READINESS & PREPARATORY SUPPORT

PROPOSAL TEMPLATE

GREEN CLIMATE FUND

Proposal title: Strengthening the capacity of Direct Access Entities (DAEs), NDA and GCF project programming stakeholders in Sri Lanka to access climate finance through enhanced strategic frameworks for stakeholder engagement and a strengthened project pipeline

Country: Sri Lanka

National designated authority: Ministry of Environment (MoE), 416/C, Robert Gunawardene Mawatha Battaramula Sri Lanka

Implementing Institution: Global Water Partnership Organisation (GWPO)

Date of first submission: 31 August 2020

Date of current submission / version number 9 November 2021 V.06
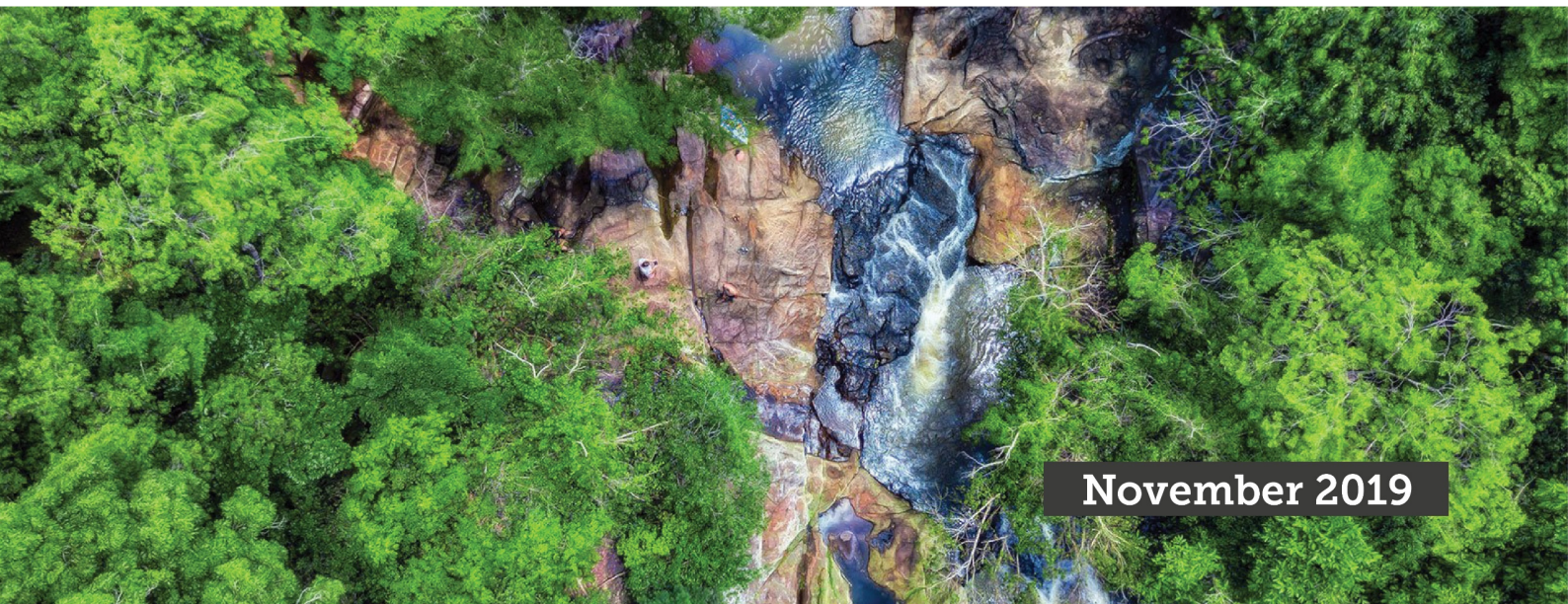
November 2019

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Throughout this document, when answering questions and providing details, please make sure to pay special attention to environmental, social and gender issues, particularly to the situation of vulnerable populations, including women and men. Please be specific about proposed actions to address these issues. Consult Annex IV of the Readiness Guidebook for more information.

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GCF Readiness -[Country]-[yymmdd]

1. SUMMARY

1.1 Country submitting the proposal	Country name:	Sri Lanka
	Name of institution representing NDA or Focal Point:	Ministry of Environment (MoE)
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	Contact person's position:	Secretary
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1.2 Date of initial submission	31 August 2020	
1.3 Last date of resubmission	9 November 2021	**Version number** V.06
1.4 Which institution will implement the Readiness and Preparatory Support project?	☐ National designated authority ☐ Accredited entity ☒ Delivery partner	
	Please provide contact information if the implementing partner is not the NDA/focal point	
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1.5 Title of the Readiness support proposal	Strengthening the capacity of Direct Access Entities (DAEs), NDA and GCF project programming stakeholders in Sri Lanka to access climate finance through enhanced strategic frameworks for stakeholder engagement and a strengthened project pipeline	

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1.6 Type of Readiness support sought	Please select the relevant GCF Readiness objective(s) below (click on the box – please refer to Annex I and II in the Guidebook): ☒ I. Capacity building ☒ II. Strategic frameworks ☐ III. Adaptation planning ☒ IV. Pipeline development ☐ V. Knowledge sharing and learning
1.7 Brief summary of the request	Sri Lanka, an island nation dependent on monsoon-driven rainfall, is one of the most vulnerable countries in the world to climate change. It ranked second in the 2017 Global Climate Risk Index by GermanWatch; in 2018, it ranked sixth. Water is the main driver of climate risk in Sri Lanka. Major impacts include floods, droughts, landslides and erosion-related impacts and sea level rise. Such extreme events are on the increase – where climatic extremes occurred once a decade in the past, they have been occurring almost annually in recent history. The country has already taken significant strides towards building climate resilience through accessing international climate finance, as evidenced by Sri Lanka's two approved GCF projects (FP016 and FP124), a 2017-2020 Adaptation Fund project LKA/MIE/Rural/2011/1, as well as two approved GCF Readiness projects: the 2019 World Agroforestry (ICRAF)-led Readiness and the recently approved Global Green Growth Institute (GGGI)-led National Adaptation Planning (NAP) Readiness. Through these ongoing GCF Readiness efforts in particular, Sri Lanka has been able to establish and operationalize a National Designated Authority (in the Ministry of Environment) and is also currently developing a GCF Country Programme. However, despite these important steps, there are still several key gaps – in capacity and strategic framework – that are inhibiting Sri Lanka from advancing its GCF project pipeline, particularly in taking advantage of the opportunities for adaptation and mitigation provided by water-related entry points. The most prominent of these gaps have been identified during the ICRAF-led 2019 Readiness project and will be addressed during this proposed 2021 Readiness project, which will be supported by the Global Water Partnership Organisation (GWPO) as the Delivery Partner. Prominent capacity, strategic framework, and pipeline gaps that have been identified include: • Limited capacity to support pipeline Direct Access Entities (DAEs) (both nominated and identified) to advance their GCF accreditation and to undertake GCF programming. Without DAE accreditation and without sufficient DAE capacity to prepare Entity Work Programmes, Sri Lanka will be disadvantaged in implementing its Country Programme and advancing its GCF project pipeline. • A nascent GCF project pipeline with limited concept notes to develop into full proposals. While a Country Programme is expected to be completed by January 2021 under the ICRAF-led 2019 Readiness project and 4 concept notes developed, Sri Lanka's GCF project pipeline is still in early stages and additional concept notes will need to be developed, and overall pipeline advanced. • Sri Lanka's GCF programming stakeholders have limited awareness of NDA's new data and information portal. Failure to address gaps that prevent target users from utilizing the data and information portal will perpetuate information-sharing challenges that hinder effective pipeline advancement and project preparation. • Absence of a Climate-Smart Green Growth Strategy for the Lower Watersheds and Coastal Regions will prevent the GGGI-led NAP process from taking holistic, cross-sectoral approaches in the provincial adaptation planning processes in these regions. While the NAP process will utilize the Green Growth Strategy for the Central Highlands under development by the ICRAF-led 2019 Readiness, the process for the Lower Watersheds and
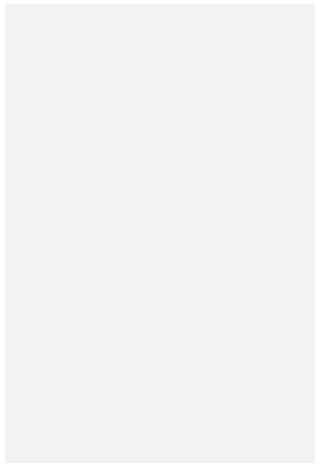
Coastal Regions risks identification of piecemeal sectoral actions for the GCF pipeline, instead of the integrated, transformational, paradigm-shifting projects encouraged by the GCF.

This GWPO-led 2021 Readiness will primarily address these four gaps. This 2021 Readiness project has been developed in close collaboration between the NDA, GWPO and ICRAF, and all outputs have been designed to complement and build on the ICRAF-led 2019 Readiness to fill identified gaps and expand on existing outputs where additional work is expected to greatly strengthen Sri Lanka's readiness. Furthermore, the GWPO-led 2021 Readiness will be implemented in concert with the NAP activities which will be implemented by the GGGI in parallel with the 2021 Readiness activities. The primary beneficiaries of proposed activities under this Request will be the NDA of Sri Lanka, pipeline DAEs who will have access to an established helpdesk as well as relevant line ministries and institutional stakeholders who will benefit from increased awareness and strengthened capacity for GCF project development.

1.8 Total requested amount and currency	USD 813,548	**1.9 Implementation period**	24 months

1.10 Is this request a multiple-year strategic Readiness implementation request?	☐ Yes ☒ No For more information on how a country may be eligible to access Readiness support through this modality, please refer to **Annex IV of the Readiness Guidebook**.

1.11 Complementarity and coherence of existing readiness support	☒ Yes ☐ No GCF Readiness: "Support to NDA and Country Programming in vulnerable upper watersheds of Sri Lanka" (01/07/2019 to 30/06/2020), ICRAF. The proposed GWPO-led 2021 Readiness project will build on the already existing activities and use these as inputs by, *inter alia,* implementing an accreditation support desk to advance direct access, expanding on the Central Highlands Green Growth Strategy to increase coverage across the country, and advancing the existing project pipeline. The NDA and ICRAF have been closely engaged in the development of this proposal. GCF Readiness: "Strengthen Process and Capacity of Implementation of National Adaptation Plan of Sri Lanka" approved, GGGI. The proposed GWPO-led 2021 Readiness will work in close coordination with the GGGI-led NAP activities, which have recently been approved. Particularly relevant will be the proposed National Green Growth Strategy, as GGGI are already planning on using the Central Highlands Green Growth Strategy (developed under ICRAF-led 2019 Readiness) as an input for adaptation planning activities.

2. SITUATION ANALYSIS

CONTEXT

Sri Lanka is one of the most vulnerable countries to climate change and ranked second 'most affected country' in the 2017 Global Climate Risk Index (CRI) by Germanwatch; in 2018, Sri Lanka ranked sixth[1]. The CRI measures quantified impacts of extreme meteorological, hydrological, and climatological events in terms of fatalities as well as economic losses. According to Germanwatch, the highest-ranking countries are the ones most impacted and should consider the CRI as a warning sign of risk of either frequent events and/or rare, extraordinary events.

As an island nation that is dependent on monsoon-driven rainfall, water is the main driver of climate risk in Sri Lanka. Major impacts include floods, droughts, landslides and erosion-related impacts and sea level rise. Such extreme events are on the rise – where climatic extremes occurred once a decade in the past, they have been occurring almost annually in recent history. In some cases, multiple extreme events have occurred within a single year, with significant adverse social and economic impacts. Indeed, the high water-related climate risk is captured by the CRI, which analyzes impacts of tropical and winter storms, severe weather, hail, storm surges, river floods, flash floods, landslide, drought, and others – all of which are water-related. Projected climate change impacts in Sri Lanka include increasing temperatures, changing and less predictable precipitation patterns, increased frequency and severity of extreme events and sea level rise. These changes are expected to affect water security through increased evapotranspiration, elevated water demand for agriculture, reduced groundwater recharge, decreasing availability of drinking water (through *inter alia* evaporative losses and saline intrusion) as well as increasing incidences of flooding and erosion. Cross-sectoral impacts of the above will include *inter alia* reduced agricultural yield, decreasing hydropower generation and increases in vector-borne diseases[2].

With a high rural population over 60% and with over 25% of the population involved in agriculture, the impacts on of climate change on livelihoods and social and economic consequences are immense. Relief response in Sri Lanka averages around US$350M annually; increasing donor fatigue to support relief has significant implications on the recovery of affected communities and on sustaining economic growth. The country sees a climate-risk response less as a relief response issue, and increasingly as a development issue to be internalized within the national development agenda.

Policy Context

National Climate Change Policy of 2012

The National Climate Change Policy guides Sri Lanka's responses to the impacts of climate change. It presents 25 policy statements to cover several relevant areas of climate change in Sri Lanka including: vulnerability, adaptation, mitigation, sustainable consumption and production, knowledge management and general statements concerning institutional coordination, research and development, technology transfer, legal and regulatory framework, market and non-market-based mechanisms and resource mobilization.

National Climate Change Adaptation Strategy (2011-16)

The National Climate Change Adaptation Strategy of Sri Lanka identifies strategic priorities required to be addressed for climate change action. The scope of the strategy is restricted only to adaptation. and covers five strategic thrusts, 25 thematic areas of action and 91 priority adaptation measures. The Five strategic thrusts include a) Mainstream Climate Change Adaptation into National Planning and Development, b) Enable Climate Resilient and Healthy Human Settlements, c) Minimize Climate Change Impacts on Food Security, d) Improve Climate Resilience of Key Economic Drivers, and e) Safeguard Natural Resources and Biodiversity from Climate Change Impacts.

National Adaptation Plan for Climate Change Impacts in Sri Lanka (2016 – 2025)

The National Adaption Plan for Climate Change Impacts in Sri Lanka (NAP) is a rolling plan with a 10-year time horizon, which has divided into three stages *i.e.* a) foundation building stage (2016 -2019); b) development stage (2021 -2022); and c) goal achieving stage. The NAP has prioritized adaptation needs of nine key vulnerable sectors (agriculture, livestock and fisheries, water resources, coastal and marine sector, health, human settlement

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[1] Germanwatch. 2020. Global Climate Risk Index 2020. Available at: https://www.germanwatch.org/en/17307
[2] USAID. 2018. Climate Risk Profile: Sri Lanka. Available at:
https://www.climatelinks.org/sites/default/files/asset/document/Sri%20Lanka_CRP_Final.pdf

and infrastructure, ecosystem and bio-diversity, tourism and recreation, export agriculture sector and industry-energy-transportation) with 10 cross-cutting adaptation needs (policy, legal, economic and governance issues, institutional development and coordination, international cooperation and partnerships, resource mobilization; research and development, technology transfer and standards, building of adaptive capacity of communities, education, training and awareness, climate-induced disaster risk management and climate information management).

Nationally Determined Contribution (NDC) to Paris Agreement

The Nationally Determined Contribution of Sri Lanka to Paris Agreement covers a) mitigation, b) adaptation, c) loss and damage, and d) means of implementation. The adaptation commitments in NDCs are largely based on the adaptation options and actions identified in the NAP process. Therefore, National Adaptation Plan for Climate Change Impacts in Sri Lanka is fully consistent with Sri Lanka's commitments towards global efforts on adaptation.

Other relevant policies

Sri Lanka Comprehensive Disaster Management Programme 2014-2018 (SLCDMP)

The SLCDMP is a policy document, which has a close connection to the NAP. It identifies climate change as a disaster and proposes actions to overcome its' consequences. In addition, other major types of disasters identified by the SLCDMP such as floods, droughts, landslides, high winds/cyclones are also closely associated with extreme weather events. As a result, there are overlapping areas in the SLCDMP and NAP. However, the NAP does not intend to duplicate the SLCDMP. While proposing adaptation actions for extreme events in all sectors, the disaster risk management has been identified separately as a cross–cutting need of adaptation so that all disaster related actions can be coordinated closely with the existing disaster management agencies such as the Ministry of Disaster Management and the Disaster Management Centre.

National Action Programme for Combating the Land Degradation of Sri Lanka 2014 (NAP-CLD)

The NAP-CLD has recognized climate change as a factor that can intensify the degradation of land resources in future (Ministry of Environment and Natural Resources, 2014). It highlighted issues such as soil erosion and landslides in up- and mid-country wet zone (upper watershed) areas as critical issues together with actions to overcome them. These actions can complement the climate change adaptation. Therefore, certain actions in the NAP-CLD and NAP can be jointly implemented through proper coordination.

Coastal Zone Management Plan 2016 (CZMP)

The CZMP has also recognized climate change as a factor that can intensify the degradation of coastal resources in future. Its main concerns include coastal erosion, coastal pollution, and degradation of coastal habitats. The NAP identifies impacts of climate change on the coastal sector and proposes adaptation measures to overcome them. Hence, overlapping areas of the CZMP and NAP are complementary and better results can be achieved through proper coordination.

National Physical Plan 2011-2030 (NPP)

The NPP has identified climate change as a concern that can affect physical development activities of the country. In addition, it covers some aspects of disaster risk management too. However, the major focus of the NPP is development of physical infrastructure facilities and no attention was given to climate adaptation. However, its proposal to conserve central and coastal regions as environmentally sensitive (fragile) areas, complements achieving the objectives of the NAP to a certain degree.

Sri Lanka Water Development Report 2010 (SLWDP)

The SLWDP has identified climate change as a major driver of change in the water resources sector. However, information in the report suggests that there is no current policy, plan or programme in the water sector that specifically cover climate change adaptation. Hence, proposed actions of the NAP would be highly beneficial for addressing adaptation needs in the water sector.

Draft National Agriculture Policy

The presently available draft framework of the National Agriculture Policy for public comments identified 'Assuring food security' and 'Ensuring environment sustainability' as two major pillars of the policy in making. It recognized

'Natural resource management & climate change adaptation' as a key strategic/intervention area that cover soil conservation, water management, agriculture climate forecast and disaster risk reduction. However, the policy is still at the preliminary stage of preparation and the NAP has a comprehensive portfolio of actions under food security and water resources sectors that can complement the objectives of the National Agriculture Policy.

