



**GREEN
CLIMATE
FUND**



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United Nations Development Programme

GCF Readiness Programme Support/ Initiation Plan

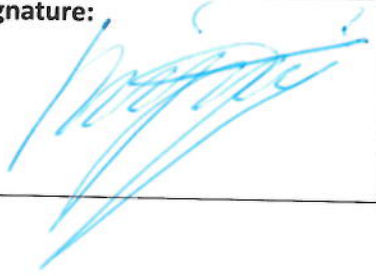
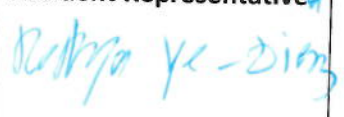
Project title: Strengthening national capacities to access climate finance through enhanced country strategies and stakeholder engagement in Ghana	
Country: Ghana	
Management Arrangements: DIM	Implementing Partner: UNDP
UNDAF Outcome: <u>Outcome 5</u> : Environmental governance at national and local levels is effective, efficient and coherent	
UNDP Strategic Plan Output: <u>Output 1.4</u> : Scaled up action on climate change adaptation and mitigation cross sectors which is funded and implemented	
UNDP Gender Marker: 1	
Atlas Award ID number: 00106356	Atlas Output ID number: 00107131
UNDP-GEF PIMS ID number: 6149	
Planned start date: 1 July 2019	Planned end date: 30 June 2021
Brief project description:	
<p>The general objective of this project is the strengthening of Ghana’s institutional capacities to access and engage with the Green Climate Fund. This support will focus on:</p> <ol style="list-style-type: none"> 1) strengthening NDA capacity: by setting up inter-agency decision-making (especially on no-objection) and coordination mechanisms to enhance access, tracking and reporting on climate finance, 2) supporting direct access: by identifying and supporting accreditation processes for candidate DAEs; 3) supporting access to finance: by prioritizing, selecting, supporting development of funding proposals; 4) engaging private sector: through stakeholder awareness and targeted training for potential climate action financiers in the private sector. <p>Building on the results and lessons of this first phase of GCF readiness, Ghana’s NDA is requesting additional funds from the GCF to maximize the uptake at national and sub-national levels. The readiness support programme will include activities to:</p> <ol style="list-style-type: none"> a) enhance NDA’s capacity by strengthening transparent decision-making process in furtherance of country programming and institutionalizing role in climate finance monitoring, reporting and verification; b) develop partnership strategy to guide engagement with accredited and partner entities on access to climate-related finance; c) assist Ghana in developing a gender-responsive country programme including climate change adaptation and mitigation actions aligned with agreed national priorities, and 	

d) build on initial engagements with private sector (both in Ghana and internationally) and other stakeholder engagement to ensure their productive and effective participation in climate financing.

FINANCING PLAN

GCF grant	USD 469,972
Total Budget administered by UNDP	USD 469,972 (without fees)

SIGNATURES

Signature: 	Agreed by UNDP Resident Representative: 	Date/Month/Year: 4/07/2019
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READINESS AND PREPARATORY SUPPORT
PROPOSAL TEMPLATE

SECTION 1: SUMMARY	
1. Country submitting the proposal	<p>Country name: Republic of Ghana</p> <p>Name of institution representing National Designated Authority (NDA) or Focal Point: Ministry of Finance,</p> <p>Name of NDA/Focal Point: Dr. Alhassan Iddrisu Position: Director of the Real Sector Division, Ministry of Finance.</p> <p>Telephone: +233 20203 0365 Email: Aiddrisu@mofep.gov.gh</p> <p>Full office address: P.O. Box MB 40 Ministries, Accra, Ghana</p>
2. Date of initial submission	25/09/2017
3. Last date of resubmission (if applicable)	10/05/2018
4. Which entity will implement the Readiness and Preparatory Support project? (Provide the contact information if entity is different from NDA/focal point)	<p><input type="checkbox"/> National Designated Authority <input type="checkbox"/> Delivery partner <input checked="" type="checkbox"/> AE</p> <p>Name of institution: UNDP - Ghana</p> <p>Name of official: Rokya Ye Dieng Position: Deputy Resident Representative (Operations) and Officer in Charge</p> <p>Telephone: 233 556760184/ +233 302 215670-83 Ext. 5698 Email: rokya.dieng@undp.org</p> <p>Full Office address: UN House No. 27 Ring Road East, Near Fire Service Headquarters P.O. Box GP 1423 Accra</p>
5. Title of the Readiness and Preparatory Support Proposal	Strengthening national capacities to access climate finance through enhanced country strategies and stakeholder engagement in Ghana
6. Type of Readiness support sought	<p>Please select one option below (one box or circle)</p> <p><input checked="" type="checkbox"/> Readiness</p> <ul style="list-style-type: none"> <input type="radio"/> Strengthening national designated authorities or focal points <input type="radio"/> Strategic frameworks, including the preparation of country programmes <input type="radio"/> Support for accreditation and accredited direct access entities <p><input type="checkbox"/> Adaptation Planning</p>



