establishment of the CFWG provides efficiency to the process of review, which is to be undertaken under the aegis of the NAB.

Challenges of efficiency are several. At the country-level, the NOP has been set up in a way that proposals are screened and approved by the NAB prior to communication with the GCF. This may result in inefficiencies if the approved proposal is not accepted by the GCF. The GCF procedures, in addition, are regarded as extremely lengthy. According to the data available to this evaluation, the number of days for three Readiness grants to go from submission to disbursements were: 187, 534 and 220 days, where the average grant size was less than USD 270,000. In addition to the time, the complexity of the GCF procedures was regarded as overwhelming by many of the interested stakeholders, and a roadblock in accessing the Fund. The capacities among various agencies are typically low. This also relates to the challenge of accreditation. While there is strong interest and inclination in Vanuatu to have an accredited DAE, accreditation is regarded as unlikely because of the complexities and rigour. No single agency in Vanuatu has the capacity to be accredited on its own, and this may be a serious bottleneck in the RPSP setup for Vanuatu.

## ANNEX A. TIMELINE OF THE KEY EVENTS OF THE GREEN CLIMATE FUND AND THE READINESS AND PREPARATORY SUPPORT PROGRAMME, AND RELATED EVENTS IN VANUATU

YEAR	GREEN CLIMATE FUND	READINESS AND PREPARATORY SUPPORT PROGRAMME	RELATED EVENTS IN VANUATU
2010	(December) The Sixteenth Session of the United Nations Framework Convention on Climate Change in Cancun, Mexico (COP 16) decides to establish a Green Climate Fund (GCF), to be designated as an operating entity of the financial mechanism of the Convention under Article 11.		
2011	(December) COP 17 in Durban, South Africa, adopts the Governing Instrument of the Green Climate Fund.		.
2012	(October) Board selects the Republic of Korea to host the Fund Secretariat.		National Advisory Board on Climate Change and Disaster Risk Reduction (NAB) established.
2013	<p>(June) The Board selects H��la Cheikhrouhou as the first Executive Director of the GCF Secretariat.</p> <p>(June) The Board requests the Secretariat to issue an invitation to developing countries to nominate a Nationally Designated Authority (NDA).</p> <p>(October) The Board agrees on a roadmap to mobilize resources.</p>	<p>(March) The Board adopts modalities for Readiness support and decides to explore options for making short-term progress on Readiness, including the initiation of work on operationalizing a Readiness phase.</p> <p>(October) Board decides that the Fund will provide Readiness and preparatory support to:</p> <ul style="list-style-type: none"> <li>• Enable preparation of country programmes;</li> <li>• Strengthen in-country, Fund-related institutional capacities; and</li> <li>• Enable implementing entities to meet the fiduciary standards of the GCF and its environmental and social safeguards.</li> </ul>	<p>Government establishes a dedicated Ministry of Climate Change Adaptation, Meteorology and Geo-hazards, Energy, Environment and Disaster Management.</p> <p>Government requests UNDP to undertake a Climate Public Expenditure and Institutional Review (CPEIR).</p>
2014	<p>(October) The Board decides only to consider funding proposals that are submitted with a formal letter of “no objection”, to ensure consistency with national climate strategies and plans and country-driven approaches.</p> <p>(November) The GCF Secretariat opens its online accreditation system for</p>	<p>(February) The Board conceptualizes a detailed work programme on Readiness, including four priority activities:</p> <ul style="list-style-type: none"> <li>• Establishment of NDAs/focal points;</li> <li>• Strategic frameworks, including the preparation of country programmes;</li> <li>• Selection of implementing entities; and</li> </ul>	<p>Vanuatu National Energy Roadmap (2013-2020) adopted.</p> <p>CPEIR report finalized and adopted.</p>