At present the frameworks for water sector operations fall within the ambit of sub-sector laws and regulations with most investment focus driven by agency functional responsibilities. Though over 51 Acts deal with water, there is no comprehensive water policy, formal institutional platform, or backstopping law for the integrated management of water resources. Therefore, the sector remains mainly under state control with little room for private sector intervention other than through service provision. Currently, the allocation and use of water resources is not aligned to the hydrological status of the basins. As a result, water resources are often not allocated appropriately; in particular, this lack of strategic management of resources frequently results in under allocation of water for ecosystems. In Sri Lanka, the institutions and laws relating to land administration still largely govern the management of water resources.

Water as a common thread that runs across Sri Lanka's NDC priorities

Water is a common thread that runs across all the sectors prioritized in Sri Lanka's 2017-2019 Plan for Implementation of Intended Nationally Determined Contributions (INDCs) – for mitigation (energy, transport, industry, forestry, waste management) as well as for adaptation (health, food security, water, irrigation, coastal and marine, biodiversity, urban and human settlements, tourism, and recreation). Water, irrigation, and biodiversity – three priorities under Sri Lanka's NDC-Adaptation – account for 94% of Sri Lanka's developed water resources. Ensuring that these sectors continue to function in a way that the populations, livelihoods, economies, and ecosystems depending on these priority areas are climate resilient necessitates taking advantage of water-related entry points to building wider climate resilience.

Similarly, water is integral to other NDC-Adaptation priority sectors – agriculture (irrigated agriculture, including technology options; conjunctive use of groundwater; inter-basin water transfers; basin-approach to water resources management; and overall integrated approaches to water resources management), energy (in-stream uses such as hydropower generation), waste management (agricultural and domestic waste water management), health (water and health, including sanitation), and coastal/marine (water in relation to riverine and estuarine management). Moreover, Sri Lanka's NDC covers *inter alia* action for preventing saline water intrusion, augmenting water supplies, preparing hazard management plans, protection and conservation of catchment areas, increased piped supply schemes and mobile laboratories for drinking water quality monitoring and for irrigation sub-sector restoration, rehabilitation and improving reservoirs, establishing sediment loads in major rivers, irrigation water productivity improvements at system, on farm levels and incorporating technology options, flood mitigation measures, development of water resources management plans and strategies. Implementing these priority actions in a manner that advances development priorities while building climate resilience requires taking an *integrated approach*.

Integrated Water Resources Management: a suitable framework for addressing wider, cross-sectoral opportunities for building resilience in Sri Lanka's populations, their livelihoods and economies, and ecosystems – as demonstrated in Sri Lanka's early GCF programming

With water as the primary driver of adverse climate impacts in Sri Lanka, Integrated Water Resources Management (IWRM) provides a suitable framework for addressing existing and projected climate change risks. Concomitant supply augmentation and demand management of water supported in the context of climate change is now a priority. Furthermore, integrated catchment management that advocates the use of nature-based solutions will reduce the impacts of both floods and droughts, while also minimizing impacts from erosion. Importantly, Sri Lanka's NDC-Adaptation notes that, within the outlined priority sectors, "adaptation initiatives that derive mitigation co-benefits will be prioritized." An IWRM approach offers significant opportunities for mitigation– through both sequestration and avoidance of emissions. While Sri Lanka only contributes ~0.07% of global annual emissions[3], the nation is committed to upholding its mitigation commitments as outlined in the NDC.

Sri Lanka already employs integrated, catchment-based approaches for effectively building resilience and avoiding maladaptive consequences, as reflected in its ongoing climate resilience projects:

- GCF FP016, focused on strengthening the resilience of smallholder farmers via integrated water resources management in the Dry Zone

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[3] Our world in data. 2018. Available at: https://ourworldindata.org/co2/country/sri-lanka?country=~LKA. Accessed on 26.10.2020

- GCF FP124, focused on strengthening resilience of subsistence farmers and plantation communities in vulnerable river basins and watershed areas downstream of the Knuckles Mountain Range
- Adaptation Fund Project LKA/MIE/Rural/2011/1, focused on addressing climate change impacts on marginalized agricultural communities in the Mahaweli River Basin
- 2019 GCF Readiness (Delivery Partner: ICRAF), which includes development of a strategic Green Growth Strategy for Sri Lanka's Central Highlands, which is the country's water towers
- GCF pipeline project, focused on the rehabilitation of cascade tank systems to mitigate prolonged droughts in the Dry Zone

PROBLEM STATEMENT

The proposed readiness request will address the problem of Sri Lanka having limited capacity to access the climate finance that is urgently required to develop country-wide climate resilience, particularly via water-related entry points. This proposed readiness request will build on the aforementioned existing initiatives that have developed a strong baseline for planning and continuous engagement with the GCF and other sources of climate finance, in particular, to help develop and advance Sri Lanka's GCF project pipeline.

BARRIER ANALYSIS

Several barriers prevent Sri Lanka from developing and advancing its GCF project pipeline to take advantage of opportunities provided by water-related entry points to build wider climate resilience.

While water provides a valuable entry-point to build coordinated, cross-sectoral, wide-reaching climate resilience in ways that are coherent with Sri Lanka's national objectives, the opportunities to access climate finance via the water-entry-point are far from sufficiently tapped in Sri Lanka. Several existing barriers prevent Sri Lanka from taking advantage of these opportunities:

1. **The possibility of Direct Access to the GCF is not advancing at the rate needed to effectively implement Sri Lanka's Country Programme and develop its GCF project pipeline.** Given the tremendous needs to systematically build resilience in this highly climate-vulnerable island nation, and the expectation that the country's first GCF Country Programme will be finalized in 2021, it is important that direct access accreditation and programming capacity are urgently enabled, so that fit-for-purpose DAEs may be available to develop priority project ideas, access GCF resources, and eventually implement these projects.

    1.1. **Sri Lanka does not yet have an accredited GCF Direct Access Entity (DAE) and pipeline DAEs require accreditation support from NDA.** While Sri Lanka has identified a number of potential DAEs, these are at very early stages of GCF accreditation (5 nominated to the GCF, and a further 3 are identified but not yet nominated). Potential DAEs in Sri Lanka do not have access to a dedicated supporting resource to assist them with advancing their accreditation process. All of Sri Lanka's currently nominated DAEs are banks (Development Finance Corporation of Ceylon Bank, or DFCC; National Development Bank PLC, or NDB; Housing Development Finance Corporation Bank, or HDFC; Hatton National Bank, or HNB; Commercial Bank of Ceylon PLC) – they are challenged to fulfill important GCF policy level requirements for accreditation such as to have in place an Environmental and Social Safeguards Standards and a Gender Policy. Sri Lanka's NDA observes that these unfulfilled policy level requirements, and corresponding lacking capacity to implement such policies (when eventually put in place), act as a barrier to advancing GCF accreditation of these entities.

    Additionally, at least three organizations have also expressed interest in potentially applying for GCF DAE accreditation (Department of Irrigation, Industrial Service Bureau, Sri Lanka Carbon Fund); however these entities have not yet been nominated officially by the NDA or applied for an OAS account, so they are still further upstream in a potential accreditation process. The ICRAF-supported 2019 Readiness has conducted a capacity assessment for seven pipeline DAEs (five nominated banks, the Irrigation Department, and the Industrial Services Bureau), and is supporting development of corresponding accreditation action plans. However, in the absence of a dedicated resource at the NDA to support development of necessary policies like Environmental and Social Safeguards Standards and Gender Policy, the timely operationalization of these accreditation action plans appears remains challenging.

    While the NDA (in discussion with the GWPO and the GCF regional desk) has weighed the option of providing dedicated consultancy support to one or more priority potential DAEs (that would be suited to the priority projects in its Country Programme), the NDA deems this option as not feasible. All pipeline DAE entities (nominated, and those that have expressed interest but not officially nominated to the

GCF) have been invited by the NDA to apply for DAE accreditation, in the context of encouraging national banks as well as other NGOs and   parastatals to engage in climate action; prioritizing one or more of these entities (over others) at this stage to provide accreditation support would not be welcomed by these stakeholders. Therefore the NDA seeks an accreditation support option that would continue to provide a level playing field in terms of availability of accreditation support, and address requests for accreditation support (demand-driven), rather than for the NDA to ex-ante prioritize one or more pipeline DAEs to support (supply-driven).

1.2. **Sri Lanka's pipeline DAEs have limited GCF programming capacity and weak enabling environment, specifically to take forward GCF-fundable project ideas prioritized in Sri Lanka's GCF Country Programme to concept notes and further to full project proposals.** Completion of GCF accreditation of these entities will likely not immediately translate to quick development of their Entity Work Programmes, which are essential for the systematic implementation of the GCF Country Programme. Sri Lanka's ICRAF-led 2019 Readiness is supporting capacity assessments of pipeline DAEs, followed by development of corresponding capacity building plans for governance, financial management, and project supervision capabilities. In tandem with accelerating accreditation, focused support for developing programming capacity must be provided. This includes overcoming gaps in capacity of the NDA, pipeline DAEs, and other project development stakeholders to engage in the GCF programming process in Sri Lanka, as spelled out by the Stakeholder Engagement Strategy developed under the 2019 ICRAF-led Readiness.

2. **Sri Lanka's GCF project pipeline is in nascent stages and has limited concept notes to develop into full proposals.** Sri Lanka lacks a pipeline of GCF-supportable project concept notes and PPF requests that could be developed into full GCF funding proposals by its pipeline DAEs (once they complete GCF accreditation). Sri Lanka's ICRAF-led 2019 Readiness is in the process of developing four concept notes for priority projects in its GCF Country Programme. ICRAF commits to a first submission of these concept notes to the GCF (not GCF 'approval' of these concept notes), as well as development of four associated action plans for taking the concept notes forward. As such, some of these Concept Notes may require additional work to be approved by the GCF, in particular, with support from more detailed pre-feasibility studies. Beyond these first four priority projects, new additional concept notes for priority project ideas in the Country Programme will need to be developed to advance Sri Lanka's GCF project pipeline.

3. **Data and information availability-related challenges continue to hinder effectiveness and efficiency of pipeline advancement and project development.** Sri Lanka's GCF programming stakeholders are its line ministries (potential project proponents), provincial sectoral departments, research, and academia (data providers and analysts), pipeline Direct Access Entities and International Accredited Entities that are already developing and implementing GCF projects in the country. These stakeholders have limited awareness of NDA's new data and information portal, newly developed by the ICRAF-led 2019 Readiness. While ICRAF will develop the data and information platform and conduct 1 training workshop for NDA staff on M&E and information dashboard platform management, the NDA has recognized that the data platform is meant to collate all climate-related data from different local and international institutions, which, in the absence of outreach or training by ICRAF, neither have sufficient understanding and technical capacity to digitize and upload relevant content to the existing data platform, nor have the know-how to access and utilize this web-based dashboard to monitor the status of GCF pipeline project proposals and concept notes and their various defining parameters such as emissions potential, number of beneficiaries, areas of ecosystems potentially restored, among others. Failure to address gaps that prevent target users from utilizing the data and information portal will perpetuate information-sharing challenges that hinder effective pipeline advancement and project preparation. Further, the financial sustainability of the data and informational portal, which requires regular operation and maintenance fees (including web hosting charges) needs to be enabled.

4. **No clear country-wide strategic framework exists that comprehensively addresses the opportunities for building resilience in Sri Lanka's economy, populations, livelihoods, and ecosystems.** Sri Lanka's ICRAF-led 2019 Readiness support is building a strategic framework for Sri Lanka's Central Highlands (in the form of a Climate-Smart Green Growth Strategy for the Central Highlands), given the importance of managing the vital country's water towers in a way that is both climate-resilient and contributes to wider climate resilience. No such strategic framework exists for other geographic areas outside the Central Highlands – namely the lower watersheds, the dry lands, and the coastal zones. These regions host the majority of Sri Lanka's urban populations, agriculture, and industry (which account for a significant portion of the country's consumptive use of water), and also host major infrastructure – all of which are at major risk to

climate change, including among other aspects, due to direct exposure to the oceanic impacts of climate change. There is a clear need for a Climate-Smart Green Growth Strategy for these otherwise uncovered regions where the country has major developmental priorities, and where climate resilience considerations need to be mainstreamed into developmental planning in a manner that is coherent with that of the upper watersheds in the Central Highlands.

It is urgent, in particular, that this gap be addressed now given the recent approval of the GGGI-led 42-month GCF Readiness proposal for strengthening the process and capacity for implementing Sri Lanka's NAP. Among other items, the GGGI-led NAP proposal aims to:

- Develop prioritization methodology for adaptation actions and projects;
- Identify adaptation solutions that address barriers to overcoming climate vulnerabilities; and
- Prepare adaptation strategies for all sectors and Provinces

The GGGI-led NAP proposal proposes to do so using an integrated approach that includes cross-cutting interventions that impact across multiple strategic thrusts and sectors in the economy. Recognizing the scale and significance of potential climate change impacts, the GGGI-led NAP proposal emphasizes the need to consider climate change adaptation from the early stages of development planning through the implementation of major projects and programmes. In this context, the NDA deems that a Climate-Smart Green Growth Strategy for the Lower Watersheds (including the Dry Lands) and the Coastal Zones is a critical missing input (to complement the Green Growth Strategy for the Central Highlands that the ICRAF-led 2019 Readiness proposal is developing), particularly for a number of activities contributing to the GGGI-led NAP proposal's "Sub-Outcome 2.1: National policy documents and sectoral development plans, as well as supporting legal frameworks, identified and strengthened to facilitate integration of adaptation measures and to promote an integrated approach to adaptation planning including periodic reviews". These NAP activities are scheduled to begin implementation in Q3 of the GGGI project implementation (planned to start in 2021), going all the way to Q14 (per workplan in approved proposal). It must be noted that the GGGI-led NAP proposal has recently been approved, and the project has not started implementation at the time of this proposal's submission.

ADDRESSING KEY BARRIERS VIA 2021 GCF READINESS

This proposal outlines several urgent sets of interventions to overcome these barriers, as described in the narrative description of Section 4 Theory of Change. These interventions are implemented via specific activities designed to collectively improve the country's readiness capacity to access climate finance by enabling it to develop and advance its GCF project pipeline. As summarized in the table below (which references the above-described Barrier Analysis and Section 3 Logical Framework), this proposal will result in **seven outputs** that contribute to **four GCF Readiness Outcomes** and further to **three GCF Readiness Objectives**.

GCF Readiness Objectives	GCF Readiness Outcomes	Barriers Addressed	2021 Readiness Outputs
Objective 1. Capacity Building GCF recipient countries and relevant stakeholders set up adequate systems that enable them to fulfill their roles and responsibilities towards the GCF and enhance their ability to achieve their objectives	Outcome 1.2. Direct access applicants and DAEs have established capacity to meet and maintain GCF's accreditation standards; and accredited DAEs have the capacity to develop a pipeline of projects and effectively implement GCF-funded activities	1.1 Sri Lanka does not yet have an accredited DAE, and pipeline DAEs require accreditation support from the NDA	Output 1.2.1: Direct Access Accreditation Support Helpdesk established within the NDA
		1.2 Pipeline DAEs do not yet have the capacity and enabling environment to effectively programme climate finance in Sri Lanka	Output 1.2.2: Project development working group (coordinated by NDA) established for DAEs to engage with potential project proponents and executing entities for ideation and development of potential GCF projects – including projects targeting the GCF Private Sector Facility (PSF)
	Outcome 1.3. Relevant country stakeholders have established	1.2 Pipeline DAEs do not yet have the capacity and enabling	Output 1.3.1: Strengthened and operationalized Stakeholder

		adequate capacity, systems, and networks to support the planning, programming, and implementation of GCF-funded activities	environment to effectively programme climate finance in Sri Lanka	Engagement Strategy, based on a gap and capacity assessment, including specifically gender and other social inclusion considerations (e.g., indigenous peoples and social monitories)
			3. Data and information availability-related challenges continue to hinder effectiveness and efficiency of pipeline advancement and project development.	Output 1.3.2: The NDA data and information portal, developed by the 2019 ICRAF-led Readiness, is fully operational
Objective 2. Strategic Frameworks GCF recipient countries develop robust strategic frameworks to guide GCF investment in complementarity other climate financiers	Outcome 2.2. GCF recipient countries have developed or enhanced strategic frameworks to address policy gaps, improve sectoral expertise, and enhance enabling environments for GCF programming in low-emission investment		4. No clear country-wide strategic framework exists that comprehensively addresses the opportunities for building resilience in Sri Lanka's economy, populations, livelihoods, and ecosystems.	Output 2.2.1: An NDA-validated nation-wide Climate-Smart Green Growth Strategy[4]
Objective 4. Pipeline Development Emanating from strategic frameworks and entity work programmes, a transformational pipeline developed of quality concept notes and funding proposals, including LDCs, SIDS and African states, and direct access accredited entities	Outcome 4.1. An increase in the number of quality project concept notes developed and submitted		2. Sri Lanka's GCF project pipeline is in nascent stages and has limited concept notes to develop into full proposals.	Output 4.1.1: Pipeline Development Plan in place for priority project ideas identified under the Country Programme (developed during the ICRAF-led 2019 Readiness). Pipeline Development Plan accessible to Sri Lanka's GCF programming stakeholders via NDA's data and information portal
				Output 4.1.2: 3 new GCF concept notes validated and finalized for submission to GCF[5] [6]

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[4] The Climate-Smart Green Growth Strategy will take a national outlook to systematically address priorities of lower watersheds and coastal regions (in addition to those of Central Highlands), specifically around integrated approaches to water management for climate resilience and will be informed by project structuring requirements for integrated, transformative GCF projects (e.g. taking into account GCF investment criteria and climate rationale requirements).

[5] Concept notes will focus specifically on lower watersheds and coastal regions, that use integrated approaches to water management for climate resilience (irrigation and agriculture, biodiversity and ecosystem services, energy, waste management, health, or coastal zone management).

[6] Note: these concept notes are separate from those prepared by ICRAF.