<p>7. Brief summary of the request (200 words)</p>	<p>In Ghana, the Ministry of Environment, Science Technology and Innovation (MESTI) and the Ministry of Finance's (MoF) Real Sector Division (NDA), received readiness support from 2015 – 2018 from the UN Environment/ UNDP/ WRI GCF Readiness Programme through the Federal Ministry of the Environment, Nature Conservation and Nuclear Safety (BMU). This is support focused on:</p> <ul style="list-style-type: none"> • strengthening NDA capacity: by setting up inter-agency decision-making (especially on no-objection) and coordination mechanisms to enhance access, tracking and reporting on climate finance; • supporting direct access: by identifying and supporting accreditation processes for candidate DAEs; • supporting access to finance: by prioritizing, selecting, supporting development of funding proposals; • engaging private sector: through stakeholder awareness and targeted training for potential climate action financiers in the private sector. <p>Building on the results and lessons of this first phase of GCF readiness, the NDA is requesting additional funds from the GCF to maximize the uptake at national and sub-national levels. The readiness support programme will include activities to:</p> <ul style="list-style-type: none"> e) enhance NDA's capacity by strengthening transparent decision-making process in furtherance of country programming and institutionalizing role in climate finance monitoring, reporting and verification; f) develop partnership strategy to guide engagement with accredited and partner entities on access to climate-related finance; g) assist Ghana in developing a gender-responsive country programme including climate change adaptation and mitigation actions aligned with agreed national priorities, and h) build on initial engagements with private sector (both in Ghana and internationally) and other stakeholder engagement to ensure their productive and effective participation in climate financing.
<p>8. Total requested amount and currency</p>	<p>\$509,920 USD</p>
<p>9. Anticipated duration</p>	<p>24 months</p>

SECTION 2: COUNTRY READINESS LOGICAL FRAMEWORK			
Please complete the table below, which enables a country to assess its readiness for the GCF and set targets to strengthen its readiness, including proposed outputs and activities to improve the country's readiness. For further guidance, see the guidance at completed in the table. Please refer to the guidebook, Annex 10, for the GCF Readiness and Preparatory Support Programme.			
OUTCOMES ¹	BASELINE	TARGET	ACTIVITIES <i>(including key outputs or deliverables where applicable)</i>
<p>1. Country capacity strengthened</p> <p>1.1 NDA/focal point lead effective coordination mechanism</p>	<p>2-8</p> <p><input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2</p>	<p>6-8</p> <p><input type="checkbox"/> 0 <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2</p>	<p>1.1.1.1. Support 4 technical reviews of the NDA inter-agency Technical Advisory Committee (TAC) established under the BMU-funded readiness. Focusing on:</p> <ul style="list-style-type: none"> i. Reviewing the ToR of the TAC to focus on providing technical back-stopping and direction for the development of Ghana's Country Programme, including defining criteria to evaluate and assess priorities for Ghana's country programming process and by developing progress indicators and measurement criteria for the TAC to assess interventions (projects/ programmes) as well as providing guidance on the challenges for implementation and executing assigned roles for key actors to be identified for the implementation of Ghana's Country Programme. ii. Technical review of programmes/ projects submitted to the NDA post development of Country Programme in line with country priorities as aligned with Ghana's NDCs and other climate-related policies <p>Deliverables:</p> <ul style="list-style-type: none"> a. Technical meetings (with associated report) defining scope and providing technical direction and inputs provided to shape the development of Country Programme; and b. Technical meetings and inputs to review and align pipeline projects with country priorities to aid in the development of country project pipeline with the GCF <p>Completed: 24 months after first disbursement.</p>

¹ Based on decision E/CLM/10, Annexes XI, XII & XIV; E/CLM/11, B.11/10, Annex 1; B.12/20, Annex 1

<p>1.2 No objection procedure established and implemented</p>	<p><input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2</p>	<p><input type="checkbox"/> 0 <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2</p>	<p>1.2.1 Enhance implementation of the existing no objection procedure of NDA by reviewing the existing NDA Operations Manual and no-objection procedure (developed under the BMU readiness) in line with identified priority areas of proposed Country Programme (under 2.2); create a partner strategy to complement project technical prioritization criteria with partner criteria that define the required partner skills and mandate to further Ghana's GCF priorities; subsequent translation into 4 major local languages to strengthen awareness creation of the GCF processes and aid Ghana's Country Programme implementation.</p> <p>Deliverables:</p> <ul style="list-style-type: none"> a. Publications of revised NDA Operations' Manual (including no objection procedures and requirements of Country Programme) and partner strategy to enhance awareness; and b. Published translations of revised NDA Operations' Manual (including no objection procedures and requirements of Country Programme) and partner strategy in local languages to enhance awareness at subnational level. <p>Completed: 8 months after first disbursement</p> <p>1.2.2 Disseminate the translated guidelines (under 1.2.1) and raise awareness (via roadshows, etc.) of national and sub-national entities targeting parliament's select committee on environment, local authorities, gender groups, etc. on GCF no objection procedure, NDA's role, stakeholder requirements and country programming.</p> <p>Deliverables:</p> <ul style="list-style-type: none"> a. 1 workshop report on parliamentary select committee engagement b. 1 workshop report on engaging gender groups and local authorities with the aim of raising awareness on in-country processes on no objection, country programming, stakeholder requirement, etc.
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	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<p>Completed: 12 months after first disbursement</p>
<p>1.3 Bilateral agreements between the country and the GCF executed</p>			
<p>1.4 Monitoring, oversight and streamlining of climate finance.</p>	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2	<p>1.4.1. Conduct training on implementation of climate finance MRV and tracking system (built on existing Ghana's National Chart of Accounts, which provides the foundation of the public accounting system including the preparation of a national budget based on Government's priorities and plans) for subnational level officers - as a follow up to initial training at the national level under the BMU-funded readiness - to link climate finance MRV to NDC targets and accelerate implementation of both instruments.</p> <p>Deliverables:</p> <p>a. One (1) climate finance MRV implementation training report on local authorities or subnational level officers</p> <p>Completed: 12 months after first disbursement.</p> <p>1.4.2. Train NDA or focal point staff members in climate finance oversight, monitoring and evaluation processes to facilitate effective oversight and implementation of the climate finance MRV and tracking system stated in 1.4.1.</p> <p>Deliverables:</p> <p>a. Training report and certificates of trained staff members</p> <p>b. Trained NDA staff leading in MRV work on climate finance</p> <p>Completed: 18 months after first disbursement</p>
<p>2. Stakeholders engaged in consultative processes</p>	<p>3-8</p>	<p>5-8</p>	
<p>2.1 Stakeholders engaged in consultative processes</p>	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2	<p>2.1.1. Build on current stakeholder approach (which focuses on engagement with sector agencies and entities and misses out on identifiable groups like youth and gender groupings) to develop a Stakeholder Engagement Strategy to guide engagement activities. The strategy will identify the areas within the current stakeholder engagement approach of the Ghanaian government that require alignment with a</p>

