TRANSFORMATIONAL CLIMATE RESILIENCE WATER PROJECT CONCEPTS IN AFRICA FOR THE GREEN CLIMATE FUND

Africa Water Investment Programme (AIP)

REPORT OF THE INAUGURAL TECHNICAL WORKSHOP ON PREPARATION OF CLIMATE RESILIENT WATER PROJECT CONCEPTS AND PROPOSALS

Held at the Vulindlela Academy Auditorium,
Development Bank of Southern Africa (DBSA)
Midrand, South Africa

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Report of the Inaugural Technical Workshop On Preparation of Climate Resilient Water Project Concepts and Proposals

Organized by:
Global Water Partnership

In collaboration with:
African Water Facility, Africa Climate Change Fund, African Development Bank,
Climate Resilient Infrastructure Development Facility and Development Bank of Southern Africa

With technical input from:
The Green Climate Fund, and
World Meteorological Organization

Held at the Vulindlela Academy Auditorium,
Development Bank of Southern Africa (DBSA)
Midrand, South Africa

19th to 21st September, 2018

Executive Summary

The Inaugural Technical Workshop on Preparation of Climate Resilient Water Project Concepts and Proposals took place from 19th to 21st September 2018 in Midrand, South Africa. The event was hosted by the Development Bank of Southern Africa (DBSA) and attended by 107 persons, including representatives from National Designated Authorities (NDAs) for the GCF, Direct Access Entities (DAEs) and water ministries from 24 African countries. The event was organised by the Global Water Partnership (GWP) in collaboration with the African Development Bank (AfDB), African Water Facility (AWF), Africa Climate Change Fund (ACCF), Development Bank of Southern Africa (DBSA), Infrastructure Consortium for Africa (ICA), and Climate Resilient Infrastructure Development Facility (CRIDF). Technical inputs to the workshop were provided by the Green Climate Fund (GCF) and the World Meteorological Organization (WMO).

The workshop featured speeches, technical presentations, case study presentations and group work. A major motivation for the workshop was the need to increase capacity of national institutions in Africa to access GCF resources for transformational climate resilience water projects. Skills to prepare quality project proposals are generally weak across the continent. Moreover, coordination among national agencies with a role in preparation of GCF projects is poor. The agencies seldom communicate with one another and rarely work together on project preparation for GCF water projects. Inadequate capacity and weak coordination greatly weakens ability of countries to prepare coherent, well-articulated projects and tap into funding opportunities to address the risks posed by climate change. The workshop was held to address these weaknesses and had a special focus on accessing resources for the water sector, from the Green Climate Fund (GCF).

The need for the water community in Africa to adapt to impacts of climate change has become more urgent as the impacts of the phenomenon are increasingly felt across the continent and are having a weakening effect on water security, which underpins human wellbeing, food security, energy security, environmental sustainability and general socio-economic development. The water sector in Africa lags behind other sectors such as energy in responding to the impacts of climate change.

The specific objectives of the workshop were fivefold, namely:

1. To present to participants the GCF, its mandate, investment criteria, funding windows, and its operational modalities and procedures for delivering climate finance to water initiatives;
2. To provide an opportunity to discuss GCF financing instruments, along with fit-for-purpose examples of climate rationale, project design, and financing instrument selection in the African context ;
3. To provide an opportunity to discuss methodologies for articulating incremental costs of climate-proofing water projects;
4. To review challenges and constraints, and explore solutions for Direct Access Entities (DAEs) to coordinate with National Designated Authorities (NDAs), and ministries in charge of water and water-related sector actors in the preparation of GCF projects; and

5. To identify opportunities and follow-up activities for Concept Note preparation by participants.

All the objectives were achieved. Several presentations were received that helped explain the GCF and its financing widows to the participants. Key topics covered in the three days of the workshop included Introduction to the GCF; GCF Investment Criteria; GCF Climate Rationale; GCF Project cycle, readiness grant and Project Preparation Facility (PPF); GCF Water sector project portfolio; GCF Financing Instruments; GCF Privates Sector Facility (PSF); preparing GCF Project Concept Notes and Funding Proposals; climate impacts on water; case studies of country experiences in preparing GCF Concept Notes and Project Proposals; case studies of country experiences of coordination of GCF activities amongst national entities (National Designated Authorities, Direct Access Entities, Implementing Entities, Executing Entities, sectoral agencies); mandate and activities of the convening partners and other relevant case studies.

In preparation for the workshop, countries were asked to develop project ideas for GCF financing. A total of 46 project ideas were submitted by the countries before and during the workshop. The workshop included two group work sessions during which participants, with guidance from the partners, applied the GCF Investment Criteria to a self-review of their project ideas. The review revealed that country project ideas were weak on all six GCF Investment Criteria, but especially on the climate rationale and clearly indicating the additionality in development interventions due to climate change. During the workshop, participants also had a go at re-writing the project concept note, using the new information received in the workshop. Countries are expected to continue working on their project ideas and to improve them to a level where they ca be submitted to the GCF.

To facilitate the post-workshop process of working on project ideas, the partners launched an informal mechanism termed the *Project Preparation Partnership for Climate Resilient Water Projects in Africa*. The mechanism makes use of a web-based portal through which country entities can request, and receive from the partners, specific support in concept note preparation for GCF financing. The support from the partners is provided in the countries and can take the form of technical assistance, advice, training, mentoring, coaching, supervised practice, etc. and may last from a few days to several weeks. Support from the partners will cease at the stage at which a country's concept note is accepted by the GCF. Thereafter, it will be up to the country to decide how it will go about the development of the full funding proposal.

The launch of the informal partnership mechanism has also ensured that the South Africa workshop has not been yet another one-off event but the start of a long-term capacity building effort through which National Designated Authorities (NDAs), Direct Access Entities (DAEs), Implementing Entities (IEs), Executing Entities (EEs), water sector agencies and partners will collaborate to informally exchange ideas and share knowledge to strengthen the GCF project pipeline in Africa ■

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Abbreviations and acronyms

ACCF	Africa Climate Change Fund
AF	Adaptation Fund
AfDB	African Development Bank
AWF	African Water Facility
CFF	Climate Finance Fund
CRIDF	Climate Resilient Infrastructure Development Fund
DAE	Direct Access Entity
DBSA	Development Bank of Southern Africa
DEA	Department of Environmental Affairs
DWS	Department of Water and Sanitation
EA	Executing Agency
ESS	Environment and social safeguards
GCF	Green Climate Fund
GWP	Global Water Partnership
IAE	International Access Entity
ICA	Infrastructure Consortium for Africa
IPP	Independent Power Producer
LDC	Least Developed Country
NAMA	Nationally Appropriate Mitigation Actions
NAPA	National Adaptation Programme of Action
NDA	National Designated Authority
NDC	Nationally Determined Contributions
NEMA	National Environment Management Authority
NIE	National Implementing Entity
ORASECOM	The Orange-Senqu River Commission
PPF	Project Preparation Facility
PSF	Private Sector Facility
SADC	Southern Africa Development Community
SANBI	South Africa Biodiversity Institute
SAP	Simplified Access Process
SIDS	Small Island Developing State
UNFCCC	United Nations Framework Convention on Climate Change
WHYCOS	World Hydrological Cycle Observation Systems
WMO	World Meteorological Organisation

1. INTRODUCTION

1.1 THE GREEN CLIMATE FUND

The Green Climate Fund (GCF) is a fund established within the framework of the UNFCCC as an operating entity of the Financial Mechanism to assist developing countries in preparing and implementing programmes aimed at adapting to, and mitigating impacts of, global climate change. The GCF operates from a Secretariat based in Songdo, South Korea and is governed by a Board of 24 members. The Fund is specifically mandated to promote country-driven, climate-resilient, and low-carbon development and is expected to become a primary channel through which international public climate finance will flow over time. The Fund targets to raise $100 billion a year from public and "leveraged" private sources to fund climate programs. The present portfolio of the Fund comprises of 76 projects with a budget of US$ 3.74 billion.

1.2 THE AFRICA WATER INVESTMENT PROGRAM (AIP)

The inaugural workshop was organised under the framework of the Africa Investment Programme (AIP), which is a legacy water initiative developed by the Global Water Partnership (GWP) in collaboration with the African Union Commission, African Development Bank (AfDB) and African Water Facility (AWF).

The AIP has been designed to tackle several key challenges and obstacles holding back the development of the Water and Sanitation Sector in Africa. Key among these challenges is the very weak capacity for preparation and implementation of bankable investment projects, as a result of which, too few bankable investment projects get prepared relative to the high demand for investments. Another major challenge is the very slow pace at which water investments move from conception to implementation, partially due to the weak capacity for project preparation and appraisal. Recognising the important role that capacity building can play in unleashing Africa's development potential, the AIP is targeting one of its very first interventions in building capacity of government officials in preparing bankable projects in the area of climate change adaptation.

1.3 PROBLEM STATEMENT

Africa is the continent most vulnerable to impacts of climate change, but Africa is also the continent with the least ability to adapt, and with a huge and widening adaptation gap estimated to be in the region of US$ 6-14 billion per year. Africa's high vulnerability to impacts of climate change arises from (a) natural fragility of its ecosystems given that two thirds of the continent is covered by arid and semi-arid drylands; (b) frequent occurrence of natural disasters, especially floods and drought; and (c) strong dependence of livelihoods and economies on climate-sensitive environmental systems and rainfed agriculture.

One of the underlying factors for the low level of climate change adaptation and mitigation on the continent is the limited capacity of African countries, many of which are least development countries, to fund large adaptation and mitigation programs nationally. In recognition of this constraint, the international community set up several climate funds, including the GCF, to support adaptation and mitigation measures in the developing world. However, to date, very few African countries have been able to access GCF funds due mainly to limited understanding of the GCF's funding modalities and proposal requirements compounded by weak capacity for preparation of project proposals that meet the Fund's requirements.

Specifically in terms of the GCF, for a country to be able to access funding, it needs to present well designed and highly impactful project proposals – i.e. those based on solid science, presenting evidence of climate change, analysing vulnerabilities, quantify impacts on sectors and geographical regions, presenting a suite of carefully selected measures to respond to the threat, and making a compelling case for the project. The weakness in capacity is greater in the water sector when compared to other sectors like energy, agriculture and environment.

2 INAUGURAL TECHNICAL WORKSHOP ON PROJECT PREPARATION

2.1 THE SOUTH AFRICA WORKSHOP

In response to the above problem, the Global Water Partnership (GWP) in collaboration with a number of partners (the African Water Facility (AWF), Africa Climate Change Fund (ACCF), African Development Bank (AfDB), Climate Resilient Infrastructure Development Facility (CRIDF), Development Bank of Southern Africa (DBSA)) and with technical input from the Green Climate Fund Secretariat) organised the first-ever training workshop on project preparation for water ministries from across Africa. The workshop was held from 19th to 21st September, 2018 at the Vulindlela Academy Auditorium, in the compound of the Development Bank of Southern Africa, in Midrand, South Africa.

2.2 WORKSHOP THEME

The theme of the workshop was "*Transformational Climate Resilience Water Project Concepts in Africa for the Green Climate Fund*".

2.3 WORKSHOP OBJECTIVES

The workshop responds to country needs and expressed demand for support to strengthen capacity of National Designated Authorities (NDAs), Direct Access Entities (DAEs), and Water Ministries to prepare climate resilience water projects that can access GCF financing.

The specific objectives of the workshop were fivefold, namely:

1. To present to participants the GCF, its mandate, investment criteria, and its operational modalities and procedures for delivering climate finance to water initiatives through different windows;
2. To provide opportunity to discuss GCF financing instruments, along with fit-for-purpose examples of climate rationale, project design, and financing instrument selection in the African context ;
3. To provide opportunity to discuss methodologies for articulating incremental costs of climate-proofing water projects;
4. To review challenges and constraints, and explore solutions for DAEs to coordinate with NDAs, and ministries in charge of water and water-related sectors in the preparation of GCF projects; and
5. To identify opportunities and follow-up activities for Concept Note preparation by participants.

2.4 WORKSHOP EXPECTED OUTCOMES AND PARTICIPANTS EXPECTATIONS

2.4.1 Workshop expected outcomes

The workshop expected outcomes were presented as the following:

1. Enhanced understanding of the GCF impact criteria, operational modalities and procedures.
2. Clear understanding of GCF investment criteria, finance instruments and concrete steps needed to prepare strong water-related adaptation project proposals.
3. Improved understanding of methodologies for articulating climate rationale and estimating incremental costs of climate-proofing water-related investments.
4. Enhanced understanding of the roles and responsibilities of all parties involved throughout the project cycle.
5. Potential GCF project concepts identified and

6. Post-workshop support mechanism (*Project Preparation Partnership for Climate Resilient Water Projects in Africa*) launched.

2.4.2 Participants' expectations from the workshop

After the presentation of the workshop expected outcomes from the organisers' side, participants were invited to give their firsthand experiences and expectations from the workshop. Participants' expectations coincided with, and amplified upon, the workshop expected outcomes. Participants mainly expected that the workshop would be used to:

1. Obtain clarity on a wide range of issues concerning GCF funding and criteria used to evaluate GCF proposals.
2. Receive guidance from various stakeholders on approaches and operational modalities for accessing GFC financing.
3. Improve knowledge about existing opportunities to support countries in building capacity for, and prepare GCF project proposals.
4. Improve knowledge and skills for articulating climate change rationale and preparing project justification.
5. Learn how to align projects to core development objectives
6. Learn from past mistakes made in the preparation of concept notes and GCF funding proposals; learn how to improve the project ideas submitted before the workshop.
7. Learn how to translate project concepts into full funding proposals.
8. Produce real concrete outcomes in terms of project concepts that can be taken to the GCF for funding.
9. Share ideas and experiences amongst the different partners and countries; hear about the experience of different countries with respect to building climate change resilience and working with the GCF.
10. Improve understanding of the roles of different actors in moving forward with the initiative to scale up capacity building and project preparation activities in the water sector in Africa.
11. Place partners in a position to start advancing climate change interventions in the region.
12. Strengthen collaboration and networking amongst the partners and countries in promoting capacity building and the preparation of concepts and project proposals for GCF financing.

2.5 WORKSHOP PROGRAMME

The workshop featured official speeches, technical presentations, case study presentations, interactive discussions and group work. The scope of the workshop was deliberately broad to give participants an idea of the range of considerations that come into play in preparing a project idea for GCF financing. The full workshop programme is attached as Annex 1.

2.6 PARTICIPANTS

The workshop brought together 107 stakeholders from a diversity of backgrounds, all of whom were committed to the common cause of advancing the building of climate change resilience in the water sector. Institutions represented in the workshop included National Designated Authorities (NDAs) for the GCF; Direct Access Entities (DAEs) accredited to the GCF; Water Ministries; Project Preparation Facilities (PPFs – AWF and CRIDF); Private Sector Promotion Entities; the GCF Secretariat; Global Water Partnership; and World Meteorological Organisation. The multiplicity of backgrounds and experiences provided a rich diversity of perspectives on ways to go about the translation of project ideas into project proposals, and enhancement of the climate resilience of the water sector. The full list of participants is attached as Annex 2.

2.7 EXPERTS/RESOURCES PERSONS

Workshop facilitators/resource persons were drawn from the following expert groups: GCF Accredited Entities and NDAs; climate science specialists; GWP and partner organizations including the African

Development Bank's African Water Facility (AWF) and Africa Climate Change Fund (ACCF), the Climate Resilient Infrastructure Development Facility (CRIDF), and the Development Bank of Southern Africa (DBSA); World Meteorological Organization (WMO) and GCF Secretariat officials.

The workshop provided opportunity for participants to network and share ideas.

Proceedings Of The Inaugural Technical Workshop On Project Preparation

3 SESSION 1: INTRODUCTION

3.1 PERSPECTIVES FROM CONVENING PARTNERS

3.1.1 Overview

This session was moderated by Mr. Alex Simalabwi, Executive Secretary of GWPSA. Mr. Simalabwi informed participants that the workshop had been long in preparation but was happy to note that it finally was taking place. He informed the meeting that the Partners and National Designated Agencies who had been behind the organisation of the workshop were keep to see that this would not be another of those events – yet another workshop – but it would be the start of a long programme to improve project preparation for climate financing in the water sector.

Mr. Simalabwi (GWP) and Mike Salawou, Manager-AfDB Division of Infrastructure and Partnership, review the day's program

Mr. Simalabwi informed the meeting that the partners who had convened the workshop were well aware that they did not themselves know everything about climate issues in the water sector, and project preparation for climate financing. For this reason, he said, the partners would be taking a back seat during the discussions, and would be listening and learning from the exchanges.

Mr. Simalabwi created a panel comprised of representatives of the partners behind the workshop. The purpose of the panel was to introduce the partners to the audience, and given then an opportunity to explain why they had got involved in the initiative and how they hopped to ensure that this would not be just another workshop. The panellists are listed below.

Name	Position and Institution
Olympus Manthata	Head Climate Finance Unit, DBSA
Louise Helen Brown	Coordinator, ACCF at AfDB
David Hebart-Coleman	Climate Specialist, African Water Facility
Charles Reeve	Team Leader, CRIDF
Frederik Pischke	GWP Stockholm
Mike Salawou	Division Manager, Infrastructure and Partnerships, AfDB/ICA

The remarks of each of the panellists are summarised below.

3.1.2 Olympus Manthata, Head Climate Finance Unit, DBSA

- DBSA is very excited to host the Technical Workshop on Project Preparation.
- DBSA expects that the workshop will be an important milestone in advancing initiatives aimed at building climate resilience and water projects in the region.
- DBSA further expects that the workshop will address several challenges related to accessing climate financing, specifically from the GCF. These include:
    - The ability to properly articulate climate rationale.
    - Differentiation of normal development outcomes from climate change outcomes.

- Finding the right balance between core benefits to communities and addressing climate interventions.
- How to articulate climate rationale in circumstances of inadequate scientific data.
- Appropriate financing instruments to support climate change adaptation and mitigation programs; proper ways of apportioning the flow through on concessions to poor communities.
- Expectations from middle income countries that have large segments of people in the low-income bracket – how this is taken into consideration in GCF concessionality.

3.1.3 Louise Helen Brown | Coordinator, Africa Climate Change Fund (ACCF)

- The ACCF, which supports project preparation, institutional strengthening and training around accessing climate finance, is excited to be part of the workshop that provides an opportunity for learning.
- The workshop is unique from other GCF workshops in as far as there is a very strong focus on the water sector, which is an important sector for most African countries.
- The focus on the sector, she said, will make it possible to go into greater detail in understanding the challenges that Direct Access Entities are facing in their efforts to develop climate resilient project proposals. The focus will also make it possible to not only stop at theory but to go beyond - reviewing the case studies that the countries have generated and applying some of the GCF financing requirements to the projects to obtain a better understanding of how exactly the GCF works, and how to access the funds within the context of real examples.

3.1.4 David Hebart-Coleman | Climate Specialist, African Water Facility

- Said that the AWF has been in existence for 12 years during which it has supported interventions in climate change with an evolving focus. Initially, the focus was on building the knowledgebase for understanding climate change. This was followed by a phase of strengthening the safety of social systems from impacts of climate change.
- AWF is now in a third phase in which climate change is viewed as an opportunity for addressing development challenges.
- Said that a considerable proportion of the money mobilised by The African Development Bank is increasingly geared to supporting Climate Change action in several sectors in Africa. The bank targets to achieve 50/50 balance between mitigation and adaptation in the climate program and faces similar challenges of obtaining quality proposals. Said the AfDB is also looking to learn from other development banks on how they have gone about addressing these challenges.

3.1.5 Charles Reeve | Team Leader, CRIDF

- The opening remark was that climate change is a reality: it is not something that may or may not happen in the future - it is already happening.
- CRIDF, Dr. Reeve said, has been supporting countries in Southern African to develop water sector projects that incorporate climate change adaptation. CRIDF has worked with the Ministries of water in supporting access to climate financing, specifically from GCF.
- Most of the Water Ministries, he observed, neither know how to prepare project proposals for GCF funding nor how to access GCF funding.
- He noted, furthermore, that the linkage between the Ministries of Water and NDAs is weak in most countries, which is partially responsible for the limited capacity of the water ministries to access GCF financing.

- One of CRIDF's aspirations for the workshop, he said, is to start building partnerships between the Ministries of Water and actors that can support them in the preparation of, and mobilising financing for, climate change projects.

- CRIDF has experience working with the NDA in Zimbabwe and supporting transboundary RBOs in preparation of climate change project concepts.

- Dr. Reeve made the following further points:
    - Infrastructure is critical to addressing the challenge of climate change. There is a large infrastructure backlog and a large infrastructure financing gap in Southern Africa.
    - Climate funds offer a huge opportunity for addressing the infrastructure deficit of the region.

3.1.6 Frederik Pischke from GWP Stockholm

- Said that GWP is engaging in climate change activities because it has seen from its programming work over the past decade that an integrated approach to water resources management needs to include climate change adaptation.

- Informed participants that GWP has a long-standing relationship with WMO in flood and drought management, which has enabled it to see the urgency of climate issue and the need to shift gear and work with partners in addressing issues of climate vulnerability in the water sector.

- Said that to GWP, the technical workshop is the start of this new initiative – the start of working together in a partnership to take forward previous work in building climate resilience through GWPs networks and partnerships that are present in over 80 countries worldwide.

- GWP, he said, therefore views the present workshop as an important stepping stone to build capacity, including the capacity of GWP's partners, in preparation of bankable project proposals, and taping into opportunities for climate financing.

- He informed the meeting that GWP has initiated arrangements to hold a similar training workshop (on project preparation for GCF financing) for the Asia region in partnership with the Asian Development Bank (ADB) in Mandaluyong, Metro Manila, Philippines. The training is expected to take place from 15-16th October 2018.

3.1.7 Mike Salawou, Division Manager for Infrastructure and Partnerships at the AfDB/Also involved with the ICA

- Said that ICA is an initiative hosted by the African Development Bank and supported by the G8. The initiative promotes increased investment and development of infrastructure in Africa. The membership of the ICA includes the G8 countries, the World Bank Group, the African Development Bank (AfDB) Group, the European Commission, the European Investment Bank and the Development Bank of Southern Africa.

- Said that the ICA has for long supported the preparation of bankable project proposals across all sub-sectors of infrastructure in Africa (i.e. transport, energy, ICT and water) and served as a platform for high level dialogue to eliminate bottlenecks around financing of infrastructure, leveraging of existing instruments, and mobilising resources for infrastructure development.

- Noted that the ICA has been collaborating with the GWP in a number of water sector programs including working together on an instrument to make water projects more bankable.

- Said he was honoured to be invited to the forum where he would be discussing with others on how to make the water sector more climate resilient and investment ready.

- Wished to use the forum to explore a possible role for the ICA in continued efforts to promote

infrastructure project preparation in the water sector in Africa.

3.2 REMARKS FROM THE GREEN CLIMATE FUND

The remarks from the Green Climate Fund (GCF) were given by Mr. Alastair Morrison, Water Sector Senior Specialist at GCF. Mr. Morrison introduced himself as the officer at the GCF responsible for receiving, evaluating and recommending for approval all water sector concept notes and project proposals. The GCF, he said, was looking to the workshop to communicate better what it looks for and what its board seeks in concept notes and proposals; GCF's interpretation of the Paris Agreement and other resolutions on climate financing; and how GCF looks at NDCs and NAPs and factors them in evaluating project proposals.

Mr. Morrison informed the workshop that GCP was moving forward with its project portfolio. To date, GCF had committed US$ 3.74 billion to projects over US $ 700 million of which was coming from the water sector. They currently were working with 59 representative entities and had set a special priority to work in Least Developed Countries, six of which are in Africa. The board had set for the fund a target of 50% of funding to be in the LDCs, and this had already been exceeding as 60% of current funding was going to the LDCs. Mr. Morrison further said that GCF had a special ambition to work with Direct Access Entities and to approve at least six projects prepared by Direct Access Entities per year. He concluded by saying he was looking forward to interacting with the participants over the three days of the workshop, and hearing about their ideas, view points and proposals on project development and the evaluation criteria, and how working together with participants, successful project proposals could be prepared for The Green Climate Fund.

3.3 REMARKS FROM THE DEPARTMENT OF ENVIRONMENTAL AFFAIRS

A representative of the Director General of the Department of Environment Affairs (DEA) of the Republic of South Africa extended a warm welcome to participants on behalf of the DEA and said she was happy to note the level of eagerness amongst partners to help countries address the issue of preparing proposals for GCF financing. The representative further said she was looking forward to the outcomes of the workshop, especially the recommendations for solutions to improving project preparation in the region.

3.4 OPENING REMARKS FROM THE HOST INSTITUTION

The official opening remarks were given by Ms. Boitumela Mosako Chief Finance Officer, DBSA. In here remarks, Ms. Mosako:

- Welcomed partners and participants to the workshop on behalf of DBSA's CEO
- Pointed out that she firmly believed that Africa's solutions should come from Africa and, in this regard, was happy to officiate at this workshop that was set to find solutions for the climate change threat to the water sector in Africa.
- Remarked that a few years ago, the talk of climate change by Al Gore and others looked like just talk but today the reality of climate change was being experienced all across Africa. The Southern Africa region was experiencing frequent floods and droughts, including the recent water crisis in the Cape Town and Limpopo Basin.
- Informed participants that DBSA's vision is "to bring about a prosperous and integrated resource-efficient region progressively free of poverty and dependency" and pointed out that the water sector is one of the important sectors through which to achieve this vision.
- Stated that DBSA was currently engaged in developing various financial instruments and focusing on promoting innovation, including innovation in technological solutions for climate change and water crises.
- Remarked that DBSA was pleased to host the technical workshop on project preparation, which will provide a platform for National Designated Authorities and Direct Access Entities to receive strategic and technical support for climate resilient water investment.
- As part of its accreditation to the GCF, the DBSA has committed to supporting countries

and other entities in building their capacity to prepare project proposals and access GCF financing.

- GFC support and financing opportunities exist. What needs to be worked out is how countries best position themselves to efficiently and effectively use the available opportunities for the benefit of the people of the continent.

Ms. Boitumela Mosako, Chief Finance Officer, DBSA (on the right) performing the official opening of the workshop.

- Observed that countries had come to the workshop with project concepts that could be turned into viable project proposals for GCF funding, and remarked that partners were positioning themselves to finance some of these initiatives.
- Expressed an expectation that the workshop will serve as a robust pipeline for climate-resilient water projects that will transform the lives of the people of Africa.
- Pointed out that the mandate of DBSA was extended a few years ago to include the entire continent. Accordingly, one of the strategic objectives of DBSA, she said, is to catalyse investments across the continent of Africa, and in this regard, project preparation is a key action.
- Stressed that DBSA was looking forward to the project concepts coming to life, and was positioning itself to finance some of the interventions in the future.
- Acknowledged and expressed appreciation for the work done by GWP in collaboration with other partners (AWF, AfDB, ACCF, CRIDF and DBSA) in preparing for the workshop and handling participants' logistical issues.
- Expressed gratitude to the Department of Environment Affairs (DEA) and Department of Water and Sanitation (DWS) for support given to the DBSA.

- She concluded by saying she looked forward to working with partners and participants in building and finding solutions for Africa.
- With the above remarks, she warmly welcomed participants to the DBSA facility and declared the workshop officially open.

Participants at the Inaugural Technical Workshop on Project Preparation.

3.5 PORTFOLIO OF WATER PROJECT IDEAS IN AFRICA FOR THE GREEN CLIMATE FUND

In this presentation, Mr. Alex Simalabwi of GWPSA presented to the participants the outcomes of Project Idea evaluation. In preparation for the workshop, countries were tasked to prepare draft project ideas on building climate resilience in the water sector, and submit them for review through their NDAs. The draft project ideas have the potential to be turned into Project Concepts and eventually into Project Proposals for GCF funding. At the beginning of the workshop, 39 project ideas from 20 countries had been received. By the close of the workshop, this number had risen to 46 project ideas from 22 countries. The projects are attached as Annex 3.

Project ideas were subjected to rapid evaluation against the requirement for climate rationale and GCF's six investment criteria (i.e. impact potential, paradigm shift potential, sustainable development potential, needs of the recipient, country ownership and efficiency and effectiveness).

The main weaknesses of the project ideas submitted by the countries were the following:

1. In many of the proposed projects, the additionality necessary due to climate change is not clear. Additionality refers to the extra costs incurred as a result of climate change, which are the costs that the GCF targets to fund.
2. The link between climate change impacts and scope of proposed interventions measure is weak in many projects. A Theory of Change of the project does not come out clearly in many of the cases.
3. The paradigm shift potential of projects is weakly articulated. More work needs to be done in describing the potential for replicability of the project and elaborating a strategy for its upscaling/mainstreaming.
4. A number of projects focused solely on research and capacity building. These need to be bundled with other hardware interventions focused on improving adaptive capacity on the ground to be eligible for GCF funding.
5. A strong climate change rationale was missing from most project ideas. A strong climate rationale, according to GCF, draws on credible science, provides evidence of climate change

impacts, presents a set of optimal measures to address climate change risks, and integrates decision making into long-term low-emission climate resilient development.

The workshop was designed to address these weaknesses and help the countries improve upon these and other areas of weakness.

Mr. Alex Simalabwi presenting the review of GCF project ideas

Mr. Abera Endeshaw from Ethiopia contributing to the discussion of country project ideas.

4 SESSION 2: GCF INTRODUCTION

4.1 INTRODUCTION TO THE GCF

By: Jason Spensley, Senior Specialist, Project Preparation and Adaptation Planning, GCF

This was the first of a series of presentations designed to demystify the GCF and explain its mandate and current status, and introduce the GCF project programming cycle and aspects of environmental and social safeguards.

The GCF was introduced as the world's largest multilateral funding dedicated to climate action across multiple sectors (energy, transport, forestry, ecosystems, livelihoods, agriculture, health and water security) in developing countries. A number of features make the GCF unique such as its emphasis on transformation/paradigm shift, the strong climate rationale, the strong country ownership and country driven nature of project formulation, and the fact that it is a fund and not a bank. It's being a fund enables it to deploy a variety of financing instruments, support upstream preparations and engage across public and private sector to de-risk climate investments.

The present scale of GCF financing is US$ 10.3 billion in pledges; 76 projects approved so far; US 3.74 billion committed and US$ 8.86 billion co-financing mobilised. The fund targets to achieve 50/50 balance between adaptation and mitigation with 50% of adaptation measures being in LDCs, SIDS and African States. About 20% of current funding addresses interventions related to water. Four types of financing instruments are used by GCF. These are Grants (42% of funding); Loans (43%); Guarantee (3%) and Equity (11%).

All projects to the GCF are presented by and implemented by accredited entities with endorsement of the National Designated Authority. To date there are 59 accredited entities 32 of whom are Direct Access Entities (DAE) and 27 are International Access Entities (IAEs). There are some modalities under GCF to support the DAEs – who are national or regional organisations – in preparing project proposals for GCF funding.