3. LOGICAL FRAMEWORK

Outcomes	Baseline[7]	Targets	Outputs	Activities (brief description)	Deliverables[8]
Outcome 1.2: Direct access applicants and accredited entities (DAEs) have established capacity to meet and maintain the GCF's accreditation standards; and accredited DAEs have the capacity to develop a pipeline of projects and effectively implement GCF-funded activities	Sri Lanka does not yet have an accredited DAE. Pipeline DAEs (nominated or those that have expressed interest) in Sri Lanka have limited capacity to meet and maintain GCF Accreditation Standards.	Pipeline DAEs have strengthened capacity to meet GCF Accreditation Standards through direct support from an NDA helpdesk and access to a project development working group for engagement with project proponents and relevant stakeholders. Indicators/Targets: • Establishment of Direct Access Accreditation Support Helpdesk • At least 3 pipeline DAEs supported in their	Output 1.2.1: Direct Access Accreditation Support Helpdesk established within the NDA	Activity 1.2.1.a: Undertake a Direct Access Accreditation Needs Assessment of pipeline DAEs, to identify priority needs and preferred methods of engagement for support to be provided through the proposed helpdesk, via: i) A barrier analysis workshop attended by all pipeline DAEs – to identify barriers, assess gaps and needs for advancing direct access accreditation ii) Follow up direct engagement with individual pipeline DAEs to further inform helpdesk design features	Deliverable 1.2.1.a: i) Accreditation Barrier Analysis Workshop Report ii) Direct Access Accreditation Needs Assessment Report & Proposed Helpdesk Concept Note
				Activity 1.2.1.b: Establish and staff a Direct Access Accreditation Support Helpdesk within the NDA (including IT Equipment provisioning), based on findings in Deliverables 1.2.1.a, by: i) Developing TORs for Helpdesk staff and recruiting personnel	Deliverable 1.2.1.b: Relevant documentation indicating the establishment of a Direct Access Accreditation Support Helpdesk, including: i) TORs for Direct Access Accreditation Support Helpdesk staff; personnel recruited ii) Training material for Helpdesk staff iii) Pre– and post-training survey results

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[7] Please briefly elaborate on current baselines on which the proposed activities can be built on, processes that are in place that the current Readiness proposal can strengthen, or any gaps that the proposed activities would fill in. If more space is needed, please elaborate this in Section 4.

[8] Please include tangible and specific deliverables for each activity proposed, Please note that during implementation all deliverables should be included within the implementation reports for GCF consideration.

| | | accreditation process
• Identification and establishment of a project development working group for future DAE engagement with project proponents, executing | | ii) Developing training material for relevant Helpdesk staff
iii) Conducting training for relevant Helpdesk staff
iv) Developing a Helpdesk service manual
v) Developing a first annual Helpdesk workplan; and
vi) Developing a Sustainable Financing Plan for Helpdesk, to enable its functioning for the period needed by Sri Lanka's NDA and its direct access stakeholders | iv) Helpdesk service manual that outlines Standard Operating Procedures for engaging with pipeline DAEs
v) First annual Helpdesk workplan
vi) Sustainable Financing Plan for Helpdesk

(all translated to Sinhalese and Tamil) |

| | | entities, project stakeholders

Means of Verification:

- Existence of Direct Access Accreditation Support Helpdesk
- Service manual for Direct Access Accreditation Support Helpdesk
- Sustainable Financing Plan for Helpdesk
- Validated TORs for project development working group; working group members list and initial workplan; first meeting minutes | **Output 1.2.2.**

Project development working group (coordinated by NDA) established for DAEs to engage with potential project proponents and executing entities for ideation and development of potential GCF projects – including projects targeting the GCF Private Sector Facility (PSF) | **Activity 1.2.2:**
Establish a project development working group via the following series of steps:

i) Develop training material and conduct a training workshop to introduce pipeline DAEs to potential opportunities for GCF programming and projects (including potential PSF projects), including project technical and financial structuring options, in lower watersheds and coastal regions, specifically around integrated approaches to water management for climate resilient irrigation and agriculture, biodiversity and ecosystem services, energy, waste management, health, and coastal zone management.

ii) Conduct a project development stakeholder engagement workshop to develop shared understanding of main roles & responsibilities in the GCF project development cycle (priority ideas to concept note to funding proposal), and identify corresponding entities that are mandated and interested to undertake those roles in Sri Lanka | **Deliverable 1.2.2.a:**

i) Training material that introduces pipeline DAEs to potential opportunities for GCF programming and projects (including potential PSF projects), including project technical and financial structuring options, in lower watersheds and coastal regions, specifically around integrated approaches to water management for climate resilient irrigation and agriculture, biodiversity and ecosystem services, energy, waste management, health, and coastal zone management
ii) A training workshop report on GCF programming opportunities and project technical and financial structuring, including pre – and – post workshop capacity assessment surveys
(all translated to Sinhalese and Tamil)

Deliverable 1.2.2.b:

A project development stakeholder workshop report that maps agreed roles of different stakeholders for advancing priority project ideas to GCF project concept note submission, and further to full proposal (translated to Sinhalese and Tamil) |

				iii) Develop TORs for multi-stakeholder project development working group including relevant project proponents and executing entities. Validate TORs by participants of above project development stakeholder workshop. Develop working group members list, initial workplan (linked to Pipeline Development Plan in Output 4.1.1). Conduct first working group meeting.	Deliverable 1.2.2.c: Relevant documentation indicating the establishment and functioning of a project development working group: • Working group TORs (endorsed by project development stakeholder workshop participants) • Members list • Initial workplan • Minutes of first meeting
Outcome 1.3: Relevant country stakeholders (including executing entities, civil society organizations, and private sector) have established adequate capacity, systems, and networks to support the planning,	Sri Lanka has a Stakeholder Engagement Strategy for GCF-related activities and an online information platform (both developed by 2019 ICRAF-led Readiness); however, neither of these are fully operational as stakeholders do not have adequate	GCF programming stakeholders in Sri Lanka have strengthened capacity to engage in GCF project development and programming process as outlined in Sri Lanka's Stakeholder Engagement Strategy, while they are utilizing the online information	Output 1.3.1: Strengthened and operationalized Stakeholder Engagement Strategy, based on a gap and capacity assessment, including specifically gender and other social inclusion considerations (e.g. indigenous peoples and social minorities)	Activity 1.3.1.a: Via targeted focus groups and surveys, assess capacity of NDA, executing entities, civil society organizations, NGOs and private sector, and marginalized groups (incl. women, indigenous groups, social minorities etc.) for effectively engaging in GCF programming (at different stages of the project development cycle) as specified in the 'Stakeholder Engagement Strategy for GCF-related Activities in Sri Lanka', and propose actions to address any gaps. Ensure engagement of, and address concerns of, women and other vulnerable groups.	Deliverable 1.3.1.a: i) Focus group/survey questionnaires ii) Report and action plan: 'Effectively engaging executing entities, CSOs, NGOs, the private sector, and marginalized groups in programming and project development for the GCF per Sri Lanka's Stakeholder Engagement Strategy – an assessment of capacity gaps of NDA and stakeholders, and a stakeholder engagement capacity strengthening action plan' (translated to Sinhalese and Tamil)

programming, and implementation of GCF-funded activities	understanding or capacity to undertake their roles defined in the Stakeholder Engagement Strategy or to utilize the online information platform for GCF programming.	platform by both uploading data and information relevant to climate change and utilizing it for GCF project development and programming.		Activity 1.3.1.b: Implement 2 capacity building workshops (1 for the NDA, 1 for other stakeholders) - per the recommendations of the stakeholder engagement capacity strengthening action plan in Deliverable 1.3.1. a.	Deliverable 1.3.1b: 2 capacity building workshop reports, including completed pre-and post-workshop capacity surveys
		Indicators/Targets: • Strengthened effectiveness of NDA's engagement with GCF programming stakeholders • Use of data and information portal Means of Verification: • GCF programming stakeholder engagement surveys, including marginalized groups / gender dimensions (baseline & project progress) • Data portal usage statistics	Output 1.3.2: The NDA data and information portal, developed by the 2019 ICRAF-led Readiness, is fully operational	Activity 1.3.2.a: Operationalize the data and information portal managed by the NDA (developed by ICRAF-led 2019 Readiness) by: i) continuing to provide web hosting support ii) supporting line Ministries, Provincial Councils, and relevant entities to digitize and upload relevant information to the portal.	Deliverable 1.3.2.a: Report on the functionality and usage statistics of the climate information portal

| | | • Data portal assessment: user evaluation, O&M needs action plan, sustainability strategy | | Activity 1.3.2.b:

Conduct an early assessment of data and information portal established under the ICRAF-led 2019 Readiness, including O&M needs, technical and financial sustainability, value-to-user. Capture lessons from all target users including all GCF programming stakeholders (NDA, DAE, International Accredited Entities (IAEs), Delivery Partners, Executing Entities, project sponsors, private sector, CSOs, NGOs, etc.). Propose steps to strengthen data and information portal focused on creating value for target users (including integrating Pipeline Development Plan in Output 4.1.1). | Deliverable 1.3.2.b:

Data and information portal assessment report:

• Capturing inputs of key GCF programming stakeholders in country (across all levels) on how fit-for-purpose the data and information portal is;
• recommending any needed updates and concrete steps for improvement;
• outlining O&M action plan for the portal; and
• outlining a technical and financial sustainability strategy for the portal.

(translated to Sinhalese and Tamil) |
| Outcome 2.2:

GCF recipient countries have developed or enhanced strategic frameworks to address policy gaps, improve sectoral expertise, and enhance enabling environments for GCF programming in | No strategic framework exists for addressing priorities of lower watersheds and coastal regions, specifically around integrated approaches to water management for climate resilience. A Green Growth Strategy for the Central | A Climate-Smart Green Growth Strategy for Sri Lanka's Lower Watersheds and Coastal Regions developed (in synergy with GGGI-led NAP process of developing provincial adaptation plans) - to systematically address priorities of lower watersheds and coastal regions, | Output 2.2.1:

An NDA-validated nation-wide Climate-Smart Green Growth Strategy | Activity 2.2.1.a:

Develop a Climate-Smart Green Growth Strategy for the Lower Watersheds and Coastal Regions of Sri Lanka by:

i) Developing training material and training all relevant stakeholders on GCF financial structuring to enhance the strategic engagement with GCF as a climate financier for future implementation of the Climate-Smart Green Growth Strategy as a way of advancing Sri Lanka's Pipeline Development Plan (Output 4.1.1); | Deliverable 2.2.1.a.1:

Training material on GCF project financial structuring – with the aim of enabling participants to understand the links between implementation of Sri Lanka's Climate-Smart Green Growth Strategy and its Pipeline Development Plan (Output 4.1.1), *for example, by highlighting the need to establish a strong climate rationale* (translated to Sinhalese and Tamil)

Deliverable 2.2.1.a.2:

GCF investment project financial structuring training workshop report, including pre – and – post workshop capacity assessment surveys (translated to Sinhalese and Tamil) |

| low-emission investment | Highlands is being developed by ICRAF-led 2019 Readiness, along with a GCF Country Programme for Sri Lanka. | specifically to enable advancement of GCF pipeline related to integrated approaches to managing water for climate resilience.

Indicators/Targets:
• Climate-Smart Green Growth Strategy exists for all geographic areas in Sri Lanka
• Awareness raised on financial structuring for integrated, transformative GCF projects (linked to Green Growth Strategy)

Means of Verification:
• Nation-wide Climate-Smart Green Growth Strategy
• Workshop reports
• Workshop participant | | ii) engaging in a national-level Green Growth Strategy vision setting exercise to align stakeholders and allow for participatory design inputs to the Climate-Smart Green Growth Strategy;
iii) developing scenarios for a climate-resilient and sustainable Sri Lanka;
iv) developing the Green Growth Strategy for Lower Watersheds and Coastal Regions using inputs from the newly trained and capacitated stakeholders who have been engaged in inputs i) and ii) above, as well as the scenarios developed under point iii) above. | Deliverable 2.2.1.a.3:
A national-level Green Growth Strategy vision workshop report (translated to Sinhalese and Tamil)

Deliverable 2.2.1.a.4:
Report on possible future climate change impacts and potential climate-resilient and sustainable green growth pathways for Sri Lanka

Deliverable 2.2.1.a.5:
3 successive Green Growth Strategy development workshop reports.

Deliverable 2.2.1.a.6:
A Climate-Smart Green Growth Strategy (translated to Sinhalese and Tamil) for Lower Watersheds and Coastal Regions of Sri Lanka validated by the NDA. |
| | | | | Activity 2.2.1.b:
Develop a brief synthesis, and a 4-page policy brief, that consolidates the Climate-Smart Green Growth Strategies for the Lower Watersheds & Coastal Regions, and for the Central Highlands (developed by ICRAF-led 2019 Readiness) to provide a succinct nation-wide outlook for climate-resilient green growth | Deliverable 2.2.1.b.1:
Synthesis climate-smart green growth strategy brief for Sri Lanka (including Central Highlands, Lower Watersheds, Coastal Regions) validated by NDA (translated to Sinhalese and Tamil)

Deliverable 2.2.1.b.2:
4-page policy brief of Deliverable 2.2.1.b.1 (translated to Sinhalese and Tamil) |

		surveys (before and after workshop)			
Outcome 4.1 An increase in the number of quality project concept notes developed and submitted	Existing Country Programme without a pipeline development plan Four Concept Notes currently being developed by the ICRAF-led 2019 Readiness.	Pipeline development plan to guide proposal development and submission 3 new/additional GCF project concept notes from GCF Country Programme developed. Indicators/Targets: • Pipeline Development Plan exists to guide proposal development and submission to GCF • Three concept notes including all supporting annexes (pre-feasibility studies, ESS screening, gender analyses)	Output 4.1.1: Pipeline Development Plan in place for priority project ideas identified under the Country Programme (developed during the ICRAF-led 2019 Readiness). Pipeline Development Plan accessible to Sri Lanka's GCF programming stakeholders via NDA's data and information portal	Activity 4.1.1: Undertake a multi-stakeholder consultative process to develop a Pipeline Development Plan detailing the schedule for development of project ideas currently in Sri Lanka's Country Programme and for their submission to GCF – including steps required to identify suitable AEs (direct and international), obtain financing for project development, and indicative submission years for concept notes and full funding proposals. Integrate Pipeline Development Plan into NDA Operations Manual and NDA's data and information portal (Output 1.3.2).	Deliverable 4.1.1: Pipeline Development Plan for GCF project ideas to be submitted until 2023, and indicative plan for 2024-2026 – both integrated into NDA Operations Manual and NDA's data and information portal.
			Output 4.1.2: 3 new GCF concept notes validated and finalized for submission to GCF[9] [10]	Activity 4.1.2.a: With the engagement of project development working group (Output 1.2.2), including NDA and AEs, identify 3 new project ideas from the Pipeline Development Plan to be developed into GCF Concept Notes, matching with Accredited Entities to support the submission and project development (ideally DAEs in Sri Lanka, but IAEs may be	Deliverable 4.1.2.a: Stakeholder meetings and 3 new project idea notes

[9] Concept notes will focus specifically on lower watersheds and coastal regions, that use integrated approaches to water management for climate resilience (irrigation and agriculture, biodiversity and ecosystem services, energy, waste management, health, or coastal zone management)
[10] Note: These concept notes are separate from those prepared by ICRAF.

		submitted by NDA to GCF Means of Verification: • Pipeline Development Plan integrated into NDA Operations Manual (as a supplement to GCF Country Programme) • NDA data & information portal • GCF concept note submission records		approached if no DAE is available)	
				Activity 4.1.2.b: Hold three project development inception workshops to obtain input into the project ideas and outline implementation arrangements, initiate inception field missions in coordination with AEs	Deliverable 4.1.2.b: 3 project inception workshops (one per project idea)
				Activity 4.1.2.c: Prepare pre-feasibility studies, including environmental and social risk screening and preliminary gender analyses for 3 Concept Notes	Deliverable 4.1.2.c: Pre-feasibility studies, ESS screening reports, gender analyses, and any additional annexes for the selected Concept Notes
				Activity 4.1.2.d: Draft 3 Concept Notes (to be drafted by consultants remotely post the field mission and shared amongst all key stakeholders)	Deliverable 4.1.2.d: 3 Draft Concept Notes
				Activity 4.1.2.e: Organize a validation workshop for each of the 3 Concept Notes and revise these Concept Notes based on feedback received.	Deliverable 4.1.2.e: 3 validated concept notes finalized for NDA to submit to GCF

4. THEORY OF CHANGE

IF Sri Lanka is able to build on existing, foundational initiatives to strengthen its GCF Readiness**THEN** the country will be able to access climate finance to address it urgently needs to build climate resilience, particularly through opportunities related to water management and development **BECAUSE** it will have a comprehensive nation-wide Green Growth Strategy, an advanced project pipeline, and a strengthened enabling environment for Direct Access

Strengthen the capacity of Sri Lanka's NDA and other stakeholder to engage collaboratively on GCF programming and develop a strong, inclusive pipeline of GCF projects for the entire country

OUTCOMES

Outcome 1.2
Direct access applicants and accredited entities (DAEs) have established capacity to meet and maintain the GCF's accreditation standards; and accredited DAEs have the capacity to develop a pipeline of projects and effectively implement GCF-funded activities

Outcome 1.3
Relevant country stakeholders (including executing entities, civil society organizations, and private sector) have established adequate capacity, systems and networks to support the planning, programming and implementation of GCF-funded activities

Outcome 2.2
GCF recipient countries have developed or enhanced strategic frameworks to address policy gaps, improve sectoral expertise, and enhance enabling environments for GCF programming in low-emission investment

Outcome 4.1
An increase in the number of quality project concept notes developed and submitted

OUTPUTS

Output 1.2.1:
Direct Access Accreditation Support Helpdesk established within the NDA

Output 1.2.2.
Project development working group (coordinated by NDA) established for DAEs to engage with potential project proponents and executing entities for ideation and development of potential GCF projects – including projects targeting the GCF Private Sector Facility (PSF)

Output 1.3.1:
Operationalized Stakeholder Engagement Strategy, based on a gap and capacity assessment, including specifically gender and other social inclusion considerations (e.g. indigenous peoples and social minorities)

Output 1.3.2:
The NDA data and information portal, developed by the 2019 ICRAF-led Readiness, is fully operational

Output 2.2.1:
An NDA-validated nation-wide Climate-Smart Green Growth Strategy

Output 4.1.1:
Pipeline Development Plan in place for priority project ideas identified under the Country Programme (developed during the ICRAF-led 2019 Readiness). Pipeline Development Plan accessible to Sri Lanka's GCF programming stakeholders via NDA's data and information portal.

