|  |  |
| --- | --- |
| **Proposal title:** | Please type here |
| **Country(ies):** | Please type here |
| **National Designated Authority(ies):** | Please type here |
| **Delivery Partner:** | Please type here |
| **Date of first submission:** | Click or tap to enter a date. |
| **Date of current submission:** | Click or tap to enter a date. |
| **Version number:** | Version #Choose an item. |

A picture containing text, businesscard, screenshot

Description automatically generated

Readiness and Preparatory Support

Proposal Template

|  |
| --- |
| Before completing this proposal template, please read the revised [**Readiness Guidebook**](https://greenclimate.sharepoint.com/sites/DCP/Documents/Readiness/03.%20Knowledge%20Management/2.%20Readiness%20Guidebook/Readiness%20Guidebook%20Update%202022/3%20Templates/g.cf/readiness_guidebook) and learn how to access readiness resources under the GCF Readiness & Preparatory Support Programme. |

**How to complete this template?**

Before completing this proposal template, please read carefully the revised [Readiness Guidebook](https://greenclimate.sharepoint.com/sites/DCP/Documents/Readiness/03.%20Knowledge%20Management/2.%20Readiness%20Guidebook/Readiness%20Guidebook%20Update%202022/3%20Templates/g.cf/readiness_guidebook).

This proposal template should be completed by the Delivery Partners and the National Designated Authorities (NDA) or Focal Points. Once completed, this document should be submitted to the GCF by the NDA or Focal Point via the **online submission system**, Fluxx, accessible through the Country Portal of the GCF website.

Before submitting, please delete all the instructions in the document in grey font.

Please be concise. If you need to include any additional information, please enclose it to the proposal as an annex.

If the Delivery Partner implementing the Readiness support is not a GCF Accredited Entity for project Funding Proposals, please complete the [Financial Management Capacity Assessment (FMCA) questionnaire](https://www.greenclimate.fund/document/financial-management-capacity-assessment-template) and submit it to [fmca@gcfund.org](mailto:fmca@gcfund.org) prior to or with this Readiness proposal.

**How to get support to complete this template?**

If you are not sure how to complete the proposal, or require support, please send an e-mail to [countries@gcfund.org](mailto:countries@gcfund.org), copying both the Readiness Delivery Partner and the relevant GCF Regional Desk. Please refer to the [Country Profiles](https://www.greenclimate.fund/countries) page of the GCF website to identify the relevant GCF Regional Desk colleagues.

We will get back to you within five (5) working days to acknowledge receipt of your submission and discuss the way forward.