GCF applies six criteria in evaluation of concept notes and project proposals. These are: impact potential, paradigm shift potential, sustainable development potential, needs of the recipient, country ownership and efficiency and effectiveness. All the criteria are important but much emphasis is put on the impact potential (i.e. the potential to contribute to achievement of Fund's objectives and result areas) and paradigm shift potential (i.e. the long-term impact beyond a one-off investment). GCF's results areas are 8: energy; transport; buildings, cities and industries; ecosystems; livelihoods of people and communities; health, food and water security; forests and land use; and infrastructure.

The GCF Programming Cycle has a number of building blocks and several opportunities for water sector partners to engage with and obtain support from the GCF. The basic building blocks are: (1) GCF Country Programming - which is the basis for a country's vision and strategy on how to engage with and benefit from the GCF vis-a -is other financing opportunities within the sector; GCF provides support for country programing (2) Readiness – under which up to US$ 3 million may be provided per country for strengthening of the NDA, capacity building and accreditation of Direct Access Entities, adaptation planning, project pipeline development, etc. (3) concept notes; (4) Project Preparation Facility (PPF) - to support preparation of major project proposals) and (5) funding proposals. GCF aims to ensure that at least 50 per cent of the readiness support goes to vulnerable countries, including Least Developed Countries (LDCs), Small Island Developing States (SIDS), and African States. It is good practise to first submit a Project Concept to GCF so as to obtain feedback that can be used in preparing the project proposals, but it is also possible to straight away submit a project proposal.

Mr. Jason Spensley introducing the GCF.

The Project Preparation Facility (PPF) is a relatively new facility that is especially meant for Direct Access Entities to access grant financing to carry out studies and analyses needed to prepare project proposals for micro- to small-size projects. The PPF application has to be accompanied by a Concept Note and the NDA's no-objection letter.

The Simplified Approval Process (SAP) is a modality for supporting micro-funding proposals (for projects of up to US$ 10 million). Requirements and procedures have been simplified at the stages of project preparation (simpler documents, fewer pages), review, approval and disbursement. Eligible projects should be ready to be scaled-up and have potential for transformational impact; required funding from GCF should not exceed US$ 10 million; and have minimal to no environmental and social risks (category C project).

Environmental and social safeguards are embedded in all stages of the GCF programming cycle. All project concepts and proposals are self-screened by the developers and assigned a risk categorization based on potential impacts. The risk category then determines the rigorousness of environmental and social impact studies and mitigation measures associated with a project. The GCF has adopted the IFC's environmental and social safeguards

A fundamental aspect of GCF project preparation is gender consideration. The GCF aims to move beyond equal participation and representation of women and men to active and effective participation of both genders to influence the design and implementation of the project. Stakeholder engagement is a critical part of the project design that provides opportunities to enrich the gender components of the project. The GCF places emphasis on having a Gender Specialist as part of the Project Design Team, on the collection of gender disaggregated data and on ensuring that gender action plans are based on gender analysis.

4.2 INTERACTIVE DISCUSSION ON THE GCF

An interactive discussion ensure during which question were asked and answered, and viewpoints and experiences shared. The questions posed, and response received, during the interactive discussion on the GCF are the following:

1. Clearly many of the projects will not be stand-alone interventions, but part of broader interventions addressing the building of climate resilience. How is the element of additionality handled in such a case? Does it make sense to have a project solely addressing the additionality due to climate change?

   Response: *Most projects of this nature are implemented in collaboration with other actors (national governments, the private sector, other development partners) who provide co-financing for the normal development component of the interventions. As an example, for a water supply project, the other actors would finance the basic interventions to meet SDGs targets while GCF would finance the additional costs to make the project climate resilient. Typically, the level of co-financing is two to three times the financing provided by the GCF.*

2. How is additionality handled in the situation of Least Developed Countries that have very low levels of access to basic services and, therefore, have needs for normal development financing that is many times larger than the climate change additionality?

   Response*: The GCF has been successful in programming a considerable proportion of adaptation funds into the LDCs. However, it should be recalled that the GCF has a mandate restricted to climate change and, for this reason, cannot fund areas unrelated to climate change. Notwithstanding, the LCDs are highly vulnerable to, and already highly affected by impacts of global climate change, which makes them eligible to receive support from the GCF.*

3. Concerning the requirement for projects to be nationally driven, for a project in a transboundary setting, how is the issue of the mandate of multiple countries handled?

   Response: *The basic principle is that projects need to refer to, and be embedded in, broader national development objectives, priorities and strategies. Ideally, each country should have a national GCF country program that describes how a country plans to utilise GCF resources. The Concept Notes and Project Proposals need to refer to the GCF Country Program and to other national strategies. For a transboundary or multi-country project, it should still be clear why a shared multi-country priority is relevant and a high priority for each of the individual countries. This could be in the form of statements made, or taken from existing national planning documents that reflect the multi-country priority; from the mandate given by each of the countries to the multi-country initiative or institution; or from planning documents and strategies of the multi-country initiative. Ideally, again, this should be articulated in the country GCF program. On the operational side of things, submitting a multi-country project proposal requires a letter of no-objection from each of the countries.*

4. As part of the process of project preparation, the project proponent is required to carry out an assessment of available options to address identified climate risks, and present a list of prioritised measures/solutions for addressing the risks. Is there any specific guidance on criteria that have to be applied in generating the prioritized list of solutions?

   Response: *The requirements are not prescriptive at present. However, the GCF looks for the application of rational multi-criteria analysis that considers such things like implementability, cost, benefits, impacts and sustainability of the intervention.*

5. Are there weights applied to the six evaluation criteria? If so, which criterion has the largest weight?

   Response: *The GCF criteria have equal importance. A project will not receive approval if it fails to meet any one of the criteria.*

6. Which are the areas of common weakness in Concept Note and Project Proposal preparation by the countries?

   Response: *Across all sectors the greatest weakness relates to the adaptation/ climate rationale. A very high percentage of Concept Notes get turned down due to poor adaption*

rationale articulation. Another common weakness is in poorly articulating the paradigm shift.

7. How much money is left with the GCF and what are the implications of the withdrawal of the USA from the Paris Agreement and GCF?

Response: *To date US$ 3.74 billion of GCF funds have been committed, but only a small fraction of this has been spent. More commitments are expected to be made by the GCF Board as well as replenishments of the fund.*

8. Are applications for readiness support also subjected to the GCF investment criteria?

Response: *No, applications for readiness support are not subjected to the same criteria because readiness support does not target impact but focuses on strengthening the project pipeline. Readiness applications are subjected to Adaptation Planning Review Criteria, which are different from the investment criteria.*

9. In the Lesotho Highlands, livestock rearing is an economic activity that is highly vulnerable to climate change and is carried out exclusively by one gender (herdsmen and shepherds – all boys/men). How would gender consideration be handled for a project proposal aiming to reduce the vulnerability of this group?

Response: [*Not answered*].

10. Is the Project Preparation Facility (PPF) only meant for Direct Access Entities (DAEs)?

Response: *The GCF's Board's decision is that the PPF is especially, but not exclusively, meant for DAEs, and especially for micro and small projects. International Accredited Entities may access PPF resources although it is prioritized for DAEs. And an International Accredited Entity applying for PPF funds must justify why it needs GCF funds, and why it cannot use its own resources or counterpart funds.*

11. In some countries (such as Ethiopia) the water sector agency (the Ministry of Water, Irrigation and Electricity) received invitation to the South Africa workshop but the NDA and accredited entity (the Ministry of Environment, Forestry and Climate Change; and Ministry of Finance and Economic Development respectively) were not invited for, and have no information on, the workshop. This compounds the problem of communication between the sector agencies and the other GCF actors in the country. How is the sector lead agency expected to continue working closely with the other actors when they have not benefited from the training on South Africa?

Response: *The situation described could be strong justification for readiness support to help, among other things, in building general capacity for project preparation, and improving coordination among the GCF actors in the country with the engagement and leadership of the NDA.*

12. How does the GCF relate to other climate funds such as the Adaptation Fund (AF)? Can a project funded under the GCF also seek funding from another climate fund?

Response: *Currently, there is a big focus and a lot of activities to ensure coherence and complementarity with other climate funds such as GEF, the Adaptation Fund, and Climate Investment Funds. Any unfunded plans under Sector Investment Plans (SIPs) can be brought by the countries to the Green Climate Fund. Any project concepts and proposals prepared for the Adaptation Fund that remain unfunded can be brought to the Green Climate Fund. Furthermore, an Investment Project under the Adaptation Fund can be scaled up for a second phase and submitted to the Green Climate Fund. There is a section in the application forms where the applicant is required to describe other investments that are ongoing in the specific sector. The GCF reviews this information to check that the GCF support builds on other initiatives and minimises duplication.*

The workshop provided for interactive discussions between country participants (top) and resource persons (bottom).

5 SESSION 3: GCF INVESTMENT CRITERIA AND PROJECT CYCLE - CASE STUDIES

5.1 CASE STUDY 1: RWANDA DAE (MINISTRY OF ENVIRONMENT)

By: Alex Mulisa | Green Fund Coordinator, FONERWA

Four case study presentations were made during the workshop to share country experiences on the application of the GCF investment criteria in preparation of Concept Notes and proposals for country projects of climate resilience.

The first of the case studies was from Rwanda and was based on the experiences in preparation of a project titled "*Strengthening climate resilience of rural communities in Northern Rwanda.*" This project received GCF approval in 2018 and seeks to restore degraded watersheds in the hilly district of Gicumbi, northern Rwanda through an integrated watershed management approach. The project was the first project to receive a PPF in Rwanda. When the country submitted the first concept note on the project to the GCF, it received many questions around climate rationale and the issues that the project sought to address. The PPF turned out to be very instrumental in answering the questions raised, improving the climate rationale and satisfying the investment criteria. During the course of project preparation, the title of the project was adjusted to be better aligned with the climate rationale.

The Rwanda presentation underscored the level of rigour required in preparing a GCF proposal, and explained the problem analysis that was made during project preparation that defined the baseline situation, identified drivers of climate vulnerability, proposed project interventions to address each of the drivers, and described the outputs and outcomes expected from the interventions. The presenter, Mr. Mulisa, went on to explain the information that was presented in the project proposal to clearly highlight the high impact potential and possibility for rollout of the project to other areas of Rwanda, the number of direct and indirect beneficiaries disaggregated by gender and quantitative figures for reduction in CO_2 emissions calculated from the studies commissioned under the PPF. Mr. Mulisa explained how key national planning documents such as the Green Growth Climate Resilience Strategy, the NAPA and NAMA were cited to strengthen the paradigm shift potential arguments and highlighted how the involvement of the Ministry of Finance was crucial in making a strong case with respect to the needs of the country. He further shared the approaches taken to strengthen arguments with respect to sustainable development potential, country ownership, and efficiency and effectiveness. With respect to efficiency and effectiveness, he highlighted the important role that studies under the PPF played in generating values for economic parameters such as benefit to cost ratio, net present value, economic rate of return, and marginal abatement cost analysis that were used in the efficiency and effectiveness section of the proposal.

5.2 CASE STUDY 2: NAMIBIA DAE (ENVIRONMENTAL INVESTMENT FUND OF NAMIBIA)

By: Mr. Lazarus Nafidi, EIF

This presentation shared the experiences of Namibia's DAE – the Environmental Investment Fund of Namibia (EIF) – on the application of GCF investment criteria in project preparation. The EIF is a state owned agency established in 2001 with a mandate to mobilise funding for the maintenance of an endowment fund that will generate sustainable income to benefit the people of Namibia. The EIF Namibia was accredited to the GCF in 2015.

The presentation enumerated projects in Namibia for which GCF funding had been secured by the NDA through the enhanced direct access routed. These included the *Climate Resilient Agriculture in three of the Vulnerable Extreme northern crop-growing regions (CRAVE)* (US$ 9.5 million grant) being implemented by

the Ministry of Agriculture, Water and Forestry (MAWF); the *Empower to Adapt Project* (US$ 10 million grant) being implemented by community based organizations and several government agencies; and *Improving rangeland and ecosystem management practices of smallholder farmers under conditions of climate change in Sesfontein, Fransfontein, and Warmquelle areas of the Republic of Namibia* (US$ 9.3 million grant) being implemented by the Ministry of Agriculture, Water and Forestry (MAWF) and Ministry of Environment and Tourism (MET).

The presenter said the country had so far obtained two readiness funds worth US $ 0.4 million and 0.3 million respectively that have been used to strengthen EIF's internal capacity for stakeholder engagement and managing Environmental and Social Safeguards (ESS), and strengthen the general capacity of the NDA – the Ministry of Environment and Tourism (MET) – through the development of the GCF Country Programme, and building skill for coordination of climate amongst sector agencies.

The presentation used the third project above to illustrate how the DAE had gone about addressing the GCF investment criteria in the process of project preparation. This particular project has three components: (1) promote cost effective investments in early warning systems that determine climate-driven vulnerabilities and effective adaptation options; (b) reducing climate driven risks in target ecosystem and land through supporting innovative drought adaptation action; and (c) Knowledge and information support mechanisms.

Under Impact Potential criterion, the entity had described the sound rangeland management approaches which have the potential to benefit many livestock farmers as this was the dominant livelihood activity in the project area. Under Paradigm Shift Potential criterion, the project proposal had described the contribution to strengthening of the policy framework climate change action, and innovative approaches in integrated rangeland and water management that could be rolled out to other parts of the country experiencing similar challenges. Under the Sustainable Development Potential criterion, the proposal had highlighted the numerous environmental benefits such as reduction of deforestation and land degradation as well as social benefits such as support to female-headed households. Under the Needs of the Recipient criterion, the project proposal had presented statistics showing the semi-arid nature of the project area, its high vulnerability to impacts of climate change, the low developed nature of the area and lack of alternative funds at national level to address the proposed intervention measures. Under the Country Ownership criterion, the project proposal had showed the link between intervention measures and national planning documents such as the Constitution of Namibia, Namibia's Vision 2030, the Harambee Prosperity Plan and Namibia's National Climate Change Strategy and Action Plan. The Efficiency and Effectiveness criterion was illustrated, among other things, with a project implementation structure showing the relationship between the actors from grassroots to national level.

5.3 INTERACTIVE DISCUSSION ON GCF INVESTMENT CRITERIA AND PROJECT CYCLE - CASE STUDIES

The questions posed, and response received, during the interactive discussion are the following:

1. Rwanda emphasised the importance of alignment to the Green Growth Climate Resilient Strategy in the approval of the project proposal and its relevance for other climate change activities. Has Rwanda considered preparing a GCF Country Programme, which is one of the upstream activities for which GCF support could be sought? What other upstream investment opportunities related to climate resilience exist in Rwanda?

   Response: *The Green Growth Climate Resilient Strategy is government's overarching strategy for the country's approach to national development up to the year 2050. This strategy integrates climate resilience and is the centrepiece for most climate change interventions in the country. The Strategy has 14 programs of action that are sector specific (e.g. energy, agriculture, water, transport, etc.) from which specific investment programs are developed. Investment programs developed so far include the Strategic Program for Climate Resilience (SPCL), Forest Investment Plan (FIP),*

and Scaling up Renewable Energy Program (SREP). Countries can access GCF resources only when they are proactive in trying to combat impacts of climate change, and when they set out clear national plans and strategies for dealing with the threat. These may be in the form of a GCF Country Programme, but could also be in the form of other national strategies on climate change. What is most critical is for the country to demonstrate ownership of the process.

2. Can a country submit a project proposal to the GCF that has both adaptation and mitigation components?

Response: *Eight of the 14 programs of action under Rwanda's Green Growth Climate Resilient Strategy are concerned with adaptation while the remaining 6 focus on mitigation. Investment areas developed from the strategy will therefore either have an adaptation focus, or a mitigation focus. However, there are projects that will have both adaptation and mitigation components such as the climate resilience project presented, and the GCF is cognizant of this fact.*

3. In Namibia, what is the distribution of roles and responsibilities between the NDA and Direct Access accredited entities in the implementation of GCF projects?

Response: *All project concepts and proposals that are submitted to the GCF for financing must first be cleared by the NDAs (by way of issuing a no-objection letter) before they can be considered by the Fund.*

4. At what stage should project developers engage with the NDA?

Response*: Ideally, project developers should interact with the NDA from the moment they start to develop their project ideas so that they can obtain guidance on country priorities that they can use in shaping their project ideas.*

5. Should NDAs allow the submission of concepts and project proposals to the GCF Secretariat that are likely to be rejected (in other words shouldn't here be a national screening process to weed out weak proposals and support developers to improve such concepts and proposals to a level where they stand a better chance of acceptance)?

Response: [*unanswered*].

6. How skilled and knowledgeable are members of the evaluation team at the GCF Secretariat to ensure fair and balanced evaluation of concepts and proposals? Is the team knowledgeable of the situation prevailing in the African countries?

Response: [*unanswered*].

5.4 CASE STUDY 3: ZAMBIA NDA (MINISTRY OF NATIONAL DEVELOPMENT PLANNING)

By: Ms. Nefuno Kabwe Chanda, MNDP

This presentation explained to participants the roles that different actors play at the different stages of the GCF project cycle in Zambia. The NDA in Zambia is a project office established under the Development Planning Department of the Ministry of National Development Planning. The office is headed by a National Coordinator supported by several project staff. One of the key organs of the NDA is a Technical Committee comprising of key stakeholder institutions from the public sector (including the ministries of water and gender), private sector and civil society. The Technical Committee is chaired by the Director of Development Planning and has the Project Office as its secretariat. The day-to-day operations of the NDA are funded by the NDA. In 2015, Zambia applied for and obtained readiness support worth US$ 300,000 but has to date only accessed US$ 60,000 of this support. The Zambia project portfolio presently comprises of 10 projects, two of which have received GCF funding (with co-financing from UNDP and AfDB) and the rest are at various stages of preparation.

The presenter said that the NDA receives and compiles solicited and unsolicited concepts from actors in the country, and submits them to the Technical Committee for review and approval. Based on the assessment of the alignment of concepts to national priorities and policies (such as the Seventh National Development Plan, National Policy on Climate Change, NAPAS and NAMAS) and to completeness of information provided

in the Concept Note via-a-vis the GCF requirements, the Technical Committee assigns a category to each concept ranging from "A" to "D".

Category "A" concepts require only minor adjustments and may be developed into full proposals for onward submission to the GCF. Category "B" concepts are also considered good but require limited guidance from the NDA to make improvements so as to attain category "A" status. Category "C" concepts are likewise considered good but require fairy strong guidance from the NDA and experts on the Technical Committee to make substantial improvements before it can be considered for development into full project proposals. Category "D" projects are considered not to meet the minimum requirements and are rejected outright.

Developers of category "A" projects are immediately notified of the Technical Committee's decision and requested to adjust and re-submit their concepts, and develop the full proposals for the consideration by the NDA and Technical Committee. Proposals that meet the approval of the NDA are submitted to GCF with a letter of support from the NDA.

For category B and C concepts, periodic briefs are organised by the NDA at which feedback is given to the developers on the evaluation of their concepts. Sometimes, verification visits are made to proposed project areas. After receiving feedback, developers are required to adjust their concepts and resubmit them to the NDA for re-tabling in the Technical Committee sitting.

Three national agencies are pursuing accreditation with the GCF as National Implementation Entities (NIE).

5.5 CASE STUDY 4: AFRICA CLIMATE CHANGE FUND (ACCF, AFDB)

By: Ms. Louise Helen Brown | ACCF.

The presentation was made to highlight the role of a regional climate change fund - the Africa Climate Change Fund (ACCF) – in supporting African countries to access GCF resources. The ACCF is a multi-donor trust fund managed by the African Development Bank that was established in 2014 to support African countries in responding to the urgent challenge posed by the adverse effects of climate change on the continent. The ACCF has to date mobilised € 11.4 million from Germany, Italy, and Flanders (Belgium) and used the resources to provide small grants to support African countries to scale up access to climate finance and transition to climate resilient and low carbon development, in line with their Nationally Determined Contributions (NDCs). The beneficiaries of the fund include African governments and regional bodies as well as non-governmental institutions including research and academic institutions. Typically, activities funded are of a technical assistance nature and include research studies and training workshops, as well as pilot/demonstration projects, etc.

Ms. Louise Helen Brown made the presentation on the ACCF.

The most recent call for proposals for the Fund focused on two themes: (1) building the capacity of African stakeholders to scale up access to climate finance with a strong focus on the GCF – activities under this theme included support to preparation of project proposals for submission to the GCF, identifying national institutions that could be supported to obtain GCF accreditation; and capacity building through training workshops; and (2) developing and piloting projects

and programs with a special focus on adaptation and resilience building. The call for proposals attracted over 1000 concept notes out of which 40 best concepts, with total funding requirement of US$ 30 million, were selected and requested to prepare full proposals. The ACCF is making efforts to mobilise additional resources so as to fund all shortlisted applications.

Eight (8) ACCF projects are currently under implementation six (6) of which have a country focus (in Kenya, Tanzania, Swaziland, Côte d'Ivoire, Cabo Verde and Mali), and two have a regional reach. One of the regional projects is focused on building climate resilience into transboundary infrastructure projects while the second focuses on enhancing access to climate information in Africa.

The ACCF is also supporting the regular convening of a community of practice of direct access accredited entities to facilitate south-south learning and exchanges on accreditation and project preparation for GCF and AF. Through funding from the Korea-Africa Economic Cooperation Trust Fund and the ACCF, the AfDB is supporting the design and delivery of a series of training of trainers (ToT) courses to build a pool of experts in Africa who will work with Direct Access accredited entities and support them in accessing GCF resources. The scope of the training will cover key areas of need with regard to project preparation including climate rationale, economic/financial modelling, environmental and social safeguards, monitoring and evaluation. Training materials will be prepared in English, French and Portuguese and will be made available through an online platform.

5.6 INTERACTIVE DISCUSSION ON COORDINATION SUPPORT AT NATIONAL AND REGIONAL LEVELS

The questions posed, and response received, during the interactive discussion are the following:

1. Out of the US$ 300,000 for readiness support that Zambia obtained from the GCF in 2015, the country to date has only been able to access US$ 60,000. What is the reason behind the low utilization rate?

   Response: *The reason only a small fraction of the readiness support has been used was because the NDA was still being established at the time the support was given. Zambia has applied for a no-cost extension to the readiness support.*

2. How are members of the Technical Committee of Zambia's NDA selected?

   Response: *Members of the Technical Committee are drawn from the sectors that are highly impacted by climate change or are priority sectors of the NDA. Important sectors that are not represented on the Technical Committee (the only such sector is the Ministry of National Guidance and Religious Affairs) are co-opted into the Committee from time to time as need arises.*

3. Does Zambia have a Country GCF Programme? Can countries that are still at the stage of preparing their GCF Country Program benefit from GCF financing?

   Response: *Yes, Zambia has a GCF Country Programme, but this is not a prerequisite for accessing funding from the GCF. Countries can receive up to US$ 3 million to support the development of NAPAs and other country programming activities. Countries can also receive Readiness support of up to US$ 3 million to build capacity of institutions to better understand climate change adaption and mitigation, and prepare them to manage GCF programmes. Countries can further receive support of up to US$ 1 million per project to support feasibility studies, environmental and social impact studies and other studies needed to prepare project proposals for submission to the GCF. To access the various resources available under the GCF, each country needs to set out in the GCF Country Programme how it intends to utilise the various GCF funding windows.*

4. Has Zambia received help from the GCF to support project proposal development?

   Response: *At the stage at which a concept has met NDA's approval and been issued with a letter of support, the accredited entity may apply to GCF for PPF funds to support project preparation. To date none of the accredited entities in Zambia has applied for a PPF.*

5. In Zambia, what is the distribution of roles and responsibilities between the NDA and accredited entities in the development of concept notes?

Response: *The NDA does not develop concept notes but reviews prepared concept notes to check that they are in line with national priorities and, therefore, have country ownership. Once the NDA has determined a concept note to be of category A, the accredited entity steps in to help the project developer to transform the project idea from a concept note to a full project proposal.*

6. Were any proposals received from NGOs in the ACCF's recent call for proposals? What is the relationship between the NGOs and project beneficiaries?

Response: *In the projects currently under implementation, there are no NGO projects, but in the second call for proposals, a number of proposals were received from NGOs, some of which made it to the shortlist of 40 best proposals. Therefore, in the next funding cycle, there are likely to be several NGO-implemented projects.*

7. What criteria will be used to select individuals and institutions to participate in the Training of Trainers events, and how will country ownership be ensured in this process?

Response: *The criteria to be used by the AfDB in selecting participants for the ToT courses have not been decided upon, but will be developed in consultation with the GCF. The approach will also involve working with DAEs to identify individuals that they know or work with at country level, who have knowledge and skills that are useful to the DAEs, and who could benefit from additional training in themes relevant to GCF project preparation.*

8. Whose role is it to identify an accredited entity to work with in developing a project concept or proposal for GCF financing? Is it the NDA to recommend an accredited entity, or is it up to the project developer to find an entity to work with?

Response: *In the case of Zambia, the NDA provides a list of international accredited entities to the project developers and encourages them to select one entity to work with. At present the country does not have a local accredited Direct Access Entities but the process is underway to accredit three local institutions. In a number of cases, the NDA has directly facilitated the preparation of full proposals.*

9. Do proposals submitted to the ACCF have to obtain no-objection from the NDA?

Response: *Because it uses the call for proposals mechanism, the ACCF has received proposals from a mix of entities including NDAs, DAEs and implementing entities. The ACCF requires that developers of concepts for GCF funding work closely with the NDA to ensure alignment to national priorities and the GCF Country Programme. Where the applicants are working on full proposals for GCF funding, the ACCF requests them to identify a national accredited entity to work with. Where the project being prepared is larger or has higher risks than what the national accredited entities are accredited for, the ACCF advises the project developers to identify international accredited entities to work with, and may introduce and initiate contact between the project developer and international accredited entity.*

10. **General comment:** the GCF needs to conduct a study to assess the coordination between the NDAs and other actors at national level involved in GCF project preparation, and identify ways to improve this coordination. In many countries, the coordination is weak and information does not flow properly from the NDA to entities on the ground that require the information to prepare concepts and project proposals.

[Top] Ms. Nefuno Chanda from the Zambia NDA taking a question during the interactive discussion. On her right is Lazarus Nafidi from the Environmental Investment Fund of Namibia. [Bottom] Partners and participants continue discussions during the break.

6 SESSION 4: **GCF CLIMATE RATIONALE**

6.1 GCF CLIMATE RATIONALE WITH A FOCUS ON WATER

By: Dr. Dominique Berod, Chief of Division of Basic Systems in Hydrology, WMO

This presentation discussed in greater detail the way that a climate rational for a water sector project is put together. It listed the following as the key steps in developing climate rationale: (1) defining historical climate trends and future climate projections; (2) quantifying current and projected climate impacts; (3) identifying vulnerabilities to climate change impacts; (4) assessing responses to reduce climate change risks and (5) attributing development versus climate adaptation/mitigation benefits.

Guiding principles for developing climate rationale were presented as: (a) making use of the best available and most credible data and science; (b) aiming for simplicity in approach, methodology and presentation of data and results; (c) making use of common standards for measuring achievements and impacts (for ease of sharing and comparing results); and (d) creating impacts beyond the GCF, including strengthening of water and climate monitoring systems and services.

Climate data analysis, which is an integral part of climate rationale development, itself involves a number of steps, key among which are: (1) deciding which data sets to use in the analyses; ascertaining where the data can be found and the ease with which it can be accessed and whether or not it has to be paid for; (2) assessing the quality of data and establishing the uncertainties and predictive capability associated with the data; (3) selecting the statistical and modelling techniques to use in analysing the data, and picking the metrics to be applied to assess trends (state of climate indicators, sectors specific indices, high-impact hydro-climatic processes and events, etc.); (4) carrying out the actual analysis of the data; (5) interpreting the outputs of data processing and drawing implications from them in terms of climate risks and vulnerabilities; and (6) selecting a suite of response measures from a broad range of alternatives, taking into consideration such factors as economic feasibility, physical/environmental feasibility, technical capacity limitations, etc.

According to the presenter, among the critical decisions to be made in moving from data to climate rationale is the definition of the scientific elements of the climate change phenomenon to be studied. He pointed out that the developers have to select climate variables (indicators) that will be used in assessing the general and context- or sector-specific climate change impacts, risks and vulnerabilities (e.g. precipitation, rainfall intensity, soil moisture, humidity, vegetation, streamflow, solar radiation, surface temperature, wind speed, ice-cap extent, sea level, ocean heat content, etc.). For analyses of climate change impacts in a hydrological basin, there are several basin-scale indicators to choose from to characterise the hydrological regime and its change.

Dr. Berod said that there exists in the public domain several Climate Service Information Systems (CSIS) that have large amounts of data and data products which project developers may use for their analyses. These data sets cover the historical record, as well as short-term forecasts and long-term projections of the state of climate. The WMO, he said, has a global network of National Meteorological and Hydrological Services (NMHSs) and Regional Climate Centres (RCCs) that represent a versatile source of climate data. He named the regional climate centres in Africa as the African Centre of Meteorological Applications for Development (ACMAD) based in Niamey, Niger and the IGAD Climate Prediction and Applications Centre (ICPAC) based in Nairobi, Kenya.

Climate change, Dr Berod said, highly impacts water resources and creates an increasing need for data and data services to improve understanding of the complex hydrological systems and of societal goods and services dependent on the hydrological systems. He emphasised that WMO is an active partner in supporting the generation of hydro-climatic data, and

strengthening the value chain for translating data into products and services to support evidence-based decision making for sustainable development. Hydrological activities that WMO engages in include data production and collection through the World Hydrological Cycle Observing System (WHYCOS); data processing and storage; data visibility and availability through the WMO Hydrological Observing System (WHOS) and Global Data Centers; and data rescue and services. Key initiatives in support of these activities include HYDROHUB – the WMO Global Hydrometry Support Facility; the Word Water Data Initiative (WWDI); and HydroSOS – the Status and Outlook System.

Dr. Dominique Berod making the presentation on climate rationale

Dr. Berod said WMO has prepared guidelines on data sources, methods and tools for hydro-climatic data analysis for development of sound climate rationale for climate change projects, and is planning to test the methods in 3 pilot studies – in Nepal, DR Congo and Antigua and Barbuda. After 18 months of piloting activities, WMO will hold national workshops with a regional focus in the three pilot countries to present and discuss the results of the pilot studies and later scale up the initiative.

6.2 DATA SOURCES, ANALYTICAL METHODS AND TOOLS

By: Frederik Pischke, Senior Programme Officer, International Climate Hydrology, GWP seconded to WMO

Climate rationale was presented as the foundation for impactful GCF projects but, it was pointed out, to prepare a good climate rationale requires high quality data and skills in scientific data analysis. The presentation covered relevant sources for hydro-climatic data used in climate analysis carried out in preparing climate rationale. It also touched on analytical methods and tools to identify climate-related water challenges – entry points to examination and evaluation of relevant water project responses that the GCF could support.