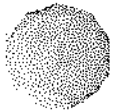
<p>2.2: Country programmes, including adaptation priorities, developed and continuously updated</p>	<p><input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2</p>	<p><input type="checkbox"/> 0 <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2</p>	<p>broad-based approach as encouraged by the GCF, including gender, youth, private and other stakeholder groups and public-sector agencies and define roles, responsibilities and processes for engagement on GCF Country Programme to ensure equitable representation.</p> <p>Deliverables:</p> <ul style="list-style-type: none"> a. Three (3) consultative workshops and workshop reports targeting CSOs and gender groups, private and public-sector agencies to aid awareness creation and identify roles to be played in the implementation of the Country Programme b. One (1) Stakeholder Engagement Strategy developed to guide stakeholder engagements in pipeline, project design and implementation c. 500 copies of Stakeholder Engagement Strategy published and distributed <p>Completed: 10 months after first disbursement</p> <p>2.2.1 Develop GCF Country Programme for Ghana based on Ghana's NDCs and National Climate Change Policy (developed based on Ghana's climate risk profile, emission profile and vulnerability analysis) amongst other national strategies and policies by:</p> <ul style="list-style-type: none"> i. Defining criteria for prioritizing and selecting list of projects to be included in the country programme for mitigation and adaptation outlining synergies and trade-offs, where relevant through: <ul style="list-style-type: none"> a. Conducting a technical review (with sector-based experts and TAC) of the climate change project prioritization tools, already developed under BMU, readiness to re-define scope, the selection criteria and basis for assessment from its current narrow focus to one that captures the broader focus of the country programming process; b. Engaging key stakeholders such as gender groups, CSOs, youth, public and private sector agencies on proposed criteria for prioritization c. Validating prioritization tool/ criteria with all stakeholders
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<p>d. Conducting sector-based prioritization based on the 7 priority action areas identified in Ghana's NDCs and related policies to select priority projects</p> <p>ii. Defining the Country Programme strategy, the priorities for the Country Programme across temporal scales including short, medium and long term, the method to ensure that the Country Programme aligns with government long term strategies including for climate resilience, and the indicators to encourage ongoing programming, based on this and on the prioritization criteria, drafting Country Programme indicating priorities, pipeline project/ programmes and action plans for project/ programme development; and</p> <p>iii. Validating Country Programme with all national stakeholders</p> <p>Deliverables:</p> <p>a. Two technical review meetings led by a consultant with experts from NDC priority sectors and NDA TAC to define the country programme strategy;</p> <p>b. Three consultative meetings (with reports) with gender groups, CSOs, youth, public and private sector agencies providing inputs for defining prioritization criteria for project selection;</p> <p>c. 7 sector-based project prioritization and selection meetings with participants from the NDC priority action areas</p> <p>d. One (1) validation meeting with all stakeholders to agree on final prioritization criteria</p> <p>e. One (1) validation meetings and reports on Ghana's Country Programme document</p> <p>f. One (1) Ghana Country Programme developed and published (1000 copies)</p> <p>Completed: 12 months after first disbursement</p>			<p>2.3 Stakeholder consultations conducted with equal representation of women</p> <p><input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2</p> <p><input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2</p>
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GREEN CLIMATE FUND
 READINESS AND PREPARATORY SUPPORT
 PROPOSAL TEMPLATE

2.4 Annual participatory review of GCF portfolio in the country organized	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	
2. Direct access realized	2-8	4-8	
3.1 Candidate entities identified and nominated for accreditation	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2	
3.2 Direct access entity accredited	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	
3.3 Entity/ies annual/multi-annual work programme developed	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2	3.3.1. Develop annual/multi-annual work programme for Ecobank and Social Investment Fund, in line with the specific needs to be identified in the Country Programme, to facilitate engagement with the Fund, NDA and project proponents. Deliverable: Entity Work Programmes capturing needs of DAEs developed Completed: 18 months after commencement
3.4 Fundig proposals through enhanced direct access modality approved	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	
3. Access to finance	0-8	4-8	
4.1 Structured dialogue between the NDA/Accredited Entities and the GCF Secretariat organized	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	
4.2 Country programmes, concept notes, including on adaptation, developed that implement high-impact priorities identified in INDCs and other national strategies or plans	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2	
4.3 Project/programme preparation support, including for adaptation, to develop funding proposals provided	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2	



<p>4.4 Funding proposals, including for adaptation, that are aligned with country priorities approved</p>	<p><input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2</p>	<p><input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2</p>	
<p>5. Private sector mobilization</p> <p>5.1 Private sector engaged in country consultative processes</p>	<p>1-8 <input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2</p>	<p>2-8 <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2</p>	<p>5.1.1. Develop a market study to identify private sector investment opportunities and risks, subsequent to development of the Country Programme (under 2.2.1), that enables leveraging private sector resources to facilitate its (Country Programme) implementation.</p> <p>Deliverable: One (1) market study on private sector opportunities and risks with a view to leveraging private sector resources for Country Programme implementation.</p> <p>Completed: 14 months after first disbursement.</p> <p>5.1.2. Host a GCF investment forum (before completion of market study – under 5.1.1) with the private sector (both local – formal and informal – and international) to identify opportunities (and risks) to engaging with GCF financing on national priorities aligned with Country Programme and provide feedback for the market study (5.1.1). This GCF investment forum will build on the results of a high-level NDC investment forum and two preparatory workshops under the ongoing NDC Support Programme being implemented by the Ministry of Environment Science, Technology and Innovation (MESTI), which will focus on financing priority actions under the entire NDCs as outlined in the NDC implementation plan.</p> <p>Deliverables:</p> <ul style="list-style-type: none"> a. One forum held highlighting opportunities (and risks) for private sector investment in priority programmes identified in the Country Programme. b. One report on investment forum highlighting outcomes that could feed into market study and potentially lead to development of at least one concept note by private sector actors based on priority programmes identified in Country Programme <p>Completed: 11 months after disbursement.</p>