### Section 1. Summary (*indicative* maximum length: three pages)

*Please delete the below set of instructions in grey before submitting the proposal.*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| * 1. **Country(ies) submitting the proposal** | Country name: | Please type here | | |
| Name of institution representing NDA or Focal Point: | Please type here | | |
| Name of contact person: | Please type here | | |
| Contact person’s position: | Please type here | | |
| Telephone number: | Please type here | | |
| Email: | Please type here | | |
| Full office address: | Please type here | | |
| Additional email addresses that need to be copied on correspondences: | Please type here | | |
| *If the proposal includes more than one country (regional/multi-country), please add them here; please add as many rows as countries* | Country name: | Please type here | |
| Name of institution representing NDA or Focal Point: | Please type here | |
| Name of contact person: | Please type here | |
| Contact person’s position: | Please type here | |
| Telephone number: | Please type here | |
| Email: | Please type here | |
| Full office address: | Please type here | |
| * 1. **Date of initial submission** | Click or tap to enter a date | | |
| * 1. **Last date of resubmission** | Click or tap to enter a date. (Please update for each resubmission) | **Version number** | V. Choose version # |
| * 1. **Institution that will implement the Readiness grant** | National Designated Authority  Delivery Partner  Please provide contact information if the Delivery Partner is not the NDA/focal point | | |
| Name of institution: | Please type here | |
| Name of official: | Please type here | |
| Position: | Please type here | |
| Telephone number: | Please type here | |
| Email: | Please type here | |
| Full office address: | Please type here | |
| Additional email addresses that need to be copied on correspondences: | Please type here | |
| * 1. **Title of the Readiness support proposal** | Please indicate the proposal title. Ideally titles should be descriptive, including the name of the country(ies) where the proposal will be implemented and details about the scope of the proposal. Please use a proposal-specific title and avoid generic titles such as “First Readiness Grant in Country ABC”. | | |
| * 1. **Readiness objectives of the proposal** | Objective 1. Capacity Building  Objective 2. Strategic frameworks  Objective 3. Adaptation planning[[1]](#footnote-2)  Objective 4. Pipeline development  Objective 5. Knowledge sharing and learning | | |
| * 1. **Total requested amount and currency** | Choose Currency  Please provide the total requested amount and round up to the nearest USD/EUR 10 and make sure that the number provided here matches exactly the total budget in the budget plan (Section 6.1. of the Excel file). | | |
| * 1. **Implementation period[[2]](#footnote-3)** | Please specify duration in multiples of six months | | |
| * 1. **Is this request a multiple-year strategic Readiness implementation request?[[3]](#footnote-4)** | Yes  No  For more information on how a country may be eligible to access Readiness support through this modality, please refer to **Annex 9 of the Readiness Guidebook**. | | |
| * 1. **Brief summary of the request (maximum length: 500 words)** | Please briefly describe the proposal including the elements described below. The summary should not be longer than 500 words. For further instructions, please refer to the Readiness Guidebook.  i) Climate background and institutional and policy context:  Please describe briefly the climate background and context in the areas or sectors to be supported by the proposed readiness support. Please also add briefly relevant policies, plans and institutional arrangements that are relevant to the proposal and discuss how the proposed Readiness activities will contribute to strengthen them.  ii) Problem statement:  Please describe the problem that the Readiness proposal will address. Provide a short and concise statement of the problem and list the barriers that the country(ies) need to overcome to solve the problem.  iii) Goal and objectives  Please briefly explain the goal of the proposal and list the overall objectives. The goal should be an ideal future state towards which the proposed proposal will contribute.  iv) Direct and indirect beneficiaries  Please list the main direct and indirect beneficiaries of the Readiness support. With relevant disaggregation, for example, by sex/gender, stakeholder (government, private sector, civil society organizations, indigenous peoples, local communities etc.). | | |

* 1. **List of abbreviations**

Please include a list in alphabetical order of all abbreviations used in the proposal. Please include in the text the full name and meaning of an abbreviation the first time it is used and thereafter use the abbreviation.

|  |  |
| --- | --- |
| Abbreviation (alphabetical order) | Meaning |
| Example: UNFCCC | United Nations Framework Convention on Climate Change |
|  |  |
|  |  |
|  |  |

### Section 2. Situation analysis (*indicative* maximum length: four pages)

*Please delete the below set of instructions in grey before submitting the proposal.*

* 1. **Country’s background and context**

Please present the country background and context in the areas or sectors to be supported by this readiness proposal (sustainable development and climate context). The sustainable development context may include an overview of the country's socio-economic and priority sectors/areas relevant for the readiness proposal, the importance of those sectors/areas to the country’s economic and social development with emphasis on addressing the sustainable development challenges in the country. The climate context may include an explanation of climate stressors, related climate risks and vulnerabilities, and the magnitude of impact of climate change at national and at sub-national level, including observed and projected trends and how they affect the relevant areas and/or sectors identified as well as on sustainable development.

* 1. **Institutional and Policy Framework**

**i) Policy Framework**

Please describe the climate change (and sector) policy context relevant to this readiness proposal, including the climate change (and sector) policies, strategies, and/or related assessments (e.g. NDCs, NAPs, National Adaptation Programmes of Action, Technology Needs Assessments) for addressing climate change and sustainable development challenges. This may include an overview of the planning, development, and/or implementation status of those national climate change policies and/or strategies relevant for the readiness proposal, the key national climate change and climate finance priorities identified in the target priority sectors/areas and the alignment between national climate change/climate finance priorities and sustainable development goals.

**ii) Institutional Framework**

Please describe the institutional framework, including government ministries and agencies, responsible for planning, programming, and implementing climate change (and sector) and sustainable development policies and plans that are relevant to the readiness proposal. Please clarify the mandate/roles and the focus areas of those institutions in supporting the implementation of national climate change priorities in the target priority sectors/areas as well as enabling the engagement of civil society organizations, indigenous peoples, and local communities.

* 1. **Gender equality analysis**

Please include a brief analysis on the gender equality condition of the country, and if available, please explain how climate change has impacted people of different genders differently, in the areas or sectors to be supported by this readiness proposal and how better gender equality could contribute to the achievement of the proposal’s results. Where relevant, gender equality should be considered in the proposed interventions and integrated into the readiness proposal’s logical framework through identifying gender sensitive indicators as well as providing gender disaggregated data.