Mr. Pischke said that as part of climate rationale development, robust scientific analysis has to be undertaken to answer key questions such as: (a) what are the key climate risks and vulnerabilities of the project area? (b) How are these risks and vulnerabilities likely to change in the near and distant future? (c) How effective are the proposed projective interventions in addressing the risks and vulnerabilities? And (d) have adequate measures been introduced to minimise the climate risk of the investment?

As part of the workshop handouts (Document No. 6 of the handout), Mr. Pischke pointed out that GWP has compiled a non-exhaustive list of (a) climate data and tools with relevance to water resources management; (b) water data, tools and models; (c) regional institutions and mechanisms with technical resources; and (d) conceptual framework of WMO's Climate Services Information System (CSIS). The data sources and analytical tools may be used in the preparation of climate rationale and design of climate resilient water projects. Project developers, he pointed out, have to make an informed judgement on the validity, quality and appropriateness of data, and with respect to inherent uncertainties and predictive capacity of the data. WMO is expected to soon release a Catalogue of Maturity-Assessed Climate Datasets that will list hydro-climatic data sources that have been assessed on a basis of accessibility, usability, quality management and data management. The climate data and tools with relevance to water listed in the handout covers 12 resources including the GCOS Essential Climate Variables (ECVs), Coordinated Regional Climate Downscaling Experiment (CORDEX), EU Copernicus Climate Change Service (C3S) and CCAFS-Climate data portal.

Mr. Pischke informed the workshop that WMO and GWP are collaborating in facilitating and steering a partnership of regional and international organisations

involved in drought and flood management. Online help desks have been created for the drought and flood management programs through which project developers can get assistance in developing projects related to drought and flood management.

Frederik Pischke making the presentation on data sources and tools

He said WMO continues to extend support to National Meteorological and Hydrological Services that generate data that is used by Regional Climate Centres as well as Global Producing Centres.

6.3 CLIMATE RATIONALE FOR GCF WATER PROJECTS

By: Alastair Morrison | Water Sector Senior Specialist, Green Climate Fund

This presentation built on the previous presentations and provided concrete examples from around the world of successful projects that have provided strong climate rationale, and received GCF approval for funding. The cases provided an idea on the types of data that are required, how the data is being applied to water sector projects, the arguments made to link climate change to impacts, identify vulnerabilities, and defining specific actions to address the risks.

Mr. Morrison said that it is through the water sector that most of the impacts of climate change are being felt. Climate change produces impacts that manifest as changes in rainfall distribution, soil moisture, storm frequency, runoff, flood flows, erosion, landslides, water-related diseases, evapotranspiration, drought, sea levels, wave heights, glaciation, etc. These changes and the impacts they produce need to be clearly demonstrated in the climate rationale of a GCF Concept Note and Project Proposal.

A strong climate rationale, according to Mr. Morrison, is one that (a) is based on credible science and robust assessments of climate impacts and risks; (b) presents a set of optimal interventions that comprehensively addresses underlying climate risks; and (c) integrates interventions into decision-making for long-term low-emission climate resilient development.

What GCF looks for in a climate rationale, Mr. Morrison said, is a clear and tight link connecting climate change (elaborate through scientific analysis), to climate impact, to vulnerability, to prioritized intervention measures address risks, to paradigm shift introduced by the project. His presentation provided examples of key considerations and arguments in a climate rationale for different situations such as a case of increased demand for water due to climate change; adaptation to sea level rise; managing coastal and river erosion; adaptation to saline intrusion; and changes in water availability due to El niño/ La niña that is exacerbated by climate change. The presentation pointed out impacts, under each of the situations, due solely to human activities that should not be included in the climate rationale such as heat waves generated by expanding urban areas, land subsidence due to groundwater over-extraction, and river siltation due to poor land use and soil erosion.

Alastair Morrison of GCF making the presentation on climate rationale

Emphasis was placed on the climate rationale clearly bringing out the additionality due to climate change i.e. the difference in the magnitude of impacts projected to occur with and without GHG induced climate change. This additionality is what the GCF funds.

Projects with a strong climate rationale that Mr. Morrison gave as examples were: (1) a project in the Maldives building a climate resilient water supply system to protect the islanders from annual flooding and sea level rise causing saline intrusion of freshwater lenses; (2) an integrated urban flood management project in the Dakar region in Senegal responding to more frequent urban flooding from higher intensity rainfall; (3) an integrated flood management project in a river catchment in Samoa impacted by increased frequency of cyclones, storms and extreme rainfall events; (4) a project in the Afar Region of Ethiopia building resilience of local communities to increased risk of drought; and (5) a project in Bangladesh enhancing the adaptive capacities of coastal communities to cope with climate change induced salinity.

6.4 INTERACTIVE DISCUSSION ON CLIMATE RATIONALE FOR GCF WATER PROJECTS

The questions posed, and response received, during the interactive discussion are the following:

1. **General Comment**: Having a clear national policy/strategy/program on climate change adaptation eases the task of developing climate change proposals and demonstrating national ownership.

2. Vulnerability analysis should be a strong part of climate rationale. Is there a way to measure and present, as part of the climate rationale, the impact of climate change on people and their livelihoods? Are there tools to use in carrying out vulnerability analysis? How can a case be built to illustrate vulnerability of poor people?

   Response: *Vulnerability analysis is a requirement for climate rationale under GCF. The GCF is still in the process of developing guidelines for different sectors (water, agriculture, energy, environment,*

etc.). When completed, this will address the issue of the tools to use for vulnerability analysis. The workshop handout 6 on data sources, analytical methods and tools includes resources for vulnerability analysis.

3. How are losses and damages due to climate change evaluated?

Response: *a GCF project proposal is expected to have cost-benefit analysis of proposed intervention measures. This will look at what damages are happening due to climate change, how they are forecasted to increase and what the project proposes to do to reduce the damages.*

4. Have there been cases where climate impacts experienced during implementation of a project are significantly different from the impacts projected under the climate rationale analysis? Are there any mechanisms for dealing with such disparities?

Response: *The aim of the climate rationale is to develop project interventions that are robust and resilient. However, it is acknowledged that there is uncertainty both in the climate science as to what will exactly happen, and in the way that humans react to climate change. Normally, there is a range of predictions, and the challenge is to decide on interventions that are sufficiently robust and able to cope with the range of predictions. There are approaches for reducing the uncertainty of predictive models. One of the presentations to come later on in the workshop will look at specific methodologies for predictions and selecting intervention measures.*

5. How would one qualify credible science?

Response: *There is no hard definition for credible science, and the judgement has to be made on a case-by-case basis. One can get a sense of credible science from reading publications in scientific journals (with respect to the theme and geographic area of interest) or interacting with a community of practice of climate scientists (such as the International Association of Hydrological Sciences – IAHS). The sectoral guideline that is under preparation will provide some pointers as to what is credible science.*

6. Morocco has prepared a project proposal but is missing information needed to make a strong project rationale. Are the presenters aware of any climate data sets for Morocco that could be used for this?

Response*: It is true that in some cases such as Morocco, the link between WMO and National Meteorological Services is weak. There are ongoing efforts to strengthen this.*

7. How can countries access hydro-climatic data from WMO that is not readily available in the countries?

Response: *There is no such thing as 'WMO data'. All data in the possession of WMO comes from the member states. The rightful place to obtain national data is from the National Meteorological Service and National Hydrological Service. There may be an issue of poor communication between these services and other national entities that need to use the data. The poor communication, which needs to be strengthened, leads to the other entities not being fully aware of the data that is available in their countries. WMO is building a global database capable of storing data from different parts of the world. However, having data in the system will depend on countries providing their data to WMO, and agreeing to an appropriate data access policy. For countries in the Greater Horn of Africa, there is an ongoing WMO-supported IGAD-HYCOS program that could be approached as an additional source of data.*

8. In the developing world there is science but there is also indigenous knowledge. How can project developers incorporate indigenous knowledge in the preparation of project concepts and project proposals?

Response: *What is needed in climate rationale is a logical argument that links climate change to the proposed interventions. Indigenous knowledge can complement modern science and*

help provide anecdotal evidence of the occurrence of climate change.

9. The examples given have all focused on single-country project proposals. Could you provide examples of multi-country and cross-cutting (adaptation and mitigation) projects? Are non-climatic co-benefits of project taken into consideration in the climate rationale? Could you provide an example of how the climate rationale for a regional project is prepared?

Response: WMO and *GWP West Africa have supported the Volta Basin Authority to develop a project proposal in the transboundary River Volta basin for submission to the Adaptation Fund. The approach used was to first look at the climate future and associated climate risks and vulnerabilities of each country independently, and then to repeat the analysis for the whole area seen from a basin-wide perspective.*

10. How is additionality calculated in a cross-cutting project? Is it calculated separately for mitigation and adaptation or integrated?

Response: *Additionality looks at the extra costs that climate change adds to, for example, the cost of providing water services or the extra wave action causing damage in new areas that would not be affected in the absence of climate change. GCF covers the additional cost due to climate change. For a project having both mitigation and adaptation components, the additionality is integrated.*

11. Are there projects that seek to address anticipated impacts of climate change as opposed to impacts that are already occurring?

Response: *Yes. Each proposal is expected to show risks and impacts under likely climate scenarios, and how these risks and impacts will be addressed.*

12. The approach described for preparation of climate rationale under GCF is a top-down science-based approach. Has the GCF considered the use of alternative approaches such as that used by the World Bank in their Hydropower Guidelines called decision scaling which avoids the use of climate projections? Does one always need all the right data and all the perfect data to prepare climate rationale or can one make a climate rationale based on indigenous knowledge, analysis of vulnerabilities or a structure way of approaching the project interventions and reporting them?

Response: *There is no such thing as perfect data, but one has to continue improving the available data through comparison with other observations including indigenous knowledge.*

13. Four main ways have been listed for working with the GCF (i.e. country programing, readiness support, project preparation facility and funding proposals). Could you provide an indication as to the stage at which most successful projects have joined the GCF Programing Cycle?

Response: [*unanswered*].

14. Will an entity that has received PPF resources to prepare a project proposal be required to refund the grant money if the proposal does not meet with the GCF Board's approval for financing?

Response: *When an entity receives PPF funds, there is an expectation and requirement for the entity to submit a project proposal to GCF within 24 months. Whether or not the project is approved for funding thereafter is a decision of the GCF Board, and the entity will not have to refund the PPF grant in case the proposal is not approved. The GCF requires that any proposal prepared with PPF support first be submitted to the GCF Board, and only if they do not meet approval can they be presented to other potential funders for consideration.*

15. Can a single country or single entity have three of its proposals approved at a time?

Response: *Yes.*

16. Based on what criteria is a project deemed to be successful?

Response: *GCF is a relatively young institution that has been approving projects for the past 2-3 years. The projects approved typically have duration of 5-7 years. So, none of the GCF projects has reached completion phase. But all projects are required to have monitoring and evaluation systems and will be monitored for progress and reported upon in a transparent manner as required by GCF.*

17. Are feasibility studies and environmental and social assessments required under GCF projects?

Response: *Yes, they are required at project proposal stage to ensure that the project will not have negative impacts, and hopefully will have positive impacts on the communities and environment in the project area.*

18. Can components of a GCF project be co-financed by countries or other partners?

Response: *Yes, co-financing is very important and allows GCF projects to be more closely linked to normal development projects where other development partners fund the normal development components. It also enables sanitation projects to multiply the benefits of a water resources project.*

19. Does GCF pay attention to sustainability of project interventions?

Response: *Absolutely, this is something that GCF looks at closely in project proposals – how is the projects sustained? Operation and maintenance issues – who is responsible for them? Where there is a cost to them, how are those expenditures going to be funded in the long term after the exit of GCF?*

20. The GCF approval process looks complicated and difficult. Please comment on this.

Response: *It is true the approval process is still complicated but GCF is looking to streamline and simplify the procedures. Proposals still have to come to the Secretariat where they are reviewed by the different sectoral specialists. They also have to be reviewed by an Independent Technical Advisory Panel that comprising of six experts, who can sometimes come to a completely different view from the Secretariat on a specific project. After review by the Secretariat and the Independent Technical Advisory Panel, proposals are sent to the Board, and each board member must approve the proposal before it can be deemed to have been approved. It takes one board member's objection for a project to be denied support. Board members are entitled to ask any question about a project under review, and it is therefore not always predictable whether or not a particular project will get the board's approval.*

21. **General comment:** The above presentations have shown that water is complex, and that robust scientific analysis has to be carried out to generate the information needed to prepare a good climate rationale for a GCF project. Most project developers do not have in-house capacity and skills to perform the required complex climatic and hydrological analyses. This is part of the reason that the *Project Preparation Partnership for Climate Resilient Water Projects in Africa* is being launched. It will help to link water sector agencies to partners who have useful data sets and information products, and who can support and guide the process of scientific analysis.

22. **General Comment:** The Project Preparation Facility (PPF) has been put in place precisely to help project developers perform the rigorous scientific studies needed to write a good climate rational but also ensure sound technical design and environmental and social sustainability of the project. Project developers are encouraged to use this facility.

7 GROUP WORK 1: CLIMATE RATIONALE IN COUNTRY PROJECT IDEAS

7.1 ORGANISATION

The Group Work 1 discussions took place from afternoon tea till the end of the day. Country participants were split into six groups based on sub-regional grouping of countries. Each group was assigned a rapporteur to record group discussions and report back the plenary. Each group also had two listeners selected from amongst the partners while all six groups were given technical backstopping by three climate experts. The composition of the six groups is shown in the table below.

7.2 GROUP TASK 1

Each group was required to select a chairperson to steer discussions. Each group was to choose 3 country project ideas from the list of project ideas submitted by the countries making up the group. The group was to receive a small brief on each of the selected project ideas from the persons that were involved in preparation of the project ideas. The group was then to discuss the climate rationale of the three projects, noting their strengths, weaknesses and opportunities for enhancement. Group rapporteurs were to report back to the plenary on the results of group work.

Table 1: Group Work 1 Country Groups

Sub-Regional Group	Countries	Rapporteurs	Listeners
Southern Africa 1	Angola Botswana Eswatini Lesotho Namibia	Kidane Tiruneh	Sharmala Naidoo Olympus Manthata
Southern Africa 2	Madagascar Malawi Tanzania Zambia Zimbabwe	Cathrine Mutambirwa	Charles Reeve Muhammed Sayed
Central Africa	Cameroon Sao Tome & Principe	Hycinth Banseka	David Hebart-Coleman Emile Bela Kouakou
West Africa	Burkina Faso Ghana Mali Senegal	Armand Houanye	Jason Spensley Louise Helen Brown
North Africa	Mauritania Morocco Tunisia	Sarra Touzi	Mike Salawou Alex Simalabwi
Eastern Africa	Ethiopia Rwanda Uganda	Gerald Kairu	Andrew Takawira Anjali Lohani

From top to bottom: West Africa, Eastern Africa, South Africa 2 and Southern Africa 1 groups discussing country project ideas.

7.3 PLENARY REPORT BACK FROM GROUP WORK 1 DISCUSSIONS

The report back took place on Day 2 (first item after recap of the previous day's business). The main points of each group are summarised in the table below.

Table 2: The review of project ideas by South Africa Sub-Region 1 (Angola, Botswana, Eswatini, Lesotho, and Namibia)

The Project Ideas Reviews	Key lessons learnt
1. Building Resilience of climate change affected communities in the southern part of Angola through mapping of deep aquifers [Angola]. 2. Stormwater harvesting/rainwater harvesting facility [Botswana]. 3. Disaster management: Upgrading and installation of real-time river monitoring equipment and River Gauging Stations re-calibration [Eswatini].	1. It is useful to begin thinking about the climate rational from the very onset of project idea conception.

Assessment of climate rationale for the three project ideas

Criterion	Groups evaluation of the three projects
Specifying climate impact	Climate impact is described qualitatively without supporting scientific analysis
Identifying vulnerabilities	Vulnerabilities are identified qualitatively
Availability of data, analysis (for both of the above)	Scientific assessment to support the climate rationale has not been undertaken even where data records exist
Assessing responses to reduce climate risk	A few responses are listed; responses do not address all possible climate risks and vulnerabilities; there is no prioritization of response measures and no comparative analysis of alternative measures
Attributing development vs. climate adaptation/ mitigation benefits	There is no clear indication of the additionality due to climate change and no distinction of normal development from climate change adaptation

Rapporteurs for Southern Africa 1 (right) and Southern Africa 2 (left) groups reporting back to the plenary.

Table 3: The review of project ideas by South Africa Sub-Region 2 (Zambia, Malawi, Zimbabwe, Madagascar, and Tanzania)

The Project Ideas Reviews	Key lessons learnt
1. Project to increase resilience in southern Madagascar facing change climatic: The Southern Madagascar is particularly affected by climate change area with recurring droughts [Madagascar] 2. Catchment restoration for climate resilient water resource management in Eastern Province (advanced project) [Zambia] 3. Strengthening private sector response to climate change in Zimbabwe [Zimbabwe]	1. The development of project ideas is not very advanced in most concepts. 2. How the information is presented is important. Placing climate change upfront in the Concept Note helps project developers easily put across their arguments on climate change related issues and non-climate change issues 3. The group work was a very useful exercise that helped to generate important feedback to those involved in development of project concepts

Assessment of climate rationale for the three project ideas

Criterion	Groups evaluation of the three projects
Specifying climate impact	Climate change impacts are described qualitatively without supporting scientific analysis
Identifying vulnerabilities	Vulnerable populations identified in some Concept Notes but not others; vulnerability studies not conducted
Availability of data, analysis (for both of the above)	Some limited data is available with various national agencies but has not been accessed. Scientific assessment to support statement of climate impact and vulnerabilities has not been undertaken
Assessing responses to reduce climate risk	There is no structured presentation of responses; responses listed do not address all possible climate risks and vulnerabilities; there is no prioritization of response measures and no comparative analysis of alternative response measures; some concept notes have wide ranging responses (cover mitigation and adaptation) and are not well focused.
Attributing development vs. climate adaptation/ mitigation benefits	There has been no attempt to indicate additionality due to climate change and distinguishing between normal development and climate change benefits.

Table 4: The review of project ideas by Central Africa (Cameroon, Sao Tome and Principe)

The Project Ideas Reviews	Key lessons learnt
1. Sustainable Management of Water Resources in Cameroon [Cameroon] 2. Feasibility studies drinking water supply and sanitation in rural areas of Sao Tome and Principe [Sao Tome and Principe]	1. The Project Preparation Facility will be necessary for nearly all of the cases to overcome the significant challenges being faced in preparing proposals that meet GCF requirements. 2. Collaboration between water sector agencies and GCF Focal Point in GCF country programming and planning process is a MUST if strong project concepts and proposals are to be developed. 3. Many concept notes do not cite or draw upon national strategic documents on development and climate change; this needs to be done to strengthen the Concept Notes.

Assessment of climate rationale for the three project ideas

Criterion	Groups evaluation of the three projects
Specifying climate impact	Climate impact is described qualitatively without supporting scientific analysis
Identifying vulnerabilities	Vulnerabilities are identified qualitatively
Availability of data, analysis (for both of the above)	Scientific assessment to support the climate rationale has not been undertaken
Assessing responses to reduce climate risk	A few responses are listed that do not address all possible climate risks and vulnerabilities; the connection between identified climate change impacts and proposed intervention measures is weakly elaborated; project components are poorly linked and not well integrated; there is no clear rationale for selected project areas; there is no prioritization of response measures and no comparative analysis of alternative measures

Attributing development vs. climate adaptation/ mitigation benefits	One project is clearly a normal development project, not a climate change adaptation project. In the other project there is no clear indication of the additionality due to climate change and no distinction of normal development from climate change adaptation

Table 5: The review of project ideas by West Africa (Burkina Faso, Ghana, Mali, and Senegal)

The Project Ideas Reviews	Key lessons learnt
1. Resilience Building Program for Improving Water Security [Burkina Faso] 2. Mobilization and Integrated Management of non-perennial surface waters in the circles of Kayes, Yelimané and Nioro [Mali] 3. Developing groundwater resources for climate-resilient irrigation and socioeconomic development activities in Northern [Ghana]	1. Further work is needed in elaborating the climate rationale. Evidence of climate change not clearly presented 2. There is need to strengthen the linkage between project ideas and national priorities.

Assessment of climate rationale for the three project ideas

Criterion	Groups evaluation of the three projects
Specifying climate impact	Climate impact is described and some statistics from existing literature is cited.
Identifying vulnerabilities	Vulnerabilities have been identified and supported by national vulnerability studies
Availability of data, analysis (for both of the above)	Detailed scientific assessment tailored to support the climate rationale has not been undertaken; data availability is unclear.
Assessing responses to reduce climate risk	A few responses are listed that do not address all possible climate risks and vulnerabilities; the connection between identified climate change impacts and proposed intervention measures is weakly elaborated; project components are poorly linked and not well integrated; there is no clear rationale for selected project areas; there is no prioritization of response measures and no comparative analysis of alternative measures
Attributing development vs. climate adaptation/ mitigation benefits	There is no clear indication of the additionality due to climate change and no distinction of normal development from climate change adaptation

Rapporteurs Hycinth Banseka,-GWP Central Africa (left) and Armand Houanye-GWP West Africa (right) reporting back to the plenary.

Table 6: The review of project ideas by North Africa (Tunisia, Morocco and Mauretania)

The Project Ideas Reviews	Key lessons learnt
1. Water/Energy/Food Nexus [Tunisia]	1. Attributing development versus climate change adaptation/mitigation measures needs strengthening.

Assessment of climate rationale for the three project ideas

Criterion	Groups evaluation of the three projects
Specifying climate impact	Climate impact is described qualitatively without supporting scientific analysis
Identifying vulnerabilities	Vulnerabilities have been identified and have drawn from national vulnerability studies
Availability of data, analysis (for both of the above)	Scientific assessment to support the climate rationale has not been undertaken. Data from downscaled climate models is available for the country (Tunisia).
Assessing responses to reduce climate risk	A few responses are listed; responses do not address all possible climate risks and vulnerabilities; there is no prioritization of response measures and no comparative analysis of alternative measures
Attributing development vs. climate adaptation/ mitigation benefits	There is no clear indication of the additionality due to climate change and no distinction of normal development from climate change adaptation

Table 7: The review of project ideas by Eastern Africa (Ethiopia, Rwanda, and Uganda)

The Project Ideas Reviews	Key lessons learnt
1. Climate Resilient Water Supply Project in Drought Prone Areas of Ethiopia [Ethiopia] 2. Climate Smart Storm-Water Management and Drainage Initiative in the City of Kigali [Rwanda]	1. Where climate change issues have already been mainstreamed into development planning, it eases the preparation of concept notes and project proposals to GCF 2. Project beneficiaries may be in position to access several co-benefits from proper scoping of climate change interventions.

Assessment of climate rationale for the three project ideas

Criterion	Groups evaluation of the three projects
Specifying climate impact	Climate impact is described and some statistics from existing literature is cited; carbon footprint for one project analysed.
Identifying vulnerabilities	Vulnerabilities have been identified and have drawn from national vulnerability studies
Availability of data, analysis (for both of the above)	In two countries there is considerable availability of scientific data and published reports that can be used to prepare the climate rationale; in the other countries data availability is an issue
Assessing responses to reduce climate risk	A few responses are listed; responses do not address all possible climate risks and vulnerabilities; there is no prioritization of response measures and no comparative analysis of alternative measures
Attributing development vs. climate adaptation/ mitigation benefits	There is no clear indication of the additionality due to climate change

Rapporteurs, Sarra Touzi GWP Med/North Africa (left) and Gerald Kairu, GWP Eastern Africa (right) reporting back to the plenary.

8 SESSION 5: GCF PROJECT PREPARATION FACILITY

8.1 GCF PROJECT PREPARATION FACILITY (PPF)

By: Jason Spensley, Senior Specialist, Project Preparation and Adaptation Planning, GCF

Mr. Spensley said that the GCF Project Preparation Facility is a tool for providing optional support for project preparation leading to catalytic funding proposals. The PPF is especially, but not exclusively, intended for Direct Access Entities (DAEs) to support them in implementing micro- to small size projects. Funding is provided it the form of grants, repayable grants and equity and is typically in the range of US$ 250,000 to 600,000. Activities normally funded under the PPF include feasibility studies; environmental, social and gender studies; risk assessments; identification of project indicators; preparation of tender documents; and financial structuring. At present there are 38 active applications for PPF support, 12 if which have been approved and the rest are at various stages of review. About 70% of applications have come from DAE, and 30% from IAEs.

To access the funds, Mr. Spensley said, interested accredited DAEs submit applications to the GCF Secretariat attaching a Project Concept and letter of no-objection from the NDA. The evaluation of the application involves examination of the soundness of the project concept when evaluated against GCF investment criteria; proposed PPF activities compared to their budget; level of counterpart resources to be committed; and justification for why GCF resources are needed. Approval of the PPF application is given by the GCF Executive Secretary and not the GCF Board. Approval for a PPF request is granted relatively quickly if the Project Concept has been well prepared Funding proposals developed with PPF resources are required to be submitted to the GCF Board within two years of the approval of the PPF request.

Mr. Spensley said that upstream support in the form of technical assistance can be provided to DAEs by the GCF Secretariat to help them strengthen their Project Concepts and PPF application, and prepare them for implementing the PPF. To ease challenges that DAEs face in timely procurement of services to undertake studies under the PPF, the GCF will soon be introducing a service of directly procuring contractors for the DAEs (Pre-procured PPF Support).

A PPF request must be accompanied by a completed Project Concept Note, Mr. Spensley said, which typically is about 12 pages long. Using a recently approved concept note from Rwanda (that was based on the GCF template), Mr. Spensley explained the different sections and subsections of a GCF Concept Note, and the type of information required under each section. A typical funding proposal was also shown to the participants using an example of an actual proposal from Kiribati – a Small Island Developing State in the central Pacific Ocean.

8.2 INTERACTIVE DISCUSSION ON GCF PROJECT PREPARATION FACILITY (PPF)

The questions posed, and response received, during the interactive discussion are the following:

1. Can PPF resources be used to engage national consultants to undertake studies under the PPF?

   Response: *Yes. If the expertise exists in the country, it will be better to use national staff. The PPF resources are sent to the Accredited Entity who will then be responsible for procuring and contracting the national experts (individuals or companies). Only if the expertise does not exist in a country should international experts be procured.*

2. Is the technical assistance only meant for Direct Access Entities?

   Response: *Yes, because it is expected that International Access Entities have sufficient capacity to undertake the tasks for which they are accredited.*

3. Is an entity that has opted not to apply for a PPF also required to submit a funding proposal to the GCF within 24 months of approval of the concept note or does it have unlimited time?

Response: *No, the entity is not bound to the 24 months period.*

4. In a situation where a Concept Note has already been approved, is there any circumstance under which a PPF could be denied?

Response: [*unanswered*].

5. What is the timeline for receiving a decision on a PPF request for a case where the application is accompanied by a strong concept?

Response: *The timeline for receipt of feedback on a PPF request is one month from Concept Note clearance.*

6. How soon will technical assistance to DAEs be available?

Response: *The service is already available. To obtain the support, DAEs have to send a request directly to the GCF Secretariat.*

7. Can an entity that is not accredited, but is affiliated to an International Accredited Entity (IAE) access PPF resources through the IAE?

Response: *Yes. The PPF funds in such a case will be sent to the International Accredited Entity who may then sub-contract the entity as the Executing Entity for the PPF as well as the Project.*

8. Is an accredited entity allowed to charge a fee to cover its project management inputs for a PPF?

Response: *Yes, accredited entities are entitled to standard fees under the PPF. However, it will be important to show sharing of costs as a measure of ownership for the accredited entity. Commonly, the GCF targets to achieve 50:50 sharing of project management costs with the accredited entity.*

9. The PPF is meant to support DAEs in preparing micro- to small size projects. Does this mean that large projects are not eligible for PPF support?

Response: *The PPF is meant especially but not exclusively for micro and small projects. So there is some flexibility to support somewhat larger projects. To date all PPF applications have been for micro projects and small projects.*

10. Can an NDA present a PPF request to the GCF Secretariat?

Response: *No. An NDA can present a concept note but not a PPF request. The PPF request is presented and received by the accredited entity which will be responsible for preparing and presenting the funding proposal. But the accredited entity needs to show collaboration with the NDA to ensure that the vision that the project contributes to is the country's vision. As a minimum condition to ensure this collaboration, the accredited entity has to present a letter of no-objection from the NDA when submitting the PPF request.*

11. What is the role of the accredited entity once a PPF request is approved? Does an accredited entity play any role in project implementation?

Response: *Accredited entities are responsible for managing the implementation of the PPF and submitting the Project Proposal at the end. They report on progress every six months through a standardized template showing progress of studies and other activities against planned targets.*

12. Is there any limit on the number of PPF applications that a country can submit at any one time? Is there any specific guidance on how countries can prioritize their PPF requests?

Response: *There is no firm rule on the number of PPF requests that a country can make. However, it is advisable, from a capacity point of view, for accredited entities not to handle more than 2-3 PPF requests at a time.*

13. Is it possible to tell whether or not a PPF is required just by looking at a project concept?

Response: *Yes. A PPF is required for overly complex projects and for situations where it is evident that the accredited entity or executing entity does not have the financial resources or technical capacity to carry out the studies that are required to prepare a comprehensive funding proposal. If all the detailed information needed to prepare feasibility studies is available, if there is adequate technical capacity, or if there are alternative financial resources available to the accredited, it is not advisable to apply for a PPF due to the time that will be lost in the PPF request preparation and approval. PPFs are also not used for SAPs as these, by definition, are highly simplified requests. Technical Assistance can be provided for preparation of SAPs.*

Dumisani Mndzebele of SADC Water Division, contributing to the deliberations

Participants and partners asking questions about the GCF Project Preparation Facility.

9 SESSION 6: **CLIMATE IMPACTS ON WATER**

9.1 CLIMATE IMPACTS ON WATER IN SOUTHERN AFRICA

By: Charles Reeve, Team Leader CRIDF

The presentation by Me. Reeve provided an introduction to the climate change challenges being experienced across Southern Africa. This region, which has a population of over 250 million people, is characterised by high levels of water insecurity, with large areas (especially to the south) being semi-arid, and the entire region experiencing large temporal and spatial variability in water availability that is exacerbated by impacts of global climate change. The region, Dr. Reeve said, has seen an increase in the frequency of droughts and floods in recent years but has limited adaptive capacity due, among other things, to a huge infrastructure investment backlog. Impacts of the droughts and floods on national economies and people's livelihoods are huge. For example, Dr. Reeve said, the drought of 2015 caused severe water rationing in Gabarone, curtailed power production in Tanzania, Zambia and Zimbabwe, and cause severe food shortages in Malawi, Mozambique, Lesotho, Zimbabwe, Namibia, Madagascar, Angola and Swaziland. Most of the water systems of the region are shared by two or more countries, which poses a challenge for their management and for deployment of climate change adaptation measures.