Output 4.1.2:
3 new GCF concept notes validated and finalized for submission to GCF

INPUTS

Consultants & GWPO Technical Specialist time
Capacity assessments of existing pipeline DAES

Consultants & GWPO Technical Specialist time
Stakeholder engagement strategy, developed under ICRAF-led 2019 readiness
Existing data and information platform

Consultants & GWPO Technical Specialist time
Existing Climate-Smart Green Growth Strategy for the Central Highlands region

Consultants & GWPO Technical Specialist time
Country Programme, developed under ICRAF-led 2019 Readiness

ASSUMPTIONS

· Hands–on training will build long term capacity
· Processes, manuals and guidelines will be used beyond project closure

· Key stakeholders in Sri Lanka will be willing to engage in enhancing Readiness
· NDA will ensure government ownership and sustainability of operational mechanisms developed

· Project concept notes are taken forward as full funding proposals

BARRIERS

· No clear country-wide strategic framework exists that comprehensively addresses the opportunities for building resilience in Sri Lanka's economy, populations, livelihoods, and ecosystems.
· Stakeholder engagement around GCF programming limited and not systematic - 2020 GCF Country Programme and 2020 Stakeholder Engagement Strategy need to be operationalized.
· NDA has limited capacity for engaging with in-country GCF project development stakeholders including the private sector.
· Sri Lanka's pipeline DAEs have limited GCF programming capacity; this need has not been addressed by past Readiness support.
· NDA has limited human resources (time and capacity) to support pipeline DAEs to advance along the GCF accreditation process
· Sri Lanka has a very limited pipeline of GCF-supportable project concept notes and PPF proposals.

RISKS

· Political instability
· COVID 19 ramifications
· Inability to identify suitable AEs to submit concept notes
· Delay in outputs from ICRAF-led 2019 Readiness project
· Lack of capacity to take a gender-mainstreamed approach across project interventions

GOAL

Strengthen the capacity of Sri Lanka's NDA and other stakeholder to engage collaboratively on GCF programming and develop a strong, inclusive pipeline of GCF projects for the entire country

GOAL STATEMENT

IF Sri Lanka is able to build on existing, foundational initiatives to strengthen its GCF Readiness **THEN** the country will be able to access climate finance to address it urgently needs to build climate resilience, particularly through opportunities related to water management and development **BECAUSE** it will have a comprehensive nation-wide Green Growth Strategy, an advanced project pipeline, and a strengthened enabling environment for Direct Access

To achieve the Goal, the proposed readiness will overcome a number of barriers to achieve its intended goal through the delivery of 7 outputs that contribute to 4 GCF readiness programme outcomes. These outputs are described in detail in Section 3 above and the linkages between outputs, as well as between outputs and outcomes, and are described below. A description of how the interventions yielding these outputs overcome earlier-described barriers follows afterwards.

OUTCOMES, OUTPUTS, INPUTS

Outcome 1.2: Direct access applicants and accredited entities (DAEs) have established capacity to meet and maintain the GCF's accreditation standards; and accredited DAEs have the capacity to develop a pipeline of projects and effectively implement GCF-funded activities

Two outputs will contribute to this outcome. First, establishment of a Direct Access Accreditation Support Helpdesk within the NDA will address the identified barrier of lack of dedicated NDA-support to direct access accreditation. 8 potential DAEs have been identified by Sri Lanka but that none are in advanced stages of accreditation and there is no approved DAE yet. 5 of these have officially been nominated by the NDA as pipeline DAEs, but only 1 is officially registered in the GCF OAS system and is currently in Stage 1 of the accreditation process. All 5 of the nominated DAEs are banks and are challenged in developing policy requirements of GCF accreditation such as ESS standards and Gender Policy. A distinct barrier to advance Direct Access accreditation in Sri Lanka is a severe lack of human resources in the NDA (time and capacity) to support the nominated pipeline NDAs with the accreditation process, specifically in developing these requisite policies and developing corresponding implementing capacities for these policies, both of which are remote from their current banking operations. The NDA understands that without accredited DAEs, it will be severely challenged in advancing its GCF country pipeline, even if it finalizes its GCF Country Programme and strengthens its guiding strategic frameworks.

Second, establishment of a project development working group to connect pipeline DAEs with Sri Lanka's wider GCF programming stakeholders (project proponents, executing entities, private sector, research and academia, civil society) will be a first step in strengthening their programming capacity in parallel to advancing their accreditation process - so that once accredited, the DAEs are enabled to develop their Entity Work Programmes and effectively advance Sri Lanka's GCF pipeline.

Outcome 1.3: Relevant country stakeholders (including executing entities, civil society organizations, and private sector) have established adequate capacity, systems, and networks to support the planning, programming, and implementation of GCF-funded activities

Two outputs will contribute to this outcome. First, the capacity of country stakeholders to operationalize Sri Lanka's Stakeholder Engagement Strategy will be strengthened, based on a capacity gap assessment, including specifically around gender and other social inclusion considerations (e.g., indigenous peoples and social monitories).Second, the NDA's existing data and information portal (also developed by ICRAF-led 2019 Readiness) will continue to be operationalized by maintaining web-hosting agreements and user-interaction will be enhanced by supporting stakeholders to upload sectoral climate impact and risk information, access similar pertinent cross-sectoral climate risk information for GCF project development and programming,   and accessing a live version of the country's Pipeline Development Plan (Output 4.1.1).

Outcome 2.2: GCF recipient countries have developed or enhanced strategic frameworks to address policy gaps, improve sectoral expertise, and enhance enabling environments for GCF programming in low-emission investment

One output, a country-wide Climate-Smart Green Growth Strategy will be developed; specifically, such a strategic framework will be developed for Sri Lanka's Lower Watersheds and Coastal Regions, and then synthesized with an existing one for the Central Highlands (under development by the ICRAF-led 2019 Readiness). This country-wide strategic framework will guide the identification, development, and implementation of integrated, transformative climate resilience projects – to ensure that projects are not restricted to solely addressing specific

sectoral or geographic needs and priorities. In this sense, this country-wide strategic framework will enable Sri Lanka to advance a comprehensive approach for climate-resilient sustainable development, as is necessary to advance a transformational, paradigm-shifting pipeline. Development of this strategic framework will very much be linked with the implementation of the Pipeline Development Plan (Output 4.1.1) This output will be developed in close co-ordination with the recently approved GGGI-led NAP activities, which aims to coherently advance national and provincial level adaptation planning.

Outcome 4.1: An increase in the number of quality project concept notes developed and submitted

Two outputs will aim to advance Sri Lanka's GCF pipeline and contribute to this outcome. First, a Pipeline Development Plan will detail the scheduling and sequencing of Sri Lanka's existing priority projects (using as an input its Country Programme developed by the ICRAF-led 2019 Readiness). A consultative process will be undertaken to plan how the project pipeline will be taken forward to Full Proposal stage, with indicative timelines and responsible stakeholders (including direct or international AEs). Building on this, the second output will contribute 3 new high-quality concept notes, including pre-feasibility studies, ESS screening, gender analyses and all other annexes, that cover the most urgent needs for climate change adaptation. These concept notes will be developed and validated through a multi-stakeholder engaged process, and they will be finalized for the NDA to submit to the GCF before project closure. While the NDA and GWPO will advocate for the concept notes to be submitted to the GCF before the closure of implementation of 2021 Readiness activities, recognition is made that the timing for submission of these 3 new concept notes will be country-owned and context-responsive, to be further informed by the Pipeline Development Plan (to avoid, for example, adding to an already-heavy pipeline of submitted concept notes in a situation where Sri Lanka may be prioritizing to work with the GCF to advance concept notes that had already been submitted and are undergoing a review process)

INTERVENTIONS DESIGNED TO OVERCOME BARRIERS

The following points indicate how the activities under the 2021 Readiness are designed to overcome key barriers identified in the Situation Analysis.

1. ***Support Direct Access applicants (national banks) to develop required policies (ESS, gender) to advance their GCF accreditation***

Sri Lanka's NDA understands that in the absence of accredited DAEs, the country is severely challenged in advancing its GCF project pipeline, even if it finalizes its GCF Country Programme and strengthens its guiding strategic frameworks. Sri Lanka's NDA has currently identified 8 pipeline national DAEs, 5 of which have been officially nominated as pipeline DAEs to the GCF by the NDA. Of the nominated pipeline national DAEs, 1 has an official Online Accreditation System (OAS) account with the GCF and is in Stage I of the accreditation process; the other 4 are awaiting OAS account approval by the GCF.

While these pipeline DAEs have established GCF accreditation teams within their organizational structure, their pace of advancing through the GCF accreditation process has not been commensurate with their ambitions or with the country's urgent needs to have accredited DAEs. Sri Lanka's NDA is constrained in terms of human resources and has not been able to actively interact with these pipeline DAEs around accreditation-related questions they have and provide any support they need in the accreditation process. In the time since these pipeline DAEs were identified, the NDA has learned that it needs to have dedicated personnel that are versed both in the GCF DAE accreditation process and in Sri Lanka's local institutional/climate finance/project implementation context, and that the NDA needs to have the capacity to liaise with the pipeline DAEs and with the GCF's DAE accreditation team to accelerate the DAE accreditation process in Sri Lanka.

Therefore, through the 2021 Readiness, the NDA prioritizes availing a dedicated supporting resource in the form of a "Direct Access Accreditation Support Help Desk" based at the NDA, which all pipeline (nominated and other potential) DAEs can access to advance DAE accreditation. It is envisioned that 2021 Readiness support for strengthening the NDA's capacity to liaise with the pipeline DAEs and the GCF's DAE accreditation team will enable Sri Lanka to, in the near future, have at least one (and hopefully more) DAEs that can take forward the concept notes that are delivered through this Readiness and to help meaningfully advance the country's GCF project pipeline. Note that the NDA does not find the alternative approach of supporting the accreditation of one or more pipeline DAEs prioritized by the NDA vis-à-vis Sri Lanka's Country Programme and GCF pipeline to be politically feasible, as discussed in the barrier analysis (para 1.1).

2. ***Strengthen the enabling environment for pipeline DAEs to develop their GCF programming capacity***

While Sri Lanka does not yet have DAEs accredited to the GCF, it has at least eight pipeline DAEs. While the ICRAF-led 2019 Readiness support assessed institutional standards and related needs for GCF accreditation (required policies and operational mechanisms), focused support has yet to be provided for building capacity to engage with project sponsors and executing entities for development of potential GCF project concept notes and full proposals. Capacities for engaging with key GCF programming stakeholders are critical for a DAE to effectively operate. This 2021 Readiness aims to strengthen programming capacity of pipeline DAEs for engaging with project sponsors and executing entities to take forward priority project ideas in the GCF project pipeline and develop concept notes and full project proposals. To strengthen the enabling environment for pipeline DAEs for effective GCF programming, this 2021 Readiness will also enhance the capacity of the various GCF programming stakeholders in Sri Lanka (the NDA, the pipeline DAEs, and other stakeholders including, women, indigenous peoples, ethnic and social minorities, and other groups) to undertake their roles outlined in Sri Lanka's GCF Stakeholder Engagement Strategy developed by the 2019 ICRAF-led Readiness.

Importantly, a project development working group will be established to connect pipeline DAEs with Sri Lanka's wider GCF programming stakeholders (project proponents, executing entities, private sector, research and academia, civil society). Such a live working group is seen as an important mechanism to link the pipeline DAEs, many of which are private sector banks, to public entities that may be GCF project proponents or executing entities, and with the aim of supporting advancement of project ideas from the GCF Country Programme, as guided by the GCF Pipeline Development Plan, into full project proposals. The NDA, sitting with Sri Lanka's Climate Change Secretariat, with its mandate to coordinate GCF programming within the country, will coordinate the working group, including chairing of its meetings. Sri Lanka's existing National Expert Committee on Climate Change Adaptation (NECCCA) & National Expert Committee on Climate Change Mitigation (NECCCM) – two expert advisory committees comprised of sector experts that advise the country's Climate Change Secretariat including the NDA – will also engage in and advise the project development working group.

3. *Strengthen capacity of country stakeholders for GCF programming, including engaging the private sector*

Under current conditions, the Government of Sri Lanka has limited capacity to mobilize available finance. While the Climate Change Secretariat within the NDA has undergone strengthening for GCF programming, wider in-country stakeholders critical for sound GCF programming such as – pipeline executing entities, civil society organizations, and private sector – have limited understanding of their potential roles to support the planning, programming, and implementation of GCF-funded activities. The ICRAF-led 2019 Readiness has supported development of a Stakeholder Engagement Strategy for GCF-related Activities in Sri Lanka, which takes a first step in mapping stakeholders (including executing entities, civil society organizations and NGOs, and private sector) and their potential roles in GCF programming (at different stages of the programming/project cycle) around integrated water management and the development of broader climate resilience.

The 2021 Readiness will strengthen the capacity of the NDA to operationalize the Stakeholder Engagement Strategy to mobilize these stakeholders, to enable increased access to climate finance and facilitate sound implementation of projects that have received financing. In particular, the Readiness will engage the NDA's capacity for engaging stakeholders in a gender-sensitive manner and with indigenous peoples, youth, the elderly and other particularly vulnerable groups, and enhance the understanding and capacity of these stakeholders to engage with the NDA. Importantly, synergies with the GGGI-led NAP process will be explored while building stakeholder capacity for engaging around GCF programming.

4. *Enhance the interaction of GCF programming stakeholders with the NDA's data and information portal, particularly for pipeline development and advancement*

The ICRAF-led 2019 Readiness project established a climate risk data portal. The data portal will ensure that all relevant stakeholders have access to current climate risk data to inform national and regional planning for climate resilience as well as for project preparation. Under this proposed project, the portal will continue to be operationalized by ensuring web hosting charges are covered, and that multi-sector stakeholders are uploading data into the portal and also accessing data from the portal for GCF project development and programming. Stakeholder inputs will be sought on the user-friendliness and value-added by the portal, and recommendations provided to the NDA to further strengthen usability of the portal.

Further, NDA prioritizes the current portal to also provide a central dashboard with an up-to-date status of the country's GCF country pipeline. The 2021 Readiness therefore will expand the scope of the climate risk data

portal to allow online management and access of the country's Pipeline Development Plan by all GCF programming stakeholders.

> **5. *Develop a Green Growth Strategy for Sri Lanka's lower watersheds and coastal regions, to address the current missing piece needed for a country-wide strategic framework for sustainable, climate resilient development – particularly in light of ongoing NAP process and need for developing integrated, transformative, paradigm-shifting projects in the GCF country pipeline***

This 2021 Readiness support will provide a strategy for the implementation of cross-sectoral and integrated management of water resources using a catchment-management approach – particularly in Sri Lanka's lower watersheds and coastal regions, via a 'Climate-Smart Green Growth Strategy for Sri Lanka's Lower Watersheds and Coastal Regions.' This strategy will also propose necessary policy and legal changes that would be required to achieve the objective of a climate-resilient Sri Lanka. A strategic framework for the country's Central Highlands is already under development with support from the country's ICRAF-led 2019 Readiness, and the recently approved GGGI-led NAP process intends to tap into this strategic framework to inform the provincial adaptation plans for the Central Highlands.

Sri Lanka's NDA therefore prioritizes the urgent development of this missing strategic framework, and proposes that the 2021 Readiness front-loads its development, closely liaising with the GGGI-led NAP project implementation, in order to meaningfully contribute to Sri Lanka's NAP strengthening process.

Furthermore, the 2021 Readiness will synthesize the two frameworks to yield a consolidated country-wide Climate-Smart Green Growth Strategy for sustainable, climate-resilient development. Such a comprehensive, consolidated, nation-wide strategy will strengthen the equitable and sustainable allocation of water resources for competing users in a strategic and climate-resilient manner, in a future with increasing uncertainty, increasing variability, and increased extreme events due to climate change for this highly vulnerable island state.

In order to ensure that the development of the strategy is country-driven and that major government and non-governmental stakeholders have the necessary knowledge and capacity to mobilise finance to implement the strategy, these stakeholders will be trained on financial structuring of GCF projects. The same stakeholders, once suitably capacitated, will guide the development of this strategy through a national vision setting workshop, where stakeholders will be invited to develop a shared vision for implementing a Climate-Smart Green Growth Strategy.

> **6. *Develop a Pipeline Development Plan that details the sequencing and scheduling of Sri Lanka's priority projects from its GCF Country Programme***

Sri Lanka's GCF project pipeline is nascent. While a Country Programme is expected to be completed by January 2021 under the ICRAF-led 2019 Readiness project, the project ideas in Sri Lanka's GCF project pipeline are still in upstream stages and will need to be advanced. The 2021 Readiness will develop a Pipeline Development Plan that details out the sequencing and scheduling of Sri Lanka's existing priority projects, using as an input its Country Programme developed by the ICRAF-led 2019 Readiness. A consultative process will be undertaken to plan how the project pipeline will be taken forward to Full Proposal stage, with indicative timelines and responsible stakeholders (including direct or international AEs).

> **7. *Develop 3 new concept notes, (including pre-feasibility studies, ESS screening, gender analyses) validated and finalized for NDA submission to GCF***

Via the 2021 Readiness, the NDA will tap into technical expertise in existing line ministries and provincial departments for developing 3 new project concept notes for project ideas prioritized in the GCF Country Programme, guided by the nation-wide Green Growth Strategy for Climate Resilient Development, in the context of advancing Sri Lanka's GCF project pipeline. These 3 new project concept notes are separate from, and in additional to, the four concept notes being delivered under the 2019 Readiness by ICRAF. The NDA anticipates that the projects prioritized for developing into concept notes with 2021 Readiness support will address needs in the lower watersheds and the coastal zones, since the 2019 Readiness is supporting development of four concept notes, out of which at least two have a strong focus on Central Highlands. While the NDA and GWPO will advocate for the concept notes to be submitted to the GCF before project closure, recognition is made that the timing for submission of these 3 new concept notes will be further informed by the Pipeline Development Plan.