* 1. **Gaps and Barriers**

Please outline the gaps and barriers in the target sectors/areas that will be addressed by this readiness proposal. The gaps and barriers may relate to climate context, including evidence-based information to inform priorities, national/sectoral climate policies/plans/processes, alignment of climate priorities with national sustainable development goals, and/or human/institutional/technical capacities needed to support the planning, programming and implementation of the policies, plans and processes as appropriate.

The barriers must match those that will be presented in the Theory of Change section, and they should well justify the proposed set of interventions for the readiness proposal. To facilitate the review of the proposal, please number the gaps and barriers.

For each gap and/or barrier: (i) Provide a description of the specific deficiencies in the national/sectoral climate policies, plans, processes, and human/institutional/technical capacities that are to be overcome and/or factors that prevent progress or advancement against the desired goal with a clear linkage to the country’s background and context, and the Institutional and Policy Framework’s sub-sections above; (ii) Clarify the reasons why the gaps and barriers persist and cannot be addressed without readiness support; and (iii) Describe the needs that the readiness proposal will focus on in order to address the identified gaps and barriers.

* 1. **Problem statement**

Please provide a concise statement (two or three sentences) that summarizes the barriers described in earlier parts of the section that this readiness proposal will address. The problem statement should describe the main barriers to be addressed, who is affected, and the impacts of the barriers on climate change actions in the country/region. Based on the problem statement, the goal of this readiness proposal should be established. The goal should be the ultimate and desired changes that this readiness proposal aims to contribute to, but not what it will do or deliver. The proposed interventions corresponding to the problem statement should be adequately articulated in the narrative section of the Theory of Change (section 3) of the proposal.

* 1. **Beneficiaries**

Please describe the direct and indirect beneficiaries of this readiness proposal with relevant disaggregation, for example, by sex/gender, stakeholder (government, private sector, civil society organizations, indigenous peoples, local communities, etc.). Please ensure that the outputs and activities are designed to directly or indirectly address the needs and improve the situation of the identified beneficiaries.

* 1. **Stakeholder engagement**

Please describe how different stakeholders have been consulted in identifying gaps, challenges, and barriers and/or proposed solutions on the areas and/or sectors of this readiness proposal.

Stakeholder engagement ensures that the chosen readiness proposal objectives are fully aligned with country(ies) climate change plans/strategies and that inputs from the consulted stakeholders are adequately captured in the proposed readiness support.

On the basis of an analysis of readiness proposals so far, promoting consultation processes and ensuring the active involvement of stakeholders (e.g. civil society organizations, indigenous peoples, local communities, the private sector and Direct Access Entities) for country ownership and buy-in improve grant design and implementation. For example, enhanced stakeholder engagement and participation in determining the national and sub-national priorities for climate change actions proved to be essential to ensure that a Country Programme identifies the main priorities across sectors.

In particular, civil society involvement at an early stage improves the likelihood that the grants strengthen the inclusion of indigenous peoples and minority groups, including of indigenous knowledge. Private sector involvement can also contribute to better implementation, especially when its involvement is essential to ensure impacts are achieved.

Enhanced stakeholder engagement can prove key by contributing to the increased sense of ownership of all stakeholders.

* 1. **Synergies and Complementarity**

Please discuss all other relevant GCF Readiness grants, including adaptation planning, regional/multi-country proposals, and/or funding proposals that have been requested, received, and/or are pending from GCF. Discuss other past and ongoing initiatives, including initiatives supported by other development partners, that are relevant to the problem that the readiness proposal will address. Elaborate on the potential synergies and complementarities with those initiatives and discuss coordination mechanisms with those initiatives.

The information should be presented in a table (see below) and include the proposal titles and amounts in USD, objectives, and outputs/activities, implementing partners, implementation status and period, and synergies and complementarity with this proposal.

|  |  |  |  |
| --- | --- | --- | --- |
| Details of Readiness grants in the country (date of approval and implementation status/period, DP) | Objectives and key results expected / delivered | Synergies and Complementarities | Key implementation challenges and learnings |
| Example:  Grant reference: MLI-RS-001  Title: NDA Strengthening, including country programming (SP, NDA, CP)  Approved budget: USD $41,165  Duration: XX months (Start date / End date)  DP: | … | … | … |
|  |  |  |  |

### Section 3. Theory of change (ToC) (*indicative* maximum length: three pages)

*Please delete the below set of instructions before submitting the proposal.*

The Theory of Change (ToC) contains two key parts: diagram and narrative. The two parts require almost the same elements, such as goal statement, outcome results, output results, barriers, assumptions and risks, though the narrative part requires more detailed information and comprehensive analysis of change pathway.