Potential measures for adaptation are numerous and include both structural and non-structural measures. For the agro based economies of southern Africa, infrastructure, Dr. Reeve said, is the key and backbone to effective adaptation to the risks of climate change. A number of the economies of the region (such as Malawi, Eswatini and Zambia) are very heavily dependent on agriculture, which creates potential for climate change to devastate these economies. Infrastructure measures introduced in the region, some through the Climate Resilient Infrastructure Development Facility (CRIDF), have demonstrated that there are ways and means of dealing with the climate challenges.

Charles Reeve made the presentation on climate impacts in Southern Africa.

9.2 CASE STUDY 5: THE CAPE TOWN WATER CRISIS

By: Trevor Balzer, Deputy Director General, Department of Water and Sanitation (DWS)

The presentation provided a real world example of how a city (Cape Town) located in a water stressed region had dealt with a major water crisis and managed to averted disaster, and how it was building resilience to reduce future impacts of climate change and variability.

The City of Cape Town, with a population of about 3.7 million, is the administrative capital of the Western Cape Province in South Africa. The city is located in a relatively dry region that receives annual rainfall of 820 mm. The Western Cape Province is just emerging from a severe 4 year drought, one with a 1 in 400 year return period. At the peak of the drought in 2017, the area where the city is located got 499 mm of rainfall, the lowest recorded rainfall since 1921.

The Western Cape Water Supply System (WCWSS) that supplies the city of Cape Town has 6 major and 4 minor dams with a total capacity of 902 MCM. From full

capacity storage in 2014, the amount of storage dropped progressively in the WCWSS to 20% of capacity in October 2017. During this period, the presenter said, a combination of measures was employed to deal with the acute water shortage and to avert a major humanitarian catastrophe. These included supply side management implemented by the Department of Water and Sanitation, and demand side management implemented by municipalities, industries and agricultural entities in the Western Cape water supply area.

The supply side measures included monitoring dam levels, making forecasts of rainfall, reducing allocations to agriculture and industry and increasing domestic water supply allocations, increasing treated waste water re-use, and developing new supplies based on groundwater and desalination. Demand side management measures included placing restrictions on per capita water consumption (from 150 l/ca/day to 50l/ca/day), introducing punitive tariffs, installing household flow regulators, reducing system pressure, repairing leakages, and launching a communication campaign for water conservation. The success of these measures was only possible with the cooperation and collaboration of all major stakeholders and individual consumers. Currently, storage in the WCWSS dams has recovered to 71.6% of total capacity.

Participants were informed that to prevent future recurrence of this crisis, and build the city's resilience to impacts of climate change and variability, medium to long-term projections of growth in demand have been made, and appropriate interventions to manage demand while increasing supply, made. The supply-side measures include abstracting more water from rivers and groundwater aquifers, raising the level of existing storage dams, building new dams, increasing wastewater re-use, and building sea water desalination plants.

9.3 CASE STUDY 6: INTEGRATED FLOOD MANAGEMENT IN THE VOLTA RIVER BASIN

By: Armand Houanye, Executive Secretary, GWP West Africa.

The presentation provided an example of a climate resilient project proposal involving multiple governments who are co-riparians in a transboundary river basin – the Volta River Basin. The basin has a population of 24 million and a land area of 400,000 km^2 covers parts of Benin, Burkina Faso, Côte d'Ivoire, Ghana, Mali and Togo. The northern parts of the basin are semi-arid while the southern parts are sub-humid.

Climate change induced flooding is a major water resources challenge in the basin and has affected 20 million people over the past 20 years. To respond to this challenge, the presenter said, WMO in partnership with GWP developed a project proposal on integrated flood management and submitted it in August 2018 for financing to the Adaptation Fund. A decision on the application is expected in October 2018.

The Project Proposal, Mr. Houanye said, has three components namely (1) risk informed decision making from local to regional level; (2) development of integrated risk reduction and adaptation measures, including early warning system; and (3) policy coordination and community capacity building at transboundary, national and local level. Under each of the components are a number of intervention measures that aim to address the climate induced flooding risks in the basin. The concept note and project proposal include detailed analysis of climate change impacts and vulnerabilities in the basin and has a strong climate rationale.

The preparation of the concept note and proposal has been guided through the WMO-GWP Associated Programme on Flood Management (APFM) with inputs from the Integrated Drought Management Programme (IDMP).

9.4 CASE STUDY 7: CHALLENGES AND OPPORTUNITIES IN PREPARATION OF TRANSBOUNDARY RIVER BASIN CLIMATE RESILIENT WATER PROJECTS

By: Lenka Thamae – Executive Secretary, ORASECOM

The presenter said that most of the transboundary river basins in Southern Africa (and indeed all across Africa) are shared between two or more countries. This shared nature of the basin presents unique challenges for their management, but also opportunities. The presentation on the Orange-Senqu River Basin shed light on the challenges and opportunities with respect to building climate change resilience in a transboundary river basin setting.

The Orange-Senqu Basin, the presenter said, was the largest river basin in Southern Africa. It has a population of about 20 million people and land area of 1 million km^2 covering parts of Botswana, Lesotho, Namibia and South Africa. Annual rainfall in the basin ranges from 1800 mm in the Lesotho Highlands to 45 mm at the mouth of the river on the Atlantic Ocean coast. Per capita water availability in the basin is below 1,500 m^3/ca/yr, making it a water stressed basin. The basin is highly vulnerable to impact of climate change. Regional climate projections portray a strong warming trend for the across the region and for changes in precipitation, with the areas in the Lesotho highlands getting warmer, but areas to the west of the basin getting dryer. Several water storage structure and water transfer schemes have been built to deal with the high spatio-temporal variability in water availability in the basin.

Mr. Lenka Thamae made a presentation on the challenges and opportunities for climate resilience building in a transboundary basin.

Main challenges of managing water resources within a transboundary setting were given as: (a) establishing common understanding, trust and transparency towards agreement on a basin level integrated plan for water infrastructure development (including infrastructure to build climate resilience); (b) uneven availability of scientifically robust information amongst countries due to disparities in research capabilities and efficiency in processing and validation of field data; (c) historically limited attention paid to climate resilience or adaptation– focus has been improving access to water to meet MDGs/SDGs and ensure water security; and (d) limited self-financing (country contributions) to consolidate project concepts into well formulated proposals.

Main opportunities of managing water resources within a transboundary setting were given as: (a) political commitment, advocacy and solidarity due to urgency of climate change impacts within the basin and improved awareness on vulnerabilities; (b) promotion of climate resilient projects because they offer solutions with multiple benefits (multipurpose nature of infrastructure solutions); (c) pursuing a basin approach provides prospect for identifying basket of solutions jointly by state Parties, optimisation at basin level for sustainability, and ability to leverage economies of scale and collective economic strength; and (d) ease of forging partnership with agencies with knowledge of potential funding windows, and with complimentary skills and capacity.

9.5 INTERACTIVE DISCUSSION ON CLIMATE IMPACTS ON WATER

The questions posed, and response received, during the interactive discussion are summarised below.

Cape Town Water Crisis

1. In the Western Cape Water Supply Area, measures were taken to curb agricultural water use. Have similar measures been taken for the industrial sector, of was this sector prioritized?

Response: *The same strict restrictions on water use imposed on domestic water users were imposed on industrial water users. Cities were then left to develop byelaws for enforcement of the caps. The industries, especially the hospitality subsector has tried to cope by drilling boreholes for self-supply and significantly reducing their water footprint through extensive water recycling, including recycling of water from air conditioners. The agricultural sector was also restricted, but they were not left to go without water because many of the farmers have their own reservoirs and production boreholes to supplement the surface water, but nevertheless it was a period of severe hardship for them.*

2. In the City of Cape Town, have you considered the covering of reservoirs with solar panels to reduce evaporation from the surface of the reservoirs while generation electricity and reducing pumping costs?

   Response: *Yes, this is being considered as an option under the climate change plan for South Africa. At the height of the drought in 2017, the loss of water to the atmosphere from the Vaal Dam was far greater than water withdrawals for consumptive use. This is in indicator that something has to be done about the losses through evaporation. However, retrofitting some of the old dams may be technically challenging.*

3. For the city of Cape Town, have you considered towing an iceberg from the Antarctic as an option for augmenting water supply?

   Response: *Yes, this has been considered, and studies conducted have indicated that it is possible to tow an iceberg to South Africa. The challenge left is how to transfer the water of the iceberg into the storage reservoirs. This challenge is still being studied and it is possible that a solution will be found for it in the future.*

4. For the Western Cape Province, what indicators need to be introduced and monitored to provide early warning of impending water shortage to avoid a repeat of the recent crisis?

   Response: *The Department of Water and Sanitation uses hydrological forecasting models rather than individual indicators to simulate a range of scenarios of the water supply situation (including worst case droughts and worst case floods) and puts into place management measures deal with any anticipated shortages.*

5. The historical records show that severe droughts similar to the recent drought in the Western Cape were experienced in South Africa in the 1920s. What is the reason to believe that the recent droughts were related to climate change?

   Response: *Scientific analysis carried out on the droughts in South Africa point to the recent droughts being climate change induced.*

6. How did DWS go about controlling water use by households in Cape Town?

   Response: *The responsibility of DWS stops at supplying bulk water to municipalities, who are then responsible for distributing the water to domestic and industrial users. They were able to control water use by putting in place new byelaws with new restrictions. DWS provides water to agricultural users and had to deal with several Irrigation Boards and Water User Associations.*

7. One of the options being suggested for augmenting supply in the Western Cape is groundwater based supply. Have groundwater assessments been conducted to determine the groundwater potential (and quality) and ensure avoidance of overexploitation?

   Response: *A comprehensive groundwater study has been undertaken that has addressed those concerns. The study has identified major recharge areas such as in the Atlantis aquifer and Table Mountain aquifer. Based on this study, water is being extracted with a fair amount of confidence that abstracted is being done sustainably.*

8. The Department of Water and Sanitation has prepared a Water and Sanitation Master Plan for South Africa. Have climate change considerations been incorporated in the Master Plan?

   Response: [*unanswered*]

9. What progress has been made by the Department of Water and Sanitation to implement the identified augmentation options to meet future water needs it the Western Cape Province?

   Response: *The DWS is at advanced stages of mobilising resources for the project that will start in 2019. This project will be financed off-budget.*

10. What is the climate rationale for the City of Cape Town?

Response: *The DWS has prepared a water sector climate change strategy that spells out how climate change issues will be taken into consideration in water resources planning.*

Volta and Orange-Senqu Transboundary River Basins

1. For the Volta Basin, is there a way to test the effectiveness of the flood management strategy that has been developed?

Response: [*answer given in French*]

2. In the Orange-Senque Basin, there is very heavy reliance of downstream areas on water from upstream areas. Is there a way to equitably share the benefits derived from use of the water across the basin amongst the basin states? Furthermore, in the Orange-Senque Basin, the watershed in the water-generating regions needs to be protected from degradation to ensure the sustainability of the water resources. Is there a way of sharing the cost of this protection among the co-basin states that all benefit from the water? Also, protection of the catchment in these areas may restrict the local communities from accessing some of the land and other natural resources in the area. Is there a way that the communities in these areas can be compensated for this?

Response: *The River Basin Commission and the co-basin governments with support from UNDP are still exploring ways through which these issues could be addressed. Potential solutions being considered, especially from and environmental sustainability perspective, include a system of Payment for Ecosystem Services (PES), or attracting investments from some of the private sector entities that are benefiting from use of the shared water resources. Moreover, issues of benefit sharing need to be embedded in the Integrated Water Resources Management (IWRM) Plan so that the infrastructure can be optimised to deliver benefits to the co-basin states. Dams in Lesotho are already delivering royalties to the Lesotho Kingdom, which could be a model for further benefit sharing.*

3. In the SADC region most of the river basins are shared among several countries. From the SADC experience, when is it easy (less hard) to bring countries to cooperate: when there are common water challenges, or when there are no challenges?

Response: *There has been a long history of cooperation amongst countries of the SADC region. For this reason, bringing countries together to cooperate has not been a problem in the region. The countries have cooperation frameworks, tightly linked economies and are actively cooperating in various sectors. Another factor making it easy to cooperate is the shared culture, traditions and history of the peoples of the transboundary river basins in the region. It has therefore never been hard to bring politicians and technical experts from the different countries to meet.*

Alastair, Dominique and Frederik – interactive discussions, climate impacts on water during the workshop.

10 SESSION 7: THE GCF WATER SECTOR PROJECT PORTFOLIO

10.1 THE GCF WATER PORTFOLIO ACROSS SUBSECTORS

By: Alastair Morrison, Water Sector Senior Specialist, Green Climate Fund

This presentation provided an overview on the GCF portfolio for the water sector. The overall portfolio currently comprises of 76 projects/programs with US$ 3.74 billion in GCF funding, 39% of which have been allocated to proposals from Africa. The projects have been brought to the GCF by 59 accredited entities, 13 of whom are from Africa.

Mr. Morrison pointed out that the water sector generally lags behind the energy sector in project preparation. Out of the 76 projects submitted to GCF to date, 21 are from the water sector and have a total GCF commitment of US$ 737 million. Total financing for 21 projects with co-financing considered is US$ 2.2 billion. The projects are roughly equally distributed between Africa, Asia, Pacific and Latin America and the Caribbean. The direct beneficiaries of the approved projects are 10 million people and indirect beneficiaries are 74 million people. The subsectors from which the approved water projects have come, arranged in order of decreasing number of projects are coastal zone management (5 projects), flood management (3), drought management (3), water supply (3), irrigation (2), Hydropower (2), ecosystems/wetlands (2) and sanitation/health (1).

Projects in the pipeline (i.e. projects for which Concept Notes have been submitted to GCF) are 41 in number, with total funding request of US$ 1.5 billion and co-financing of US$ 3.2 billion. Project in the pipeline are dominate by Asia (16 projects) and Africa (14 projects).

The presentation highlighted the climate rationale for each of the above water subsectors and listed a broad range of potential intervention measures used to address the climate risks for the subsector. Project developers are expected to justify why particular intervention measures have been selected in their proposals. The presentation also highlighted issues and discussion points that are normally raised with respect to the intervention options under the different water subsectors.

10.2 INTERACTIVE DISCUSSION ON GCF WATER PORTFOLIO ACROSS SUBSECTORS

The questions posed, and response received, during the interactive discussion are the following:

1. Is GCF making progress with respect to its portfolio targets? What are the key issues and how does GCF intend to address them in the future?

   Response: [*unanswered*]

2. For water supply subsector projects, the presentation has listed water source protection as one of the points of concern. In Ethiopia, the current approach is to focus on source sustainability which entails broader thinking about the sustainability of a water source as opposed to a narrow focus on protection of water supply abstraction points.

   Response: *This is right. Sustainability of the water source is what GCF looks for. Project developers are expected to demonstrate through studies that they have opted for water supply options that are sustainable over the project lifetime (in terms of the ability to provide the required volumes of water; vulnerability to contamination, operation and maintenance costs, etc.).*

3. In relation to the impact indicator of cost per tonne of carbon for non-grant instruments, how would GCF like this to be reported? Would this be in terms of the opportunity cost for GCF since non-grant instruments will have to be repaid, or is there some sort of guideline on how this can reported?

Response: *GCF is a relatively new organisation that has not yet set out its sector guidelines and methodologies. GCF is currently applying best practices used by other organisations that do similar work. Will refer this question to GCF staff who work on mitigation projects for an appropriate response.*

4. What are the requirements for accredited entities to be able to receive loans and guarantees?

Response: *GCF can offer a variety of financing instruments and these will be explained in detail in the presentation on Day 3. The type of financing instruments that accredited entities apply is set at the accreditation stage, and once set, cannot be changed easily. An entity accredited for loans only cannot apply for guarantees. As part of the accreditation process, entities describe the types of financing instruments for which they have adequate experience, and which they feel confident and qualified to administer. It is at this stage that the type of financing instrument is set. To date, guarantees have not been used at all in the water sector. Therefore, no specific examples can be given of GCF projects with guarantees. But in principle, guarantees are given to cover against certain risks (like political turmoil or natural disasters) for an otherwise viable project. What is important for guarantee is to describe the exact circumstances that are a source of the potential risk.*

5. It has been stated that land subsidence cannot be used as an argument in a climate rationale if the land subsidence is as a result of over abstraction of groundwater. But can the argument still be used if it can be demonstrated that the over abstraction of groundwater is a consequence of the depletion of surface water resources by climate change?

Response: *Yes, this would be a second order consequence of climate change.*

6. Are the convening partners of the workshop accredited entities? Specifically, is the Global Water Partnership a GCF accredited entity? Malawi would like to partner with GWP in preparing a water sector project proposal.

Response: *GWP has applied for GCF accreditation and is awaiting a decision on its application. Each organisation needs to think carefully about its role in the GCF process. Accreditation is not for all organisations because it involves a lot of project management work, fiduciary work, lots of accountancy, auditing, legal work, procurement, etc. all of which tie up a significant amount of human and financial resources. For more technically oriented water organisations, the above areas may not necessarily be their area of comparative advantage. Such organisations may better contribute to the GCF project portfolio by applying their skills as water specialists, than by trying to get into the accreditation system. They can do this by providing support to water sector entities in upstream work such as preparing maps and other info products, helping with readiness programs, or as executing entities - bringing their specialist technical skills to bear.*

7. During the preparation of a climate rationale, various alternatives for responding to a specific climate risk are evaluated and the best evaluated measure selected. Is this assessment of alternatives done in a qualitative way or quantitative way (i.e. with full cost-benefit analysis, technical assessment of infrastructure designs, sustainability analysis, etc.)? Would it suffice to simply state that various alternatives have been considered and that for reasons elaborated, a particular option has been selected?

Response: *No, such a statement would not suffice. A fairly detailed analysis of options has to be carried out to minimise the potential for problems arising at implementation stage due to wrong choice of options. In principle, the level of detail required is directly proportional to the level of financing applied for. The greater the financing applied for, the greater the level of detail that will be required.*

8. Is it correct to assume that one does not need to prove the impact of climate change in a prevailing water situation but, instead, by using climate projections, demonstrate future impacts of climate? This question is asked because infrastructure projects typically have long lead times, and if climate change must first be proven with the limited historical data, it would take far longer for the project to be implemented.

Response: *For any GCF project submitted to the board, the question will certainly arise as to whether or not a project is genuinely related to climate change. Robust climate science is required to show a credible link to climate change. While it is appreciated that not all areas will have adequate historical data, it is expected that where such data exist, they will be analysed, presented, and used to support arguments for GCF financing.*

9. The Cape Town experience showed that behavioural change that manifested through a change in consumption patterns was crucial in averting a major humanitarian disaster. Can we use this experience to make a case for greater attention to human behaviour change as a tool for building climate resilience?

Response: *Yes, behaviour change can be an effective way of closing a water gap. Soft interventions of this nature can be expected to complement hard interventions and are looked for by GCF in assessing projects concepts and proposals.*

11 GROUP WORK 2: PREPARING GCF CONCEPT NOTES

11.1 GROUP WORK 2 TASK

The Group Work 2 discussions took place between afternoon tea time and the end of Day 2. Participants were divided into country groups (the NDAs, DAEs and water sector agencies of each country all siting together), and each group was requested to select one project concept from their country to work on.

Participants received a blank GCF Concept Note template for the group work. During the group work, each group was required to review the information in the concept note submitted before the workshop, and attempt to improve it using the new information acquired in the workshop, and weaknesses noted during the rapid assessment of project ideas. The group was to fill the improved content in a blank concept note template (in bullet form), and report back the to the plenary on Day 3 on work accomplished.

11.2 PLENARY REPORT BACK FROM GROUP DISCUSSIONS

Report back to the plenary on the outcomes of the country group discussions took place on the following morning. Panels comprising 4-5 countries were called to the front and each country in the panel requested to make a ten minute presentation on the work done to improve and fill out the concept note for their country project idea. One representative from each country made the report on behalf of his/her colleagues.

After each presentation, the moderator made a quick check to see whether or not the group had addressed all weaknesses identified earlier.

The country panels formed were as follows:

- **Panel 1**: Ghana, Burkina Faso, Cameroon, Mali.
- **Panel 2**: Rwanda, Ethiopia, Central African Republic, Mauritania, Tunisia.
- **Panel 3**: Eswatini, Lesotho, Botswana, Namibia, Angola.
- **Panel 4**: Uganda, Tanzania, Zambia, Zimbabwe, Madagascar.

The Table below summarises the country reports.

Participants from Ghana (left) and Uganda (right) working on their country project ideas.

Participants from Burkina Faso (top) and Mauritania (bottom) discussing their country project ideas.

Table 9: Report of the countries on the outcomes of Group Work 2: Concept Note Preparation

GHANA

***Project Idea*: Developing groundwater resources for climate resilient irrigation and socio-economic development activities in Northern Ghana**

- Filled out a new Concept Note Template with the bullets generated from the group discussions (to do this, the country rapporteur skipped the previous evening's cocktail).
- Areas that were strengthened:
  - The project/ program information
  - Description of present climate conditions in the project area and projections of the future climate in the area
  - Teasing out how the climate will translate into direct impacts on the community
  - Defining project activities under 4 components
  - Tried to demonstrate that the project will bring about a paradigm shift
  - Tried to strengthen the sustainability aspects by showing how the project will be mainstreamed into existing sector programs after exit of GCF
- Did not manage to work on project costing.

BURKINA FASO

***Project Idea*: Program for building resilience and improving water security in Burkina Faso.**

- This project focuses on water resources management as a tool for ensuring water security.
- The country team filled out a new concept note template with bullets generated from the group discussions.
- In their discussions, the country team took into consideration the comments made by GWP in review of country ideas, and comments made by the West Africa Group during Group Work 1.
- The country team improved the description of the climate impact being addressed, and provided more detailed elaboration of droughts and floods and their implications on livelihoods, social welfare and economic development of the country.
- The team then elaborated the project Interventions, which included software measures such as climate change mainstreaming, and hardware issues such as rehabilitation of water works and other infrastructure.
- One of the interventions is to increase irrigated agriculture as a way of reducing reliance on rainfed agriculture, which is increasingly unreliable due to climate change.
- They also included a component on social issues such as gender mainstreaming, conflict prevention, etc.
- They intend to apply for a PPF to support the full costing of the project.

CAMEROON

***Project Idea*: Sustainable management of water resources in Cameroon.**

- The project will have three components, each addressing a different part of the country. The components are:
  - *North region component*. The north is a very dry region. The intervention here is to build dams to improve water access for agriculture and domestic consumption
  - *West region component*. The west is a mountainous, moderately wet region. The project will aim to enhance climate resilience while working to reverse the harmful effects of a previous policy of eucalyptus tree planting.
  - *Coastal region component*. The coast region is where there is sea level rise and salinization of freshwater aquifers. The region is densely populated, which presents a challenge for sanitation. Interventions in the region include rainwater harvesting.
- The country team consulted with the GCF team who indicated that climate change risks need to be better explained under the concept note. The GCF team also recommended a phased approach, initially concentrating in northern Cameroon them moving to southern Cameroon in a second phase.
- By applying the GCF investment criteria, the country team obtained a clear idea of what needs to be improved in the original concept note.
- The team will report back the preliminary outcomes of the assessment to the water sector entity in Cameroon, and then work closely with the NDA to improve the project idea and prepare a concept note for submission to the GCF.

MALI

***Project Idea*: Mobilization and integrated management of non-perennial surface water in Kayes, Nioro and Yélimané**

- Said that Mali, although a Sahelian country, is traversed by three major river systems (the Niger, Volta and Senegal Rivers). Despite this, the distribution of water in the country is not even in space and time. In recent years, as a consequence of climate change, the country has witnessed an increase in the frequency of floods and droughts
- The project intervention in response to this risk is to build water works and dams to enhance the national capacity for dealing with floods and droughts.
- During concept preparation, data will be obtained from an ongoing joint programme on Integrated Water Resources Management (IWRM) to be used in improving understanding of the impacts of climate change on Mali's water resources, and developing the climate rationale. The IWRM programme, among other things, has established an early warning system on droughts and floods.

ETHIOPIA

***Project Idea*: Climate resilient water supply project in drought prone areas of Ethiopia.**

- Said they enjoyed the exercise. And they worked so hard that they were 45 minutes late for the cocktail.
- Looked at the previous comments received on the concept note and tried to improve the areas of weakness pointed out.
- The country team made a note to improve the climate rationale to present tangible and concrete evidence that changes are taking place with respect to drought driven by climate change and global warming; groundwater tables are dropping; rivers are drying up, vegetation is disappearing; and conflicts between neighbouring regions are escalating over competition for watering holes and grazing grounds.
- With regard to impact potential, the concept note will show that the project area is inhabited by pastoralist communities whose livelihoods are dependent of rearing of cattle, goats, sheep and camels. Loss of grazing land causes the communities to migrate to other areas. This disrupts the education of children of school going are, and disrupts the communities access to health services. The project if implemented will put a halt to climate-induced migration and allow school children to enrol for and attend education programs, and the community to access health and other social services.
- With regard to paradigm shift, there is a possibility of rehabilitating degraded areas through watershed management.
- With regard to sustainable development potential, if the project is successfully implemented, it will lead to reduction of conflicts, and to peace and security in the area. This is a critical requirement or the development of the area.
- With respect to the Needs of the Recipient, the project will provide water for the pastoral communities, for their livestock, for small-scale irrigation and for industry. These are the top demands of the communities.
- With respect to Country Ownership, there is commitment from the highest level of government. The country has set aside resources to co-finance the normal development interventions while GCF funds the climate additionality.
- With respect to Effectiveness and Efficiency, a monitoring and evaluation framework will be developed for the project and used as a tool to enhance efficiency and effectiveness. Costing will be managed with the SDG costing tool.

MAURITANIA

***Project Idea*: Protecting and valuing water resources for sustainable, integrated and climate resilient rural development in northern and western Mauritania.**

- Has held discussions with Morocco and Tunisia to learn from their experiences on preparation of GCF project concepts.
- Mauritania has not yet submitted a project concept to the GCF but hopes to do so in the near future.
- The Mauritania project idea is still at a very early stage of conception and, for this reason, the group did not manage to fill out the project information in the Concept Note template.
- Said that Mauritania is a semi-arid country that is strongly affected by impacts of climate change and suffering from drinking water shortage and inadequate sanitation.
- The project, which responds to the above threat of climate change, will be located in four regions in northern and western Mauritania and focus on three things:
    - Capacity building and disseminating knowledge to communities
    - Water supply and sanitation provision; and
    - Building resilience of communities to enable them cope with the growing impact of climate change.
- The project will work with the most vulnerable groups and have a gender component that will address social problems arising from men leaving the rural areas in search of work in the cities while women remain behind to tend the land and take care for the family.
- **Comment from the moderator**: it is important to show alignment of the project to key national planning documents and priorities, and to distinguish between normal development and the climate change intervention.

CENTRAL AFRICAN REPUBLIC

***Project Idea*: Waste water management.**

- Due to visa issues, the participant from Central Africa Republic arrived on Day 2 of the workshop and hence had missed the previous days' presentation on the GCF Investment Criteria and Climate Rationale.
- The participant elected to use the group work time to develop a new project idea.
- The project will focus on waste water management, which is a serious challenge in Central African Republic.
- The main project interventions are the following:
    - Construction of wastewater treatment facilities; many hospitals discharge untreated effluent into the environment thereby causing water pollution.
    - Formulation of a new water and sanitation law act.

TUNISIA

***Project Idea*: Water-Energy-Food Nexus approach to address climate change impacts in Central Tunisia.**

- Tunisia has already completed the preparation of 3 concept notes for submission to the GCF.
- Tunisia intends to combine the three project ideas into an overarching programme. The components of the programme, which correspond to the project concepts prepared will be:
    - A project on the Water-Energy-Food nexus – the project presented the previous day by Sarra.
    - A project on watershed management and water conservation in Southern Tunisia; and
    - A project on sea level rise and salt water intrusion in coastal freshwater aquifers.
- **Comment from the moderator**: it is difficult to have a coherent climate rationale for a project with a broad program

- Feasibility studies.

- **Comment from the moderator**: the concept note still has very general ideas of interventions and unclear link to climate change. It needs to be focused on the climate impacts being addressed.

theme. These it is necessary for the project idea to be as focused as possible.

RWANDA

***Project Idea*: Climate-Smart Storm-Water Management and Drainage Initiative in the City of Kigali.**

- The project was not uploaded earlier but is similar to the project idea that was submitted.
- In the group work, the country improved the description of the project area, highlighting the issue of flooding accompanied by landslides in the city of Kigali and its impacts on the city population. Also mentioned are proposed intervention measures (relocation of people away from high flood risk zone and rehabilitation of degraded steep slopes that contribute high silt loading to the river draining the city area)
- Made clearer identification of the specific project area and target populations (about 25% of the city population).
- Improved the identification of project interventions which are grouped under 4 components.
- Improved a previous area of weakness by stating clearly how the project would be replicated to bring about a paradigm shift.
- Improved the information on the sustainable development benefits by clarifying how reduction in sediment loading through the project helps to bring down costs of water treatment and pump maintenance, and improves the water quality of the Akagera River – a tributary of the transboundary Kagera River (part of the Lake Victoria Basin and Nile River Basin). Also presented new information providing quantitative figures of the economic cost of flooding in terms of disruption of business activities and destruction of infrastructure like roads, power lines and telecommunication lines, which will be avoided through the project.
- Stated that with a comprehensive value-for-money assessment and cost-benefit analysis, taking into consideration all above factors, both market and non-market values, it is expected that the assessment will come out with a positive net present value that will justify the interventions.
- Expected that preparation of the full funding proposal could be implemented through a PPF but there is possibility it could be funded by the government, depending on the urgency of the project.
- **Comment from moderator**: Rwanda to get in touch with Eswatini and Lesotho who have implemented similar project to learn from their experiences.

ESWATINI

***Project Idea*: Disaster Management: Rehabilitation and upgrading of real time river monitoring system and water control unit to support timely information generation for flood and drought management.**

- The country team improved the climate rationale by describing the gradual failure of the river monitoring infrastructure owing to greater frequency and higher magnitude of extreme hydrological events. The changed hydrological regime is beyond the design capacity of the river monitoring installations. The breakdown of the system leaves riparian communities exposed to risk of flooding and drought.
- Noted a need to gather data and present results of quantitative analysis demonstrating the occurrence of climate change and its impacts in terms of floods and drought.
- Strengthened the description of the implementation framework for the project, capacity of the executing agencies, and mechanisms for institutional coordination and stakeholder consultation.
- Noted a need to complete consultations with other sector partner on co-financing of some components, and obtaining buy-in of the NDA and DAEs.
- **Comment from moderator**: Eswatini to apply the same approach to improve the other country project concepts.