5.2 Enabling environment for crowding-in private sector investments at national, regional and international levels exists	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	
5.3 Funding proposals for private sector projects/programmes, including for adaptation, approved	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2	<p>5.3.1. In collaboration with the Private Enterprises Federation (an umbrella body for private sector entities) develop a concept note (in line with GCF's concept note requirements) based on outcomes of market study and investment fora (5.1.1 & 5.1.2) in line with a priority project in the GCF Country Programme, through the Private Sector Facility. The concept note development process will include:</p> <ul style="list-style-type: none"> • Baseline data collection and analysis (including maps and evaluation reports); • Pre-feasibility study; • Economic and financial model with key assumptions and potential stressed scenarios; • Stakeholder consultations and validation; and • Drafting and finalizing concept note <p>Deliverable:</p> <p>1 concept note with relevant supporting pre-feasibility study aligned with GCF's concept note requirements</p> <p>Completed: 21 months after first disbursement</p>
5.4 Funding proposals under the Private Sector Facility programmes (small- and medium-sized enterprises and mobilizing funds at scale) submitted and approved	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	
TOTAL	8-40	23-40	

SECTION 4- ADDITIONAL INFORMATION

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

Ghana's Nationally Determined Contributions (GH-NDCs), which seeks to help Ghana meet its commitments under the Paris Agreement, has targeted the Green Climate Fund as a key source of finance for implementation of programmes and projects aimed at reducing emissions or increasing resilience between 2020 and 2030. Funding from the GCF is estimated to contribute about 22% of the overall investments required to meet Ghana's obligation under the Agreement.

This grant would build on the progress made under the UN Environment/UNDP/WRI GCF Readiness Programme funded by the German Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety (BMU). The BMU-funded readiness was meant to provide the following deliverables in relation to the following areas:

A. Strengthening national institutions and fiduciary capacity through:

- Establishment of the NDA secretariat and training staff on climate change principles and governance;
- Development of NDA Operations Manual to guide the NDA/ focal point on day-to-day actions on no objection procedures;
- Identifying and supporting two national entities (Ecobank Ghana Limited and Social Investment Fund) to enable direct access; and
- Development of a climate finance MRV and tracking system (in 2016) and later revising it in 2017 to capture current national planning agenda. Initial training conducted (and refresher training ongoing) at the national level for key public institutions. The intention is to include sub-national (regional and district level) officers during the next phase of readiness.

B. Enhancement of coordination on climate financing through:

- Establishment of a 11-member NDA Technical Advisory Committee (TAC) to provide a transparent inter-agency coordination and decision-making platform for decisions on country pipeline, accreditation and proposal prioritization, etc.; and
- Establishment of a working group on climate finance to coordinate actions on climate change financing in collaboration with the NDA.

C. Development of bankable projects through:

- Development of project prioritization tool to provide an objective and transparent process for identifying and prioritizing project concepts; and
- Selection and development of two project proposals, based on prioritization tool, which are at various stages of development.

D. Enhancement of private sector climate financing through:

- Creating awareness on climate financing opportunities in-country by identifying existing financing avenues for financial institutions; and
- Training/building capacity of selected institutions in climate finance de-risking mechanisms.

While the BMU-funded readiness has produced the key deliverables stated above, there are still gaps in NDA capacity and in readiness for GCF more broadly that must be addressed. These gaps include:

- The need for further capacity building at the NDA to strengthen and lead coordination on climate finance MRV implementation, which is crucial since MRV in the area of climate finance is new. Linked to this is the need for capacity building at the sub-national level since there is a challenge with understanding of what constitutes relevant climate expenditure based on initial training done at the national level. A lack of capacity in this regard could potentially affect the integrity of data gathered on climate financing in Ghana.
- The absence of a Country Programme that ensures a country-driven pipeline development process. This allows the country to go through a national exercise of prioritizing and selecting projects aligned with national priorities for funding as against an entity-driven approach which may not be aligned with country priorities.
- The need for entity work programmes for direct access entities that allows candidate DAEs to proactively and strategically deliver country-owned, high-impact proposals.
- The absence of a stakeholder engagement strategy to ensure a broad-based stakeholder engagement process in the implementation of Country Programme to reduce the risk of leaving relevant groups behind in project implementation.
- To drive investment for the implementation of the Country Programme, once developed, through engagement private sector actors, identifying opportunities and risks and avoiding redundancy.
- The need for sustained awareness creation, to ensure that in-country processes (no objection, NDA's role, project selection, etc.) are well-disseminated at sub-national levels via key local languages in order to create ownership by all key groups and stakeholders.

In this regard, the next phase of readiness (as indicated in Section 2) will focus on:

- 1) Enhancing NDA capacity and no objection processes as well as its coordination role in defining partnership with relevant entities, country programming and climate finance expenditure tracking. This will focus on training at the sub-national level (regional and district) since only training at the national level has been conducted until now (Activities 1.1 to 1.4)
- 2) Streamline climate finance stakeholder engagement through the development of an engagement strategy that identifies gaps in the current stakeholder approach, focusing on a multi-stakeholder approach to guide future stakeholder engagement activities or actions especially during the development and implementation of the Country Programme (Activity 2.1)
- 3) Develop a comprehensive Country Programme through a revision of the existing project prioritization system and its evaluation or selection criteria through an all-inclusive approach in line with national climate change priorities (Activity 2.2);
- 4) Develop entity work programmes that provide a proactive blueprint to guide activities of DAEs to assist Country Programme to enable Ghana meet its obligations under the Paris Agreement (Activities 3.1 and 3.3);
- 5) Build on awareness created in the private sector to develop a market study that highlights investment opportunities for the private sector in line with priorities that would be identified in the Country Programme and develop one concept note to unlock private sector co-finance (Activities 5.1 and 5.3).