YEAR	GREEN CLIMATE FUND	READINESS AND PREPARATORY SUPPORT PROGRAMME	RELATED EVENTS IN VANUATU
	national and international entities.	<ul style="list-style-type: none"> <li>• Initial pipelines of programme and project proposals.</li> <li>• (October) The Board decides:</li> <li>• That all developing countries will have access to Readiness support with at least 50 per cent of Readiness support allocated to particularly vulnerable countries, including SIDS, LDCs and African states;</li> <li>• That Readiness commitments will be limited to USD 1 million per country per calendar year, including up to USD 300,000 to help establish an NDA/focal point; and</li> <li>• To allocate USD 15 million for the Readiness Programme, and an additional USD 14 million after receipt of the next semi-annual report.</li> </ul>	
2015	<p>(March) The Board approves the first Accredited Entities (AEs).</p> <p>(November) The Board approves the first eight investment projects before the Paris Climate Summit.</p> <p>(November) COP 21 in Paris passes the landmark international climate agreement, with the GCF as the dedicated operating entity of its financial mechanism.</p>	<p>(February) The GCF Secretariat issues the first version of the RPSP proposal template.</p> <p>(May) The GCF Secretariat issues second version of the RPSP proposal template.</p>	<p>(September) Intended Nationally Determined Contribution (INDC) submission.</p> <p>(November) GCF Grant Agreement.</p> <p>National Climate Change and Disaster Risk Reduction Policy 2016-2030 formulated.</p>
2016	<p>(March) The Board adopts its Strategic Plan, which links the GCF to the Paris Agreement, and reconfirms the importance of the GCF RPSP.</p> <p>(October) The Board selects Howard Bamsey as the second Executive Director of the GCF Secretariat.</p>	<p>(June) The Board decides to defer the independent evaluation of the Readiness Programme to 2017.</p> <p>(June) The Board adopts a revised indicative list of activities that the Readiness Programme can support:</p> <ul style="list-style-type: none"> <li>• Establishing and strengthening NDAs/focal points;</li> <li>• Strategic frameworks, including the preparation of country programmes;</li> <li>• Support for accreditation and accredited DAEs;</li> <li>• Information-sharing, experience exchange and learning; and</li> <li>• Formulation of national adaptation plans and/or other adaptation planning processes.</li> </ul> <p>(28 July) The GCF Secretariat issues the third version of the RPSP</p>	<p>National Sustainable Development Plan formulated.</p> <p>Vanuatu Second National Communication submitted.</p> <p>Readiness project Climate Information Services for Resilient Development in Vanuatu (Van CIS RDP) approved at B.15.</p> <p>Vanuatu Climate Change and Disaster Risk Reduction (CCDRR) Policy officially launched.</p> <p>Vanuatu Ratifies the Paris Agreement.</p> <p>Government's NAB sets up a Climate Finance Working Group.</p> <p>National Climate Finance Forum held.</p>

YEAR	GREEN CLIMATE FUND	READINESS AND PREPARATORY SUPPORT PROGRAMME	RELATED EVENTS IN VANUATU
		<p>proposal template, including a logframe of intended outcomes.</p> <p>(December) The Board decides to allocate an additional USD 50 million for the RPSP.</p>	
2017		<p>(16 June) The GCF Secretariat issues the fourth version of the RPSP proposal template.</p> <p>(July) The Board invites the Independent Evaluation Unit (IEU) to undertake an independent evaluation of the RPSP.</p>	<p>(January) GCF Readiness Programme workshop on Vulnerability Assessment Framework.</p> <p>(March) Public Forum on the Green Climate Fund.</p> <p>(September) Climate Information Services for Resilient Development in Vanuatu (Van CIS RDP) - Full Proposal and NOL submitted 18 September.</p> <p>(October) first FFA signed with a Pacific islands direct access Accredited Entity SPREP.</p> <p>(November) Vanuatu Green Climate Fund Readiness Programme Summit.</p> <p>(November) GCF Readiness Programme workshop on SOP for Project Appraisal.</p> <p>(December) Government of Vanuatu ratifies the Doha Amendment.</p>
2018		<p>(February–March) The Board:</p> <ul style="list-style-type: none"> <li>• Takes note of the findings of the initial review by the Secretariat of the RPSP (Dalberg Report);</li> <li>• Approves an additional USD 60 million for the RPSP; and</li> <li>• Approves the terms of reference for the independent evaluation of the RPSP.</li> </ul>	<p>(January) NAB Portal Training.</p> <p>(April) Private Sector Climate Finance Tradeshow.</p> <p>(June) National Green Energy Fund Bill approved by Parliament.</p>