ANGOLA and NAMIBIA (Joint Project)

***Project Idea*: Building resilience of climate change affected communities in southern Angola and northern Namibia through remote sensing mapping of deep transboundary aquifers.**

- The project was conceived and initially developed by Angola then later expanded into a joint initiative involving Angola and Namibia. The required funding for the project is US$ 60 million.
- In developing the new project idea, Angola and Namibia received support from colleagues from Sao Tome and Principe, Mozambique and Ethiopia.
- Have filled out a Concept Note for the project in bullet form.
- In filling the form, they improved climate rationale by describing

BOTSWANA

***Project Idea*: Stormwater/rainwater harvesting facility**

- Improved the impact rationale, which was elaborated to be addressing the negative impacts of drought on rural communities who are no longer able to rely on rainfed agriculture and grow enough food for consumption and sale. Also showed that women-headed households are impacted more than male-headed households by these risks.
- Improved the definition of intervention measures to address the climate impacts, which were of several categories including

how the target area has been experiencing decreasing rainfall and increasing frequency of droughts. This was having a devastating impact on cattle and people's livelihoods and triggering increased migration of populations in southern Angola and northern Namibia. Noted the need to compile quantitative data to support this narrative, which data is available. Further described the vulnerabilities of the farming communities of the area, expected to reach a population of 1 million in the next 10 years. Noted the need to present model projections showing increased water scarcity due to climate change in the area leading to increased vulnerability of the community to drought.

- Also improved the elaboration of intervention measures which mainly centred on sustainable extraction of groundwater from a transboundary aquifer in the Kunene basin. The intervention measures were grouped under four components and include research on sustainable yields of the aquifer.
- Clarified the paradigm shift potential of the project, which is the bringing together of two neighbouring states to jointly address common challenges affecting communities living along the common border.
- Improved the sections on project costing and justification for why GCF funding is sought. Justification included fluctuating currencies of the two nations, having to respond to emergencies many related to drought and budget constraints.

infrastructure development (building of water storage structures, small-holder irrigation schemes) as well as capacity building targeting enhancement of community capacity to operate and maintain infrastructure.

- Chose to follow a phase implementation of the proposed interventions, starting with a few communities and replicating it to other communities; plan to use knowledge management tools to capture lessons from completed phases to inform the design of new phases.
- Acknowledged the lack of data and scientific analysis to support the climate rationale in the Concept Note, and have planned to apply for a PPF to conduct climate studies and other studies on vulnerability and gender analysis.
- Regarding issues of sustainability and paradigm shift, they plan for the government of Botswana to be deeply involved in the development of the funding proposal from the very onset, to co-finance some project components, and wholly finance subsequent phases after pull out of GCF. This will be possible because the project is already well aligned with government priorities on poverty eradication among rural communities.
- **Comment from the moderator**: the project has a good paradigm shift potential in as afar as it promotes the use of stormwater – a non-traditional source of water that is often ignored.
- **Comment from moderator*:*** the Climate rationale is clear in presenting water scaring as the issue being addressed and stormwater harvesting as the project response. But the selected response needs to be evaluated against other potential intervention measures and justification provided for selecting this particular response.

LESOTHO

Project Idea: Integrated catchment management

- Improved the elaboration of the project focus. The project has both a mitigation component (forestry and land use management), and adaptation component (building resilience of the most vulnerable communities, improving water security wellbeing, and protecting ecosystems)
- Noted that the original Concept Note lacked a climate rationale and developed one. This included explaining that an increase has been observed in the frequency of floods and droughts with devastating impacts on the catchments ad water resources. Recent observations also indicate a warming trend leading to reduction in the occurrence, duration and depth of winter snow (Jul-Aug) and in turn producing a reduction in summer streamflow. These impacts are projected to increase in the future. The project is set to address these climate risks.
- With respect to financing, the possibility for co-financing on some of the project components by a downstream country (South Africa) is being explored under the framework of ORASECOM.

TANZANIA

***Project Idea*: Enhancement of climate change adaptation in the Wami River Catchment in Tanzania**

- Said they had learnt a lot from the workshop.
- They had improved the elaboration of the climate rationale by stating that temperature is increasing in Tanzania, and by 2060, it is projected to have increased by 2.7 ^{o}C if nothing is done to reduce greenhouse gas emissions. As temperature increases, the dynamics of ecosystems change. Ecological shifts and species changes occur, and evapotranspiration increases thereby reducing streamflow. Studies indicate that rainfall has been declining in the country at a rate of 3 mm per month per decade since the 1960s. Anthropogenically driven deforestation exacerbates the impact of climate change and leads to further reductions in streamflow, and to increased flooding and drought. All of these produce impacts on rainfed agriculture, food security water security and livelihoods.
- Improved the definition of project objective, which is to build the capacity of local communities in the Wami River catchment to manage the water resources of the catchment for economic, social and environmental sustainability.
- Improved the justification for selection of the project area (Wami River catchment) and explained that this particular catchment was selected because it has readily available data on climate vulnerability, which is essential in preparation of the project concept and funding proposal. The catchment has a large population of 2.5 million people, which puts pressure on the natural resource base.
- Improved the elaboration of project interventions, which included diversification of livelihoods and household income and awareness raising about impacts of climate change.
- Have not yet defined project outputs.

- Expect to prepare a good concept note using the knowledge acquired from the workshop.
- **Comment from the moderator**: upload the concept note so that it is reviewed and comments provided to help in finalising it.

ZAMBIA

***Project Idea*: Water harvesting for sustainable agriculture.**

- Have reviewed a new project idea that has not yet been uploaded to the system
- The proposed project will be located in Siavonga and Chirundu in southern Zambia. These areas have high annual mean temperatures and experience frequent drought. The frequency and severity of drought is increasing due to the impact of climate change. The Department of Water Resources Development in the Ministry of Water drilled a number of boreholes in the area but many have since dried up. The water table has been receding and drilling has to proceed to greater depths to find water. The recharge in the area has also been noted to be low.
- The project intervention to address the above climate impacts is rainwater harvesting through construction of weirs and dams, and promotion of smallholder irrigation with the harnessed water.
- The project has great replicability and paradigm shift potential because large areas in the south of the country face similar challenges and are experiencing migration of people from the south to the north.
- In terms of sustainability, the government of Zambia is expected to co-finance some project components because the project is well aligned with national priorities and plans such as the National Development Plan (NDP) and National Adaptation Program of Action (NAPA).
- Based on what was learnt from the workshop, the country team noted a number of weakness in the original concept note that need to be worked on. Expected improvements include strengthening the justification for why GCF funds are needed, and re-doing the project costing.
- **Comment from the moderator**: the proposed project area is close to the border with Zimbabwe. So, Zambia may wish to borrow the approach of Angola and expand the project idea to a multi-country program.

MADAGASCAR

***Project Idea*: Increasing resilience to climate change in southern Madagascar.**

- This project seeks to promote the sustainable and integrated management of water resources in sub-mountainous of Madagascar.
- The project focuses on three regions in the south of the country – Anosy, Androy and Atsimo Andrefana – that are experiencing severe and recurring drought causing, among other things, acute shortage of water for human use
- The project intervention is to develop water supplies based on water sources that are less vulnerable to impacts of climate change, and to transport and distribute the water to target communities. Pumping of water will be carried out using solar-powered pumps to reduce the carbon footprint of the project. Recent studies have confirmed the groundwaters to be of suitable quality for human consumption.
- The group tried to write out a concept note for the project using the provided template but made little progress as there were numerous information gaps in the project idea, and many questions that the group failed to answer.
- The group then chose to use the group work time to make an assessment of the project idea against the GCF investment criteria and against other desirable features of good projects learnt through the workshop. Below are the groups observations about the strengths and weaknesses of the project idea:
    - Strengths: Co-financing for some components has been secured from two sources: the government of Madagascar and UNICEF. This will help to separate the additionality due to climate change from normal development interventions.
    - Weaknesses: the following areas are weak and require substantial strengthening: the climate rationale, vulnerability analysis and paradigm change potential.
- The group plans to continue working on the above weaknesses and to improve the concept to a stage that it can be submitted to GCF.
- **Comment from the moderator**: It is good to note that the project already has co-financing from UNICEF. The country is encouraged to seek guidance and assistance from other colleagues or the facilitators to improve areas that are still weak.

UGANDA

***Project Idea*: Climate-smart water supply and sanitation systems**

This project proposes to build new water supply and sanitation systems in Eastern Uganda that will remain functional even during adverse flooding and periods of drought. The project targets vulnerable communities living in low-altitude areas in eastern Uganda experiencing alternating droughts and floods. The project looks to develop water and sanitation systems for the project area that are environmentally friendly and sustainable; systems that do not require pumping (where water flows by gravity) or where pumping is required, systems that use solar power for pumping instead of diesel.

ZIMBABWE

***Project Idea*: Strengthening the business sector's response to climate change.**

- Are appreciative of the workshop as it has helped provide insight on how to develop the country's project idea.
- The project idea is complex but country is determined to push ahead with it.
- It is a renewable energy project with co-benefits.
- The rationale is that the business sector is dependent on two main sources of energy i.e. the Kariba Dam and Hangwe Power Station. Zimbabwe has been experiencing frequent droughts

The country group:

- Did not manage to fill out the blank template but made a presentation from hand notes
- Improved information on the project area (Eastern Uganda) and justification for why this part of the country was selected
- Noted a need to further refine the climate rationale by adding quantitative scientific facts and figures to underpin the statements made in the Concept Note. Already, existing statistics points to average annual temperatures having increased by 1.3 ^{o}C between 1960 and 2010. This is projected to increase to up to 1.5 ^{o}C by 2030. The warming trend has been accompanied by changes in the frequency of extreme weather and hydrological events. Over the past 100 years, the incidence of floods and droughts has increased by many folds. Flooding has been occurring on a nearly yearly interval since 1997. The frequency of flooding between 1990 and 2000 was seven times higher than that over the previous 100 years. Droughts, likewise, are on a rise in Uganda. The floods and droughts tend to occur in the same areas causing wide-ranging and cross-sectoral impacts, including periodic outbreak of water-borne diseases from contamination of water sources by flood waters. Along the northern border with Kenya, failing rains cause cross-border migration of pastoral communities causing security tensions between the two countries.
- Refined the description of interventions to be implemented under the project and made clearer the link between the intervention measures and climate impacts; grouped intervention measures under 3 components. Interventions included construction of water supply and sanitation systems; water safety planning; strengthening capacity of water utilities to responding to emergencies; and water for production to reduce the need for pastoralist to migrate.
- Put forth new arguments on how the project will bring about a paradigm shift by its replication to other parts of the country experiencing similar challenges.
- Improved a qualitative analysis of vulnerabilities and made note of the need for a detailed vulnerability mapping exercise
- Made new arguments to illustrate the additionality of the project, and show how the project is different from ordinary water supply and sanitation projects but is really addressing new risks posed by climate change.
- **Comment from the moderator**: the project could benefit from lessons learnt under climate-smart agriculture projects.
- **Comment from the moderator**: the project is targeting both floods and droughts. The needed interventions for these are different. The project needs to be more focused on which climate risks it is responding to. The Theory of Change for the project will become very complicated when both floods and droughts are addressed.

over the last 30 years. In the last 3 droughts that the country experienced, the water levels in Kariba Dam fell drastically and seriously affected power generation, and in turn, the operations of the business sector, especially the manufacturing sector. The droughts exposed the fact that the country was not prepared to deal with this disaster and did not have alternative sources of energy. The incidences also showed that the country's plan to progressively move away from coal as a source of energy would be difficult to achieve due to the risks associated with hydropower under a changing climate. It was clear that if the country did not invest in renewable energy and increase efficiency of energy use by the business sector, the country would continue to depend on coal or suffer from impacts of climate change on hydropower generation.

- The proposed interventions are to raise awareness and educate the business sector on efficient energy use. Awareness levels are currently very low and many businesses operate very old machinery that are not energy efficient. Also, the industries are mostly agro-based. So when there is drought, agricultural production falls, and in turn affects industry. The other intervention under the project is to strengthen the nexus between industry and the agricultural sector so that industry can play a role in helping the agricultural sector cope with impacts droughts.
- **Comment from the moderator*:*** The project idea sounds like a comprehensive national program. It is important to be very focused on what climate risks the project will address. The NDA needs to discuss the project idea with the Ministry of Energy and Power Development, and Ministry of Environment, Water and Climate.

[Top] Representatives from Mali discussing their country project idea. [Bottom] A representative from Male on Panel 1 presenting her country report on the group work. Other members of Panel 1 were Ghana, Burkina Faso and Cameroon.

Participant from Tunisia on Panel 2 presenting the country report on group work 2. Other members of Panel 2 (some of who are not in the photo) are Rwanda, Ethiopia, Mauritania and Central African Republic.

Participant from Rwanda (middle) and Ethiopia (right) giving their country reports during the Panel 2 report back time.

Representative from Namibia on Panel 3 presenting the country report on group work. Other members of Panel 3 were Angola, Eswatini, Botswana and Lesotho.

Participant from Tanzania on Panel 4 presenting the country report on group work 2. Other members of Panel 4 (one of whom is not in the photo) were Zambia, Madagascar, Uganda and Zimbabwe.

12 SESSION 8: GCF FINANCING INSTRUMENTS

12.1 FINANCING OF GCF PROJECTS – AN OVERVIEW

By: Alastair Morrison | Water Sector Senior Specialist, Green Climate Fund

This presentation shed light on the different sources of finance, GCF financing options and instruments, and possibilities for financing of projects.

The GCF, Mr. Morrison said, has a mandate to promote low-emission and climate resilient development in developing countries The GCF seeks out investments that help it achieve its result areas (i.e. energy; transport; buildings, cities and industries; ecosystems; livelihoods of people and communities; health, food and water security; forests and land use; and infrastructure). The GCF, Mr. Morrison explained, is different from other financing institutions in several ways, including having a high risk appetite. The GCF might invest in places where other financing institutions may not go, or in types of projects other institutions might not support. Therefore, they might be the first place to go for people with innovative ideas, or wishing to approach the projects in a different way.

For all GCF projects, the presenter said, there is a range of financial instruments available for financing the project. The appropriate instrument for financing will vary from project to project, depending on such things as the project context, affordability and people's willingness to pay, and the returns that the project will generate. The financing instruments that GCF may offer are the following: (a) concessional grants – where there is strong rationale and a clearly demonstrated need for grant financing; (b) concessional loans – attractive, low interest loans at 75 bp above inter-bank rates for a tenure of 25 years, or at inter-bank rates for a tenure of 40 years; a significant grace period of 5-10 years may be offered on the loans; (c) reimbursable grants – useful in situations where a project has to set up an operation or business that needs to reach a certain threshold or maturity (usually its capacity to generate money) before the grant can be paid back; (d) equity – GCF can own part of a project's outputs; this is more commonly used in the renewable energy sector where, for example GCF may invest in a solar plant and own some of the shares of the solar plant; (e) guarantees – these could be used to guarantee loans and ensure that an otherwise promising project does not get stopped because of certain conditions; guarantees can be made against those conditions happening; in the event of the unfortunate events happening, the guarantee is called upon, and the project continues as originally planned. GCF can blend the different financing instruments, for example, a concessional grant combined with a loan, and can do gap financing. GCF also operates a private sector facility. The decision as to which financing instruments will be applied to a funding request depends on the GCF board.

GCF grant elements, it was explained, are typically used to address specific barriers or specific extra costs to a project. GCF seeks to strike the right level of concessionality for loans, so as not to displace investments that would otherwise occur, and avoid crowding out commercial banks. Levels of indebtedness and capacity of the recipient to repay are taken into account in reaching the level of concessionality so as not to encourage excessive indebtedness. For projects that generate revenue streams (water and power utilities), GCF expects the revenue to repay the loan but can offer blended finance to make up for shortfalls.

GCF expects project developers to leverage other financing. Water sector projects typically have two to three dollars for every dollar invested by GCF. Potential sources of co-finance include governments, bilateral donors, multilaterals and International Financial Institutions, commercial banks, insurers and private foundations.

12.2 DBSA CLIMATE FINANCE FACILITY

By: Muhammed Sayed | Specialist, Climate Finance Unit, DBSA

The DBSA was presented as an infrastructure financing institution focusing on four key sectors – transport, energy, ICT and water. The Bank offers a range of support to project developers, including project preparation support.

Climate finance, Mr. Sayed explained, is one of the areas where DBSA has been active. Climate finance activities that the Bank is involved in were enumerated as the Green Fund (GF), a national climate fund of the government of South Africa; the Green Climate Fund (GCF), where DBSA is an accredited Regional Direct Access Entity; Global Environment Facility (GEF), where DBSA is accredited as a National Project Agency; the International Development Finance Club (IDFC), where DBSA is an active member; and Global Innovation Lab for Climate Change (GILFCC (The Lab)),where DBSA is a member.

The DBSA's Climate Finance Facility (CFF) is a combination of the DBSA's activities in the various climate funds, and the repositioning of DBSA as a Green Bank. The CFF, it was explained, is essentially a credit enhancement facility focusing on providing blended finance to climate mitigation and adaptation projects that could be commercially viable but are not yet bankable in the private sector. The CFF's activities are concentrated in southern Africa, more specifically in Rand-based countries (South Africa, Namibia, Lesotho and Eswatini). To capitalise the CFF, DBSA has applied for a US$ 55 million loan from the GCF, is in the processes of mobilising another R700 million from a Development Financial Institution, and contributed a matching component of R650 million from DBSA.

Climate mitigation activities are expected to take up 70% of the CFF portfolio while climate adaptation activities will take up the remaining 30% of the portfolio. Under climate mitigation, the CFF will be looking to support renewable energy generation (up to 10 MW), waste to energy conversion, energy efficiency improvement, and low emission projects (from the transport sector). On the climate adaptation side, all targeted activities are from the water sector. The CFF will be looking to support new water sources (groundwater development, desalination), water treatment and water use efficiency projects. All projects must have a strong climate rationale, and will come from the four countries above (i.e. South Africa, Namibia, Lesotho and Eswatini). The CFF together with the GCF is in the process of preparing an operational manual to provide guidance on the way eligible projects from the four target countries will access the resources of the Facility.

12.3 CASE STUDY 8: THE AFRICAN WATER FACILITY

By: David Hebart-Coleman | African Water Facility

The African Water Facility (AWF) is a trust fund initiative led by the African Ministers' Council on Water (AMCOW) aimed at mobilising resources to finance infrastructure development in the water sector in Africa. The Facility was established in 2004 and is hosted and managed by the African Development Bank (AfDB). The AWF is an accredited entity to GCF by virtue of being part of the African Development Bank Group.

Since 2006, participants were told, the AWF has mobilised €151.2 million in grant financing from 15 bilateral and multilateral financial institutions, foundations and African governments. The resources have been used to prepare 117 projects in 52 African countries. On average each €1 contributed by the AWF has attracted €34 in additional follow-up investments.

The AWF is an early project cycle project preparation facility. Project preparation activities, based on the AWF 2017-2025 Strategy, make up 75% of AWF's activities. The activities cover all aspects of the project preparation cycle, including feasibility studies, project design, project structuring, scaling up innovative solutions, and preparing bankable projects for blended/commercial finance. The other major activities are supporting catalytic investments (15% of activities) and investment promotion (10% of activities). Under the catalytic investment activities, the AWF deploys small investments to trigger implementation of innovative projects or leverage commercial finance to enable projects to be implemented. The investment promotion activities, which include investment opportunity diagnostics, networking platform and guarantee brokerage, all carried out directly by AWF.

In June 2018, the AFW launched a new initiative – the Africa Urban Sanitation Investment Fund (AUSIF) – prepared in collaboration with the Bill & Melinda Gates Foundation. The AUSIF targets to develop a pipeline of investment projects in the sanitation sub-sector; promote catalytic investments that can attract additional funding from private sector and other partners and governments; and promote investment to mobilise more funding for the sector. The focus of the fund will be on faecal sludge management and 'distributed sanitation network' approaches.

The AWF, working together with the Nordic Development Bank, made a call for climate resilience project proposals in 2014. This call, the presenter said, attracted 240 applications, 32 of which were selected to be in the project pipeline. Many of the projects were rejected because they did not meet the AWF's requirements. A few (10) of the selected projects are under implementation while the rest are still under appraisal. Projects prepared through the AWF are implemented by a range of partners including the European Investment Bank (EIB), Agence Française de Développement (AFD), World Bank, KfW and others.

12.4 INTERACTIVE DISCUSSION – FINANCING INSTRUMENTS

The questions posed, and response received, during the interactive discussion are the following:

1. **General comment**: A key message of the presentations of Session 8 is that there is more than one instrument for financing climate adaptation projects. The different instruments may be applied singularly, or in combination (blended financing), and may be sourced from different financial institutions. The project developers have to decide what financing instruments or combination of instruments best suites their project.

2. It appears most accredited Direct Access Entities are accredited for grants, and not blended financing. This precludes their attracting financing from the private sector. Please comment on this.

   Response: *This is true, but entities are accredited for the financing instruments they apply for (and are qualified to administer). Once accredited, the entities can only finance projects that correspond to the instruments for which they are accredited. Entities when applying for accreditation must think carefully about the financial instruments they wish to be accredited for, because they cannot easily change this afterwards (requires a process of a re-application). There are examples of accredited entities that offer loans alongside other financial instruments such as DBSA and AfDB.*

3. What is the experience of the accredited entities in handling multi-country or regional projects?

   Response: *Multi-country projects are typically very complex and difficult to get board approval for due to complexity and communication and coordination challenges amongst multiple governments. Different financial institutions face different levels of difficulty in financing multi-country or regional projects. The process of obtaining a no-objection for a proposal varies from country to country. For DBSA, the approach would be to engage with NDAs way in advance of proposal submission so as to obtain their input into the project idea before a request for no-objection is sought. From their perspective, building strong relationships with NDAs is crucial in the implementation of regional projects.*

4. What is the mandate of DBSA from a geographical perspective? Is DBSA in position to finance projects outside South Africa?

   Response: *In 2012 DBSA was restructured and its mandate broadened to encompass the whole African continent. Notwithstanding, DBSA has largely restricted its activities to countries where the Bank has considerable expertise, which are predominantly SADC Countries. With respect to GCF accreditation, the Bank is accredited to handle projects from the whole continent, and therefore is in position to finance projects from outside SADC. The DBSA evaluates investment opportunities outside of SADC on a case-by-case basis. Country risks associated with an investment opportunity outside of SADC are*

carefully evaluated through the Bank's International Division, and this assessment is part of the information the DBSA Investment Committee and Board consider in reaching a decision on the investment opportunity.

5. DBSA's target for the CFF portfolio is 70% mitigation and 30% adaptation. What is the basis for these proportions?

Response: *This is based on a comprehensive market assessment of potential entities in the target countries. The assessment showed the bulk of investment opportunities to lie on the mitigation side.*

6. Through a grant, the AWF in 2015supported Tunisia to prepare a National Water Strategy. This strategy contains an action plan and a portfolio of projects. What role, if any, is AWF going to play in the implementation of the projects in the National Water Strategy?

Response: *The AWF supports countries in the preparation of strategic documents but does not get involved in their implementation. The AWF is largely a project preparation facility. Its potential role in projects is to get them up to a stage where they are bankable and can be taken up for financing by other financial institution (AfDB, AFD, World Bank, etc.). It does this by ensuring that the project's requirements for environmental and social impact assessments, gender analysis, prefeasibility studies, feasibility and design studies, etc., are met. During the preparations process, the AWF engages with other financial institutions to get them to fund the project.*

7. **General comment:** Co-financing arrangements allow for financing of climate change adaptation in a framework of regular development projects

8. **General comment:** The African Development Bank Group has both grant financing and core financing instruments. There can be greater flexibility for countries on financing instruments if they first jointly develop a county program where the country and the bank agree on what the priorities will be for the next 5 years, and how the different financing instruments will be applied in the delivery of the program.

9. **General comment:** One of the expected outcomes from this workshop is that the partners will be looking into all possible ways to provide more support to the countries. The AWF and the AfDB as part of this process will be looking into ways and means of providing additional support to countries in their efforts to access climate financing from the GCF and other sources.

10. **General comment:** the important take away points emerging from presentations is that, for project developers hoping to secure climate funds, their concept notes and project proposals must: (1) have a strong climate rationale; (2) be clear on the needs of the recipient; (3) demonstrate country ownership; (4) clearly indicate additionality due to climate change; and (5) leverage co-financing for project components that relate to normal development.

Facilitators for the session on financing instruments. L-R: Muhammed Sayed of DBSA, Alastair Morrison of GCF and David Hebart-Coleman of the AWF.

13 SESSION 9: PRIVATE SECTOR FACILITY AND BLENDED FINANCE

13.1 GCF'S PRIVATE SECTOR FACILITY

By: Tony Clamp | Deputy Director, Private Sector Facility, GCF

This presentation, which was given via video link, provided an overview of GCF's Private Sector Facility (PSF) and the Fund's role in financing private sector initiatives. The Private Sector Facility (PSF), it was explained, is a GCF financing window through which grants, loans, equities and guarantees are provided to support climate change mitigation and adaptation projects/programs from the private sector in developing countries. The PSF was set up in 2014 and is based at the GCF Secretariat in Songdo, South Korea. The unit is run by 22 professional staff.

Key functions of the Facility were said to include receiving and evaluating private sector project proposals, and recommending them to the GCF Board; tailoring lifecycle, concessional financing to de-risk high impact projects; providing expertise to help assess the potential benefits of project ideas; engaging with pension funds, corporates, local and regional banks and International Financial Institutions to mobilise resources for the private sector; and leveraging GCF's own resources with those of the private sector.

The PSF project portfolio consists of 16 approved projects (mostly mitigation and a few adaptation projects), US$ 1.4 billion GCF funds committed and US$ 4 billion leveraged in co-financing. Concessional loans and equity, which together make up 91% of committed funds, are the main financing instruments for the private sector. Grants and guarantees made up only 9% of GCF financing to the private sector. The projects are located in Asia, Africa, Latin America and the Pacific region. The private sector in 19 African countries has received GCF funding through the PSF (Benin, Côte d'Ivoire, DR Congo, Egypt, Equatorial Guinea, Ghana, Kenya, Madagascar, Mauritius, Morocco, Namibia, Nigeria, Rwanda, South Africa, Tanzania, Togo, Tunisia, Uganda and Zambia.) Project interventions have mainly focused on renewable energy generation and establishment of renewable energy funds. Other intervention areas include building climate resilience of small-scale agribusinesses, and setting up climate funds in Partner Financial Institutions.

The Facility, Mr. Clamp said, works with National Designated Authorities (NDAs), who provide a no-objection letter to project applications to indicated they are aligned with national priorities; and accredited Regional Direct Access Entities, who work with private sector entities in proposal development, and project implementation. The accredited entities for the GCF in Africa are the African Development Bank and Development Bank of Southern Africa (DBSA).

The PSF evaluation criteria for funding requests are the same as used in the rest of the GCF i.e. strong climate rationale, additionality of GCF funding, country driven approach, compliance with GCF policies (including ESS and Gender), six investment criteria and completeness of documentation.

CASE STUDY 9: AFRICA GREENCO

By: Ms. Penny Herbst, Non-Executive Director, Africa GreenCo

The intention of Session 9 is to highlight the potential for private sector adaptation projects, and provide an overview on projects already in the pipeline.

The presentation started with presenting the market context for power and water utilities. The utility operating environment was characterised as having heavy government regulation and affordability issues making it difficult to reach cost-reflective tariffs; the emergence of independent power producers (IPPs); increasing impacts of climate change reducing reliability of hydropower systems and increasing promotion of renewable energy sources; concerns raised over operational efficiencies; and aging infrastructure. The consequences of this operating environment include poor financial sustainability; debt

spiral, Increased cost of borrowing leading to increased financing requirement, and pressure on power sector and government. This situation calls for new business models and structures - new ways of doing things – as opposed to financial instruments.

Penelope Herbst introduced the Africa Greenco concept.

Africa GreenCo, a new model in response to the above challenges, is an independently managed but government co-owned aggregator of small to medium size renewables and power services provider. GreenCo is not a market operator, Transmission System Operator (TSO), Transmission Service Provider (TSP), or Power Exchange, Ms. Herbst explained. Rather, it is a power aggregator. The GreenCo model produces risk aggregation through portfolio approach and economies of scale. GreenCo aggregates, and incorporates renewables to the power pool so as to increase efficiencies. A key objective of the initiative is to bring down power tariffs. The initial focus of Africa GreenCo is SADC and the Southern Africa Power Pool (SAPP). The regional presence of GreenCo is an important commercial risk mitigation factor.

Africa GreenCo has also applied for blended financing instruments to capitalize its program, and has secured grants, equities, guarantees and counter-guarantees from various financial institutions, participants were informed. The GreenCo has made a funding application to the GCF through the AfDB and DBSA as accredited entities. GreenCo intends to use the funding to support a pipeline of small to medium scale renewable energy projects from Independent Power Producers (IPP).

Important lessons for the water sector from the Africa GreenCo experience is the importance of engagement with governments, NDAs, regional entities (such as RERA and REESAP), etc. in the success of a regional initiative. When properly used, Ms. Herbst said, stakeholder engagement can be used for risk mitigation. Another lesson is that regulations are really important but can sometimes constrain innovation and sustainability. Yet another lesson is the importance of creditworthiness of a concept. A final lesson Ms. Herbst gave is that setting up new business models is a slow and very complex process.

13.3 CASE STUDY 10: CDG CAPITAL

By: Mouna Benzeroual, Head of Partnerships and National Organisations, CDG Capital

The presentation provided a Moroccan experience of the financing of a Public-Private Partnership project in the water sector. The presentation was given by Ms. Mouna Benzeroual from CDG Capital S.A. CDG Capital is an investment bank founded in 2006 wholly owned by the Moroccan Caisse de Dépôt et de Gestion (CDG). The Caisse de dépot et de gestion (French for Deposit and Management Fund) is a state-owned financial institution that manages long-term savings, including pension funds, in Morocco. Given its substantial assets, it also acts as a major investor in the country.

The presentation started with a background on the climate of Morocco. The country is highly vulnerable to impacts of climate change and is experiencing increasing variability of rainfall. The changes in rainfall are occurring at a time of steady growth in demand. Per capita water availability has been declining over the years, and the country is now regarded as a water-stressed country.

In response to the increased risks of climate, Morocco prepared a National Program for Climate Mitigation and Adaptation. The program included measures to build resilience to climate change through such things as the development of irrigation schemes in the coastal region, extending irrigation to new areas, improving

management of irrigation systems, wastewater recycling, and constructing new water supplies.

The Agadir region is a water-stressed semi-arid region in mid-southern Morocco located on the shores of the Atlantic Ocean near the foot of the Atlas Mountains. A dam was constructed in the region to store water for multiple uses but storage has been declining due to climate change. Groundwater sources in the region are getting depleted due to over abstraction. The water scarcity in the area is expected to worsen with increasing impacts of climate change and growing water demand. Water resources studies conducted to identify solutions for the projected water scarcity recommended desalination of sea water as a solution.