It is expected that the implementation of these readiness actions would propel the NDA to lead the efforts of not just coordinating climate finance actions but also strengthen the NDA in its long-term planning to lead in mobilizing finance for the development and implementation of Ghana's Country Programme, implementation of NDCs and forging strategic partnerships with the private.



SECTION 4: BUDGET, PROCUREMENT, IMPLEMENTATION AND DISBURSEMENT

UNDP ATLAS Budget Alignment

PIMS No.:	6149
Award ID:	00106356
Award Title:	GCF Readiness and Preparatory Support in Ghana
Project ID:	00107131
Project Title:	GCF Readiness and Preparatory Support in Ghana
Business Unit:	GHA10
Implementing Partner (Executing Agency)	UNDP CO

GCF Readiness Outcome/Atlas Activity	Responsible Party	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount US\$ (year 1)	Amount US\$ (year 2)	Total Amount US\$	See budget note.*
Outcome 1: Country Capacity Strengthened	UNDP CO	66001	12526	71300	Local Consultants	25,375	3,750	29,125	1
				71200	International Consultants	3,500		3,500	2
				71600	Travel	34,700		34,700	3
				72100	Contractual Services-Companies	8,000		8,000	4
				72800	Information Technology Equipment	14,000	14,500	28,500	5



					75700	Training, Workshops and Conferences	40,000	32,360	72,360	6
Total Outcome 1.										
Outcome 2: Stakeholders engaged in consultative process	UNDP CO	66001	12526	71300	Local Consultants		37,500	18,750	176,185	7
				71600	Travel		15,000	8,970	23,970	8
				72100	Contractual Services-Companies		8,000	3,000	11,000	9
				75700	Training, Workshops and Conferences		30,000	24,130	54,130	10
Total Outcome 2										
				71300	Local Consultants		90,500	54,850	145,350	
				72100	Contractual Services-Companies		-	22,500	22,500	11
							1,000	-	1,000	12
Total Outcome 3										
Outcome 4: Private Sector Mobilization	UNDP CO	66001	12526	71300	Local Consultants		1,000	22,500	23,500	
				71600	Travel		22,500	32,500	55,000	13
				75700	Training, Workshops and Conferences		12,000	12,000	24,000	14
				72100	Contractual Services-Companies		1,000	1,000	2,000	15
Total Outcome 4										
							36,500	51,500	88,000	
Total operation costs (Outcome 1 to 4)										
							253,575	179,460	433,035	

**READINESS AND PREPARATORY SUPPORT
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Contingency (max. 5% of total operation costs)	UNDP CO	66001	12526	74500	Miscellaneous Expenses	2,500	2,000	4,500	17			
Total operation costs + Contingency						256,075	181,460	437,535				
Project management costs	UNDP CO	66001	12526	71400	Contractual Services - Individual	16,218	16,219	32,437	18			
Total Project management costs					16,218	16,219	32,437					
TOTAL PROJECT COSTS EXCLUDING DP FEE					272,293	197,679	469,972					
DP fee (8.5%)					23,145	16,803	39,948	19				
TOTAL PROJECT COSTS INCLUDING DP FEE					295,438	214,482	509,920					

* Budget notes are mandatory

OUTCOME 1

1: Local consultant:

- Consultant review and revision of current no objection procedures to include a partner strategy @\$375/day for 25 days (Activity 1.2.1)
- Proof reading and translation of revised no-objection - revision to likely include additional pages for partner strategy - (estimated at between 60-80 pages) @ \$200/day for 20 days for 4 languages local languages (Activity 1.2.1)
- Consultants (Trainers) for training on MRV and tracking system @ 375/day for 10 days (Activity 1.4.1)

2. International Consultants

Trainer cost (Professional fees) @ \$500/day for 7 days (5 days for training NDA and 20 key actors climate finance oversight, monitoring and evaluation processes in & 2 days for report on recommendations and way forward) = \$3,500 (Activity 1.4.2)

3: Travel

Local travels:

- 4 technical review meetings – outside Accra: to avoid the very high risk of TAC members being asked to attend to other assignments by their managers - (2 per year) with 20 participants per meeting with travel allowance (32% of UN DSA rate) per day @ \$83 per person = \$6,640 (Activity 1.1.1)
- Dissemination of no objection and partner strategy; maximum 70 persons for 2 workshops; travel @ \$83/person for 1 day = \$11,620 (Activity 1.2.2)
- Subnational MRV and tracking tool training; maximum 40 persons for 2 days; travel @ \$83/person per day = \$6,640 (Activity 1.4.1)
- Training of MRV work actors; 20 persons (NDA Secretariat = 5 Budget unit = 4; EPA = 4; National Development Planning Commission = 4; Ministry of Environment = 3) for 5 days outside Accra @ \$83/day for 20 people for 5 days = \$8,300 (Activity 1.4.2)

International travel:

- Return flight for trainer for NDA staff and other MRV work actors return flight = \$1,500 (Activity 1.4.2)

4: Contractual services:

- Printing of NDA operations and no-objections with partner strategy revised and translated versions @ \$6/copy for 1000 copies @ \$6,000 (Activity 1.2.1)
- Advertising process costs for hiring consultant trainers for no objection and partner strategy, proof reading and translating, and for MRV and tracking tool training @ \$2,000 (Activity 1.2.1, and 1.4.1)