ASSUMPTIONS

The following assumptions underly the link between outputs and outcomes:

- Hands–on training will build long term capacity
- Processes, manuals, and guidelines will be used beyond project closure
- NDA will ensure government ownership and sustainability of operational mechanisms developed
- Key stakeholders in Sri Lanka will be willing to engage in enhancing Readiness
- Project concept notes are taken forward as full funding proposals

RISKS

The following risks have been identified (and will be expanded on in the risk management section):

- Sectoral development interests override climate resilience goals; lack of coordination and collaboration among sectoral institutions
- Delayed fund disbursements to project activities hinder implementation progress
- Delay in implementation by government and other stakeholders
- Low levels of participation and engagement of stakeholders
- Externally contracted consultants fail to deliver against agreed outputs
- Lack of capacity to take a gender-mainstreamed approach across project interventions
- COVID-19 challenges prevent face-to-face workshops prioritized by NDA as part of the project activities (as socio-economic context, connectivity availability and access in Sri Lanka prevents effective online engagement in large participatory gatherings like zoom), and also prevent international travel
- Foreign exchange losses or price changes result in under-delivery in outputs
- Inability to identify suitable AEs to submit concept notes
- Delay in outputs from ICRAF-led 2019 Readiness project
- Incidences of corruption, money laundering, terrorist financing, or prohibited practices threaten project delivery and risk harmful social outcomes

5. BUDGET, PROCUREMENT, IMPLEMENTATION AND DISBURSEMENT PLAN

5.1 Budget plan

Please complete the Budget Plan in Excel using the template available in the Library page of the GCF website.

5.2 Procurement plan

Please complete the Procurement Plan in Excel using the template available in the Library page of the GCF website. For goods, services, and consultancies to be procured, please list the items, descriptions in relation to the activities in section 2, estimated cost, procurement method, relevant threshold, and the estimated dates. Please include the procurement plan for at least the first tranche of disbursement requested below and provide a full procurement plan for the entire duration of the implementation period if available at this stage.

5.3 Implementation Plan

Please complete the Implementation Plan in Excel using the template available in the Library page of the GCF website.

5.4 Disbursement schedule

Please specify the proposed schedule for requesting disbursements from the GCF. For periodicity, specify whether it's quarterly, bi-annually, or annually only.

Please choose one option among the two below and delete the one that does not apply to you. Please fill in information under brackets:

☐ **Readiness Proposal that falls within a Framework Agreement with the GCF**

Disbursements will be made in accordance to *[Clause xx]* *"Disbursement of Grants"* and *[Clause xx]* "*Use of Grant Proceeds by the Delivery Partner*" of the Framework Readiness and Preparatory Support Grant Agreement entered into between GCF and *[Delivery partner name]* on *Click or tap to enter a date*.

☒ **Readiness Proposal that requires a bilateral Grant Agreement**

- Please include an indicative disbursement table showing the expected amounts to be requested and keep to multiples of USD 5,000.

- The first disbursement *amounting* USD 520,000 will be transferred upon approval of the readiness request and effectiveness of the Grant Agreement;
- The second disbursement *amounting* USD 250,000 will be transferred upon submission of an interim progress report [and audited financial report][11], in form and substance acceptable to the Fund, [including an audited expenditure statement]; and
- The third disbursement *amounting* USD 43,548 (remaining balance) will be made upon submission of a completion report and financial report, in form and substance acceptable to the Fund, including an audited expenditure statement.

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[11] For second disbursement, audited financial report and audited expenditure statement are only required for readiness and preparatory support proposals expected to last over 12 months.

6. IMPLEMENTATION ARRANGEMENTS AND OTHER INFORMATION

6.1 Implementation arrangements

Please describe how implementation arrangements will be made and how funds will be managed by the NDA and/or the Delivery Partner.
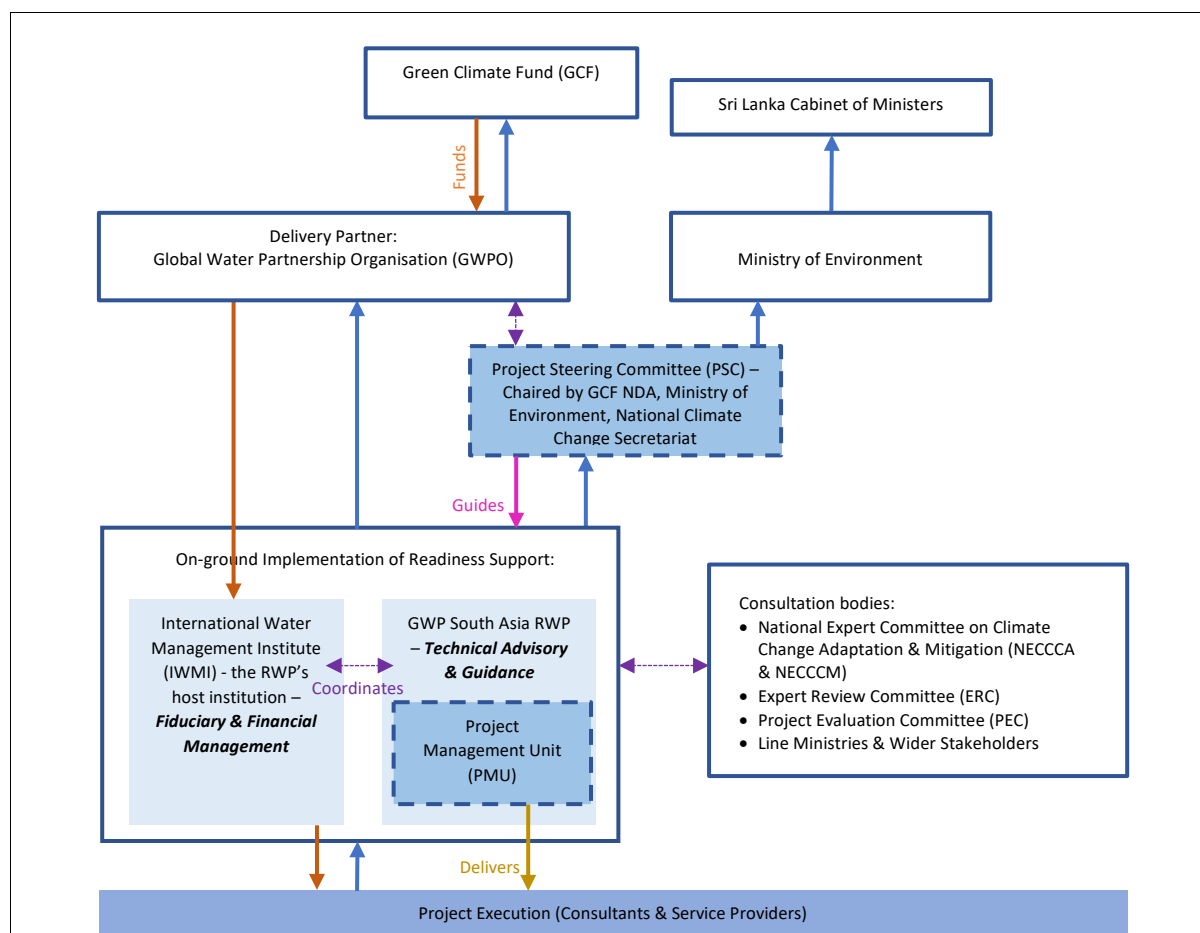
Global Water Partnership Organisation (GWPO), GWP South Asia Regional Water Partnership (RWP), and the RWP's Host Institution – the International Water Management Institute (IWMI)

Global Water Partnership Organisation (GWPO)
The Global Water Partnership (GWP) is a multi-stakeholder action network of 3000+ partner organisations in over 180 countries dedicated to working towards equitable and efficient management of water resources for a sustainable and climate-resilient world. GWP's Global Secretariat is the Global Water Partnership Organisation (GWPO), an intergovernmental organisation based in Stockholm, Sweden. GWP operates at regional and country levels via its 13 Regional Water Partnerships (RWPs). GWPO maintains full oversight of both technical and financial aspects of its RWPs' on-ground work programme via GWPO's dedicated Senior Network Specialist for each RWP.

GWP South Asia Regional Water Partnership (RWP)
The GWP South Asia RWP is based in Colombo, Sri Lanka. GWPO has two formal relationship lines with GWP South Asia RWP: (1) GWP South Asia RWP is accredited to GWPO, having passed GWPO's Accreditation Check for RWPs, and (2) Being an accredited RWP, it receives seed funding on an annual basis from GWPO for the implementation of the RWP's three-year work programme and corresponding detailed annual work plans, which are approved by GWPO.

GWP South Asia RWP is legally separate from GWPO; GWP South Asia RWP does not have its own legal identity, and takes on the legal identity of its host institution, the International Water Management Institute

(IWMI), which has its global headquarters in Colombo, Sri Lanka. This arrangement is governed by a Host Institution Agreement signed by GWPO, GWP South Asia RWP, and IWMI, and included in the submission of this proposal.

International Water Management Institute (IWMI) – GWP South Asia RWP's Host Institution
IWMI hosts GWP South Asia RWP. This means that: (1) IWMI lends its legal identify to GWP South Asia RWP, and (2) IWMI provides fiduciary and financial management services to GWP South Asia RWP for the implementation of the RWP's three-year work programme and corresponding one-year detailed work plans. As stated above, the relationship of GWPO-GWP South Asia RWP-IWMI is governed by a Host Institution Agreement signed by all three.

Prior to being approved as the Host Institution, the policies and procedures of IWMI were assessed by GWPO as being equivalent to, if not more stringent than, GWPO's own. This applies to IWMI's procurement guidelines and policies, which will be applied for procurements under this Readiness request (except for international consultants, which GWPO will procure). The IWMI procurement guidelines and policies are at least equivalent to the procurement guidelines and policies of GWPO that were reviewed by GCF as part of the FMCA of GWPO; in some respects, IWMI's procurement guidelines are more stringent than those of GWPO. Along with this proposal, GWPO has provided GCF a capacity assessment of IWMI that it conducted in 2021.

GWPO will enter a contractual agreement with IWMI specifically to pass on the responsibilities of the Bilateral Grant Agreement to be signed with GCF or its fiduciary agent. In particular, the contractual agreement will also reflect the relevant terms of this proposal that are applicable to IWMI.

GWPO will employ this regular network arrangement of GWPO-RWP-Host Institution for implementation of this readiness support.

Role of GWPO: Overall Technical & Financial Oversight & Accountability as Delivery Partner

- As Delivery Partner, GWPO will enter into a Bilateral Grant Agreement with the GCF or its fiduciary agent.
- GWPO will receive funds for this Readiness support from the GCF and will be accountable to the GCF for the overall implementation of this Readiness support: carrying out fiduciary and financial management of the readiness funds, procurement and contractual services, and monitoring and reporting activities under this proposal in compliance with GWPO's policies and procedures and with the signed Bilateral Grant Agreement.
- GWPO will procure international consultants for this Readiness support.
- GWPO will implement on-ground Readiness support activities through GWP South Asia RWP and its host institution IWMI, both of which have local presence in Sri Lanka.
- As Delivery Partner, GWPO will maintain full oversight of both technical and financial aspects of on-ground Readiness support implementation undertaken by GWP South Asia RWP and IWMI respectively via GWPO's dedicated Senior Network Specialist for the GWP South Asia RWP. The Senior Network Specialist is based in Stockholm and works closely with GWP South Asia RWP in Colombo in the supervision of the preparation and implementation of the RWP's three-year work programme and corresponding one-year detailed work plans, including via periodic travel to the RWP. To note, the Senior Network Specialist is a member of the Steering Committee (or governing board) of the GWP South Asia RWP – representing and providing strategic guidance and operational oversight to the RWP on behalf of GWPO.
- Ultimately, as the Delivery Partner for this Readiness, GWPO is accountable to GCF for the overall delivery and financial management of this Readiness support. To fulfill its Delivery Partner duties, GWPO will engage its technical specialists, M&E specialists, finance specialists, and administrative assistants. In terms of technical specialists, GWPO will engage three staff members on part-time basis (Head of Climate Resilience, Senior Water & Climate Resilience Specialist, and Senior Gender & Inclusion Specialist) to provide high quality technical backstopping to the PMU, as required. Other GWP experts will also be mobilized as and when necessary.

Role of GWP South Asia RWP: Technical Advisory & Guidance for On-Ground Implementation (no funds pass-through)

- Once approved, this GCF Readiness support will become part of the GWP South Asia RWP's work programme.
- Just as it does for its regular work programme, GWP South Asia RWP will be responsible for the substantive implementation of on-ground activities for this Readiness support (project management, developing TORs and detailed workplans, assessing quality of goods and services to be procured,

technical delivery of all activities including liaising with NDA and country stakeholders, preparing progress reports, among others).
- The RWP will provide technical guidance for the Readiness support; it will not receive GCF funding in a pass-through arrangement from GWPO. The RWP will therefore work in close coordination with its host institution IWMI, which will receive and manage the funds for the activities that the RWP is supervising.

Role of IWMI (GWP South Asia RWP's Host Institution): Fiduciary & Financial Management for On-Ground Implementation

- IWMI, as the RWP's host institution, will receive Readiness support funding for local consultancies and all on-ground activities passed down from GWPO.
- IWMI will provide all fiduciary and financial services to the GWP South Asia RWP for on-ground implementation of Readiness support activities, as for the rest of the RWP's work programme. IWMI will perform the administrative, financial management, and other roles to procure, pay, and expend GCF grant funding. For this Readiness support, IWMI will procure local consultants as well as all goods and other services (except for international consultants, which GWPO will procure).
- IWMI will report to GWPO on a quarterly basis for the financial and administrative management of funds transferred for the Readiness support (which, once approved, will be considered part of the GWP South Asia's overall work programme) to ensure compliance with GWPO's Financial Guidelines.
- IWMI will open a separate bank account to receive GCF Readiness grant funds from GWPO.

- GWPO will disburse GCF Readiness grant funds to IWMI quarterly, based on the agreed work plan.

Project Management Unit (PMU)
The PMU for this Readiness support will be hosted by the GWP South Asia RWP Secretariat in Colombo. The PMU will be responsible for the day-to-day implementation of tasks, including management of consultants' delivery. The PMU will consist of a set of long-term consultants: National Project Coordinator, a Policy Expert, an Institutional Expert, and a Gender & Social Inclusion Expert. The level of effort of each of these PMU consultants is specified in the table below.

The National Project Coordinator will be the focal point in for managing the day-to-day implementation of the on-ground activities. The National Project Coordinator reports to Regional Coordinator of GWP South Asia RWP, which is delegated responsibility by GWPO for the substantive implementation of on-ground activities, and to the Director of the National Climate Change Secretariat in Sri Lanka on project implementation status regularity. The National Project Coordinator works in close coordination with the NDA. During his/her full-time engagement over 18 months, the National Project Coordinator consultant's time allocation will be split, with 15% to project management and reporting and 85% of time allocated to providing direct Readiness support delivery.

The PMU will be guided by the Project Steering Committee (PSC), described below. The PMU will receive oversight on substantive project management and delivery of activities from GWP South Asia RWP, and direct support on finance and administration from GWP South Asia RWP's host institution IWMI, as described in the above sub-section. Local procurements for the Readiness support will be undertaken by IWMI using IWMI's procurement guidelines, as specified by the Host Institution Agreement between GWPO, GWP South Asia RWP, and IWMI. As noted in the above sub-section, as per the Host Institution Agreement, IWMI is responsible for reporting to GWPO for the financial and administrative management of funds transferred for the GCF Readiness support (which is considered part of the GWP South Asia's overall work programme) to ensure compliance with GWPO's Financial Guidelines.

The PMU, facilitated by GWP South Asia RWP, will provide monthly project status updates to the PSC and to GWPO. The PMU will be in charge of completing quarterly narrative progress reports, with oversight from GWP South Asia RWP; IWMI will prepare quarterly financial progress reports. The National Project Coordinator will send the combined quarterly reporting package to the NDA for information, and to the PSC and to GWPO to review and approve. GWPO will submit implementation progress reports to the GCF every six months, or otherwise as specified by the Bilateral Grant Agreement.

Project Steering Committee (PSC)
The PSC will provide oversight for this Readiness support by guiding the PMU, validating the project workplan and monitoring the implementation of the work plan, ensuring governance of the Readiness support, reviewing technical reports, approving recommendations from the Expert Review Committee (ERC). The PSC will be chaired by the NDA, a GWP South Asia RWP representative (delegated by GWPO), and other stakeholders from relevant ministries and departments. The PSC will represent the joint initiative of GWPO/GWP South Asia RWP and Sri Lanka's NDA, to ensure that the execution of Readiness support activities is done both in

accordance with international best practice, while also meeting country needs and priorities. A National Planning Department/Treasury representative will be opted to the PSC to facilitate aftercare support for operations as it has been the experience that TA grants often end with resource gaps ex-post resulting in much reduced benefit sustainability. A representative of the Ministry of Women & Child Affairs, or an appropriate designate gender expert and champion will be part of the PSC, to ensure that the Readiness support takes gender-mainstreamed approach by default and takes every advantage of taking gender-transformative approaches where possible, least of all by undertaking a gender analysis during the development of a detailed workplan and allocating required actions and supporting resources and budget to take advantage of gender equality opportunities.

Main stakeholders will include: Irrigation Department, National Water Supply and Drainage Board, Mahaweli Authority, Irrigation Management Division, Central Environment Authority, Department of Community Water Supply, Forest Department, Agrarian Development Department, Agriculture Department, Coast Conservation Department, Provincial Councils, Ceylon Electricity Board, Disaster Management Centre, pipeline Direct Access Entities, Water Resources Board, Land Use Policy Planning Division, Other sector ministries and organizations, NGO/CBO, Corporates, Pipeline DAEs to GCF, and international development organizations (including IAEs to the GCF).

National Expert Committee on Climate Change Adaptation (NECCCA) & National Expert Committee on Climate Change Mitigation (NECCCM)
The NECCCA and NECCCM already exist in Sri Lanka's climate change institutional framework under the National Climate Change Secretariat in the Ministry of Environment. These two expert advisory committees comprised of sector experts provide advisory guidance on adaptation and mitigation related issues to the Climate Change Secretariat and specifically to the NDA. The NECCCA & NECCCM operate in the context of National Adaptation Planning processes as well as enhancement and implementation of the NDC. The NDA will facilitate the PMU to access technical experts from these committees on an as-needed basis.