The goal statement articulates how the goal will be achieved through a set of interventions with consideration of reliable risks and assumptions in vertical and horizontal ways. To formulate a good goal statement using the IF… THEN… BECAUSE structure, refer to the instructions provided in the section 3 of the revised Readiness guidebook. In brief, below is an explanation and example of each element of the goal statement structure.

* ‘If’ *explains the changes to be financed by the proposal. For instance, if the project achieves “y” (main considerations of the proposal at output level) or if “x is achieved.”*
* ‘Then’ *Describes the change or desired ultimate result which usually the goal of the proposal which should have been articulated in the section 2.5 (problem statement).*
* ‘Because’ *explains how the change will be demonstrable – it should be based on something measurable or verifiable: it should give few compelling reasons that clearly substantiate why the proposed “if–then” hypotheses should work (it should speak to intermediate results from the readiness request that substantiate why the ultimate desired change will happen), This part should be aligned to the expected outcome.*

**3.1. Theory of Change – Diagram**

The Delivery Partners are required to use the ToC-diagram template to illustrate the change pathway and interactions of different elements of the logic proposed in the Readiness proposal.

Diagram

Description automatically generated

The ToC-diagram helps articulate, demonstrate, and track the multiple pathways and linkages between outcomes, outputs and the corresponding barriers being addressed.

**3.2. Theory of Change – Narrative**

ToC narrative is a place where an articulation of change pathway could be described more comprehensively. Also, this is the place where all proposed interventions/activities are elaborated and explained on how the activities lead to the intended outputs, and how the achievements of output(s) directly address the identified barriers and contribute to the outcome(s), and how the outcome(s) contribute to the realization of the project’s goal. Such an articulation should also explain what risks could occur and how the project will treat them to allow the change pathway, as well as what key assumptions should hold true for the change pathway to progress.

The table below illustrates different levels of details/requirements for each element of the ToC between the ToC-diagram and ToC-narrative parts.

|  |  |  |
| --- | --- | --- |
| **ToC Elements** | **ToC-Diagram** | **ToC-Narrative** |
| Outcome and output statements | Verbatims from the RRMF. | Verbatims from the RRMF, plus the contextualization of each outcome and output. |
| Set of activities | Optional, but if included, they have to be brief and concise: What/who, when and where only. | Mandatory, and in full details. |
| Barriers | Brief and concise, and placed under the output part. | Clear explanation how each barrier will be addressed either under explanation of output or activity |
| Risks | Brief and concise, and placed after the barrier part with indication of relevance to either activities or output(s)/outcome(s). | Clear explanation if the risk related to the implementation of activities or achievement of output or outcome, and detailed how each risk will be mitigated. This has to be aligned with the analysis provided under the section 5.3. |
| Assumptions | Brief and concise, and placed after the risks/barrier part with indication of relevance, at least, to outcome(s). | Clear explanation about the assumption, and if possible, using previous experiences or lessons learned. |
| Causal effect relationship | Using arrows, vertically and horizontally between and across outcomes, outputs, activities, and barriers. | Narrative description provided within the description of outcome, output, activities. This description needs to be consistent with the relationship provided in the ToC-diagram. |

### Section 4. Logical framework

*Please remove these instructions with this statement in grey before submitting the proposal.*

*Please attach the Logframe.docm as a separate file with the application package.*

To develop the logical framework as part of the proposal preparation under the Readiness and Preparatory Support Programme, a separate Microsoft Word Template has been designed with embedded macro-functions that allows selection of relevant results and indicators in a consistent manner. Therefore, please use this [link](https://ipmsapplication.blob.core.windows.net/public/Readiness/RRMF/LogFrame.docm) to download the logframe template and provide relevant information to then submit it along with this proposal to the GCF Secretariat. The file name of this logframe shall be identical as “**Logframe.docm**” for all proposals, and it is **NOT** required to add anything else or to change the file extension type to “.doc” or “.docx” to allow for data synchronization across different applications at the Secretariat.