A project valued at MAD 4 billion (US$ 42 million) was developed to address the water scarcity issued. The project aims to secure the drinking water supply of the Grand Agadir region and provide water for high-value irrigated agriculture in the Chtouka area. The project involves the construction of a seawater desalination plant with a 0.275 MCM/day total production capacity, which will make it the world's largest desalination plant. The desalination plant is expected to be powered entirely by solar energy. The project also involved the irrigation of 13,600 hectares of agricultural fields in the Chtouka area.

The government decided that the construction, and operation and maintenance, of the desalination plants will be carried out by a private company, while the facilities would be owned by a public utility that would be responsible for paying back the loan from CDG Capital. The Moroccan government signed an agreement with a Spanish company Abengoa for the construction and operation of the desalination plant. An SPV was created for execution of the project.

13.4 INTERACTIVE DISCUSSIONS – PRIVATE SECTOR FACILITY AND BLENDED FINANCE

The questions posed, and response received, during the interactive discussion are the following:

1. **General Comment**: Participants were asked not to be alarmed if they found some of the terminology and topics of this session complicated or difficult. The workshop, it was explained, was designed to provide participants with a general overview on what it takes to translate a project idea to a full project proposal for GCF funding. But it is expected that, back at home, participants will work as part of a national team (and not as individuals) to put together the concept note or proposal for GCF financing. The teams are expected to have experts of different discipline such as climate scientists, hydrologists, financial analysts, economists, irrigation experts, water engineers, environmentalists, sociologists, etc.

2. What private sector projects have been funded by the GCF Private Sector Facility in Tunisia?

   Response: *Tunisia along with Morocco and Egypt are among the countries that will benefit from the 15 years GCF-EBRD Sustainable Energy Financing Facilities project. The Sustainable Energy Financing Facilities is an on-lending programme that will provide credit lines to Partner Financial Institutions (PFIs) in the participating countries with the aim to create self-sustaining markets in the areas of energy efficiency, renewable energy and climate resilience.*

3. Whose role is it to mobilise co-financing for private sector projects – the GCF or the private sector entity?

   Response: [*unanswered*].

4. What is the interest rate applied to concessional loans given to the private sector?

   Response: *The financing given to the private sectors is mostly in the form of concessional loans expected to be repaid over time. The interest rate typically is 100 bp to 200 bp below commercial lending rates, or often deeply discounted – close to zero. These rates are applied to make the projects affordable and to de-risk them.*

5. The GCF Private Sector Facility (PSF) in 2017 sent out a request for proposals for innovative projects from the private sector. A sum of US$ 500 million had been proposed for the RFP. Has this amount been ring fenced? How do you see

the process going forward in terms of bringing projects to the GCF Board in the post-concept note phase? How many of the proposals received in response to the RFP are water sector projects?

Response: *The call for proposals was massively successful, with 350 total submissions received. The submitted concept notes went through a rigorous evaluation process involving a broad range of evaluation criteria, and the 30 best project ideas were shortlisted for further development. The shortlisted concept notes now have to be translated into full funding proposals and submitted to the GCF by an accredited entity. Some of the project developers with shortlisted concept notes are partnering with accredited entities to develop and submit their full proposals. Their proposals have a prospect of being received soon. Other project developers are seeking to accredit themselves with the GCF, and subsequently develop and submit their full proposals. This is a process that may take a bit of time. The US$ 500 m mentioned has not been ring-fenced in the sense that it cannot be used for anything else, but it was the intention to use such an amount for the proposals. It is not clear how many of the proposals came from the water sector, but it would be a fair comment to say they are a relatively small number because the water sector traditionally has challenges securing private sector financing. But the water sector is an area where the PSF is interested in supporting climate change adaptation and resilience building. In this regard, PSF welcomes ideas and suggestions on new models that could be used for the sector.*

6. Ethiopia has recently opened up its public sector for private sector investment, including in the energy sector. The Africa GreenCo presentation showed that private sector entities generate a profit margin from their investments in the energy sector. This might be a challenge for Ethiopia where the system has been a fully state-owned enterprise. How are governments regulating private sector investment in the energy sector to ensure affordability of services?

Response: *It is difficult to properly answer the question because of limited knowledge of the context in Ethiopia. However, It is important to consider how financing has been raised for a project, and the support that will be provided for debt repayment. Generally, in such projects, the entire debt is guaranteed by government. As part of the project preparation process, private sector entities that want to get involved need to do due diligence on the way that loan repayment has been structured, and should be comfortable with it. Otherwise there will continue to be issues with the sustainability of the project. A project requires financing to be implemented. The financiers do not distinguish between public of private ownership but want some measure of reassurance that the debt will be repaid.*

7. The Africa GreenCo initiative is a very innovative approach that has potential for replication to the water sector. How was the idea conceived and who were the main movers of the concept?

Response: *Ana Hujduka, the founder and CEO of Africa GreenCo, came up with the idea, and has been very passionate about making it happen. The concept was communicated successfully and attracted funding for feasibility assessment and subsequent program development.*

8. Would GCF consider financing seawater desalination project?

Response: *This is possible, and there has been precedence of GCF funding desalination plants powered with renewable energy. To reach a decision, a study would be required to evaluate alternative ways of providing water, and the cost per m^3 of water to be produced for reach alternative. These figures can help to justify desalination.*

14 SESSION 10: COUNTRY LEVEL COORDINATION FOR IMPROVED GCF CONCEPT NOTE AND PROPOSAL PREPARATION

14.1 CASE STUDY 11: SOUTH AFRICA NDA – DEPARTMENT OF ENVIRONMENT AFFAIRS

By: Dr. Jenitha Badul | Senior Policy Advisor - Greening Programmes and Fund, DEA.

The presentation shed light on the experience of South Africa – through the Department of Environment Affairs – on the coordination of the assessment and implementation of the country's Nationally Determined Contributions (NDCs).

The presentation also covered coordination in the implementation of South Africa's National Adaptation Strategy. Governance and institutional mechanism used in this coordination included a National Committee on Climate Change (Participation of multi stakeholders), Technical Working Groups, Government Outcome Working Groups, MINTECH (Ministerial Technical Committee), MINMEC (Ministerial Executive Committee), Government Clusters and Cabinet, and related Processes. The government departments the DEA works closely with in adaptation work include the department of Water and Sanitation; Agriculture, Forestry and Fisheries; Energy; Economic Development; National Treasury; Rural Development and Land Reform; and Women as well as the National Disaster Management Centre and South African Weather Service. Non-governmental stakeholders who are engaged from time to time include Organized Business, Organized Labour and Civil Society Groups.

14.2 CASE STUDY 12: SOUTH AFRICA DAE - SOUTH AFRICA NATIONAL BIODIVERSITY INSTITUTE (SANBI)

By: Michael Jennings | SANBI

The presentation provided an overview of SANBI and discussed the communication and collaboration that characterises SANBI's GCF processes.

The South African National Biodiversity Institute (SANBI), the presenter said, is an autonomous public agency established in 2004 under the National Environmental Management: Biodiversity Act 10 of 2004. SANBI contributes to South Africa's sustainable development by facilitating access to biodiversity data, generating information and knowledge, building capacity, providing policy advice and showcasing and conserving biodiversity in its national botanical and zoological gardens.

SANBI, it was said, is a Direct Access Entity that has received GCF accreditation. SANBI is accredited for projects that are up to US$ 50 million (inclusive of co-financing), are grant based, have low environmental and social risks and focus mainly on climate change adaptation. Immediately after receiving accreditation, SANBI prepared and put out a SANBI GCF Funding Framework that outlines the set of criteria that potential projects intended for GCF financing had to meet to obtain SANBI's support in preparation. The main criteria were four: (a) GCF Results Management Framework; (b) South Africa's National Strategic Framework for the GCF; (c) SANBI's GCF accreditation profile and; (d) SANBI's best practice and experience.

SANBI applied for a GCF Readiness Grant of US$380,000 to build its capacity to support the development of GCF funding proposals and manage and monitor approved GCF projects in South Africa. The grant was also used to strengthen SANBI's project and financial management systems.

In December 2017 SANBI made a call for expression of interest (EOI) to prepared GCF proposals. The call was widely distributed through websites, mailing lists, provincial workshops, sectoral workshops, one-on-one meetings, phone calls, community radio broadcasts, and national newspaper adverts. A total of 125 EOIs, most of them from rural areas, were received and are

under review by SANBI and DEA. The bulk (two thirds) of the submissions came from NGOs and government departments but there were also submissions from the private sector, and from academic and research institutions. The majority (91.2%) of the projects had a funding requirement below US$25 million, with about one third having a funding requirement below US$1 million. SANBI is thinking of an approach of bundling up related little projects into one large project instead of submitting many tiny project proposals.

SANBI has organised a series of workshops at which the project ideas will be reviewed by sector departments (to obtain national endorsement) followed by sectorial technical experts (to assess technical soundness of project ideas). SANBI will then have a preliminary engagement with the GCF Secretariat on the project ideas before notifying all respondents on the outcomes of the evaluation process, and commencing Concept Note preparation. SANBI plans to submit two concept notes to GCF by April 2019. The SANBI process as described above is based on two principles: (1) continually leveraging national governance and oversight; and (2) transparency and collaboration.

14.3 CASE STUDY 13: KENYA'S DAE – NATIONAL ENVIRONMENT MANAGEMENT AUTHORITY (NEMA)

By: Ms. Wangare Kirumba | NIE Coordinator, NEMA

This presentation shared experiences from the DAE in Kenya – the National Environment Management Authority (NEMA) – on coordination of GCF activities. NEMA is the environmental regulatory authority of Kenya and has responsibility for supervising and coordinating environmental policy and activities across all sectors of the country.

NEMA was accredited as a National Direct Access Entity with the GCF in March 2016, and is accredited for micro- to small projects, with total project cost up to US$ 10 million. With respect to environmental and social risks, NEMA is accredited for Category B projects (i.e. projects that have mild adverse risks that would likely be reversible). It is also accredited for project management, but not for grant award or lending/blending.

After completion of accreditation, NEMA approached the National Treasury (the NDA in Kenya) for guidance on the GCF and national priorities. They also undertook consultations with multiple stakeholders, including the Ministry of Environment and Natural Resources which oversees climate change activities in the country. An outcome of the consultations was the establishment of a three-tier governance structure to oversee the preparation of a funding request for GCF Readiness Support, which was being pursued at the time.

At the highest level of the governance structure, the presenter explained, was a body known as the Project Steering Committee (PSC) convened by the National Treasury and co-chaired by the Ministry of Environment and Natural Resources, with membership from relevant ministries (National Treasury, Ministry of Environment and Natural Resources, Ministry of Water and Irrigation, Ministry of Agriculture Livestock and Fisheries, Ministry of Energy and Power, etc.), NEMA, Council of Governors (COG), and support organisations such as LTS International and Climate and Development Knowledge Network (CDKN).

Below the PSC is a Technical Working Group chaired by the National Treasury whose main role was to provide technical guidance to the Readiness Programme preparation (such as by pointing out priority areas).

The last tier of the governance structure was made up of four Project Design Teams. The thematic areas to be addressed by the four teams were selected by the Project Steering Committee and were (1) climate-smart agriculture; (2) environment; (3) water and; (4) devolved governance. Membership to the Project Design Teams was based on relevance to the team's thematic area and was comprised of governmental, non-governmental and private sector organisations. For the Climate-Smart Agriculture, it includes the National Treasury, NEMA, Ministry of Ministry of Agriculture Livestock and Fisheries, Kenya Agricultural and Livestock Research Organization (KALRO), Council of Governors, and Kenya Private Sector Alliance. For the Water thematic team it includes the Ministry of Water and Irrigation, Water Resources Management Authority (WARMA), NEMA, Council of Governors and University of Nairobi.

The Project Design Teams after establishment were trained and proceeded to prepare full funding proposals (one proposal per theme plus Laikipi's Green Integrated Program) which were subsequently reviewed. The review revealed that the proposals needed improvement. Two of the proposals (on water and climate-smart agriculture) are currently undergoing re-designed. For the devolved governance project, on the advice of the GCF, a PPF request was made and will be used to build the capacity of local governments (county governments) to deal with climate change risks and design the Devolution Project. At present NEMA has received approval for its GCF Readiness Grant (US$43 million), and approval for the PPF Grant (US$35 million) for developing the devolution program. NEMA's project pipeline has several projects besides the water and climate-smart agriculture projects.

14.4 CASE STUDY 14: COUNTRY LEVEL COORDINATION FOR IMPROVED GCF CONCEPT NOTE AND PROPOSAL DEVELOPMENT – THE EXPERIENCE OF RWANDA

By: Alex Mulisa | Green Fund Coordinator, FONERWA

This presentation provided experience from Rwanda on national level coordination for GCF financing. Rwanda's experience and involvement in GCF activities dates back to the 2014 United Nations Climate Change Conference, COP20 held in Lima, Peru. Since then Rwanda has been active in the GCF process and secured readiness grant funding from the facility.

A National Coordination Framework was established in Rwanda by the National Designated Authority (the Rwanda Environment Management Authority) for engaging with GCF. The role of the National Coordination Framework is to approve national priority sectors for GCF funding, develop and validate no-objection issuance procedures for the NDA, and review, revise and recommend concept notes and funding proposals to the NDA. The National Coordination Framework is chaired by the Ministry of Finance and Economic Planning (MINECOFIN), with the Private Sector Federation as Vice Chair. Other members include the Rwanda Environment Management Authority (the NDA), Ministry of Environment (accredited DAE), Rwanda Environment Non-Government Organization Forum (RENGOF) and the National Fund for Environment and Climate Change (FONERWA).

The factors behind Rwanda's successful engagement with the GCF include an enabling national policy, and planning and implementation framework; high level policy support for mainstreaming climate change in the development agenda; national champions for GCF engagement in the form of the Ministry of Environment, REMA and FONERWA); and readiness for climate change mitigation and adaptation.

Key challenges as well as opportunities for engaging with GCF from Rwanda's experience include weak capacity/ low readiness of national institutions, for which there is the opportunity of GCF's Readiness Grants and PPF instrument; the rigorous assessment for national institutions to achieve GCF accreditation (especial the strong financial systems that must be in place); finding an accredited entity with the right financial instruments for a project proposal; weak coordination with the private sector; and managing the support partnerships.

Mr. Mulisa concluded by narrating an experience where extensive stakeholder consultations through Sector Working Groups had helped to create wide awareness about a funding proposal under preparation for GCF Financing. This awareness, including amongst development partners, later proved to be instrumental in getting GCF Board approval for the project proposal. This served to illustrate the critical nature of stakeholder consultation, which beyond supporting approval of funding requests, supports stakeholder inputs at project implementation stage.

A participant from Ethiopia chipped in before the Rwanda presentation to provide an example of how stakeholder consultations can help to greatly improve coordination in the water sector. In Ethiopia, as a result of consultations that involved ministers, heads of agencies of water-related sectors and development partners supporting the water sector, there was now only one plan, one program and one monitoring report on the water sector that is shared by all development partners and other actors in the water sector in Ethiopia.

14.5 INTERACTIVE DISCUSSION ON COUNTRY LEVEL COORDINATION FOR IMPROVED GCF CONCEPT NOTE AND PROPOSAL PREPARATION

The questions posed, and response received, during the interactive discussion are the following:

1. A number of mitigation measures were put in place so as to achieve South Africa's NDCs. Have these measures led to reduction in greenhouse gas emissions in South Africa?

   Response: *The National Treasury, which is responsible for implementing the mitigation program, launched an initiative in 2013/2014 under which it allowed industry to voluntarily take up offset measures as a way of readying themselves for the anticipated carbon tax. The proposed carbon tax has, to date, not been passed into law. Notwithstanding, many energy saving measures have already been implemented by industry, especially after 2008 when the country suffered from major power outages. Following the 2007/2008 drought, the national power utility introduced a 15% reduction in power consumption by industry. Most of the industries complied and have since moved into an energy efficient space. But there remain a number of high energy-intense industries where further reduction in power consumption is needed.*

2. The climate planning process, and implementation, monitoring and reporting in South Africa as presented by DAE looks to be smooth and seamless. Is it really smooth and seamless as it appears? What are the challenges that other countries can learn from?

   Response: *It is not as smooth and seamless as we would want it to be. That is one of the reasons the climate change response policy is getting passed as an Act of Parliament – to ensure that there are mandatory emission quantities in place across all sectors.*

3. Is SANBI accredited for grant awards, and if so, has SANBI given consideration to using that mechanism to fund the smaller project proposals? GCF's grant award mechanism could allow you take a programmatic approach through which SANBI could access funding for a programme under which it awards grants to the smaller projects instead of bundling them into large projects.

   Response: *This idea may be looked into in the coming year, where there will be a workshop to look at theory of change for the projects. But at present, the idea of bundling them together under one project and executing entity makes sense from a point of view of reducing transaction costs and improving coordination.*

4. The process for development of proposals followed by NEMA-Kenya and SANBI are strikingly different. NEMA followed a solicited process led by a team of experts while SANBI followed an unsolicited process. In the case of the later, many (125) proposals were received, out of which only 2 were picked for full proposal preparation. This situation leads to wastage of valuable man hours in advertising, communication and evaluation of proposals only to produce minimal impact. This is the lesson that the Bill and Melinda Gates Foundation learnt from their efforts to raise project ideas. They now follow a solicited process where they pick a proposal preparation team, train the team, and let them prepare proposals. This process produces a large impact as most of the proposals are of high quality. Why can't the GCF follow a similar solicited approach?

   Response: *The problem with the recommended approach is that every time the climate change adaptation opportunities come up in South Africa, the same group responds, writes proposals and implement the projects. These are capacitated groups. To approach it in a transformative way, SANBI thought of giving opportunity to other groups that had perhaps never applied before for climate change adaptation funding. It may not amount to anything, but SANBI now has a portfolio of 125 projects, some of which could be developed and brought to other financing entities (other than GCF). But also SANBI sees it as an opportunity to build capacity of the organisations that had never applied for such projects before.*

5. Local governments are the actors on the ground where impacts of climate change are

being experienced. How are they being involved in the GCF processes in Kenya?

Response: *The Project Steering Committee and each of the Project Design Teams have representation from the Council of Governors (COG). The Council of County Governors (COG) is a non-partisan organization that provides a mechanism for consultation amongst County Governments, offers a collective voice for the governments on policy issues and facilitates their capacity building, among other things. The governors are the political leaders of Kenya's local governments – the counties. It is important to note that the counties are new structures that still have weak capacity. For this reason, one of the interventions under the PPF for Devolution is capacity building of the counties to incorporate climate change issues in their plans and budgets so that there are interventions on climate change in the counties.*

6. Is there any other platform where DAEs get together to share experiences on soliciting for proposals? A platform needs to be created for this.

Response: *Every year the Adaptation Fund brings together DAEs and National Implementing Entities (NIEs) for a Climate Finance Readiness Seminar. Previous seminars were held in Washington, Costa Rica, Honduras and Addis Ababa. This is meant to provide opportunity to share successes and challenges, and to network. The GCF has a similar workshop to coordinate the NIEs. Beyond these two formal fora are a number of Communities of Practice where DAEs and NIEs exchange ideas via email, and where they can ask specific questions. One of these is the Direct Climate Action Platform (DCAP) – an online platform designed for GCF's National Designated Authorities, Direct Access Entities, institutions and individuals to share knowledge, exchange technical expertise and build capacity by linking with potential technical volunteers and consultants that could support institutions in punctual, precise, and short-term tasks. Lastly, the entities as and when necessary contact each other directly by phone, email or Skype.*

7. It appears that public accredited entities are only present in Southern Africa and Eastern Africa. Why are there no accredited entities in West Africa?

Response: *There is an accredited Regional Direct Access Entity in West Africa – the West African Development Bank or Banque Ouest Africaine de Développement (BOAD). BOAD is based in Togo and is accredited to GCF for medium size projects – those having funding requirement of US$50 million to US$250 million. BOAD is also accredited to grant award, on-lending, blending, loans and guarantees. They have been very active in submitting concept notes from the water sector.*

Dr. Jenitha Badul of DEA (left) and Michael Jennings of SANBI (right) shared experiences from their institutions.

15 SESSION 11: CLOSING

15.1 SUMMARY OF WORKSHOP OUTCOMES

This session was moderated by Mr. Jean-Michel Ossete, who introduced himself and called upon Ms. Anjali Lohani to read out the main outcomes of the workshop.

Ms. Lohani observed that the workshop had brought together participants with diverse background, all tied by one common cause of advancing climate resilience building in the water sector. This diverse background provided a wide range of perspectives on accelerating and advancing water projects for GCF financing. Ms. Lohani observed that the three days of the workshop had featured a lot of energy and enthusiasm from the participants and shown readiness on their part to share experiences, learn about the GCF and project preparation, get out of their comfort zones and understand what they can do to contribute to advancing project preparation for GCF financing. Ms. Lohani then called on Ms. Louise Helen Brown to read out the summary of workshop outcomes.

Ms. Anjali Lohani provided an overview of the three days of the workshop.

The workshop had met all expected outputs (see workshop evaluation in **Annex 4**). The key takeaways from the three days, Ms. Brown said, were that, through the workshop, participants had:

1. Learnt what the GCF is and its relationship to the Paris Climate Agreement; what it can fund; what its different funding windows are (Readiness Fund, Project Preparation Facility (PPF), Simplified Appraisal Process (SAP), regular funding window and Private Sector Facility), and what its different financial instruments are (concessional loans, grants, equities and guarantees); importantly, leant of opportunities through which countries could receive support to enhance capacity to manage GCF process (Readiness Grant), and prepare project proposals (PPF Instrument).

2. Learnt what the GCF looks for in funding proposals, including the six investment criteria (i.e. impact potential, paradigm shift potential, sustainable development potential, needs of the recipient, country ownership and efficiency and effectiveness).

3. Learnt what climate change rationale is – a common area of weakness across the 46 project ideas submitted by the countries – and how to prepare a good climate rationale for a concept/project that (i) uses scientific data to demonstrate a climate vulnerability/risk; and (ii) presents an optimal set of interventions in response to the vulnerability that are adaptive or build resilience.

4. Learnt that there are many public domain data sources and data tools that could be accessed by the countries to carry out climate analysis and preparing climate rationale, and a number of institutions, including the WMO, who are prepared to support the countries in these tasks.

5. Applied the newly acquired knowledge of GCF requirements to improve the project ideas in the 46 project concepts submitted before and during the workshop, and to look at the project ideas in the same way that GCF looks at them; recognised the mistakes they had made in formulating the initial project concepts.

6. Learnt of the need for all project concepts and proposals intended for GCF funding to obtain NDA endorsement and be well aligned to national climate change and development policy and priorities.

7. Learnt of the differing roles and responsibilities of National Designated Authorities (NDAs), Direct Access Entities (DEAs), National Implementing Entities (NIEs) and Executing Entities (EAs) with respect to facilitating climate change adaptation and mitigation interventions and GCF processes within countries including in technical support of concept note/project proposal preparation, in national endorsement of project concepts/ funding proposals, in submission of concept notes and proposals, and in implementation and monitoring and evaluation of approved proposals.

8. Heard from the experiences of several National Designated Authorities (NDAs) with regard to the promotion and coordination of GCF activities in the countries and observed that there was still much room for improvement in national coordination and information sharing amongst national entities with respect to GCF activities.

9. Interacted with a number of Direct Access Entities (DAEs) and learnt that there was a diversity of institutions accredited to the GCF as DAEs that were willing and available to support project preparation processes in the countries and region; learnt that there were differences in the types of processes the different DAEs could support and financial instruments for which they were accredited; learnt that the DAEs to whom they had been introduced were leaders in their respective fields and pioneers with respect to GCF activities in as far as they were operating in an environment without clearly defined guidelines and standards.

10. Learnt of the support available from several partners including the African Water Facility (AWF), Africa Climate Change Fund (ACCF), African Development Bank (AfDB), Development Bank of Southern Africa (DBSA), Infrastructure Consortium for Africa, Global Water Partnership Africa, Climate Resilient

Infrastructure Development Facility (CRIDF) and World Meteorological Organisation (WMO), for GCF project preparation in Africa, as well as for supporting training and south-south learning.

11. Learnt of the critical importance of undertaking stakeholder engagement from the onset of project conception to gain broad buy-in to the project.

12. Realised that the GCF framework had not yet evolved sufficiently to effectively support climate resilient interventions implemented in a regional, transboundary or multi-government setting; learnt that for such projects the solution might lie in looking towards other financing institutions.

13. Noted the lack of a platform through which an expanded community of practice encompassing NDAs, Accredited Entities, National Implementing Entities, Executing Entities and other water sector actors in Africa could interact to share experience on national coordination and preparation of water-focused GCF concept notes and proposals, and in this regard warmly welcomed the initiative to launch the *Project Preparation Partnership for Climate Resilient Water Projects in Africa*.

14. Agreed to continue working together after the workshop to promote climate resilience in the water sector in Africa.

15.2 FOLLOW-UP MECHANISM FOR COUNTRY SUPPORT: LAUNCH OF THE PROJECT PREPARATION PARTNERSHIP FOR CLIMATE RESILIENT WATER PROJECTS IN AFRICA

This session was moderated by Mr. Alex Simalabwi who informed participants that through interaction with countries and the Africa Ministers Council on Water (AMCOW), GWP had come to realise that there was very little knowledge and capacity amongst water sector entities on GCF project preparation. This lack of knowledge constrained the ability of water sector entities to take advantage of funding opportunities to address climate risks in the water sector – which was the sector most impacted by climate change. The NDAs and DAEs in the countries had information on the GCF, but this information was not trickling down to water sector agencies. This is when the idea of bringing together NDAs, DAEs and water sector agencies in a training workshop emerged.

Alex Simalabwi explained the post workshop support mechanisms

The preparation process for the workshop received strong support from the partners who convened the workshop, namely the African Development Bank (AfDB), African Water Facility (AWF), Africa Climate Change Fund (ACCF), Development Bank of Southern Africa (DBSA), Infrastructure Consortium for Africa (ICA), Global Water Partnership (GWP) and Climate Resilient Infrastructure Development Facility (CRIDF). Gratitude was expressed for the way that participants and partners had been open and freely shared ideas and experiences, which had tremendously enhanced learning for all at the workshop.

In the workshop, participants had an opportunity to review and improve the project ideas submitted before the workshop, and to fill out the improved ideas in the GCF concept note template. What needs to follow the workshop is an iterative process of refinement of the project ideas up to a stage that they are developed into full concept notes and project proposals that can receive GCF funding. It will be gratifying to look back to

this moment to see that some of the project ideas that have been discussed have been successful GCF submissions. The partners are all looking forward to this outcome.

To reach the above goal, Mr. Simalabwi informed participants that the partners had set up an informal mechanism called the *Project Preparation Partnership for Climate Resilient Water Projects in Africa.* The mechanism will allow participants and partners to continue to interact after the workshop and ensure that the workshop is not just 'another workshop' but the start of a long-term capacity building effort where NDAs, DAEs, water sector entities and partners will continue to share knowledge and ideas informally and strengthen the GCF project pipeline in Africa.

The partners behind the *Project Preparation Partnership for Climate Resilient Water Projects in Africa* were said to be the partners that had convened the workshop. In line with the informal nature of the partnership, no formal commitments for the partnership had been received from the parties.

The role of the partnership, Mr. Simalabwi said, is to ensure that there is a structure way in which country support can be provided. To ensure that the interaction remains as informal as possible, and that efforts remain focused on doing work, no constitution or governance structure (chair, director, coordinator, board, steering committee, etc.) would be created for the partnership. All members would be leaders with equal responsibility for taking initiatives.

To facilitate the process of interaction and exchanges, a website for the partnership has been set up that will be accessible to all NDAs, DAEs, Executing Entities and the partners. A country entity can log into the website and request for support. This request will go out to all partners, NDAs and DAEs who will decide amongst themselves on how to respond to the request.

For every request received, an appropriate support response will be provided. The support will be delivered in-country under the coordination of the NDA, and lessons learnt in the process documented for learning by others with similar challenges. Before a response can be made, each request will be subjected to rapid assessment of: (a) the specific need stated (e.g. environmental and social safeguards, climate analysis and rationale, financing instruments, project costing, etc.); (b) type of capacity building interventions required (e.g. technical assistance, advice, training, mentoring, coaching, supervised practice, etc.) and duration (one day, one week, one month, etc.). This assessment will determine the nature and scope of support to be provided.

The Partnership's support role, it was explained, will stop at the point at which a project concept note is accepted by the GCF as a good concept note for GCF funding. From this point onwards, it will be the responsibility of the NDA, DAE and EA to decide on how they wish to move forward with developing the concept into a full funding proposal in collaboration with regional and international accredited entities. This is to ensure a demand-driven approach and strong country leadership and ownership for proposal development.

The partnership website that has been developed, it was said, is up and running, and will be the main mechanism for sharing information. The website has a section where an entity can log in and make a request for support, which will then go to the partners. All presentations and workshop handouts will be uploaded to the platform. Partners and countries are free to visit the website and share as many resources as possible.

At the end of the workshop, the convenors of the workshop made a joint communique to launch the partnership mechanism.

15.3 CLOSING REMARKS FROM COUNTRIES

15.3.1 Circle of solidarity

In the final session, participants formed a large circle and joined hands to symbolise partnership, solidarity and unity. One representative each for the NDAs, DAEs and water agencies was called to stand in the centre of the circle and join hands to symbolise the working together needed amongst the three entities at national level to support GCF project preparation. Each of the entity representatives made brief remarks as summarised below.

15.3.2 Dr. Jenitha Badul, Department for Environment Affairs of South Africa, on behalf of all NDAs

Dr. Badul thanked the GWP for playing a coordinating role and bringing together all partners; thanked the partners for organising the workshop; thanked the DBSA for hosting the workshop; wished the partners well in their efforts to continue supporting the countries through the partnership mechanism and hopped that this would lead to sharing of ideas from all across Africa.

15.3.3 Mr. Lazarus Nafidi, Environmental Investment Fund of Namibia, on behalf of all DAEs

Mr. Nafidi pointed out that a chain was only as strong as its weakest link, implying that Africa as a continent should be in position to assist those countries or entities that do not have the capacity to carry the continent through to a climate resilient future; he echoed the sentiments of his colleagues in expressing appreciation for the partnership mechanism which he said would work and urged all to take advantage of; urged all to be prepared to learn by doing and make mistakes along the way to a perfect proposal on climate resilience; said all participants had a lot of takeaways from the workshop and would go home to offload, rethink and re-strategize; made a plea for the sharing and conversation to continue right through to the period beyond the workshop.