Expert Review Committee (ERC)
The ERC, described in the NDA Operational Manual developed with ICRAF-led 2019 Readiness support, will assist NDA in reviewing and validating documentary deliverables for all GCF Readiness supported activities, through inclusive, stakeholder consultation workshops. The ERC comprises of a 14-member group including national and international experts appointed by the NDA, including government institutions, NDA representatives, NGOs and CSOs, private sector, and climate change technical experts.

Project Evaluation Committee (PEC)
The PEC, also described in the NDA Operational Manual developed with ICRAF-led 2019 Readiness support, assists the NDA by providing independent technical expertise to advise on and assure the quality of Concept Notes (and subsequent funding proposals) to the GCF and other funds. The PEC comprises a 20-member group (represented by at least 5 female members) including government, private sector, civil society, subject specific organizations and members of NECCCA and NECCCM.

National Designated Authority (NDA)
Sri Lanka's NDA – the Ministry of Environment, Climate Change Secretariat – will ensure that the Readiness activities align with strategic national objectives and priorities on climate change. The NDA and the PSC, in coordination with the Delivery Partner GWPO, will provide guidance on national priorities in implementation of this Readiness support.

6.2 Implementation and execution roles and responsibilities

Please briefly describe how the activities will be implemented and outputs delivered by project staff and consultants.

Local implementation will be led by the National Project Coordinator (NPC), based at the PMU. The PMU will comprise of several national experts as long-term consultants: the NPC, a Policy Expert, a Gender & Social Inclusion Expert. A dedicated international 'Institutional Expert', working as a long-term consultant, will also be an integral part of the PMU; however this consultancy will be based remotely, ensuring robust virtual connection with the PMU team and for engagements with on-ground stakeholders, and travel into Sri Lanka as required by supported activities and as permitted in the COVID-19 context. Other local experts will be recruited to the PMU for required durations during the Readiness support to implement specific project activities and provide expert inputs. Under the leadership of the NPC, the PMU will implement the Readiness support and deliver outputs per its implementation plan and detailed workplan. IWMI, GWP South Asia RWP's host institution, will receive Readiness grant funds passed on by GWPO and will handle the fiduciary and financial aspects of activity implementation for the PMU. GWPO will disburse grant funds to IWMI on quarterly basis, based on the agreed workplan between IWMI and GWPO. A separate bank account will be opened by IWMI to manage the GCF readiness funds.

GWPO will provide Technical Support to the PMU through its international, regional, and local staff and consultants as required. On the ground in Sri Lanka, GWPO's Technical Support to the PMU will include that provided by the GWP South Asia RWP Secretariat – specifically by the GWP South Asia RWP Regional Coordinator, Communications Coordinator, and Administrative Officer. Other GWP experts will also be mobilized as and when necessary. As part of its Delivery Partner oversight, GWPO will engage three staff members on part-time basis (Head of Climate Resilience, Senior Climate Resilience Specialist, and Senior Gender Specialist) to provide technical backstopping to the PMU to ensure high quality implementation and outputs.

While GWPO will exercise overall quality control as Delivery Partner, local and thematic experts will provide technical guidance to the Readiness support activities and also provide quality assurance of deliverables as per Sri Lanka's existing climate change institutional structure, via – the PSC, the NECCCA & NECCCM, the ERG, the PEC – all in close collaboration and consultation with the NDA.

GWPO recognizes the importance of diversity and inclusivity in the implementation of GCF Readiness activities. All procurement of consultants will be gender equitable and socially inclusive. GWPO technical support and technical backstopping will seek to promote equal opportunities and fairness in the implementation of activities.

Outlined below are the basic TORs (scope of work and qualifications) for identified positions for long-term consultants that are expected to provide support throughout the delivery of the proposed Readiness support as well as for key staff providing Technical Support from GWPO. While additional consultants are likely to be contracted by the PMU to develop Concept Notes and pre-feasibility studies, the TORs for these consultants will be developed during the implementation of readiness activities, informed by the preferred project ideas that will be prioritized to take forward. It is expected that each Concept Note will require the services of one local and international technical expert, respectively, as well as one Environmental and Social Expert and one Economics and Financial Expert. While these positions are not outlined below, they are budgeted for and listed in the procurement plan (see referred in the procurement plan as: Technical Expert - Concept Note and Pre-Feasibility Study (x3)).

The overall delivery of these activities is heavily weighted towards providing support through expert consultants, as has been identified as a priority need from the NDA due to HR constraints, the NDA emphasizes the need to tap into consultants familiar with the local context.

The TORs are presented in three different sub-sections. Sub-section 6.2.1 outlines the TORs for PMU consultants. These are long-term consultants with specific technical expertise that will be engaged throughout the delivery of Readiness activities. Sub-section 6.2.2 outlines TORs for GWP Technical Support services. Important to note that GWP Technical Support services contribute directly to execution of activities; they are separate from the supervision duties that are undertaken by GWPO as Delivery Partner and covered by the Delivery Partner fee. Under GWP Technical Support, GWP will use technical experts within its global network to fill key roles in the delivery of specific outputs. These may be GWP staff or technical experts that have pre-existing agreements with GWPO. In so doing, GWPO will greatly reduce the time overhead required for contracting on specific outputs. Lastly, sub-section 6.2.3 outlines the TORs for GWPO staff fulfilling the typical duties of the Delivery Partner. No level of effort is shown for these roles and these TORs are presented solely to indicate the qualifications and competencies of lead responsible staff. The table below gives a brief outline of the various roles and indicated levels of effort for each.

PMU Consultants (TORs outlined in sub-section 6.2.1)			
Position	**Main role/s**	**Local/International**	**Level of Effort (Days)**
National Project Coordinator	Lead implementation of all outputs	Local	210
Gender & Social Inclusion Expert	Provide cross-cutting gender & social inclusion support to all outputs	Local	110
Policy Expert	Provide expert input into policy and institutional strengthening outputs	Local	300
Institutional Expert	Provide international best practice inputs to support the work of the Policy Expert	International	90
GWP Technical Advisory Positions (TORs outlined in sub-section 6.2.2)			
Position	**Main role/s**	**Local/International**	**Level of Effort (Days)**
Programme Development Specialist	Lead the development of Concept Notes	International	60

Senior M&E/Institutional Expert	Guide the development and design of workshops and trainings (All Outputs) Facilitates project consultants to access local stakeholders' networks (All Outputs) Guide the establishment of a project development working group (Output 1.2.2) Guide the selection of appropriate Concept Notes (Output 4.1.2)	Local	70
Senior Climate Resilience Expert	Technically lead the development of policy instruments in Outcomes 1.2, 1.3 and 2.2	International	15
Communications Expert	Oversee the operationalisation of the climate information portal (Output 1.3.2) Support in developing a communications strategy for the implementation of activities (All Outputs)	International	15
Gender and Social Inclusion Expert	Provide international best practice inputs to support the work of the local Gender and Social inclusion expert	International	10
Delivery Partner Roles (TORs outlined in sub-section 6.2.3)			
Position	**Main role/s**	**Local/International**	
Head of Climate Resilience	Overall technical backstopping	International	N/A
Senior Climate Resilience Specialist	Lead oversight (note: this position will be a separate individual from the Senior Climate Resilience Specialist indicated above)	International	N/A
Senior Gender Advisor	Ensures gender integration	International	N/A
Short-Term Consultancies for the Development of Concept Notes **(TORs to be developed in line with the specific requirements of each Concept Note)**			
Position	**Main role/s**	**Local/International**	**Level of Effort (Days)**
Technical Expert - Concept Note and Pre-Feasibility Study(x3)	Lead the development of each of the pre-feasibility studies	International	75 total (25 per contract)
Technical Expert - Concept Note and Pre-Feasibility Study(x3)	Support each of the international consultants above with local data and information	Local	240 total (80 per contract)
Economics & Financial Expert	Lead an early economic and financial assessment for the Concept Note proposed interventions	International	24 total (8 per contract)
E&S Expert	Lead an early environmental, social and gender assessment for the Concept Note proposed interventions	International	24 total (8 per contract)

6.2.1: TORs for PMU Consultants

National Project Coordinator (NPC) (Local Consultant) – Estimated effort 210 days

Scope of Work:
- ➢ Lead PMU to develop detailed workplan
- ➢ Manage all day-to-day activities of the GCF Readiness project, coordinating among other long and short-term consultants in the PMU
- ➢ Mobilize and engage stakeholders throughout project activities
- ➢ Coordinate among national line ministries and non-government entities (private sector, academia and research institutions, civil society) and other regional and international organizations in the country as required for delivery of the workplan
- ➢ Synergize with other agencies, and collaboratively leverage work to avoid duplication and maximize overall value-for-money
- ➢ Work with GWP South Asia RWP Secretariat to facilitate procurement and fiduciary management
- ➢ Develop required reporting materials (narrative, financial) on project activities

➢ Develop communication and advocacy material

Qualifications:
➢ At least 7-years of project management experience (consultants, events, multi-stakeholder platforms), with ability to coordinate and manage multiple tasks
➢ MSc degree in related discipline, i.e. development, economics, social political or environmental sciences, climate sciences, forestry, natural resource management, sustainable development or relate field
➢ An understanding of cross-sectoral nature of climate resilience (adaptation and mitigation aspects), with economic, social, environmental, and gender dimensions
➢ An understanding of the institutional and policy environment around climate change policy and programming in Sri Lanka
➢ Demonstrated teamwork skills and ability to work independently
➢ Excellent analytical and writing skills
➢ Demonstrated attention to detail
➢ Track record of proactive risk monitoring and management
➢ Experience working with government and regional and international development agencies
➢ Fluency in English required and also preferably in at least Sinhalese or Tamil (speaking, writing, and reading)

Gender & Social Inclusion Expert (Local Consultant) – Estimated effort 110 days
Scope of Work:
➢ Conduct gender analysis of detailed GCF Readiness workplan and ensure that the Readiness project activities, budget, and results monitoring, and reporting takes a gender-mainstreamed and socially inclusive approach
➢ Support pipeline DAEs to develop Gender and Social Safeguard policies and build the capacity to implement them via the Direct Access Accreditation Helpdesk at NDA
➢ Provide gender and social inclusion expert input to the development of climate-smart green growth strategic frameworks
➢ Supports NDA in building stakeholder capacity to take gender-mainstreamed/gender transformative and socially inclusive approaches (depending on the context and baseline for the particular activity) via GCF Readiness and GCF project development activities
➢ Provide expert input to the development of 3 Concept Notes

Qualifications:
➢ At least 10 years of experience in taking gender-mainstreamed and gender-transformative approaches to project management and development
➢ MSc degree in Gender Studies, Social Inclusion, Development Studies, or related
➢ Demonstrated understanding of the state of gender equality/in-equality in development and climate change issues in Sri Lanka, in institutional contexts as well as in practice
➢ Demonstrated understanding of gendered-dimensions of climate impacts via water resources and water-related disasters, including on agriculture, energy, transport, public health, tourism, and other pathways (Sri Lanka NDC priority sectors)
➢ Demonstrated ability to coordinate and manage multiple tasks
➢ Excellent analytical and writing skills
➢ Experience working with government and international development agencies
➢ Fluency in English and also preferably in at least Sinhalese or Tamil (speaking, writing, and reading)

Policy Expert (Local Consultant) – Estimated effort 300 days
Scope of Work:
➢ Supports the implementation of all Outputs, excepting Output 4.1.2
➢ Provides specialist local knowledge of climate change and/or environmental policy in Sri Lanka

Qualifications:
➢ At least 7 years of experience in policy analysis and policy development, strategic planning related to development or environmental management
➢ MSc degree in related discipline, i.e. development, economics, social political or environmental sciences, climate sciences forestry, natural resource management, sustainable development, or related field
➢ Coordination of activities and events, including consultant teams
➢ Excellent analytical and writing skills
➢ Experience working with government and regional and international development agencies
➢ Fluency in English and preferably in at least Sinhalese or Tamil (speaking, writing, and reading)

Institutional Expert (International Consultant) – Estimated effort 90 days

Scope of Work:
➢ Guides the work of the local Policy Expert
➢ Provides international best-practice on climate finance & institutional strengthening

Qualifications:
➢ At least 10 years' experience in designing and implementing Monitoring & Evaluation for development or climate change projects
➢ Advanced degree in climate change, policy development, project management or other (Master's degree preferred)
➢ Fluency in English and preferably in at least Sinhalese or Tamil (speaking, writing, and reading)
➢ Proven experience on international donor-funded projects such as the GEF, Adaptation Fund or the GCF

6.2.2: TORs for GWPO Technical Support roles

The below TORs refer to GWPO staff that will provide direct technical support to the proposed Readiness activities. This support will be separate from the standard oversight and backstopping functions which will be provided by the relevant staff members named under 6.2.2. above, focusing on contributing to activity execution and generation of deliverables. These personnel may be substituted by relevant GWP Technical Reference Group members with at least the indicated level of qualifications.

Programme Development Specialist – Estimated effort 60 days

Scope of Work:
➢ Develops GCF Concept Notes (Output 4.1.2)
➢ Oversees consultants developing pre-feasibility studies
➢ Supports the development of a Pipeline Development Plan (Output 4.1.1)

Qualifications:
➢ Professional experience in the field of the assignment
➢ More than 5 years of climate change related project management experience
➢ MSc degree in Environmental Science and Technology
➢ Experience on working with GCF projects
➢ Coordination of functions and activities, including consultant teams
➢ Experience working with government and regional and international development agencies
➢ Fluency in English (speaking, writing and reading).

Senior M&E/Institutional Expert (Colombo based) – Estimated effort 70 days

Scope of Work:
➢ Supports the delivery of all outputs
➢ Supports the consultants in accessing the relevant stakeholders in Sri Lanka
➢ Supports the development of training material, leads the design of workshops
➢ Provide technical guidance on the development of strategic frameworks, establishment of project development working group, Climate Smart Green Growth Strategy
➢ Guides the selection of project ideas for development into Concept Notes

Qualifications:
➢ Professional experience in the field of the assignment
➢ More than 10 years of experience in capacity strengthening for developing countries
➢ Relevant Masters' degree
➢ Experience on working on donor-driven projects
➢ Coordination of functions and activities, including consultant teams
➢ Experience working with government and regional and international development agencies
➢ Fluency in English (speaking, writing and reading).

Senior Climate Resilience Expert – Estimated effort 15 days

Scope of Work:
➢ Supports the delivery of Outputs 1.2.1, 1.2.2, 1.3.1 and 1.3.2
➢ Technical lead on development of policy briefs

Qualifications:

- ➢ Professional experience in the field of the assignment
- ➢ More than 10 years of experience in climate change adaptation and/or mitigation
- ➢ Relevant Masters' degree
- ➢ Experience on working on donor-driven projects
- ➢ Coordination of functions and activities, including consultant teams
- ➢ Experience working with government and regional and international development agencies
- ➢ Fluency in English (speaking, writing and reading).

Communications expert– Estimated effort 15 days

Scope of Work:
- ➢ Provides direct support to the PMU to develop a communications strategy
- ➢ Provides technical expertise on communications and knowledge management

Qualifications:
- ➢ Professional experience in the field of the assignment
- ➢ More than 10 years of experience in communications
- ➢ Relevant Masters' degree
- ➢ Experience on working on donor-driven projects
- ➢ Coordination of functions and activities, including consultant teams
- ➢ Experience working with government and regional and international development agencies
- ➢ Fluency in English (speaking, writing and reading).

Gender and Social inclusion expert – Estimated effort 10 days

Scope of Work:
- ➢ Provide gender and social inclusion support to all outputs of the Readiness proposal
- ➢ Provide direct guidance to the Gender and Social inclusion expert local consultant

Qualifications:
- ➢ At least 10 years of experience in taking gender-mainstreamed and gender-transformative approaches to project management and development
- ➢ MSc degree in Gender Studies, Social Inclusion, Development Studies, or related
- ➢ Demonstrated understanding of the state of gender equality/in-equality in development and climate change issues in Somalia
- ➢ Demonstrated understanding of gendered-dimensions of climate impacts via water resources and water-related disasters
- ➢ Demonstrated ability to coordinate and manage multiple tasks
- ➢ Excellent analytical and writing skills
- ➢ Experience working with government and international development agencies
- ➢ Fluency in English

6.2.3: TORs for Project Staff from Delivery Partner

The below TORs are for project staff that will provide quality assurance and technical backstopping and their time will be covered under the Delivery Partner fee.

Head of Climate Resilience

Scope of Work:
- ➢ Guides engagement with NDA, PSC on behalf of GWPO
- ➢ Contributes technical and strategic recommendations for decisions on project design
- ➢ Reviews concept notes and PPF from a technical perspective

Qualifications:

- ➢ Over 15 years of experience in designing investment strategy, policy, programmes and projects in the context of sustainable, climate-resilient development
- ➢ Demonstrated track record of project management and implementation
- ➢ Demonstrated track record in designing and implementing national water strategies, climate change adaptation strategies, needs-based capacity development strategies
- ➢ Master's degree in Engineering, Economics, Business Administration, or Public Policy
- ➢ Experience working with national government and international development agencies
- ➢ Fluency in English (speaking, writing, and reading)

Senior Climate Resilience Specialist

Scope of Work:

➢ Technical inputs into drafting TORs for consultants and hiring consultants
➢ Technical support to the overall project
➢ Technical quality assurance of reports to be submitted to the GCF
➢ Mobilize GWPO reference group for technical backstopping

Qualifications:
➢ Over 10 years of climate change related project development and management experience
➢ MSc degree in Development Economics, Climate Resilience, Environmental Engineering, Environmental Science and Technology, or related
➢ Experience on working with GCF projects
➢ Coordination of events and analytical work, including conducted by consultant teams
➢ Experience working with government and international development agencies
➢ Fluency in English (speaking, writing, and reading)

Senior Gender Advisor
Scope of Work:
➢ Technical inputs into drafting TORs for consultants and hiring consultants from gender perspective
➢ Undertakes rapid gender analysis of detailed workplan and recommends actions for the 2021 Readiness to mainstream gender, and where possible, take gender transformative approaches
➢ Provides gender-related technical support to the overall project, working closely with local gender expert on project
➢ Technical quality assurance, from gender perspective, of reports to be submitted to the GCF
➢ Mobilizes GWPO reference group for gender-related technical backstopping

Qualifications:
➢ Over 10 years of experience in adopting gender-mainstreamed and gender transformative approaches in project development and management
➢ MSc degree in Gender Studies, Social Inclusion, or related
➢ Experience on working with GCF projects
➢ Coordination of functions and activities, including consultant teams
➢ Experience working with government and international development agencies
➢ Fluency in English (speaking, writing, and reading)

6.3 Risks and mitigation measures

Please include a set of identified risks and mitigation actions for each. Please utilize the risk table below that identifies the probability of a given risk occurring and the entity that will manage the risk. Please refer to Part III Section 6.3 of the Readiness Guidebook for further information on how to complete this section.