After downloading the template, please remember to save it to your local folder, and open the file directly from there to avoid technical issues with the macro functions. Then, make sure that the “Enable Editing” pop up message on the top of the document is clicked.

**Here are the steps for Microsoft:**

1. Download the logframe template from this [link](https://ipmsapplication.blob.core.windows.net/public/Readiness/RRMF/LogFrame.docm)
2. Go to the Download folder à right click à select “*properties”* à tick “*unblocked*” and click *“OK”*.
3. Open the file, any if any prompts appear, for example, “*enable editing*” or “*enable macros*” or “*enable contents*”, please select it.
4. Provide the entries
5. Save as the file “Logframe.docm” to the desired folder.

**Here are the steps for iSO:**

1. Download the logframe template from this [link](https://ipmsapplication.blob.core.windows.net/public/Readiness/RRMF/LogFrame.docm)
2. Go to the Download folder à put the cursor on the file (Logframe.docm), à put the cursor on “Open with” à click on “*Microsoft Word (default)*”, then click on “*Enable Macros”.*
3. Provide the entries
4. Save as the file “Logframe.docm” to the desired folder.

In case of any technical challenges, please send an email to [servicedesk@gcfund.org](mailto:servicedesk@gcfund.org)

For the entries, the NDA/DP should follow these steps:

1. Select one relevant objective in the 1st column
2. Select one outcome from the selected objective in the 2nd column
3. Select one output from the selected outcome in the 3rd column
4. Select one indicator from the selected output in the 4th column
5. Select or provide numeric value as target for the indicator in the 5th column
6. Provide Means of Verifications: tools to collect, or sources of the data for that indicator in the 6th column
7. Provide a note to explain the target (if relevant) in the 7th column
8. Provide a set of activities to be implemented in order to achieve the intended output in the last column. Activities should be brief and contain only what/who, when and where, while their details should be provided in the ToC-Narrative part.
9. Finally, if additional objective needs to be included, follow the step 1, and same applies to additional inclusion of outcome(s), output(s), and indicator(s), needs to follow step 2, step 3, and step 4 respectively by selecting the prior selected objective, outcome, output, or indicator, and click on “*Add extra objective/outcome/output/indicator below*”. Follow a similar process if you wish to delete any selected indicator, output, outcome and objective. However, please note that, if you delete an objective, the whole objective will be deleted including the selected outcome(s), output(s), and indicator(s), as well as other information that belongs to that objective.

For further details, please refer to the instructions provided in section 4 of the revised Readiness guidebook.

When preparing the logical framework, besides opening the logical framework template, NDA/DP should also consult the [RRMF grant output-level IRS](https://www.greenclimate.fund/document/rrmf-grant-output-level-indicator-reference-sheets-irs) for further details and explanation of each indicator.

### Section 5. Implementation arrangements and other information (*indicative* maximum length: eight pages)

*Please delete the below set of instructions in grey before submitting the proposal.*

* 1. **Implementation arrangements**

Please describe how the key stakeholders and the implementing partners will collaborate and coordinate a smooth implementation of the grant and ensure compliance with the GCF Policies and the Readiness Guidebook.

The organizations involved in the project may include the NDA, Delivery Partner, Implementing Entities, technical support organizations (if applicable), consultants (if applicable), and other relevant actors.

The role of the NDA should be in line with the principle of country ownership, with a clear articulation of whether the NDA participates in grant implementation and how, and whether the NDA receives any of the grant funds including the amount or percentage of the total. Please clearly state that the grant funds will not be used to pay for existing staff or consultants of the government or any beneficiaries.

If the Delivery Partner has a Framework Agreement, please include a statement that the Delivery Partner will be responsible for implementation of the readiness support and will carry out all fiduciary and financial management, procurement of goods and services, monitoring and reporting activities under this proposal in compliance with the Delivery Partner’s policies and procedures and with the Framework Agreement between the Delivery Partner and the GCF dated [date].

If the Delivery Partner will be entering into a bilateral grant agreement, please include a statement that the Delivery Partner will be responsible for implementation of the readiness support and will carry out all fiduciary and financial management, procurement of goods and services, monitoring and reporting activities under this proposal in compliance with the Delivery Partner’s policies and procedures and with the Bilateral Grant Agreement to be signed with GCF or UNOPS.