15.3.4 Mr. Abera Endeshaw, Ministry of Water, Irrigation and Electricity of Ethiopia, on behalf of all water sector agencies

Mr. Endeshaw gave a big thanks to the GWP team for the work done in organising the workshop and communicating with the countries; said it was a first opportunity for him to attend such a workshop; said the workshop had been very successful and he and other water sector entities had greatly enjoyed it; said they greatly appreciated all the presentations and clarifications provided on the GCF and noted that Alastair Morrison had made six presentations over the three days of the workshop, and thanked him for this; noted that the normal practice is for workshops to be officially opened and closed, but wished to request that the workshop remains open because the group was only at the begging of the end – the end being the submission of full Concept Notes and Project Proposals to GCF go funding; said a key missing link in most processes is a mechanism for documentation, learning and sharing; in this regard the partnership mechanism is greatly appreciated because it makes it possible for each water agency participant, once back home, to share the knowledge so far acquired and enhance learning within the water sector in the country; thanked the workshop conveners for organising the workshop which participants had enjoyed despite the tight program.

15.4 CLOSING REMARKS FROM PARTNERS

15.4.1 Support of partners appreciated

It was pointed out that without the partners the workshop would never have happened. The partners had put in money to make the workshop a reality. The partners were also invited to the centre of the circle to make brief remarks. These are summarised below.

15.4.2 Dr. Charles Reeve, Climate Resilient Infrastructure Development Facility (CRIDF)

Dr. Reeve explained that CRIDF is a program rather than an institution, which means it has a limited lifetime that is expected to end in April 2020. He was hopeful that the status of CRIDF would have changed before then. The CRIDF team has had the pleasure of working with many of the people in the room on supporting the preparation of GCF projects over the past few. In this regard, Dr Reeve invited country entities from the SADC region to approach CRIDF for support. He concluded by calling upon the countries to work together with CRIDF to move the project ideas forward.

15.4.3 Ms. Louise Helen Brown, Africa Climate Change Fund/AfDB

Ms. Brown said that supporting African countries to get access to climate finance is one of the main objectives of the Africa Climate Change Fund and that the current workshop was the type of initiative the ACCF aims to support; said it wasa great pleasure for the ACCF team to be present in the workshop; said she had learnt a great deal about the GCF from the workshop despite the fact that she has been working with GCF for many years; also said she had learnt a lot from the

participants from the project ideas they had shared; concluded by saying it was a pleasure and an honour for ACCF to have supported the workshop.

15.4.4 Mr. Jean Michel Ossete, African Water Facility/AfDB

Mr. Ossete stressed the importance of the workshop to the African Development Bank saying it was the reason a team from the AfDB had travelled to South Africa to take part in the discussions, in addition to the funding that had been provided for the workshop.

Jean Michel Ossete of African Water Facility gives a word of appreciation to co-conveners.

The African Development Bank, Mr. Ossete said, was convinced that to accelerate Africa's development, it is necessary to build the capacity of country level entities. He pointed out there were many funding opportunities out there, including the GCF, which countries were not properly tapping into. One of the causes for this, he noted, was the failure of key institutions at national level to communicate amongst themselves and work together for the common good of the country. For this reason, he stated, it was easy to obtain buy-in and approval of the Bank's support for the workshop that was expected to, among other things, address the issue of poor communication amongst national entities.

The fact that the proposal originated from the GWP was another factor in the Bank's decision as GWP brings on board a quality partnership that can support the activity.

Mr. Ossete reiterated that the AfDB had availed funds and its officials to attend the workshop. Turning to himself, he informed the participants that he had arrived in the country in the morning so as to be present at the closing ceremony to send home the message that it is of vital importance to the AWF, ACCF and AfBD, that relevant entities at national level are supported and their capacity built to enable them access the different funding opportunities out there for Africa.

15.4.5 Frederik Pischke, Global Water Partnership Geneva

Mr. Pischke expressed thanks to all partners and said the last three days had truly seen the partnership in action; he thanked the partners for the way they had collaborated, the way they had genuinely, honestly and openly shared viewpoints, and the way they had expressed doubt in things they did not know and freely shared things they knew; said this is what makes the partnership and sets it well up to be the open and fluid arrangement that has been proposed and will get started and continue beyond the workshop; appreciated all the hard work of the partners, the GWP colleagues, the DBSA staff, the translators and all others working behind the scenes that had helped to make the workshop possible; said GWP had learnt a lot from the workshop and was planning to take what had been learnt to inform the preparations of a similar workshop in Asia; said interest had also been expressed from Latin America to learn from the African experience; said Africa had led the way in showing how very practical exchanges on GCF processes for the water community could be organised and taken forward.

15.4.7 Dr. Dominique Berod, World Meteorological Organisation

Dr. Berod expressed thanks to GWP for the active coordination role in organising a good workshop; said that the workshop was a confirmation that although countries could be facing huge challenges with respect to the impact of climate change on the water sector, they had many good ideas on potential solutions to

address the threat; for this he congratulated the water sector entities; said it was difficult for anyone to translate ideas into actions on the ground without meeting challenges or getting assistance from others and in this regard, expressed the willingness of WMO to help the countries, especially in strengthening the climate rationale for GCF projects; in this regard said WMO would be available to help the counties find the right data with the right quality, and find the right methodology for the planned assessment; said WMO envisions to organise national workshops to help countries develop projects with specific needs; said that WMO's global network of partner institutions could provide the countries with access to a community of thousands of experts in climate, weather and hydrology; also said WMO could help link countries with existing WMO projects related to climate and water, and could help the countries in developing transboundary water projects; he concluded by urging the countries not to hesitate to contact WMO and said the end of the workshop would be the beginning of the process of collaboration.

15.4.8 Mr. Alastair Morrison, Global Climate Fund

Mr. Alastair conveyed heartfelt thanks to DBSA for hosting the workshop, for excellent organisation, and for the invitation to South Africa; he said it was impressive to see so many people interested, active and working on climate and water projects across the whole continent; he thanked participants and partners for taking the time to participate in the workshop; informed the participants that another climate resilient water project from Africa (from the Comoros) had been cleared for presentation to the GCF Board and was hopeful that it would meet with the board's approval; he concluded by saying he was looking forward to receiving more project concepts and proposals from the participants.

Before closing the session, the moderator, Mr. Alex Simalabwi, thanked the GWPSA Team that had been behind the logistical arrangements for the workshop – Julienne Ndjiki, Andrew Takawira and Kidanemariam Tiruneh. He also thanked the GWPSA communications expert Isaac Khaguli for the live coverage, and the translators and the bus company for a job well done. He ended by inviting the host DBSA to perform the official closing.

15.5 OFFICIAL CLOSING

By: Ms. Farai Angela Tunhuma, Fund Manager, SADC Water Fund, DBSA

In her closing remarks, Ms. Tunhuma, who represented DBSA, cited an African saying that a house without people is not a home. In the same vein, she said, the workshop that DBSA had hosted would not have been what it was without the participants. She therefore thanked the participants and resource persons who had travelled from all parts of Africa and from overseas to come for the workshop. She appreciated the vast experience that they had brought to the workshop, which had enriched the exchanges. She observed that the energy levels had been phenomenal and had made DBSA look like an amazing host. While concluding, she wished those from outside South Africa journey mercies and safe travel back to their homes.

With the above few remarks, she went on, not to declare the workshop closed, but to declare open "a new chapter of cooperation and bombarding the GCF team with good, credible, climate rationale- filled concepts and proposals".

Ms. Farai Angela Tunhuma of DBSA delivering the official closing speech.

Annexes

ANNEX 1: WORKSHOP PROGRAMME

Time	Topic	Presenter/ Facilitator
	DAY 1: 19th September, Wednesday – GCF 101	
08:00-08:30	Registration & coffee	GWP/DBSA
08:30-08.40	**SESSION 1: INTRODUCTION**	**Moderator: Alex Simalabwi**
08:40-09:00	Perspectives from Convening Partners (GWP, ICA, AWF, ACCF, CRIDF, DBSA)s	Partners
09:00-09:10	Remarks from GCF	**Alastair Morrison,** GCF
09.10-09:15	Opening remarks by Ministry of Water and Sanitation, DWS	**Ms. Lindiwe Lusenga** Dep. D.G.
09:15-09:20	Opening remarks by Ministry of Environment (NDA-South Africa)	**Ms. Nosipho Ngcaba** Director Gen.
09:20-09:30	Official Opening by Guest of Honour-DBSA Chief Finance Officer	**Ms. Boitumelo Mosako**
09:30-09:45	**Portfolio of project ideas in Africa for the Green Climate Fund** **Workshop Objectives and Expected Outputs**	**Alex Simalabwi**, GWP
09:45–10.05	**Programming for GCF: Experiences and Participants Expectations from the Workshop** This will be an interactive session in which participants will share their experiences and raise challenges they faced that they expect to be addressed in the workshop.	**Alex Simalabwi**, GWP
10:05-10:30	Coffee & Group Photo	
	SESSION 2: GCF INTRODUCTION	**Louise Helen Brown, ACCF**
10:30-11.00	**Introduction to the GCF**: what it is and is not able to support, overview of its funding windows	**Jason Spensley,** GCF Senior Project Specialist
11:00-11:30		All
	Session 3: GCF investment criteria & project cycle-Case Studies	**David Hebart –Coleman,** AWF
11:30-11:40	**Case Study 1: Rwanda DAE:** How GCF investment criteria was applied to a GCF approved project	**Alex Mulisa,** Rwanda Ministry of Environment
11:40-11:50	**Case Study 2: Namibia DAE**: How GCF investment criteria was applied to a GCF approved project under SAP	**Lazarus Nafidi,** Namibia Environmental Investment Fund
11:50-12:20	Interactive Discussion on GCF Investment Criteria	All
12:20-12:30	**Case Study 3: Zambia NDA:** Presentation on GCF project cycle, and how Zambia NDA has organised roles of different actors for each stage of the project cycle	**Nefuno Kabwe Chanda,** Ministry of National Development Planning
12:30-12:40	**Case Study 4: Africa Climate Change Fund (ACCF):** How this Regional Climate Change Fund is supporting countries to access GCF resources	**Louise Helen Brown,** ACCF
12:40-13:00	Interactive discussion on coordination support at national and regional levels	All
13:00-13:45	Lunch	
	SESSION 4: GCF CLIMATE RATIONALE	**Alex Simalabwi**, GWP
13:45-14:15	**GCF Climate Rationale With a Focus on Water** Discussion of the GCF's Climate rationale and justification for projects, elaborating how GCF ensures its project tackle GHG induced climate change impacts on the most vulnerable communities, in the most technically and financially efficient ways.	**Dominique Berod,** WMO
14:15-14:30	**Data sources, analytical methods and tools** Presentation and discussion on relevant data sources, analytical methods and tools to identify climate-related water challenges to provide an entry-point to examine and evaluate a range of relevant water adaptation responses that the GCF could support.	**Frederik Pischke,** GWPO/WMO
14:30-15:30	**Climate Rationale for GCF Water Projects** This presentation built on the previous presentations and provided concrete examples from around the world of successful projects that have provided strong climate rationale, and received GCF approval for funding.	**Alastair Morrison,** GCF
15:30-15:45	**Interactive Discussion on Climate Rationale for GCF Water Projects** Discussion of challenges faced by countries in articulating climate rationale along with potential solutions and resources	All
15:45-16:00	Coffee	
16:00-18:00	**Group Work 1 - Climate Rationale: Country Project Ideas** Six sub-regional groups will be established. Groups on climate rationale will be established. Each Group will discuss three project ideas selected from the ideas submitted by the countries of the subregion.	All
18:00	**End of Day One**	

Time	Topic	Presenter/ Facilitator
	DAY 2: 20th September, Thursday – Designing GCF Projects for Impact	
09:00-09.05	Recap of Day 1	**Hycinth Banseka,** GWP-CAf
09:05-10:05	**Plenary Session: Report back from Group Work 1 Discussions on Country Project Ideas** Each group will use 10 minutes to present the work of the group (including Q&A: • Southern Africa 1- Group Rapporteur- Kidane • Southern Africa 2- Group Rapporteur- Cathrine • Central Africa-Group Rapporteur-Hycinth • West Africa-Group Rapporteur-Armand • North Africa- Group Rapporteur-Sara • Eastern Africa- Group Rapporteur-Gerald	Group Rapporteurs
10:05-10:30	Coffee	
	SESSION 5: GCF PROJECT PREPARATION FACILITY	
10:30-11:30	**GCF Project Preparation Facility (PPF)** Explains what the PPF is, what it is used for, and how countries can request for it	**Jason Spensley,** GCF
11:30-11:40	**Interactive Discussion on GCF Project Preparation Facility (PPF)**	All
	SESSION 6: CLIMATE IMPACTS ON WATER	
11:40-11.50	**Climate Impacts on Water in Southern Africa** Introduces the climate change risks the experienced in the southern part of Africa	**Charles Reeve**, CRIDF
11:50-12.10	**Case Study 5**: **The Cape Town water crisis** – How the crisis came about and how it is being managed.	**Trevor Balzer**, DWS
12:10-12:30	**Case Study 6: Integrated flood management in the Volta River Basin** – An example of a proposal for climate change adaptation in a transboundary river basin.	**Armand Houanye**, GWP-WA
12:30-12:50	**Case Study 7: Orange-Senqu River Basin Commission** – Challenges and opportunities in Preparation of Transboundary River Basin Climate Resilient Water Projects	**Lenka Thamae**, ORASECOM
12.50:13:00	**Interactive discussion on climate impacts on water**	All
13:00-14:00	Lunch	
	SESSION 7: THE GCF WATER SECTOR PROJECT PORTFOLIO	
14:00-15:00	**The GCF water portfolio across subsectors –** explains the current GCF portfolio in terms of total projects approved across all sectors; the projects approved in the water sector; the distribution among subsectors; where the projects are located	**Alastair Morrison,** GCF
15:00-15:15	**Interactive discussion on the GCF water portfolio**	All
15:15-15:30	Coffee	
15:30–18:00	**Group Work 2: Preparing GCF Concept Notes** Participants from the same country got together, selected one project for discussion and tried to improve its concept note	All
18:00-20:00	**Cocktail**	All
20:00	**End of Day 2**	

Time	Topic	Presenter/ Facilitator
	DAY 3: 21st September, Friday – Fit-For-Purpose Financing	
09:00-09.15	Recap of Day 2	**Cathrine Mutambirwa**, GWPSA
09:15-10:15	**Plenary Session: Report back from Group Work 2 – Preparing GCF Concept Note** Panels of 4-5 countries will be called to the front and each country in the panel will make a 10 minute presentation on the work done to improve and fill out the concept note for one country project idea. After each presentation, the moderator will make a quick check to see whether the group has addressed the weaknesses identified earlier. The panels to be formed are the following: • Panel 1: Ghana, Burkina Faso, Cameroon, Mali. • Panel 2: Rwanda, Ethiopia, Central African Republic, Mauritania, Tunisia. • Panel 3: Eswatini, Lesotho, Botswana, Namibia, Angola, • Panel 4: Uganda, Tanzania, Zambia, Zimbabwe, Madagascar.	**Alex Simalabwi**, GWPA Country Rapporteurs
	SESSION 8: GCF FINANCING INSTRUMENTS	**Mike Salawou**, AfDB/ICA
10:15-10:45	**Financing of GCF projects – An Overview** Explains what the PPF is, what it is used for, and how countries can request for it	**Alastair Morrison,** GCF
10:45-11:00	**DBSA Climate Finance Facility** Explains what the PPF is, what it is used for, and how countries can request for it	**Muhammed Sayed,** DBSA
11:00-11:15	**Case Study 8: The African Water Facility** – Explains the role of AWF in supporting infrastructure project preparation and climate changed adaptation in the water sector in Africa	**David Hebart-Coleman**, AWF
11:15-11:30	**Interactive Discussion on Financing Instruments**	All
11:30-11:45	Coffee	
	SESSION 9: PRIVATE SECTOR FACILITY AND BLENDED FINANCE	**Shamala Naidoo**, CRIDF
11:45-12:00	**GCF's Private Sector Facility** The presentation to be made via video link will explain the operations and project portfolio of the GCF's Private Sector Facility.	**Tony Clamp,** GCF
12:00-12.15	**Case Study 9: Africa GreenCo** – Showcasing innovative approaches to enhance creditworthiness of public utilities to unlock private sector investment in renewable energy.	**Penny Herbst**, Africa GreenCo
12:15-12:30	**Case Study 10: CDG Capital** – An example of private sector involvement in a climate change adaptation project in the water sector through a PPP.	**Mouna Benzeroual**, CDG Capital
12.30:13:00	**Interactive discussion on Private Sector Facility and Blended Finance**	All
13:00-14:00	Lunch	
	SESSION 10: COUNTRY LEVEL COORDINATION FOR IMPROVED GCF CONCEPT NOTE AND PROPOSAL PREPARATION	**Alex Mulisa**, Rwanda DAE
14:00-14:15	**Case Study 11: South Africa NDA – Department of Environment Affairs** – Experience from coordination of implementation activities related to climate change mitigation and adaptation.	**Jenitha Badul**, DEA
14:15-14:30	**Case Study 12: South Africa DAE - South Africa National Biodiversity Institute (SANBI)** – Experience of the approach taken by an accredited entity to mobilise project ideas for climate resilience building in the water sector.	**Michael Jennings**, SANBI
14:30-14:45	**Case Study 13: Kenya's DAE – National Environment Management Authority (NEMA)** –This presentation, to be made via a skype video conference, shares the governance framework established at national level in Kenya to ensure coordination and involvement of key stakeholders in project idea development for GCF financing.	**Wangare Kirumba**, NEMA
14:45-15:00	**Case Study 14: Country Level Coordination for Improved GCF concept note and proposal development – the Experience of Rwanda –** Highlights the importance of stakeholder engagement to the success of GCF funding proposals.	**Alex Mulisa**, Rwanda DAE
15:00-15:15	**Interactive discussion on country level coordination for improved GCF concept note and proposal preparation**	All
15:15-15:30	Coffee	

Time	Topic	Presenter/ Facilitator
	SESSION 11: CLOSING	**Jean Michel,** AWF
15:30-16:00	**Summary of workshop outcomes** Will highlight the key takeaway messages of the workshop.	**Louise Helen Brown,** ACCF and **Anjali Lohani**, GWPO
16:00–16:10	**Follow-up mechanism for country support: Launch of the Project Preparation Partnership for Climate Resilient Water Projects in Africa** Discussion on post-workshop mechanism for country support, explanation about the new mechanisms *Project Preparation Partnership for Climate Resilient Water Projects in Africa,* how the mechanisms will be use to provide support to the countries, and the phases of the GCF project cycle that will be supported by the mechanism.	**Alex Simalabwi**, GWPA
16:10-16:25	**Closing remarks from countries** • Dr. Jenitha Badul, Department for Environment Affairs of South Africa, on behalf of all NDAs • Mr. Lazarus Nafidi, Environmental Investment Fund of Namibia, on behalf of all DAEs • Mr. Abera Endeshaw, Ministry of Water, Irrigation and Electricity of Ethiopia, on behalf of all water sector agencies	**Alex Simalabwi**, GWPA
16:25-16:55	**Closing remarks from partners** • Mr. Charles Reeve, Climate Resilient Infrastructure Development Facility (CRIDF) • Ms. Louise Helen Brown, African Water Facility, Africa Climate Change Fund/AfDB • Mr. Jean Michel Ossete, African Water Facility/AfDB. • Frederik Pischke, Global Water Partnership Geneva • Dr. Dominique Berod, World Meteorological Organisation • Mr. Alastair Morrison, Global Climate Fund	**Alex Simalabwi**, GWPA
16:55-17:00	**Official closing** Official closure by the host institution	**Farai Angela Tunhuma,** DBSA
	End of Day 3	
	END OF WORKSHOP	

ANNEX 2: LIST OF PARTICIPANTS

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ANNEX 3: LIST OF POTENTIAL PROJECT IDEAS FOR GCF FINANCNIG

No.	Country	Project Idea
		Southern Africa Sub-region
1	Angola/ Namibia	Building resilience of climate change affected communities in southern Angola and northern Namibia through remote sensing mapping of deep transboundary aquifers.
2	Botswana	Molepolole and Kanye North-South carrier connection
3	Botswana	Stormwater/ rainwater harvesting facility
4	Eswatini	Building rural community resilience to climate change through improved adaptable wash services in the Lubombo and Shiselweni Regions, Swaziland
5	Eswatini	Disaster Management: Rehabilitation and upgrading of real time river monitoring system and water control unit to support timely information generation for flood and drought management.
6	Eswatini	Isilele Dam
7	Eswatini	Raising of the Hawane Dam on the Mbuluzi River
8	Lesotho	Integrated catchment management
9	Madagascar	Project to increase resilience to climate change in southern Madagascar.
10	Malawi	Integrated watershed management and conservation in addressing climate change impacts on rural communities
11	Namibia	Water banking for resilience to climate variability in Windhoek and central areas of Namibia
12	Zambia	Climate-proofed water supply and sanitation for Livingstone, Zambia
13	Zambia	Catchment restoration for climate resilient water resource management in Eastern Province
14	Zambia	Water harvesting for sustainable agriculture
15	Zimbabwe	Strengthening the business sector's response to climate change
16	Zimbabwe	Harnessing fragmented rural ecosystems through clean renewable energy and enhanced market access
17	Zimbabwe	Kariba REDD+ Project
		Eastern Africa Sub-region
18	Ethiopia	Climate resilient water supply project in drought prone areas of Ethiopia
19	Rwanda	Improving water security in Rwanda through rainwater harvesting
20	Rwanda	Climate-smart storm-water management and drainage Initiative in secondary cities
21	Rwanda	Climate-smart storm-water management and drainage initiative in the City of Kigali
22	Rwanda	Volcanoes area flood management
23	Tanzania	Enhancement of climate change adaptation in the Wami River Catchment in Tanzania
24	Uganda	Sustainable Utilization of Faecal matter
25	Uganda	Development and management of green technologies for sustainable utilization of multipurpose water storage structures
26	Uganda	Applied research and capacity building for climate change proofing in Uganda
27	Uganda	Climate resilient highway public sanitation and hygiene facilities
28	Uganda	Climate resilient institutional and public sanitation project in cholera prone districts
29	Uganda	Building Catchment Based Sustainable Water Supply Systems (2)
30	Uganda	Sustainable water initiative for drought prone and refugee hosting districts through green energy
31	Uganda	Climate-smart water supply and sanitation systems
		North Africa Sub-region
32	Morocco	Climate change adaptation project in the mountain areas of Kenifra Province
33	Morocco	Strengthening the resilience of pastoral ecosystems and animal production systems in the eastern Highlands.
34	Tunisia	Water-Energy-Food Nexus approach to address climate change impacts in central Tunisia
35	Mauritania	Protecting and valuing water resources for sustainable, integrated and climate resilient rural development

No.	Country	Project Idea
		in northern and western Mauritania.
		West Africa Sub-region
36	Burkina Faso	Improvement the joint management of transboundary water resources of the basin Nakambé.
37	Burkina Faso	Research development in the field of water
38	Burkina Faso	Program for building resilience and improving water security in Burkina Faso
39	Ghana	Developing groundwater resources for climate-resilient irrigation and socio-economic development activities in Northern Ghana
40	Mali	Strengthening drinking water supply and control of waterborne diseases in the Sourou Basin in Mali (PR-AEP / LCMH).
41	Mali	Mobilization and integrated management of non-perennial surface waters in the circles of Kayes, Yelimanéand Nioro.
42	Senegal	Typha fuel and construction in West Africa (TyCCAO) - Part SENEGAL
43	Senegal	Upscaling "Naatangue" integrated family farms and village for a resilient agriculture
		Central Africa Sub-region
44	Cameroon	Sustainable management of water resources in Cameroon
45	Central African Republic	Waste water management
46	Sao Tome	Studies of front-project summary and pre-project details for drinking water supply and sanitation in rural areas

ANNEX 4: WORKSHOP EVALUATION

Contents

A4.1 INTRODUCTION AND BACKGROUND

From 19-21st September 2018, the Global Water Partnership Southern Africa in collaboration with the Africa Water Facility/ African Development Bank, Africa Climate Change Fund, Climate Resilience Infrastructure Development Facility, Development Bank of Southern Africa, with technical input of the Green Climate Fund organised the first technical workshop on *Project Preparation Transformational Climate Resilience Water Project Concepts in Africa for the Green Climate Fund*. The workshop focused on strengthening the capacity of National Designated Authorities (NDA's), Direct Access Entities, Water Ministries, Project Preparation and Finance experts, and technical advisors to prepare climate resilient water projects that can access GCF funding. Through the pool of participants, the workshop sought to provide technical assistance and south-south exchange to achieve the following outcomes:

1. Enhance the understanding of the GCF impact criteria, operational modalities and procedures, and financing requirements;
2. Provide a clear understanding of concrete steps needed to prepare strong water related adaptation project proposals;
3. Enhance the understanding of Methodologies for articulating climate rationale and estimating incremental costs of climate-proofing water-related investments;
4. Enhance understanding of the roles and responsibilities of all the parties involved throughout the project cycle;
5. Identify potential GCF project concepts and launch of post-workshop support mechanisms-Project Preparation Partnership for Climate Resilience Water Projects in Africa.

Of the 93 participants of the workshop, a survey was administered to 74 non-organising workshop participants. The delegates responded to the evaluation with the aim to inform future initiatives and similar workshops on climate change project preparation. The responses were given anonymously.

The survey comprises six sections:

1. A general section that looks at the participants profile,
2. Quality and relevance of workshop overview and outcomes and Agenda feedback,
3. Reflection on Knowledge and information gained from the workshop
4. Networking and Partnerships
5. Logistics Arrangements
6. Ideas for future similar workshops.

According to the evaluation responses, a score of 86.3% was attained for the overall workshop performance, while 100% was obtained on quality and relevance of the workshop.

This Annex report provides an account of the event's qualitative and quantitative evaluation of the topics and sessions presented during the workshop.

The questionnaire administered to delegates is appended to this report.

A4.2 PARTICIPANTS' PROFILE

A4.2.1 Distribution of participants by region

The first section of the survey comprised of a mix of open and closed-ended questions seeking to obtain an overview of the type of participants that attended the workshop and responded to the evaluation. Out of the 94 participants that attended the workshop, 74 responded to the evaluation[1]. Of the 74 respondents, 20 are female, and 54 are male.

The workshop drew participants from the four regions of Africa and 'Others' that comprised international delegates. According to the results of the survey, most of the participants were from Southern Africa (47.3%), followed by West Africa 17.5%, North Africa and international delegates (both 9.45%). While the least presented were from Central and East Africa (both representing 8% of the delegates).

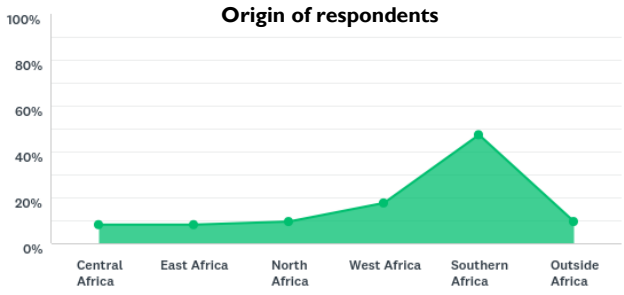

Figure A4.1: Origin of respondents

A4.2.2 Types of entities represented

Answers to a multiple-choice question that required respondents to indicate type(s) of entities they represented point to *Project Preparation Partners* as the most represented (40.3%). *The Water Ministries* had a representation of 28.28 %, followed by *GCF National Designated Authorities* at 25%. *GCF Direct Access Entities* delegates made-up 7.69% of the delegates. 13.3% of delegates indicated that they are from "Other entities". Those listed include the Environmental Sanitation and Sustainable Ministry, River Basin Organisation, Public International Organisation, GCF Accredited Entity, Private Consultants, Private Sector, Academic Institution and GCF.

[1] Although a total of 74 delegates responded to the questionnaire, there are instances where not all questions were fully answered

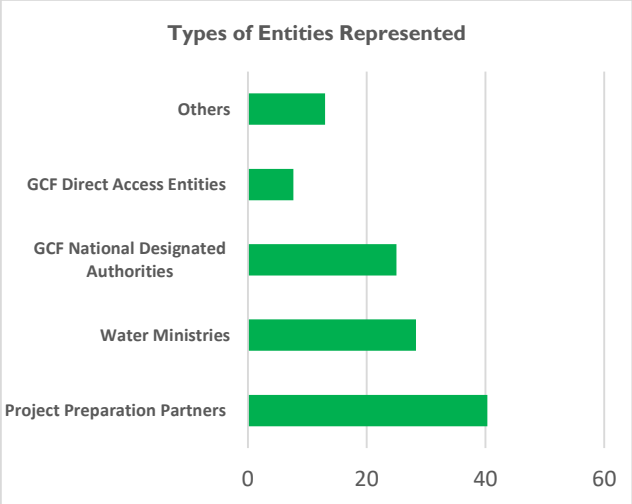

Figure A4.2: Types of entities represented.

A4.2.3 Types of entities represented

The analysis on the interest of organisations in relation to the GCF revealed that most of the organisations interest in GCF was on *preparing GCF projects* (59.9%) and *providing technical support in preparing GCF Projects* (54.55%). There is also interest in *Coordinating GCF Projects Preparations* and *Developing GCF Country Programmes* (28.79% and 22.73% respectively). *Coordinating financing of projects* and *Coordinating Climate Change Programmes* were the least rated at 21.21% and 16.67%, respectively.

Apart from the closed multiple-choice selection options chosen, several respondents listed "other interests" in response to the open-ended question.

These include:

- Providing information support to project preparation
- Translating and Interpretation Services
- Technical support to concept notes/ financial proposals
- Providing interpretation
- Supporting Governments in fragile contexts to reach GCF

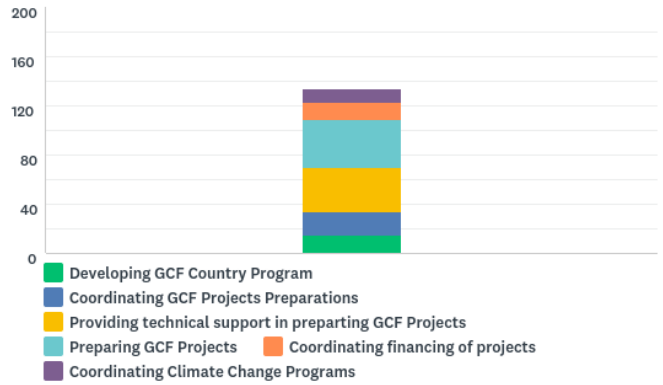

Figure A4.3: Interest of organisation in relation to GCF.

A4.2.4 Attendance to GCF related events

Most of the participants (79.73%) confirmed to be first time attendees of a GCF related workshop. The 8.11% (6 delegates) that indicated having previously attended a GCF related workshops are chiefly international delegates or/and GCF Direct Access Entities/ National Designated Authority. These delegates have previously attended:

- GCF Structured Dialogues
- GCF Direct Access Workshop in Songdo, Korea
- GCF concept note development workshop done by Climate Technology Centre and Network Training on GCF by CRIDF
- Several workshops in Asia and the Pacific

Additionally, 68.92% of respondents indicated that they do not belong to any knowledge platform or community on climate change issues. The 31% that affirmed belonging to a platform are largely international delegates/ and those that have had close liaison with the GCF.