5: Internet and online communication and equipment: Online communication (internet data) and equipment (internet modems) (for 24 months) for NDA staff and secretariat @ \$12,000; 4 laptops (NDA and PM) at @ \$8,000; 2 Printers (NDA) @ \$4,000; toners & stationery (NDA) @ 4,500; for 24 months = \$28,500

6: Cost of Workshops/ Training

- 4 technical review meetings – outside Accra; to avoid the very high risk of TAC members being asked to attend to other assignments by their managers - (2 per year) with 20 participants per meeting; workshop accommodation @ \$177/person/day maximum 1 day per meeting = \$14,160 (Activity 1.1.1)
- Dissemination of no objection guidelines and partner strategy maximum 70 persons for 2 workshops @ \$177/person/day for 1 day per each workshop = \$24,780 (Activity 1.2.2)
- MRV and tracking tool (ToT) training; Subnational level: maximum 40 persons for 2 days; workshop & venue @ 177/person per day = \$14,160 (Activity 1.4.1)
- Training for NDA staff and other key actors on MRV oversight and implementation;
 - Trainees @ \$177/person/day for 5 days for 20 trainees = \$ 17,700
 - Trainer's accommodation for 6 days @ \$260 (UN Rate) = \$1,560 (Activity 1.4.2)

OUTCOME 2

7: Local consultants for Stakeholder Engagement Strategy:

- Stakeholder Engagement Strategy: Consultant @ \$375/day for 50 days = \$18,750 (Activity 2.1.1)
- Local Consultancy to lead development of Country Programme (including revision of prioritization tool) @ \$375 for 100 days = \$37500 (Activity 2.2.1)

8: Travel:

- Stakeholder Engagement Strategy: Travel for 50 persons @ \$20/persons for 1 day in Accra (Activity 2.1.1)
- Travel (Country Programme Development – Activity 2.2.1)
 - 2 technical review work sessions (outside Accra) for 25 people @ \$83/person
 - 2 stakeholder engagement sessions on prioritization criteria (within Accra) for 50 people each @ \$20/person
 - 1 stakeholder validation (within Accra) for 80 people @ \$20/person
 - 7 sector-based prioritization work sessions (outside Accra) @ \$83 for maximum 20 persons/work session for 1 day/work session
 - Validation of Country Programme (in Accra) with 80 persons @ \$20/person for 1 day



9: Contractual Services - Companies:

- Stakeholder Engagement Workshop: Printing @ \$3000 (\$6/copy for 500 copies) (Activity 2.1.1.1)
- Printing of Country Programme document 1000 copies @ \$6/copy = \$6,000 (Activity 2.2.1)
- Adverts @ \$1,000 (Activity 2.1.1)
- Adverts for Country Programme development and prioritization review consultancy @ \$1,000 (Activity 2.2.1)

10: Workshop and Trainings:

- Stakeholder Engagement Strategy: Workshop venue (non-residential) @ \$50/person for a day for 50 persons for 3 meetings = \$7,500 (Activity 2.1.1.1)
- Country Programme Development (Activity 2.2.1)
 - 2 residential technical review work sessions (outside Accra) for 25 people @ \$177/person = \$ 8,850
 - 2 non-residential stakeholder engagement sessions on prioritization criteria (within Accra) for 50 people each @ \$50/person = \$5,000
 - 1 non-residential stakeholder validation (within Accra) for 80 people @ \$50/person = \$4,000
 - 7 residential sector-based prioritization work sessions (outside Accra) @ \$177 for maximum 20 persons/work session for 1 day/work session = \$24,780
 - 1 non-residential validation of Country Programme (in Accra) with 80 persons @ \$50/person for 1 day = \$4,000

OUTCOME 3

11: Local consultant

Development of annual or multi annual year programme for accredited entities Ecobank and SIF Local consultancy @ \$375/day for 60 days = \$22,500 (Activity 3.3.1)

12: Contractual services:

Procurement adverts for development of multi-annual programme for DAEs @ \$1,000 (Activity 3.3.1)



OUTCOME 4

13: Local Consultant

Local consultant for market study on private sector: @ \$375 for 60 days = \$22,500 (Activity 5.1.1)

Local consultant for private sector concept note: @ \$375 for 60 days = \$22,500 (Activity 5.3.1)

Pre-feasibility study for concept note @ \$10,000 (Activity 5.3.1)

14: Travel:

- High-level investment forum for 2 days @ \$20/person/day for 150 persons = \$6,000 (Activity 5.1.2)
- Concept note validation @ \$20/person for 50 persons for 1 day = \$1,000 (Activity 5.3.1)

15: Workshop and Training:

- High-level investment forum for 2 days; @ \$70/person for 150 persons = \$21,000 (Activity 5.1.2)
- Concept note validation @ \$60/person for 50 persons for 1 day = \$3,000 (Activity 5.3.1)

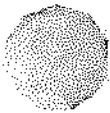
16: Contractual services - Companies

Cost for advertising for market study and concept note consultants @ \$2,000 (\$1,000 each) (Activity 5.1.1 and 5.3.1)

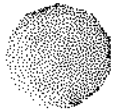
17: Contingency up to @ 5% of total operation cost. These costs are unforeseen costs unrelated to direct project implementation such as exchange losses, etc. Expenditure in this line requires pre-approval by GCF.

18: Programme Management cost (Service/ Individual Contractor) to support day-to-day management of project, working closely with NDA/ focal person in covering activities such as; preparing annual work plans, project ToRs, tracking project delivery, project progress reporting and relevant reports over a 24-month period. The current proforma cost for UNDP's scale for SB4(Step 2) is USD 16,200 per annum.