Risk category	Specific risk(s) / Risk(s) description	Probability of occurrence (low, medium, high)	Impact level (low, medium, high)	Mitigation action(s)	Entity(ies) responsible to manage the risk(s)
Political & technical	Sectoral development interests override climate resilience goals; lack of coordination and collaboration among sectoral institutions	Medium	High	The project aims to establish a coordinated mechanism for engaging pipeline DAEs with relevant stakeholders, including all sectors and the private sector, for GCF programming - with climate resilience aligned with developmental goals. The mechanism will utilize existing institutional processes under the ambit of the NDA – PSC, NECCCA, NECCCM, PEC, ERC – that foster a cross-sectoral outlook to building climate resilience.	PSC, NDA working with National Advisory Council on Climate Change (NACCC) and Sustainable Development Council (SDC)

Risk category	Specific risk(s) / Risk(s) description	Probability of occurrence (low, medium, high)	Impact level (low, medium, high)	Mitigation action(s)	Entity(ies) responsible to manage the risk(s)
Operational	Delayed fund disbursements to project activities hinder implementation progress	Low	High	Workplan agreed and approved by the PSC in Q1	GWPO
Operational	Delay in implementation by government and other stakeholders	Medium	High	Collaborative engagement with stakeholders to ensure buy in and support	NDA, PMU
Technical & Operational	Low levels of participation and engagement of stakeholders	Medium	High	GWP South Asia RWP & NDA will utilize its existing relationships with mandated institutions and partner organizations to ensure cross-collaboration with external agencies, and will clearly communicate information about processes, events, workshops to specific stakeholders via relevant channels	GWP South Asia RWP, NDA
Technical & Operational	Externally contracted consultants fail to deliver against agreed outputs	Low	Medium	During the procurement process, clear deliverables and timelines will be determined, and GWPO's and IWMI's robust procurement processes followed to contract the highest quality consultants with a track record of delivering on similar types of projects (GWPO responsible for procuring international consultants; IWMI responsible for procuring local consultants)	PMU, GWPO, IWMI
Technical & Operational	Lack of capacity to take a gender-mainstreamed approach across project interventions	High	High	A gender analysis will be conducted during detailed workplan development to ensure mainstreamed across the project. A gender specialist will be part of the Technical Reference Group. PSC to ensure gender expertise and oversight.	GWPO, NDA, PMU, PSC

Risk category	Specific risk(s) / Risk(s) description	Probability of occurrence (low, medium, high)	Impact level (low, medium, high)	Mitigation action(s)	Entity(ies) responsible to manage the risk(s)
Operational	COVID-19 challenges prevent face-to-face workshops prioritized by NDA as part of the project activities (as socio-economic context, connectivity availability and access in Sri Lanka prevents effective online engagement in large participatory gatherings like zoom), and also prevent international travel	High	High	COVID-19 risk is external to the project. While the project is designed to take the first best option (face-to-face engagements; travel), it acknowledges that high uncertainty around the COVID-19 situation requires acceptance of less-preferred options if required: consultations individually by skype; group consultations by email; in person gatherings with participants restricted to only key stakeholders to allow social-distancing protocol; in any of these less-ideal options, unspent budget remains a risk	GWPO, NDA, PMU
Financial	Foreign exchange losses or price changes result in under-delivery in outputs	High	Low	A contingency of 1% has been requested to account for potential fluctuations in prices or exchange rates	GWPO
Operational	Inability to identify suitable AEs to submit concept notes	Medium	Medium	GWPO will use its extensive network to engage international AEs in the likely case that no suitable DAE is available to take submit Concept Notes.	GWPO, GWP South Asia RWP, NDA
Operational	Delay in outputs from ICRAF-led 2019 Readiness project	High	Low	GWPO will continue to work collaboratively with the ICRAF team to ensure that any unforeseen delays are reduced through parallel and integrated work wherever possible	GWPO, GWP South Asia RWP, NDA
Financial	Incidences of corruption, money laundering, terrorist financing, or prohibited practices	Medium	Medium	GWPO and IWMI procurement policies will be applied to the project (for international consultants, and all remaining procurements respectively) to ensure that all expenditure	GWPO, IWMI, GWP South Asia RWP, NDA, PMU, PSC

Risk category	Specific risk(s) / Risk(s) description	Probability of occurrence (low, medium, high)	Impact level (low, medium, high)	Mitigation action(s)	Entity(ies) responsible to manage the risk(s)
	threaten project delivery and risk harmful social outcomes			(including unscheduled expenditure) is in line with internal procedures and international best-practice. GWPO Anti-Fraud/Corruption Policy and IWMI Anti-Fraud/Anti-Corruption Framework will be applied to project operations, to prevent offences such as, but not limited to, deception, bribery, forgery, extortion, theft, conspiracy, embezzlement, misappropriation, false representation, concealment of material facts, collusion, favoritism including nepotism. GWPO's and IWMI's Anti-Fraud policy/framework outlines whistle-blower protection. A contractual agreement will be entered into between GWPO and IWMI to pass on the responsibilities of the Bilateral Grant Agreement to be signed with GCF or its fiduciary agent, including, in particular, to reflect the relevant terms of this proposal that are applicable to IWMI – this will cover IWMI's accountability and responsibility for the financial risks as sub-recipient of the project activity funds. The project implementation kickoff will include introduction to and training of personnel engaged in this project from PMU, NDA, GWP South Asia RWP, IWMI and GWPO to these policies and practices to enable them to identify, assess, monitor, and mitigate any risk of money laundering, terrorist financing, or prohibited practices. The PSC will be	

Risk category	Specific risk(s) / Risk(s) description	Probability of occurrence (low, medium, high)	Impact level (low, medium, high)	Mitigation action(s)	Entity(ies) responsible to manage the risk(s)
				made available these policies and procedures, to enable it to provide adequate governance to the project. All relevant parties will be made familiar with GWPO's whistleblower protection policy, outlined below. "An employee (or consultant) of GWPO or an RWP/CWP who has made a report of suspicious conduct and who subsequently believes he or she has been subjected to retaliation of any kind is directed to immediately report it to the GWPO Executive Secretary. Reports of retaliation will be investigated promptly in a manner intended to protect confidentiality as much as practicable, consistent with a full and fair investigation. The party conducting the investigation (normally the GWPO Senior HR Officer) will notify the employee (or consultant) of the results of the investigation. Third parties or anonymous persons are welcome to report allegations of possible misconduct in the projects/activities with supporting evidence; the whistle blower protection would be provided under the same principle as for GWP employees or consultants."	

6.4 Monitoring

A monitoring plan – based on the logic framework (indicators, means of verification) and budget – will be developed by the PMU during the inception phase of the proposed readiness project, alongside development of a detailed workplan. This monitoring plan will include a responsibility matrix for personnel involved with the project. Within the PMU, the M&E function will be led by the Institutional Expert, a long-term consultant for the duration of the project. The monitoring plan will account for scheduled quarterly monitoring that will take place and will also include guidelines for unscheduled events, emergencies or other *ad hoc* monitoring and reporting, as required. Quarterly monitoring reports from the PMU will be evaluated by GWPO staff, the NDA, the PSC, and other stakeholders as required and relevant, who will use this opportunity to provide technical and strategic guidance for project implementation. Narrative progress update reports will be provided by the PMU to GWPO, the NDA, and PSC on a monthly basis via an agreed mechanism – allowing for immediate course-correction or learning-based enhanced implementation as opportunity allows.

In line with the frequency and timelines in the signed Grant Agreement, GWPO will submit progress and financial reports to the GCF. GWPO will prepare periodic revisions to reflect changes in quarterly and annual expense category budgets, monitor and review project expenditure reports and communicate and share with the NDA and GCF Secretariat as required. Commissioned by GWPO, annual financial audits will be conducted using an external audit firm for each calendar year.

6.5 Other Relevant Information

Global Water Partnership Organization (Global Secretariat), GWP South Asia RWP (Regional Secretariat), and GWP Sri Lanka (Country Secretariat)

The Global Water Partnership (GWP), established in 1996, is a multi-stakeholder action network of 3000+ partner organizations in over 180 countries dedicated to working towards equitable and efficient management of water resources for a sustainable and climate-resilient world. GWP's Global Secretariat is the Global Water Partnership Organisation (GWPO), an intergovernmental organization based in Stockholm, Sweden. GWP operates at regional and country levels via its 13 Regional Water Partnerships (RWPs). The GWP South Asia Regional Water Partnership is based in Colombo, Sri Lanka, and coordinates GWP activities across 6 countries: Bangladesh, Bhutan, India, Nepal, Pakistan, and Sri Lanka. GWP's country level node in Sri Lanka (the Sri Lanka Water Partnership) was established in 2000 is an active and respected water sector organization working closely and policy, agency, and local levels on IWRM related activities in Sri Lanka. Both GWP Sri Lanka Secretariat and GWP South Asia RWP Regional Secretariat are hosted by the International Water Management Institute (IWMI) at its Headquarters in Colombo.

A significant feature of the Sri Lanka Water Partnership is its amalgam of state and corporate sector, academia and practitioners in its governance and operations. Its record of close collaboration with the respective water and agriculture sector agencies is of the highest order. The ability to link global to local issues and vice versa has been significant feature for the success of GWP in Sri Lanka. In 2019, GWP Sri Lanka and GWP South Asia RWP supported the NDA in organizing a national workshop to review its NDC commitments prior to COP 24. It is this recognition that has led the NDA in Sri Lanka to seek assistance from GWPO, an accredited GCF Delivery Partner, for support to build climate resilience via integrated water management in its 2021 Readiness.

GWP Sri Lanka has been in the forefront of CCA awareness and training of provincial/district and field staff working in irrigated and export agriculture and farmer leaders of major and medium irrigation systems and produced the largest number of CCA related technical knowledge products for staff and farmers in the two national languages Sinhala and Tamil. GWP Sri Lanka since 2007 has held over 80 such programmes including training of trainers, covering staff and farmer leaders totaling 3,450 participants, of which 2,275 constitute farmer leaders and farmers. Twenty-eight separate programmes have been held for drinking water, CBOs, and schools.

This 2021 Readiness proposal expects to mobilize existing resources with greater focus and building capacity in a way that can be sustained after the project concludes. It will work with and alongside existing institutional arrangements aligning them to meet the NDA's requirements through technical support and training. It will specifically focus on the need to take integrated approaches to managing water and related resources to enable Sri Lanka to build its adaptive capacity; this will require a paradigm shift from the current focus on water sub-sectors (such as irrigation, WASH, etc.) driven by agency/function-based arrangements and corresponding

information flow. At present, many aspects of water management are state-managed, allowing for little interface and entry by the corporate sector which can drive efforts for climate resilience especially by technology adoption and supportive financial and operational services if included.

GWPO, GWP South Asia RWP and GWP Sri Lanka have within them and have access to, an extensive pool of eminent climate and water experts through its partner network. GWP Sri Lanka has as its guiding governance members (Steering Committee) the main sub- sector ministries and agencies along with universities and research institutes, including IWMI, for backstopping. As the water sector is at present predominantly state managed, the close relationships GWP Sri Lanka maintain with the state water agencies and ministries since 2000, working on joint programmes and initiatives especially related to drinking water, schools, irrigated and export agriculture, including since 2009 working on climate change as one of the first organizations to do so, has assured for itself a unique position for a non-state organization. The Water and Climate Resilience Programme (WACREP) for GWP South Asia RWP, funded by DFID, has enabled GWP Sri Lanka since 2012 to be in the forefront of water sector climate resilience activities, including developing the largest number of knowledge products in national languages and holding district and field level programmes that are in high demand both in the drinking water, export agriculture and irrigated agriculture sub-sectors.

Additional value has been provided by the many supportive Corporate Social Responsibility (CSR) initiatives funded by major banks and corporates that have supplemented and reinforced the joint state-led programmes with initiatives related to landslides, river sand mining and climate resilience including in the tea landscape. Thus, GWPO, GWP South Asia RWP and GWP Sri Lanka are in the advantageous position of being able to seamlessly merge and integrate the proposed 2021 Readiness actions to existing institutional and operational arrangements to ensure successful take up and adoption.

2021 *Readiness Exit Strategy and Sustainability*

The exit strategy of the proposed project is centered around the creation of lasting capacity and information products that will be retained beyond the project lifetime. Under Outcome 1.2, it is expected that the helpdesk which will have been established under the proposed readiness project will have contributed towards advancing Direct Access accreditation in Sri Lanka. The NDA will retain the knowledge and capacity for operating the helpdesk, including operational manuals and other information products pertaining to accreditation support. A sustainable financing plan for the Direct Access Accreditation Support Helpdesk is a deliverable under this outcome. Furthermore, under Outcome 1.3, the pipeline DAEs will have developed a strong network for the development of their respective Entity Work Programmes. The mechanism used for engaging with stakeholders will also be institutionalized within each DAE. Lastly, the data portal that will be operationalized under Outcome 1.3 will be evaluated before project closure and a strategy will be devised to maintain the technical operations and guide financial sustainability of this portal in the longer term.

The Green Growth Strategy that will be advanced to the entire country under Outcome 2.2 will be retained with the NDA. As this strategy will be developed in close cooperation with the ongoing NAP activities, and used to strengthen these NAP activities, the Green Growth Strategy will already be in use and institutionalized before project closure.

Under Outcome 4.1, the development of GCF Concept Notes aims to tap into existing capacities in line ministries and provincial departments. Further capacity that will be built in developing GCF Concept Notes and feasibility studies will be retained in-country through close collaboration between international consultants and local consultants, as well as the NDA. This collaboration will ensure that the local capacity to develop and implement GCF projects in Sri Lanka will be strengthened through experiential learning, while the NDA will gain hands-on experience on overseeing such project development.

Other

Sri Lanka is not currently subject to any UNSC restrictive measures. Via its country and regional offices, GWPO continuously monitors political and security contexts of its programmes (including UNSC restrictive measures) and evaluates pro-active and/or responsive measures related to project implementation.

READINESS & PREPARATORY SUPPORT

GREEN CLIMATE FUND

BUDGET, PROCUREMENT & IMPLEMENTATION PLAN

Readiness Grant Budget Preparation Guidelines

This file contains three specific planning tools to complete the supplementary information required when submitting a proposal for Readiness Programme support (including for NAP/adaptation planning):

- Budget plan and accompany Budget notes
- Procurement plan
- Implementation plan

The following considerations are important when completing the budget:

1. Before preparing the Readiness and budget, procurement, and implementation plans, please read the full guidance contained in the Readiness Programme Guidebook, specifically Part III Section 5

2. You can select the appropriate budget categories from the dropdown list in the budget plan:

3. To insert additional rows, right click on the row number below where you wish to insert the new row and choose INSERT.

4. Additional budget categories may be added by manually typing them on the Budget Category sheet. :

5. The Budget Notes sheet should be used to record explanations, further details or cost breakdowns for individual lines
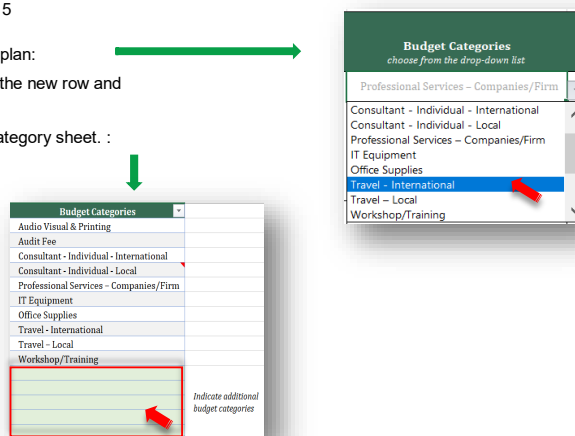
Project Management Cost:
Project management costs (PMC) are the direct administrative costs incurred to execute a project. They should cover only incremental costs incurred due to the GCF contribution. In most cases, these costs are directly related to the support of a dedicated project management unit which manages the day to day execution related activities of the project.

General Principles for PMC costs:

1. The percentage of PMC financed by GCF should not be more than the percentage share of the overall budget financed by GCF
2. PMC budget thresholds: Up to 7.5 per cent of total activity budget.
   > PMC exceeding 7.5 per cent for the readiness (including NAPs) proposals, and PPF proposals, up to $ 3 million will require detailed documentation and justification supporting the entire PMC budget.
   > The PMC should be shown as a separate component in the project budget. A detailed breakdown of PMC should be provided by budget category.
   > Indicative list of eligible project management costs:
      > **Project staffing and consultants:** Project manager, Project Assistant, Procurement personnel, Finance personnel & Support/admin. Personnel
      > **Other direct costs:** Office equipment, Mission related travel cost of the PMU, Project management systems and information technology, Office supplies, Audit cost

Contingency :

1. Select the appropriate % of Contingency Budget from the dropdown list :
2. Contingency budget for unforeseen costs arising during the project implementation should not be included in the outcome budget separately.

3. Contingency budget must be used for any unforeseen programme (output level) cost that is unrelated to implementation/service fee.

4. Any use of contingency must be reported to and agreed by the GCF Secretariat in writing in advance provided with justifications that are acceptable to the GCF

5. If by the end of the grant implementation period, you have not spent Contingency, you may not increase the scope of the project or make any other expenditures using the Contingency.