Some of the knowledge platforms listed include:

- AFDB Internal Working Group
- APFM Associated Programme on Flood Management
- Carbon Tax Centre
- Climate Change Network Ethiopia National WASH Platform
- Ethiopia Society of Social Workers Anthropology Association (AESSSWA)
- Global Development and Environment
- Global Water Partnership
- Direct Access Community of Practice
- IDMP
- International Development Finance Club

- International Institute for Sustainable Development (IISD)
- National Climate Change Committee, a Government platform to share climate change activities in the country
- National Climate Change Technical Working Group
- OR Foster – Climate Progress, UN Climate Change
- Yale Environment 360

A4.3 QUALITY AND RELEVANCE OF WORKSHOP OVERVIEW, OUTCOMES AND AGENDA FEEDBACK

A4.3.1 Overall objectives

An overall score of 100% was given by 71 participants that responded to a yes and no question requesting them to rate whether the workshops' objectives had been achieved. Three (3) respondents did not respond to the question on whether the workshops objectives had been achieved.

Some statements were made by a few participants on why this is so are:

"I would say so, as most participants are new to the process."

"There is need for follow-up workshops so as not to lose momentum."

"I would hope so, given that it was a full house attendance from day 1 to 3."

"Very nice and timely indeed."

A4.3.2 Quality and relevance of workshop

To evaluate the quality and relevance of the programme content, participants rated each of the nine (9) key workshop session objectives on a scale of 1-5; 1=strongly disagree, 2=disagree, 3=fairly agree, 4=agree, and 5=strongly agree. The statements gauged the participants' opinions of the quality and relevance of the workshop.

The table further shows the total number of respondents that "Strongly Agreed to Strongly Disagreed" each of the objectives.

Figure A4.4: Participants in a discussion during the workshop.

Table A4.1: Interest of organisation in relation to GCF.

No.	Statement	% of Participants That Strongly Agree & Agree	% of Participants That Fairly Agree (Average)	% of Participants That Strongly Disagree And Disagree
1	Better understanding of what GCF is, its funding windows and financing mechanisms	78	17.81	4.11
2	Better understanding about GCFs investment criteria and project cycle? The case studies demonstrated how the GCF investment criteria was applied.	77.78	16.67	5.56
3	Better understanding of GCFs Climate rationale and justification for projects to ensure that projects tackle GHG induced climate change impacts.	75.6	17.14	7.14
4	Learnt a lot from presentations on a variety of water-related projects that can build climate resilience, and better appreciation of the challenges of preparing transboundary water projects.	74.9	22.22	2.78
5	Better understanding of the steps required for preparing GCF project concept notes/ proposals (including coordination between NDAs and DAEs).	74.2	21.4	4.29
6	Better understanding about GCFs financing instruments (grants, loans, guarantees and equity).	66.2	26.76	7.04
7	Better understanding about GCF's Private Sector Facility and the role of the private sector in climate finance.	47.89	45.07	7.05
8	Better understanding about the importance of coordination at country level in preparing GCF project proposals.	81.95	12.50	5.56
9	Fully appreciate the need for creating partnerships of stakeholders for preparing successful GCF project concepts and proposals. Also understand the role of technical partners in the process.	87.5	9.72	2.78

The results show that 87.5% of the participants "*Fully appreciated the need for creating partnerships of stakeholders for preparing successful GCF project concepts and understanding the role of technical partners in the process*"

The lowest percentage of participants (47.89%) had "*Better understanding about GCF's Private Sector Facility and the role of the private sector in climate finance*".

The Radar Chart below provides an overview of comparative "Agreed and Strongly Agreed" scores showing the percentage of participants that appreciated the quality and relevance of the workshop sessions.

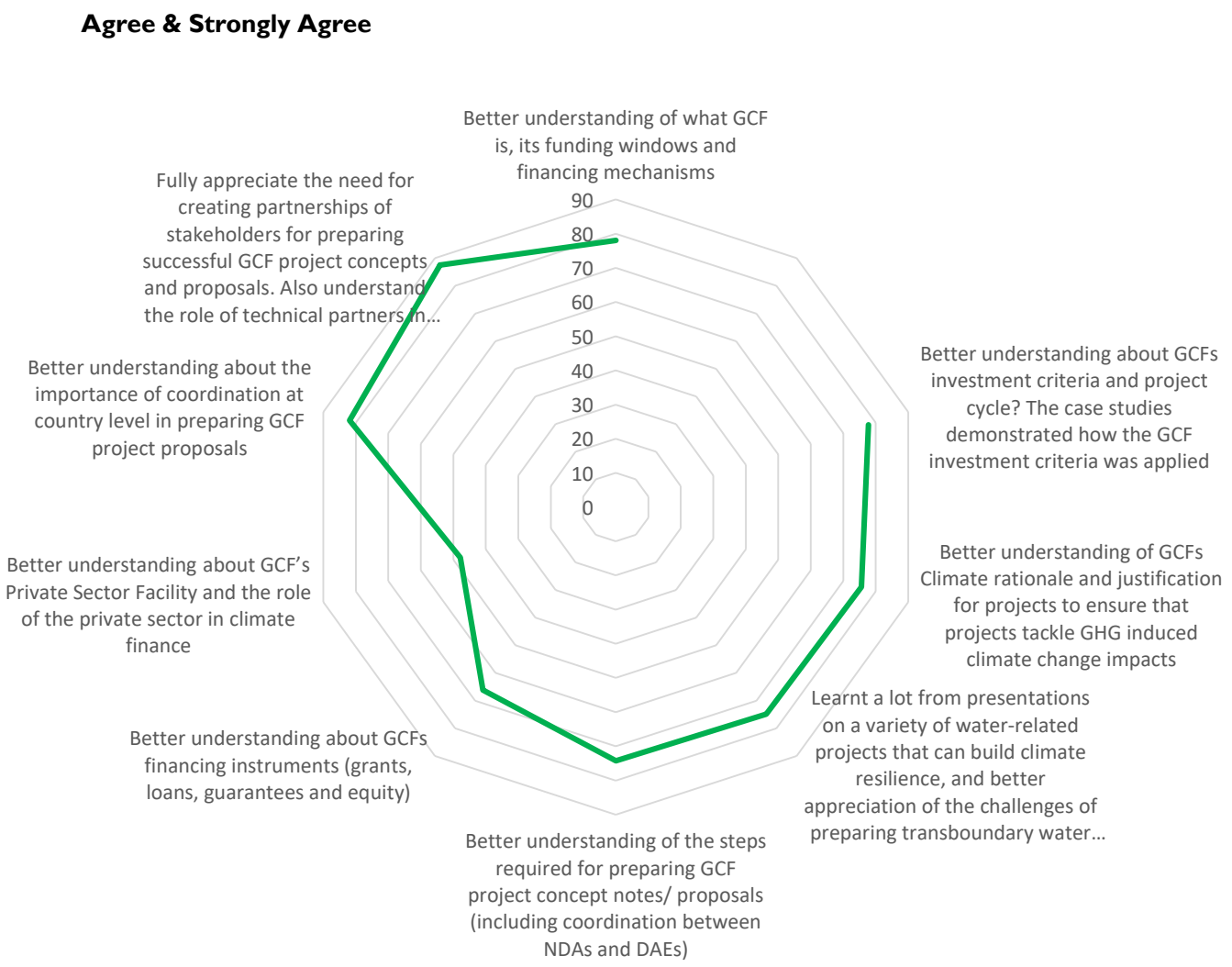

Figure A4.5: Comparative total "Agreed and Strongly Agreed" scores on quality and relevance of the workshop sessions.

A4.3.3 Sessions, topics or aspects of the workshop most interesting or useful

Participants responded to an open-ended question requiring them to list the aspects of the workshop that were most interesting and useful. A review of the answers shows that Session 4: GCF Climate Rationale was the most interesting and useful, while the least was Session 9: Private sector facility of blended finance[2].

The following list provides a tally of the most interesting or useful sessions, topics and statements

responding to that question. [3]

Interesting and useful sessions

- Session 2: GCF Introduction (13)
- Session 3: GCF investment Criteria and project cycle - case studies (19)
- Session 4: GCF Climate Rationale (25)
- Session 5: climate impacts on water (11)
- Session 6: Climate Resilience across water sub-sectors (9)
- Session 7: GCF Project Facility - preparing a GCF concept note, translating it to a full project proposal (18)
- Session 8: GCF Financing Instruments (3)

[2] This confirms the low score on "Better understanding about GCF's Private Sector Facility and the role of the private sector in climate finance" – see A4.3.2: Quality and relevance of workshop.

[3] Note: Each number in brackets represents the number of participants that made those remarks. Remarks have been paraphrased in some instances. Kindly note that some respondents made no response.

- Session 9: Private sector facility of blended finance (1)
- Session 10: Country level coordination for improved GCF concept note and proposal development (4)
- Session 11: Session 11: Closing and Advancing project ideas (7)
- Case Studies (13)
- Groupwork (7)

Interesting and useful topics and aspects

- Theory of change in general (2)
- Fit for Purpose Approach (3)
- The completion of the template and other financial opportunities available (1)
- The review of concepts (4)
- Question and Answer sessions (4)
- In-depth look at water sector (2)
- Climate rationale (3)
- Environment and Gender (3)
- Presentations by CRIDF (3)
- GCF mandate and available tools to support countries, development of proposals (1)
- Case Study 5: The Cape Town Water Crisis, Department of Water and Sanitation (9)
- Case Study 1: Rwanda DAE: How GCF Investment criteria was applied to a GCF approved project (3)
- All Sessions (5)

Textbox 1: Statements from participants on interesting and useful sessions and topics

- All presentations interesting as it was the first exposure to GCF funding modalities.
- Presentations directly from GCF were very useful.
- Cannot really single out a specific session as most of them have been interesting and useful as they cover different aspects of the whole process.
- Presentations from NDAs of African countries were very useful.
- Countries sharing experiences of their NDAs and structures for managing GCF funded projects were an eye-opener.
- The effort to move beyond a project idea to applying the template for project concept note was very helpful.
- Analysis of countries' project ideas highlighting the strong points, weaknesses and opportunities for improvement was very useful.
- Almost all sessions very useful except

A4.3.4 Impression of working groups and group facilitators

The participants were asked to evaluate their experiences during the group work sessions. The responses obtained from the evaluation indicates that 73 % of group attendees found the group deliberations to be very good (28%) and excellent (45%).

Participants' statements - What made the group work very good

- Interactive and resourceful.
- Facilitation was excellent.
- Facilitation was ok.
- Very nice, congratulations.
- GWP did a good job from the onset from providing the template for submitting project ideas, gathering and summarising the information gathered from country teams. However more time was required for coming up with project ideas.
- Well organised learner's approval.

- The working group was very competent and professional.
- Group work helped in bringing more clarity to issues on ways of developing the project ideas to concepts.
- Group work helped to bring more clarity to issues on ways of developing the project ideas to concepts.
- It presented an opportunity for project ideas to be tested. This was beneficial in the sense that the concepts to be submitted shall be comprehensive.
- Good opportunity for learning from one another.
- They were great and eye opening. Provided enough opportunity to further understand the issues and processes to be done.
- Very good interface with countries and ideas.
- Well-coordinated and provided excellent guidance and summary.

Participants' statements - Ways group work could have been better

- Could be better structured.
- Alteration of presentations with exercises.
- More instructions during discussions could have been useful.
- Not enough time and less supervision from experts.
- More instructions to kick start discussions.
- Limited time allocated to group discussion.
- Was good but constrained by tight schedule.
- In the first group, a chair should have been identified early as it took a while for participants to voice their opinions.

A4.4 OVERALL KNOWLEDGE AND INFORMATION GAINED FROM THE WORKSHOP

Three sets of questions were asked to gauge the knowledge that has been attained from the workshop. Most participants (94.52%) indicated that they have gained new knowledge and information from the workshop, while 5.48% indicated that they "somehow" gained new knowledge and information.

Participants were further asked whether that knowledge would be useful or applicable in their work. 78.08% indicated that they would "definitely" be able to use the knowledge, 13.70% mentioned that they would "mostly use it", while 8.22% indicated that they would 'somehow' use it.

The third question was an open-ended question requesting participants to reflect on how the workshop has benefited them. An analysis of the benefits accrued by participants can be divided into four categories:

- Lessons on GCF and modalities,
- General Knowledge on Concept Note and Proposal Development
- Appreciation on roles of NDAs, AEs, and Project Preparation Partners,
- Partnership and networking
- Lessons on funding and Opportunities for Funding sources, and
- General comments (e.g. skills transfer)

The Textbox 2 below shows some selected statement from participants on how the workshop benefited them. The full list of participants statements are given in the Appendix.

A4.5 NETWORKING AND PARTNERSHIP

Participants provided a positive high response to the question on whether they derived any benefits to the networking and partnership opportunities during the workshop. According to the results, 88.73% of participants indicated that they "definitely did" and "mostly did" benefit" from the networking opportunity.

Textbox 2: Example statements from participants on how the workshop has benefited them

- "I came with my own ideas. I shall go back home with GCF process knowledge."
- "It demystifies the GCF processes and made clear the areas that require attention to qualify for funding."
- "Certainly, it gave me a better appreciation of the role that AfDB as an accredited entity should take to support the process."
- "The workshop benefited by representing the NDAs and provided lessons and experiences from fellow NDAs, and learnt the process that DAES take to submit full proposals to GCF."
- "Met water experts in the region, including some that I last saw 10 years ago."
- "Exposure to various players in climate change for networking has been very beneficial."
- "Workshop has enlightened on evolving windows of funding."
- "Some funders are already interested in funding our country proposal. Some have even volunteered in helping us develop a good concept note."

The following are some comments given on the benefits derived from networking:

- Good Interaction with GCF staff. They were open and willing to give explanations.
- Meeting different partners from different countries and better understanding of partners' roles.
- It was good opportunity to interact and share experiences with other NDAs and country people.
- Interacted with professionals within and beyond the region.
- Targeted networking was the most valuable opportunity.
- Side meetings and information provided by other participants were valuable.
- The workshop gathered representatives from DAEs in my region that I have not had access to until now. Also, various representatives from different regional and international organisations with whom I will look for partnership building, and synergies were present at the workshop.
- I have gained insight into partnership required to break through the funding challenges. Interacted with the GCF representative to appreciate the support needed to have project concept notes accepted.
- Especially with other NDAs, NDEs and GCF representatives.
- Through the workshop, I can understand and now know other entities accredited in Africa, which have the capacity to submit proposals to GCF.
- Theory is good, but learning by other countries experiences and getting their technical support is better.
- Managed to get an investment opportunity through the networking.
- Some participants have in-depth knowledge of GCF. Therefore, their knowledge is still required when need arises.
- Most country participants are familiar, but there was new information sharing.
- Have established links for further networking that will contribute towards work.
- Networking and Project ideas put forward are an excellent basis for discussion.
- Met several people that can enrich the work we do - WMO, CRIDF, AWF and CRIDF.
- Networking with various people from different careers provided an opportunity to learn about my country problems in respect to climate change and project proposal process.
- Have established links for further networking with country experts and other stakeholders.
- Was able to network with many partners and provided another dimension of climate issues.

A4.6 LOGISTICS ARRANGEMENTS

To evaluate the quality of the logistics arrangements, 5 questions were asked that required participants to rate each service on a scale of 1-5; 1=very poor, 2=Poor, 3=Good, 4=Very Good, and 5=Excellent

The best service rated for "very good and excellent service" combined scores went towards the *Registration Process* at 89.04%. *Accommodation* was rated at 88.22%, *Local Travel* was rated at 84.29%, *Workshop background information* was rated at 82.19% and *Conference Venue* that received a score of 79.46%.

There were a few comments relating to the need for stable internet at the conference venue. A few comments recognised the *fast and smooth* registration process, despite some comments advising against very *early registration day* and preference to have all background materials prior to the workshop. Suggestions were made on the need to have one base for conferencing and accommodation to reduce on coordination challenges, and all workshop background materials available in the three main languages (English, French and Portuguese).

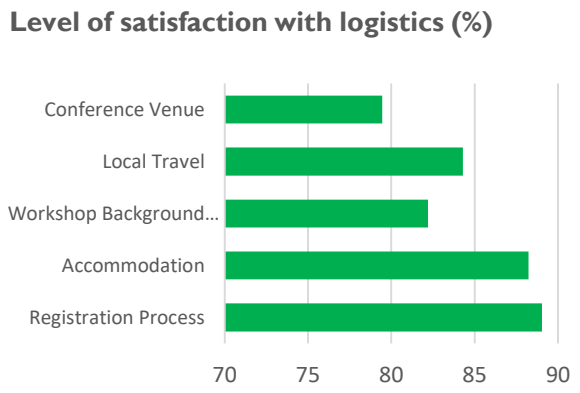

Figure A4.6: Level of participants' satisfaction with logistics

A4.7 IDEAS FOR FUTURE SIMILAR WORKSHOPS

The workshop was organized around a series of presentations on selected topics and group discussions led by qualified technical personnel. Although the workshop objectives were met, some feedback was made on how similar workshops could be improved and structured in future. Most feedback related to the content and structure of the programme. Suggestions were made on the need of restructuring the programme by reducing on presentations and extending the number of days to provide more time for discussions and other key presentations. Other suggestions made relate to pre-conference preparations, interpretation and translation services, workshop follow-up and logistics and conference venue.

Content and structure of programme

- More time for discussions, less packed programme.
- Less presentations and more of take away points (presentations to be less general to avoid repetitions).
- One more day, as some sessions were rushed and perhaps a rearrangement of sessions.
- It could have been beneficial if a week-long workshop was held to include more exercises, especially concept note and proposal development.
- Next time, it should not only be classroom work, but a visit to some climate change related project in the hosting country to appreciate the benefits of the programme and climate change solutions.
- Improving mechanisms of ensuring participants are on-time for sessions to avoid rush-through of critical presentations.
- To deepen proposal development and partnership building.
- Less presentations, more discussion.
- More time for financial mechanism of GCF.
- Better and deeper focus on the water sector.
- Improve on group work facilitation.
- Workshop was too packed, as a result, important sessions were cut short e.g. Alastair's last presentation on "Financing mechanisms' and AWF were rushed.

Preconference preparations

- More time should be allocated to countries for drafting of concept notes.
- Providing interpreters with background documents for better performance.
- To provide documentation prior to the start of the workshop.

Interpretation and translation services

- All presentations and website should be in French and Portuguese.
- Language is handicap for exchange outside the workshop.
- Group work to be separated by language divisions for easier communication.

Workshop follow-up

- Participants expressed the desire for follow-up workshop and activities.
- The workshop could be done in four regions of Africa to allow maximum participation within the regions.
- More projects should be identified in the SADC region and reasons to why they are failing in accessing GCF funding.

Logistics and venue

- Organisers should reduce on logistical challenges by ensuring the meeting and accommodation are in one place.
- Limited and unstable access to internet. better next time.
- Food menu (add a healthy dessert).

A4.8 JUSTIFICATION AND LIMITATION OF THE ANALYSIS

An attempt to offer a balanced view of the workshop was obtained by designing both a qualitative and quantitative questionnaire that incorporated both open-ended and closed-ended questions. The questionnaire was answered by about more than 80% of the participants[4], thus providing a high probability rating on the results.

Due to the inclusion of both open and closed-ended question, the findings may sometimes be limited to some degree due to the following shortfalls in the administration of both Open and Closed Questions and no other triangulation method:

- It was noticed that a number of respondents completed their questionnaires in a hurry. This is evidenced from incomplete sentences, and wrong answers due to following wrong instructions in filling in some parts. It is recommended that a triangulated method of obtaining participants feedback is incorporated in future. In addition to administering the questionnaire to all the participants, an additional small percentage of anonymously selected participants could be requested to complete brief questions, or undertake debriefing exercises at the end of each day/ or at the end of a session.
- Additionally, the following issues noted in the questionnaires and types of questions administered had an impact on the analysis:

For the closed questions,

The advantages were notable:

- It was easier and quicker for respondents to answer.
- The answers of different respondents were easily compared.
- The answers were easier to code and statistically analyse.
- The response choices could clarify question meaning for respondents.
- There were fewer irrelevant or confused answers to questions.
- Replication was easier.

The disadvantages are:

- There was misinterpretation of a couple of question(s).
- Respondents were forced to give simplistic responses to complex issues.

For open-ended questions

- They permitted an unlimited number of possible answers.
- The answers permitted creativity, self-expression, and richness of detail.
- Different respondents gave different degrees of detail in answers. In most instances, non-English delegates gave brief answers and many omissions to open-ended questions.
- Comparisons and statistical analysis become difficult

The lack of time to test the questionnaire prior to administration also resulted in restructuring the questions after submission to suit the online version.

A4.9 CONCLUSION

Several conclusions can be reached from the results of this evaluation:

Delegates were extremely satisfied by the approach and content of the various sessions and presentations This is confirmed by the overall score of 100% on the workshop

[4] Excluding organising staff

meeting its objectives. The overall performance (content and logistics combined) of the workshop was rated as very good at a score of 86.3% by 73 participants out of the 74 that responded to the evaluation. The rating of 86,3% on the overall score on performance is attributed to the tight programme conducted in a short space, which was a major concern by most participants.

The inclusion and selection of first-time participants to the GCF workshop provided them with the opportunity to exchange knowledge and experience, both with each other and with their respective technical coaches, and improved the quality and understanding of the structured, GCF funding modalities and project proposal requirements. The workshop therefore achieved its objective of providing technical assistance and South-South exchange to delegates.

Although a few delegates belong to knowledge communities, it is interesting to note that none of the delegates that responded to the questionnaire belong to the same community. This further confirms the need to harness existing platforms of this nature, specifically on promoting south-south exchange and capacity building in project preparation in the water sector. The appreciation on the networking and partnership opportunity expressed by the majority of participants and the need for more workshops of this nature to be held in future ascertains to this need.

A4.10 APPENDIX 1: REFLECTIONS ON HOW THE WORKSHOP HAS BENEFITED YOU

Lessons on GCF and modalities

- I came with my own ideas. I shall go back home with GCF process knowledge
- Project preparation to the GCF shall be developed sequentially as required by GCF
- I have new knowledge about GCF and the water sector
- The workshop helped me understand the structure and steps that can be undertaken towards identifying ideas until the full preparation of project proposals. This knowledge is helpful to plan activities that can be implemented to support countries to access GCF funding
- It brought visibility to the GCF processes for accepting to fund projects It brought visibility to the GCF processes for accepting to fund projects
- As an NDA in the Ministry of Finance, the template for guiding entities to complete was very helpful, and it shall be helpful in terms of guiding entities that come to the NDA secretariat for assistance in developing their project
- The workshop managed to demystify GCF and its processes
- Grateful to organisers and experts. Have learned many things on the GCF that will contribute an important part of my work.
- It demystifies the GCF processes and made clear the areas that require attention to qualify for funding
- Information that is important in GCF proposal (investment criteria)

- Clearer understanding of the process of preparing GCF concept notes
- Better understanding of the GCF Result areas, investment criteria
- Understanding of GCF projects has increased. Am new to this type of work so hope to use the new knowledge
- The tips shared to improve chances of proposals getting approved especially motivation of the climate rationale of proposals, Better understanding of articulating water-specific projects for GCF funding
- In my office, I handle projects of varied funding mechanisms. With the knowledge gained, it is easier for me to apply for GCF funding through the process outlined to access funds for climate change projects. In my office, I handle projects of varied funding mechanisms. With the knowledge gained, it is easier for me to apply for GCF funding through the process outlined to access funds for climate change projects.
- Polished my knowledge on GCF
- Clearer understanding of the process of preparing GCF concept notes
- The workshop has built capacity in providing technical assistance and overall preparation of the GCF concept note/ proposal
- Better understanding of the GCF Result areas, investment criteria
- More confidently understand the full process for GCF funding
- The tips shared to improve chances of proposals getting approved especially motivation of the climate rationale of proposals, Better understanding of articulating water-specific projects for GCF funding
- Learned a lot from other countries experiences with accessing GCF funds

General knowledge on concept note and proposal development

- How to prepare a concept note
- Learnt lessons on concept note conceptualisation for submission to GCF Learnt lessons on concept note conceptualisation for submission to GCF
- Sound knowledge of types project concepts that can be developed
- Opened mind to "Climatise" the rationale even as it is solving poverty issues, such as food, water and energy insecurities
- Knowledge and skills in proposal development
- Knowledge on how to prepare fundable project concepts
- Knowledge and skills in proposal development
- key elements to consider/ concept note before developing full proposal and feasibility and planning process/ requirements for funding
- Information on project Preparation
- Learnt on ways of clearly developing ideas that are required for projects

Appreciation on roles of NDAs, AEs, and Project Preparation Partners

- Can provide high quality support to countries and engage more confidently with NDA''s and team
- The workshop benefited by representing the NDAs and provided lessons and experiences from fellow NDA'S, and learnt the process that DAES take to submit full proposals to GCF
- Certainly, gave me a better appreciation of the role that AFDB as an accredited entity should take to support the process

Partnership and networking

- Highlights on real cases, identifying new partners
- New Knowledge and Partnerships
- Met water experts in the region, including some that I last saw 10 years ago
- Exposure to various players in climate change for networking has been very beneficial
- Networking and contacts

Lessons on funding and opportunities for funding sources

- Positive source on financing

- Workshop has enlightened on evolving windows of funding
- Some funders are already interested in funding our country proposal. Some have even volunteered in helping us develop a good concept note
- How to harness private sector funding in climate change
- It helped to learn more on funding available on climate change issues
- Partial knowledge gained on relevance of financing for climate change

General comments (e.g. skills transfer)

- Will definitely share lessons with team back home
- As an interpreter, I have learned new concepts, and this will raise the bar of my trade
- Once back home intend to report back on all covered. and will be beneficial to those that couldn't come. will be able to apply in day to day operations.
- Its first time to attend. However, will realise on process and challenges for me to help in the process
- Workshop has provided challenge to work further on project idea that the country team has submitted due to new knowledge gained from the workshop
- Learnt about Green Growth Strategy
- Eye opener. Congratulations
- Very beneficial in practical terms/ hands on experience sharing
- As an interpreter, learned a lot beyond my scope and believe I may be able to be involved in such a field
- Very well done. thank you.

A4.11 APPENDIX 2: EVALUATION FORM

Program	Africa Water Investment Programme (AIP)
Title of the Workshop:	Technical Workshop on Project Preparation: *Transformational Climate Resilience Water Project Concepts in Africa for the Green Climate Fund*
Date, Venue	19 – 21 September 2018, Midrand, South Africa
Objective of the evaluation	to provide organizers with information to improve organization of similar events in future

We would appreciate a few minutes of your time to provide us your feedback on the organization of the workshop. The evaluation is anonymous and should take less than 10 minutes to complete

A. GENERAL

Kindly respond to the following questions by ticking on the box(s)

1. Please select the type(s) of entity you work for:

☐ GCF Direct Access Entity
☐ GCF National Designated Authority
☐ Water Ministry
☐ A Project Preparation Partner (eg.GWP)
☐ Others: Specify

2. What is the interest of your organisation in relation to GCF?

☐ Developing GCF Country Program
☐ Coordinating GCF Projects preparation
☐ Providing technical support in preparing GCF Projects
☐ Preparing GCF Projects
☐ Coordinating financing of projects
☐ Coordinating Climate Change Programs
☐ Other (Please specify)

3. Which region of Africa are you based?

☐ Central Africa
☐ Eastern Africa
☐ North Africa
☐ West Africa
☐ Southern Africa

4. Have you attended GCF related project preparation workshop prior to this one?

☐ Yes ☐ No

If so, kindly provide details

_____
_____
_____

5. Do you belong to any knowledge platform or community on climate change issues?

☐ Yes ☐ No

If so, which one(s)?

_____
_____
_____

6. Kindly indicate your gender

☐ I am female ☐ I am male

B. QUALITY AND RELEVANCE OF WORKSHOP

Kindly rate from 1 to 5 (1 =strongly disagree, 2=disagree, 3=fairly agree, 4=agree, 5= strongly agree)

7. I have a better understanding of what GCF is, its funding windows and financing mechanisms.

☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5

8. I have a better understanding about GCF's investment criteria and project cycle. The case studies demonstrated how the GCF investment criteria were applied.

☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5

9. I have a better understanding of GCF's Climate rationale and justification for projects to ensure that projects tackle GHG induced climate change impacts.

☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5

10. I have a better understanding of climate change impacts on water resources.

☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5

11. I have learnt a lot from presentations on a variety of water-related projects that can build climate resilience. I also have a better appreciation of the challenges of preparing transboundary water projects.

☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5

12. I have a better understanding of the steps required for preparing GCF project concept notes/proposals (including coordination between NDA and DAEs).

☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5

13. I have a better understanding about GCF's financing instruments (grants, loans, guarantees and equity).

☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5

14. I have a better understanding about GCF's Private Sector Facility and the role of the private sector in climate finance.

☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5

15. I have a better understanding about the importance of coordination at country level in preparing GCF project proposals.

☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5

16. I have fully appreciated the need for creating partnership of stakeholders for preparing successful GCF project concepts and proposals. I also understand the role of technical partners in the process.

☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5

17. Which Session(s), topic(s) or aspects of the workshop did you find most interesting or useful?

_____

_____

_____

18. Did the workshop achieve its objectives?

☐ Yes ☐ No

If no, why?

_____

_____

_____

19. Overall impression of the working groups session facilitation.

Kindly rate from 1 to 5 (1 =very poor, 2=poor, 3=good, 4=very good, 5= excellent)

☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5

Comments on group work facilitation:

_____

_____

_____

20. Please provide your overall assessment of the workshop.

Kindly rate from 1 to 5 (1 =very poor, 2=poor, 3=good, 4=very good, 5= excellent)

☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5

C. OVERALL KNOWLEDGE AND INFORMATION GAINED FROM THE WORKSHOP

21. Have you gained new knowledge and information from the workshop?

☐ Yes ☐ No ☐ Somehow

22. The knowledge and information gained from the workshop is useful/applicable in my work

☐ Definitely ☐ Mostly ☐ Somehow ☐ Not at all

Please use this space below to reflect on how the workshop has benefitted you:

_____

_____

_____

D. NETWORKING AND PARTNERSHIP

23. I have benefitted from the networking and partnership opportunities during the workshop

☐ Definitely ☐ Mostly ☐ Somehow ☐ Not at all

Please explain:

_____

_____

_____

E. IDEAS FOR FUTURE SIMILAR WORKSHOP

24. How do you think the workshop could have been made more effective?

_____

_____

_____

E. LOGISTICAL ARRANGEMENTS

Kindly rate from 1 to 5 (1 =very poor, 2=poor, 3=good, 4=very good, 5= excellent) the following logistic arrangements prior to and during the workshop.

25. Workshop background information.

☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5

26. Registration process.

☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5

27. Local travel.

☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5

28. Accommodation.

☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5

29. Conference Venue.

☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5

THANK YOU!