19. Delivery partner fee at 8.5% of total operation costs.



4.2. Procurement Plan			
<p>UNDP will be responsible for the implementation of the readiness activities and provisioning procurement and contractual services, as well as reporting on the progress of this implementation in close coordination and strategic guidance from the NDA/FP. The procurement actions and the operational services will be carried forward in accordance with UNDP policies and procurement guidelines as agreed under the Framework Readiness and Preparatory Support Grant Agreement (Framework Agreement) between Green Climate Fund (GCF) and the UNDP.</p> <p>Progress Reports will be prepared by UNDP, in alignment with the requirements set forth in the Framework Agreement and will be subject to review by the NDA/FP before its submission to the GCF Secretariat.</p> <p>Consistent with the UNDP procurement policies, all procurement actions will follow competitive procurement process.</p> <p>The terms of reference of consultants will be developed further to include the tasks outlined in the request summary above. The NDA/FP may also add other tasks to the ToRs of the consultants in accordance with the Fund's defined scope of work on NDA/FP strengthening within the resource envelope in this proposal and any supplementary resources secured from other sources.</p> <p>The detailed budget for procuring services from the international and national experts reflect the security and life-support cost as per standard UNDP policy. For items such as venues and travel for stakeholder workshops to be organized, the standard shopping method will be used to procure such services consistent with UNDP's procurement policies</p> <p>The details of the procurement and operational services and the results to be achieved will be explained in the interim progress report and the completion report.</p>			
Description of good/service procured	Value of good/service USD	Procurement Method	ESTIMATED START DATE
Project management/ SC	\$32,437	RFQ	2019-03-31
		Threshold associated to method	PROJECTED CONTRACTING DATE
		US \$5,000 to \$149,999	2019-03-31 – 2021-02-29



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PROPOSAL TEMPLATE

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Local Consultants	\$162,875	Local RFQ (Written request for quotation)	US \$5,000 to \$149,999	2019-04-01	2019-04-31 – 2020-11-30
International Consultant	\$3,500	International RFQ	US \$5,000 to \$175,000	2019-08-01	2019-08-31 – 2019-09-30
Information technology equipment	28,500	Local RFQ (Written request for quotation)		2019-04-15	2019-04-31 – 2020-11-30
Workshop planning/ logistics	\$150,490	Local RFQ (Written request for quotation)	US \$5,000 to \$149,999	2019-04-15	2019-05-31 – 2020-12-31
Travel	\$65,670	Request for proposal (Advertisement in international media)	Above US\$ 150,000		
Contractual services - Companies	\$22,000	Local RFQ (Written request for quotation)	US \$5,000 to \$149,999	2019-04-01	2019-06-15 – 2020-11-30
Total	\$465,472	Local RFQ	US \$5,000 to \$149,999	2019-04-01	2019-05-31 – 2021-01-31



4.3. Disbursement schedule

"Disbursement requests will be managed at portfolio level by UNDP-GEF MPSU in NY, as agreed in the "Framework Readiness and Preparatory Support Grant Agreement" between GCF and UNDP. Under Clause 4 of said Framework Agreement, "the Delivery Partner shall be entitled to submit two Requests for Disbursement each year. Each such Request for Disbursement must be submitted to the Fund within 30 days of receipt by the Fund of the Portfolio Report referred to in Section 9.02."

4.4. Additional information

The processes for the procurement of consultants and services for this readiness is expected to begin in April 2019. However, this is dependent on the release of funds for activities by the end of March 2019 or beginning of April 2019.

SECTION 5: IMPLEMENTATION ARRANGEMENTS AND OTHER INFORMATION

5.1. Please attach an "Implementation map" or describe how funds will be managed by the NDA/FP or delivery partner:

The Government of Ghana has identified UNDP as its delivery partner for the readiness support programme. UNDP will take responsibility, under the leadership and guidance of the NDA/FP, for the implementation of the proposed programme including fiduciary management.

As per the Framework Readiness and Preparatory Support Grant Agreement, the project will be implemented under Direct Implementation Modality following UNDP POPP guidance available here: <https://info.undp.org/global/popp/frm/Pages/direct-implementation-dim-modality.aspx>. UNDP Ghana will be responsible for services related to recruitment of project staff (where necessary) and consultants, travel, sub-contracting, and organization of national workshops. UNDP HQ will delegate spending authority to the UNDP Ghana Country Office. UNDP HQ will approve the budget, and UNDP Country Office can spend within the approved spending limits established by UNDP HQ.

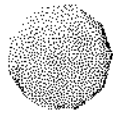
The project will be overseen by the GCF global coordinator in UNDP HQ, while day-to-day management will be undertaken by the Programme Manager (budget line 22), under the direct supervision of the Head of Sustainable Development Cluster in the Country Office. The Project Steering Committee will provide strategic direction and ensure that project activities are country-led. The NDA/ Focal Point and Secretariat (in consultation with the inter-agency Technical Advisory Committee) will provide leadership in the implementation of activities by working with Service Contractor to ensure that the project achieve results that will deliver long-term impacts.

UNDP provides a three – tier oversight and quality assurance role involving UNDP staff in Country Offices and at regional and headquarters levels. The quality assurance role supports the Project Board by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed. Project Assurance must be independent of the Project Management function; the Project Board cannot delegate any of its quality assurance responsibilities to the Project Manager. The project assurance role is covered by the accredited entity fee provided by the GCF. As a Delivery Partner to the GCF, UNDP is required to deliver GCF-specific oversight and quality assurance services including: (i) Day-to-day oversight supervision, (ii) Oversight of project completion, (iii) Oversight of project reporting."

Project risks			
Description	Type	Impact & Probability	Mitigation Measures Envisioned
Lack of political support for the development of the project.	Organizational Political	Low level of risk Enter probability on a scale from 1 (low) to 5 (high): P = 1	Promote sustained political support during the project, including by: Encouraging active engagement of the NDA/MoF, which has the political mandate on oversight for climate finance, to enhance Government ownership and political buy-in.