## ANNEX B. VANUATU: PORTFOLIO OF GCF, GEF, CIF, AND FCPF ACTIVITIES

ID NUMBER	GCF RPSP PROPOSAL	ACTIVITY AREA(S)	STATUS	APPROVAL DATE	FIRST DISBURSEMENT DATE	DURATION	IMPLEMENTING ENTITY	INSTRUMENT	COMMITMENT AMOUNT IN USD	DISBURSED AMOUNT IN USD
1706-14713	Readiness Support for the Development of the Vanuatu National Green Energy Fund	Strengthen country capacity, engaging stakeholders in consultative processes and providing access to finance		16 March 2017	19 June 2017	7 months	GGGI	RPSP Grant	370,000	370,000
1705-14624	Establishing and strengthening National Designated Authorities (NDAs) or Focal Points (FPs); Strategic frameworks for engagement with the GCF, including the preparation of country programmes	Strengthening country capacity and engaging stakeholders in consultative processes		11 September 2015	4 May 2016	24 months	GIZ	RPSP Grant	300,000	305,469
1705-14653		Readiness support for providing access to finance		16 March 2016	27 May 2016	5 months	SPREP	RPSP Grant	137,316	132,947
ID Number	GCF Funded Project		Status	Approval date		Duration	Implementing Entity	Instrument	Committed amount in USD	Disbursed amount in USD
FP035	Climate Information Services for Resilient Development Planning in Vanuatu (Van-CIS-RDP)		Active	December 2016		4 years	SPREP		22,950,000	300,000

ID NUMBER	GCF RPSP PROPOSAL	ACTIVITY AREA(S)	STATUS	APPROVAL DATE	FIRST DISBURSEMENT DATE	DURATION	IMPLEMENTING ENTITY	INSTRUMENT	COMMITMENT AMOUNT IN USD	DISBURSED AMOUNT IN USD
PPF002	Enhancing Early Warning Systems to build greater resilience to hydro and meteorological hazards in Pacific Small Island Developing States (SIDS)		Active			5 months	WMO			
PPF	Promotion of energy efficient appliances, lighting and equipment in Pacific Island Countries		Active			18 months	UNEP			
PPF	Design Coastal and Marine Ecosystem Resilience Programme		Active			18 months	IUCN, SPREP			

ID NUMBER	GLOBAL ENVIRONMENT FACILITY	FOCAL AREAS	STATUS	APPROVAL DATE	AGENCIES	TYPE	GEF GRANT IN USD	CO-FINANCING IN USD
3641	PAS: Promoting Energy Efficiency in the Pacific	Climate change	Project approved	12 November 2009	ADB	FP	1,050,909	6,917,000
3641	PAS: Promoting Energy Efficiency in the Pacific	Climate change	Project approved	1 March 2010	ADB	PPG	50,000	6,917,000
4089	PAS: Energizing the Pacific Regional Project	Climate change	Cancelled	12 November 2009	World Bank	FP	990,000	24,000,000
4281	PAS: Geothermal Power and Electricity Sector Development Project	Climate Change	Cancelled	16 June 2010	World Bank	MSP	909,091	28,210,000
	Climate Investment Fund	Sector	Theme	Approval date	MDB		CIF Grant in USD	