Please advise whether the DP has an office in the beneficiary country that will manage implementation of the grant. If there is no office in the beneficiary country, please advise how the DP intends to manage and coordinate grant implementation – e.g. via an Implementing Entity or consultant(s) in situ, managed by the DP’s regional office for example.

In summary:

* Please clearly articulate roles and responsibilities of all stakeholders involved in the grant (please see section 5.2 below).
* Define the NDA's role in project implementation, ownership, and decision-making process.
* Please describe the coordination strategies between DP and NDA in the implementation of the grant.
* Please specify implementation mechanism, roles, reporting mechanism, and fee rate of the Delivery Partner.
* Please clearly define implementation mechanism, method of selection, timeframes, share of grant funds, and control mechanism of any Implementing Entity(ies).
* Describe the reporting mechanism to the GCF on the implementation and financial performance of the Implementing Entities if applicable.
* Attach a copy of the capacity assessment report of the Implementing Entity;
* If there will be multiple Implementing Entities, describe the contractual arrangements and delineate responsibilities and relationships between the DP and the Implementing Entities and/or multiple countries grants.
* For regional or multi-country readiness proposals, please identify the lead NDA or Focal Point for the proposal and list the NDA or Focal Points of all participating countries that have confirmed their participation in the proposal and have submitted Letters of Financial Support to that effect.
* For project management units, steering committees or project management boards (or similar), please identify those units and describe how such units will be composed, how decisions will be made, how they will operate, who will adopt terms of reference (if any) and how the Delivery Partner will manage or oversee such units so that it can fulfill its obligations as the Delivery Partner.
* Please include a diagram or figure illustrating the implementation arrangements, which should show all parties involved in the implementation, the flow of funds, and the flow of information. The diagram should reflect the narrative provided in this section (5.1).
  1. **Implementation and Execution Roles and responsibilities**

Using the table below, please provide a clear description of the roles and responsibilities of all organizations and stakeholders involved in the grant.

Please include:

* Envisioned country level grant supported consultants (or staff when applicable under certain FWA agreement); and
* Information regarding the essential skills and experience of technical staff and consultants, in sufficient detail, to ascertain their ability to complete specific activities and deliverables.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Entity | Position Title | Outputs | Responsibilities | Minimum Qualifications |
| DP | Climate Change and Health specialist | 4.1.1. Concept Note Developed | Conduct stakeholder consultations and draft the Concept Note documents | Academic qualifications:   * Xxx * Xxx   Professional qualifications:   * Xxx   Xxx |
| DP | Project Manager | Grant delivered within the approved scope, cost, and timeline | Oversee and manage the grant delivery | Academic qualifications:   * Xxx * Xxx   Professional qualifications:   * Xxx * Xxx |

* 1. **Risk and Mitigation Measures**
     1. **Risk Assessment and Risk Monitoring Plan**

Please describe potential risks and risk monitoring plan in relation to the assumptions articulated in the TOC in section 3:

* Please list the key identified and potential risks as well as the mitigation measures proposed. The potential risks could include, for example, delays, disruptions, cost and market risks, inadequate coordination/participation, lack of political support, money laundering/terrorist financing, and prohibited practices.
* Please indicate the probability of occurrence (low/medium/high) and impact level (low/medium/high) for each potential risk.
* Please include the lessons learned from past grants or similar grants. Please list the frequency by which each risk will be monitored, reported and updated.
* If the grant will be managed remotely, please describe the measures (mechanisms and controls) to be taken to identify, assess, monitor, and mitigate any risk of money laundering, terrorist financing, or prohibited practices. Also, please confirm that a capacity assessment for such IE(s)/consultant(s) has been conducted, and advise any risks or vulnerabilities identified.
* Please describe the measures (mechanisms and controls) to be taken for activities within the proposal to identify, assess, monitor, and mitigate any risk of money laundering, terrorist financing, prohibited practices, and other integrity matters.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Risk category[[4]](#footnote-5) | Specific risk(s) / Risk(s) description | Probability of occurrence (low, medium, high) | Impact level (low, medium, high) | Mitigation action(s)  If relevant, specify the strategies adopted by the ongoing readiness grant in the country to mitigate the risks | Entity(ies) responsible to manage the risk(s) |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

* + 1. **Sanctions and Restrictive Measures**

Please confirm whether there are currently United Nations Security Council (UNSC) restrictive measures in force within any of the beneficiary countries. If yes, describe the restrictive measures and provide further information as to how the delivery partner (DP) will ensure compliance with the scope of any UNSC sanctions regimes.