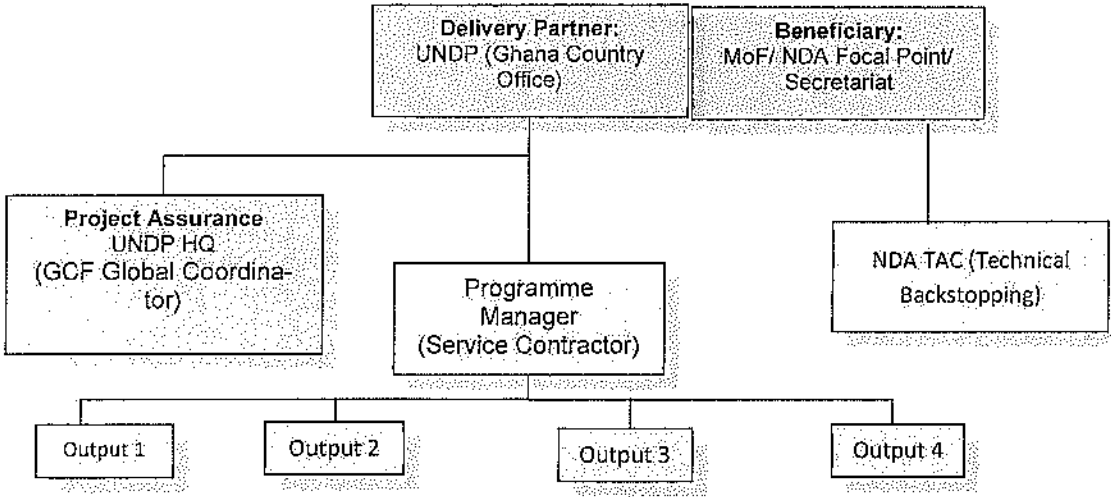
		<p>Enter impact on a scale from 1 (low) to 5 (high): I = 3</p>	<p>Ensuring continuous collaboration between the project and Ghana's inter-agency Technical Advisory Committee in the implementation, to enhance Government buy-in to the project across sectors and agencies.</p> <p>Sharing project results and lessons to support the Government's broader climate finance efforts, such as the project's work on climate finance MRV that could serve as an orientation for similar Government efforts on tracking SDGs financing.</p>
<p>Lack of coordination between GCF Readiness Support and NDC Support Programme leading to conflicting or overlapping activities.</p>	Operational	<p>Low level of risk</p> <p>Enter probability on a scale from 1 (low) to 5 (high): P = 2</p> <p>Enter impact on a scale from 1 (low) to 5 (high): I = 3</p>	<p>Ensuring regular joint planning meetings between the NDC Support Programme and the GCF Readiness Support project and corresponding Government counterparts, e.g. to define a GCF country programme strategy in line with the NDC and to prioritize projects considering NDC priority action areas.</p> <p>Regular communication between the two projects and sharing of updates on results to facilitate building on each other, e.g. GCF investment forum to build on the results of a high-level NDC investment forum and two preparatory NDC workshops.</p>
<p>Lack of capacities to carry out the project activities.</p>	Operational	<p>Low level of risk</p> <p>Enter probability on a scale from 1 (low) to 5 (high): P = 2</p> <p>Enter impact on a scale from 1 (low) to 5 (high): I = 4</p>	<ul style="list-style-type: none"> - Identify required expertise and human resources at early stages of project implementation. - As soon as procurement processes start, alert technical experts with adequate profiles to apply, including those who supported the first phase of GCF readiness in Ghana.



			<ul style="list-style-type: none"> - Build on the capacity of in-country networks and partnerships that were successfully established during the first phase of GCF readiness in Ghana, including the NDA inter-agency Technical Advisory Committee and Private Enterprises Federation (PEF). - Start strengthening required capacity of NDA staff at the early stages of the project.
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Project Organization Structure

Project Steering Committee = Board
 Chair: NDA/Focal Point
 Members: MESTI, UNDP CO, EPA/UNFCCC Focal Point, NDA Alternate Focal Point



For these purposes, the NDA and UNDP will establish implementation arrangements, as described below and also shown in the diagram above:

Entity	Role	Responsibility
Ministry of Finance, Real Sector Division	GCF Focal Point	Provide leadership and ensure implementation of the GCF Readiness grant upholds country ownership



UNDP CO	Delivery Partner	Implement the programme and responsible for services related to recruitment of project staff and consultants, travel, sub-contracting, and organization of national workshops.
Steering Committee	High level project board	Strategic project decision making body
Programme Manager (Service/ Individual Contractor)	Project Management	Undertake the day-to-day programme management activities
NDA Technical Advisory Committee	Technical Working Group	Advise the FP /NDA and provides strategic and technical oversight for the country programming strategy
UNDP HQ (Directorate of UNDP Global Environmental Finance Unit)	Technical Quality Assurance	The Directorate of the UNDP Global Environmental Finance Unit (UNDP-GEF) provides additional legal, monitoring and evaluation, technical quality assurance, and implementation oversight and troubleshooting support. Disbursement requests, cash transfers, and other financial services are also provided under the oversight functions of the Directorate.

5.2. Other relevant information

This readiness request is meant to build on the key initiatives and achievements of the BMU-funded UN Environment/ UNDP/ WRI Readiness Programme and to ensure desirable long-term impacts. It is also important to note that the development of key strategies that are proposed under this phase of readiness, such as the Stakeholder Engagement Strategy, are expected to provide guidance for future stakeholder engagement initiatives or actions that may be led by the NDA or by other stakeholders such CSOs and the private sector.

The project start date for readiness is the date of disbursement released by GCF Secretariat to UNDP or three months from the date of notification of approval whichever is earlier.

Audit: The project will be audited according to UNDP Financial Regulations and Rules and applicable audit policies on DIM implemented projects