ID NUMBER	GLOBAL ENVIRONMENT FACILITY	FOCAL AREAS	STATUS	APPROVAL DATE	AGENCIES	TYPE	GEF GRANT IN USD	CO-FINANCING IN USD
XSREVU040 A	Rural Electrification Projects	Public Sector	Renewable energy	24 February 2017	IBRD		6,770,000	
XSREVU041 A	Energy Access Project (Small Hydropower Project)	Public Sector	Renewable energy	24 November 2015	ADB		7,000,000	
	Forest Carbon Partnership Facility (FCPF)	Activity area		Submission date	Delivery Partner		Committed amount in USD	
		Capacity building and dissemination of the REDD+ strategies, consultation and empowerment at local community level, and continuation of information sharing and early dialogue		26 February 2013	World Bank		3,590,000	



## ANNEX C. PERSONS CONSULTED IN PORT VILA, 16-20 JULY 2018

NAME	POSITION	ORGANIZATION	DATE
Henry Vira Dennis Berger Nikita Solzer	National Coordinator Development Worker Aid Coordination Officer for DSPPA	GIZ GIZ Department of Strategic Policy, Planning and Aid Coordination	16 July
Jesse Benjamin	Director General	Ministry of Climate Change Adaptation, Meteorology, Geo-Hazards, Environment, Energy and Disaster Management	16 July
Malcolm Dalesa	National Programme Manager – Vanuatu Pacific Risk Resilience Programme (PRRP), and Co-Chair	United Nations Development Programme Climate Finance Working Group, National Advisory Board on Climate Change and Disaster Risk Reduction	16 July
Wycliff Bakeo Malcolm Dalesa Mike Waiwai Tony Kaltong Willy Missack Chester Takau Christopher Bartlett	DSPPAC, Co-chair Pacific Risk Resilience Programme, Co-chair MOCC CEO, Acting NAB Secretariat Manager Ministry of Finance and Economic Management, CFWG member Vanuatu Climate Adaptation Network/ Vanuatu Humanitarian Team Coordinator, CFWG member MoCC Finance Manager, CFWG member GIZ/CFWG Donor Partner representative	Climate Finance Working Group	17 July
Henry Vira Dennis Berger Nikita Solzer Christopher Bartlett	National Coordinator Development Worker Sector Analyst Technical Adviser	GIZ GIZ GIZ/DSPPAC GIZ	17 July
Paul Kaun Chris Simelum	Green Investment Officer Programme Officer	Global Green Growth Institute	17 July
Jo Jones David Loubser  Sunny Seuseu	Project Manager / Vanuatu Country Manager (PEBACC Programme) National Director Climate Science Officer	SPREP	18 July
Georgia Tracy	Country Lead	Save the Children	18 July

NAME	POSITION	ORGANIZATION	DATE
Sharon Alder Michael Wolfe Willy Missack Christopher Bartlet	Program Director Country Director Climate Change Advocacy Coordinator, Programme Lead	Care International Vanuatu World Vision Vanuatu Vanuatu Climate Action Network and Vanuatu Humanitarian Team GIZ Vanuatu	
Astrid Boulekone Carolyn Ernst Mereana Mills Glen Craig	General Manager Partner Solution Seeker Director	Vanuatu Chamber of Commerce & Industry Eden on the River Business Resilience Committee Pam Advisory	18 July
Wycliff Bakeo	Co-Chair	DSPPAC, CFWG	19 July
Dave Loubser Paul Kaun Chris Simelum Christopher Bartlett Nikita Solzer	National Director Green Investment Officer Programme Officer Technical Adviser Sector Analyst	SPREP Global Green Growth Institute Global Green Growth Institute GIZ/DSPPAC	20 July
Wycliff Bakeo Malcolm Dalesa	CFWG Co-chair CFWG Co-chair and Project Manager	PMO/ DSPPAC UNDP	20 July

## ANNEX D. DOCUMENTS CONSULTED FOR VANUATU COUNTRY REPORT

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