* + 1. **Grievance Redress Mechanisms**

Please confirm whether mechanisms are available for third parties or anonymous persons to report allegations of possible wrongdoing in the projects/activities (i.e. a whistle-blower protection program), and describe applicable grievance redress mechanisms (GRM).

* 1. **Monitoring**

Drawing from the Readiness RRMF, please describe the monitoring plan for the Readiness Programme proposal. Through this plan, progress towards achieving results should be properly and systematically monitored. Please indicate how the monitoring will be conducted, by which organization, with what frequency, and how results of monitoring will be fed back into the implementation of the proposal and/or advise on any adaptive management. Below is a list of questions that should be explained in the monitoring plan:

* What monitoring activities are planned to be carried out? At what frequency? Who will perform these monitoring activities?
* What tools will be developed and used to monitor each output and indicator? More details can be provided on the identified MoV provided in the logical framework.
* How will the monitoring findings be used and fed into Project management decisions as part of adaptive management?
* What reporting arrangements have been planned?
* Is there any plan to train the Project staff and stakeholders to perform the monitoring activities? If so, how? If not, why not?

The final evaluation or terminal evaluation of the Readiness grant is no longer financially supported by the Readiness Programme, therefore, the GCF does not require this type of evaluation to be planned and budgeted.

* 1. **Other relevant information**

**Selection of Delivery Partner:** Please provide a summary of cooperation arrangement between the Delivery Partner and the NDA/Focal Point as well as the experience of the Delivery Partner managing similar grants in the country/region. Also, describe the selection and consultation process for the identification of the Delivery Partner and why it is considered best placed to implement the grant. Please provide sufficient disclosures and supporting documents, including for countries under UN sanctions.

**Exit and sustainability strategy:** Please describe the exit strategy and how will project sustainability be ensured in the long run. How will the sustainability be monitored post project implementation? And, how will the lessons learned be documented and disseminated with relevant stakeholders at the national and sub-national levels?

**Grant closure:** Upon completion of the grant activities, the grant recipient (Delivery Partner) shall transfer all tangible and intangible assets and their ownership to the grant beneficiaries or any other body(ies) designated by the NDA.

### Section 6. Budget, Procurement, HR and Implementation plans:

*Please delete the below set of instructions in grey before submitting the proposal.*

* 1. **Budget Plan**

The Readiness proposal must be accompanied by a detailed budget covering the proposal period. Whenever applicable, line-item descriptions should contain the following details:

* + Quantity
  + Unit of measure (days, months, trips, etc.)
  + Unit amount/rate
  + Total amount

If a budget line item is a Lump Sum, in the Budget Note, the Budget narrative must break down by built-in costs. Please complete the Budget Plan in Excel using the template available in the [Library](https://www.greenclimate.fund/library/-/docs/list/574044) page of the GCF website.

* 1. **Procurement Plan**

Please complete the Procurement Plan in Excel using the template available in the [Library](https://www.greenclimate.fund/library/-/docs/list/574044) page of the GCF website. For goods, services, and consultancies to be procured, please list the items, descriptions in relation to the activities in section 2, estimated cost, procurement method, relevant threshold, and the estimated dates.

**6.3 Human Resources (HR) Plan**

Please complete the HR plan using the Excel table available in the [Library](https://www.greenclimate.fund/library/-/docs/list/574044) page of the GCF website. Please list all staff expected to be employed in in relation to this Proposal.

**6.4 Implementation Plan**

Please complete the Implementation Plan in Excel using the template available in the [Library](https://www.greenclimate.fund/library/-/docs/list/574044) page of the GCF website.

1. Please note that for adaptation planning proposals, only the box for objective 3 may be ticked. [↑](#footnote-ref-2)
2. The implementation period shall begin on the date the grant is effective. [↑](#footnote-ref-3)
3. Please note that proposals for adaptation planning support (objective 3) cannot be submitted as multiple-year strategic Readiness proposals. [↑](#footnote-ref-4)
4. Risk categories can include: Operational, Political, Stakeholder engagement, Implementation, Natural-hazards related disasters, Unsustainability, Compliance, Money laundering, terrorist financing and prohibited practices, etc. [↑](#footnote-ref-5)