If you are unsure about how to complete the budget template, please send your query to: countries@gcfund.org
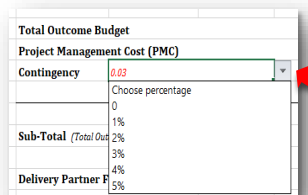
Budget Categories
Audio Visual & Printing
Audit Fee
Consultant - Individual - International
Consultant - Individual - Local
Professional Services – Companies/Firm
IT Equipment
Office Supplies
Travel - International
Travel – Local
Workshop/Training
GWP Technical Support
GWP South Asia PMC Costs
Consultant - Individual - International (Instituti

Indicate additional budget categories

Budget Note	Detailed Description
A1	One International consultant (policy expert) to support the development of required materials to operate the helpdesk (Activities 1.2.1a - b) for 5 days @US$600 per day
B1	3 Local consultants to establish and operate the helpdesk. One Project Coordinator (30 days), one Policy Expert (100 days) and one Gender Advisor (10 days) @US$300 per day. TORs are available in the Readiness proposal.
E1	GWP Technical support beyond Q/A and project oversight - to be provided by specialist GWP regional staff in the fields of climate change, M&E, GCF project development, communications and gender. Also includes costs of expert reference group to review project outputs. Under E1, a suitable GWP communications expert will be designated to support on communications (for holding a workshop, establishing a helpdesk and determining methods of engagement).
AI	A Direct Access Accreditation Needs Assessment Workshop for all 8 pipeline DAEs and NDA representatives. Expected participants: 25-35 people.
AF	Office consumables monthly lump sum (US$200 per month), to be used for paper, files, printer cartridges, etc.
AG	5 Laptops @US$1,000 each, 5 screens and peripherals @US$500 each and software license fees @US$150. One each for each of the three consultants to undertake their work to support DAEs, build stakeholder capacity and strengthen national frameworks. 2 laptops, screens, peripherals and license fees for NDA staff that will be operating the data portal to enable remote working and connectivity in the COVID context. One Printer/Scanner @US$300.
N	Costs for printing and communications associated with the engagement workshop
U	Linked workshops to introduce DAEs to potential programming opportunities, establish a working group and build shared understanding on prioritisation of climate change interventions. Estimated attendance per workshop: 40 - 60 people
AH	Lump sum provision for audio and communication costs
E2	GWP Technical Support provided to develop the working group. This support will be provided specifically by a suitably qualified communications expert
B2	3 Local consultants to support the delivery of workshops and form a working group. One Project Coordinator (30 days), one Policy Expert (20 days) and one Gender Advisor (20 days) @US$300 per day. TORs are available in the Readiness proposal.
V	Travel costs for GWP staff to attend the DAE workshop
A2	One International consultant (policy expert) to support the strengthening of the existing Stakeholder Engagement Strategy by supporting a gap assessment and providing international best practice guidance (Activities 1.3.1a - b) for 15 days @US$600 per day
B3	3 Local consultants to support the delivery of workshops and form a working group. One Project Coordinator (20 days), one Policy Expert (20 days) and one Gender Advisor (30 days) @US$300 per day. TORs are available in the Readiness proposal.
C	Tickets for GWP staff and international consultant to Colombo @ US$1500 per return flight, plus 5 days DSA and internal travel costs @ US$ 300 per day.
D	National capacity building workshops for NDA and other stakeholders, 40-60 people
E3	GWP Technical support provided by a suitably qualified Gender Specialist as well as a suitably qualified Communications Expert
F	Contract for professional services to develop and produce training materials to be presented at the capacity building workshops. Includes printing costs
A3	One International consultant (policy expert) to support the strengthening of the existing Stakeholder Engagement Strategy by supporting a gap assessment and providing international best practice guidance (Activities 1.3.1a - b) for 15 days @US$600 per day
E4	GWP Technical support provided by a suitably qualified Communications Expert
B4	3 Local consultants to operationalize the data and information portal and conduct an early assessment of this portal before project closure . One Project Coordinator (30 days), one Policy Expert (50 days) and one Gender Advisor (13 days) @US$300 per day. TORs are available in the Readiness proposal.
H	Lump sum for local travel (10 days DSA for local staff)
O	4 linked workshops for engagements to develop a climate-smart green growth strategy. 1 vision-setting workshop at national level to align stakeholders on potential future scenarios of climate resilient sustainable development in Sri Lanka. 3 strategy development workshops to engage with stakeholders on the strategy. Each worksho: 40-60 participants
A4	One International consultant (policy expert) to lead the development of a climate-smart Green Growth Strategy (Output 2.1.1) for 60 days @US$600 per day
B5	3 Local consultants to support the institutional expert in developing the climate-smart green growth strategy (Output 2.1.1). One Project Coordinator (50 days), one Policy Expert (90 days) and one Gender Advisor (30 days) @US$300 per day. TORs are available in the Readiness proposal.
E5	GWP Technical support for the development of Climate Smart Green Growth strategy beyond Q/A and technical backstopping, to be provided from a suitable Water and Climate Resilience Expert, Gender Expert and communications support to be provided from a Communications Expert.
S	International travel for international consultant and GWP staff to attend the vision setting workshop
T	Lump sum for local travel for local consultant and PMU staff; includes meetings with stakeholders
K	Engagement workshop. Amount Includes venue hire for 3 days (including technical inputs) and travel and accommodation for local key stakeholders, 30-50 participants
B6	3 Local consultants to develop a pipeline development plan under the lead of the GWP Water and Climate Change Specialist. One Project Coordinator (19 days), one Policy Expert (20 days) and one Gender Advisor (7 days) @US$300 per day. TORs are available in the Readiness proposal.
E6	GWP Technical Support provided by the GWP Project Development Specialist to the development of a GCF Pipeline Development Plan
E7	GWP Project Development Specialist for 60 days to develop 3 concept notes
X	Local consultants (at least one per Concept Note to be developed) to support the collection of data, conduct engagements and arrange workshops for the development of pre-feasibility studies to support the development of 3 Concept Notes. 80 days per Concept Note @ US$300 per day.
Y	At least 3 consultants to develop pre-feasibility studies and support the development of Concept Notes - one environmental, social and gender specialist (8 days per concept note), one economic and financial specialist (8 days per concept note), and one technical expert (25 days per concept note) to lead the development of the pre-feasibility study. Separate technical experts will likely need to be contracted to account for potentially different concept note themes. The same experts will be used for economic, financial, environmental and social themes to improve resource efficiency. Pricing for specialists in the field of climate finance have been determined based on experience with relevant experts and is set at US$700 per day.
Z	Local travel to develop concept notes - includes stakeholder and community engagements by local consultants for 3 concept notes @US$3000 per concept note
AA	International flights + DSA for 10 days for 3 technical experts plus GWP Programme Development Specialist for in-country mission. Economic & financial expert and environmental, gender & social experts will support the technical expert and GWP Programme Development Specialist remotely.
AB	1 inception and 1 validation workshop per concept note for 3 concept notes. Additional budget has been allocated to account for increased attendance as a result of combining these functions. Estimate 30-60 people.
PMC1	Project management support by GWP South Asia RWP Host IWMI for support on bookkeeping and accounting, internal controls, recruitment & HR, audit preparation and attending to auditors , cash flow management and budget monitoring. Consists of Finance Officer, Financial Manager, HR Officer, Administrator. These are existing services and no new staff will be hired. All functions will be utilised on an 'as needs' basis. IWMI will allocate all project management costs towards the Finance Officer, Financial Manager, HR Officer and Administrator only (and will not charge IT and legal costs to the PMC). IWMI will submit quarterly invoices (based on monthly timesheets) for all services provided to the implementation of this Readiness Request for auditing purposes.
PMC2	3 Audits at US$3,000 each
PMC3	One local consultant (National Project Co-ordinator) identified in B1 above, 15% time allocation to PMC for 31 days @USD300 per day
AJ	Web hosting fees for the NDA data and information portal with existing service provider: US$1268/month for 6 months = US$30,432

5.1 Budget Plan

Please add rows for Outcomes, Outputs and Cost Categories as required. Additional budget categories may be added by manually typing them on the Budget Category sheet.

Outcomes / Outputs	Budget Categories choose from the drop-down list	Unit	# of Unit	Unit Cost	Total Budget (per budget category)	Total Budget (per sub-outcome)	Total Budget (per outcome)	6m	12m	18m	24m	30m	36m	Budget notes
Outcome 1.2	Output 1.2.1: Direct Access Accreditation Support Helpdesk established within the NDA — Consultant - Individual - International (Institutional Expert)	W/Day	5	600.00	3,000.00	74,100.00	117,850.00	2,000.00	1,000.00					A1
	Consultant - Individual - Local	W/Day	140	300.00	42,000.00			14,000.00	14,000.00	14,000.00				B1
	GWP Technical Support	W/Day	10	550.00	5,500.00			2,500.00	2,000.00	1,000.00				E1
	Workshop/Training	Workshop	1	4,500.00	4,500.00			4,500.00						AI
	Office Supplies	Monthly	24	200.00	4,800.00			1,200.00	1,200.00	1,200.00	1,200.00			AF
	IT Equipment	Laptops	5	1,710.00	8,550.00			8,550.00						AG
	Audio Visual & Printing	Lump Sum	1	5,750.00	5,750.00			5,750.00						N
	Output 1.2.2: Project development working group (coordinated by NDA) established for DAEs to engage with potential project proponents and executing entities for ideation and development of potential GCF projects – including projects targeting the GCF Private Sector Facility (PSF) — Workshop/Training	Workshop	3	4,500.00	13,500.00	43,750.00			13,500.00					U
	Audio Visual & Printing	Lump Sum	1	750.00	750.00				750.00					AH
	GWP Technical Support	W/Day	10	550.00	5,500.00				5,500.00					E2
	Consultant - Individual - Local	W/Day	70	300.00	21,000.00				21,000.00					B2
	Travel - International	Trips	1	3,000.00	3,000.00				3,000.00					V
Outcome 1.3	Output 1.3.1: Strengthened and operationalized Stakeholder Engagement Strategy, based on a gap and capacity assessment, including specifically gender and other social inclusion considerations (e.g. indigenous peoples and social minorities) — Consultant - Individual - International (Institutional Expert)	W/Day	15	600.00	9,000.00	63,250.00	145,072.00	9,000.00						A2
	Consultant - Individual - Local	W/Day	70	300.00	21,000.00			21,000.00						B3
	Travel - International	Trips	2	3,000.00	6,000.00			6,000.00						C
	Workshop/Training	Workshop	2	4,500.00	9,000.00			9,000.00						D
	GWP Technical Support	W/Day	10	550.00	5,500.00			5,500.00						E3
	Audio Visual & Printing	Lump Sum	1	750.00	750.00			750.00						AH
	Professional Services – Companies/Firm	Lump Sum	1	12,000.00	12,000.00			12,000.00						F
	Output 1.3.2: The NDA data and information portal, developed by the 2019 ICRAF-led Readiness, is fully operational — Consultant - Individual - International (Institutional Expert)	W/Day	10	600.00	6,000.00	81,822.00				6,000.00				A3
	GWP Technical Support	W/Day	20	550.00	11,000.00					11,000.00				E4
	Consultant - Individual - Local	W/Day	93	300.00	27,900.00				13,950.00	13,950.00				B4
	Workshop/Training	Workshop	1	4,500.00	4,500.00					4,500.00				AF
	Professional Services – Companies/Firm	Months	24	1,268.00	30,432.00			7,608.00	7,608.00	7,608.00	7,608.00			AJ
	Audio Visual & Printing	Lump Sum	1	750.00	750.00					750.00				AG
	Travel – Local	Lump Sum	1	1,240.00	1,240.00					1,240.00				H
Outcome 2.2	Output 2.2.1 An NDA-validated nation-wide Climate-Smart Green Growth Strategy — Workshop/Training	Workshop	1	4,000.00	4,000.00	147,250.00	147,250.00		4000					AI
	Workshop/Training	Workshop	4	4,000.00	16,000.00			16,000.00						O
	Audio Visual & Printing	Lump Sum	1	750.00	750.00			750.00						AH
	Consultant - Individual - International (Institutional Expert)	W/Day	60	600.00	36,000.00			18,000.00	18,000.00					A4
	Consultant - Individual - Local	W/Day	170	300.00	51,000.00			25,500.00	25,500.00					B5
	GWP Technical Support	W/Day	50	550.00	27,500.00			13,750.00	13,750.00					E5
	Travel - International	Trips	3	3,000.00	9,000.00				9,000.00					S
	Travel – Local	Lump Sum	1	3,000.00	3,000.00				3,000.00					T
	Output 4.1.1: Pipeline Development Plan in place for priority project ideas identified under the Country Programme (developed during the ICRAF-led 2019 Readiness). Pipeline Development Plan accessible to Sri Lanka's — Workshop/Training	Workshop	1	10,000.00	10,000.00	40,050.00			10,000.00					K
	Travel - International	Trips	3	3,000.00	9,000.00				9,000.00					C
	Consultant - Individual - Local	W/Day	46	300.00	13,800.00				13,800.00					B6
	GWP Technical Support	W/Day	10	550.00	5,500.00				5,500.00					E6

	Pipeline Development Plan accessible to Sri Lanka's GCF programming stakeholders via NDA's data and information portal	Audio Visual & Printing	Lump Sum	1	1,750.00	1,750.00				1,750.00				N
Outcome 4.1		GWP Technical Support	W/Day	60	550.00	33,000.00		280,900.00		9,900.00	23,100.00			E7
		Audio Visual & Printing	Lump Sum	1	1,750.00	1,750.00					875.00	875.00		AH
		Consultant - Individual - Local	W/Day	240	300.00	72,000.00				24,000.00	24,000.00	24,000.00		X
	Output 4.1.2: 3 new GCF concept notes validated and finalized for submission to GCF	Consultant - Individual - International	W/Day	123	700.00	86,100.00		240,850.00		28,700.00	57,400.00			Y
		Travel – Local	Lump Sum	1	6,000.00	6,000.00				3,000.00	3,000.00			Z
		Travel - International	Trips	4	4,500.00	18,000.00					12,600.00	5,400.00		AA
		Workshop/Training	Workshop	6	4,000.00	24,000.00					16,800.00	7,200.00		AB
Total Outcome Budget								691,072.00	183,358.00	262,408.00	199,023.00	46,283.00	-	-

Project Management Cost (PMC) Up to 7.5% of Total Activity Budget		GWP South Asia PMC Costs	Months	24	1,397.10	33,530.40				PMC1
		Audit Fee	Audit	3	3,000.00	9,000.00	Actual amount and % of PMC requested:	Maximum PMC that can be requested:		PMC2
							✅ 51,830.40	51,830.40		
		Consultant - Individual - Local	Days	31	300.00	9,300.00	✅ 7.50%	7.50%		PMC3

FOR GREEN CLIMATE FUND SECRETARIAT'S USE ONLY

Breakdown (per budget category)	Total (per budget category)
Audio Visual & Printing	12,250.00
Audit Fee	9,000.00
Consultant - Individual - International	86,100.00
Consultant - Individual - Local	258,000.00
Professional Services – Companies/Firm	42,432.00
IT Equipment	8,550.00
Office Supplies	4,800.00
Travel - International	45,000.00
Travel – Local	10,240.00
Workshop/Training	85,500.00
GWP Technical Support	93,500.00
GWP South Asia PMC Costs	33,530.40
Consultant - Individual - International (Institutional Expert)	54,000.00
0	-
0	-
Total Outcome Budget + PMC	**742,902.40**

FOR GREEN CLIMATE FUND SECRETARIAT'S USE ONLY

Total Outcome Budget		691,072.00
Project Management Cost (PMC)	7.5% requested	51,830.40
Contingency	1% requested	6,910.72
Sub-Total (Total Outcome Budget + Contingency + PMC)		749,813.12
Delivery Partner Fee (DP) - Up to 8.5% of the Sub-Total		63,734.12
Total Project Budget (Total Activity Budget + Contingency + PMC + DP)	$	813,548.00

5.2 Procurement Plan

For goods, services, and consultancies to be procured, please list the items, descriptions in relation to the activities in Section 3, estimated cost, procurement method, relevant threshold, and the estimated dates. Please include the procurement plan for at least the first tranche of disbursement requested below and provide a full procurement plan for the entire duration of the implementation period if available at this stage.

Item	Item Description	Estimated Cost (US$)	Procurement Method	Thresholds (Min-Max monetary value for which indicated procurement method must be used)	Estimated Start Date	Projected Contracting Date
Goods and Non-Consulting Services						
IT Equipment	5 Laptops @US$1,000 each, 5 screens and peripherals @US$500 each and software license fees @US$150. One each for each of the three consultants to undertake their work to support DAEs, build stakeholder capacity and strengthen	8,550.00	Direct Procurement	Each item below 5,000	Month 1	Month 1
Office Suppliies	Office consumables monthly lump sum (US$200 per month for 24 months), to be used for paper, files, printer cartridges, etc.	4,800.00	Direct Purchasing	Below 5,000	Month 1	Month 1
Audit Fee	Costs for 3 Project Audits	9,000.00	Direct Purchasing- To use institutional auditors procured through open tender to provide services for a set period of time	Between 5000 and 10000	Month 11	Month 13
Professional services	Contract to develop training materials for capacity building workshops under Output 1.3.1	12,000.00	Selective Competitive Tendering	Between 10000 and 100000	Month 1	Month 2
Flights	Various flights for project-related travel (consultants, GWP Technical Staff and NDA staff). 16 trips are foreseen	24,000.00	Direct Purchasing -Individual flight cost value below 5000	Below 5,000	Month 1	Month 1
Travel costs	Incidental costs of 16 international trips, including per diems	21,000.00	Direct Purchasing	Below 5,000	Month 1	Month 3
Local Travel	Lump Sum for local travel costs	10,240.00	Direct Purchasing	Below 5,000	Month 1	Month 3
Workshop costs	Venue hire, audio-technical setup and incidental costs for workshops.	85,500.00	Method for procurement will depend on amount for each service/goods provider included in the workshop cost	Threshold will depend on the cost of each workshop related cost	Month 1	Month 1
Audio, Visual and printing	Lump-sum allocated for communications materials for workshops, meetings and other activities requiring communications	12,250.00	Method for procurement will depend on amount for each service/goods provider included in the workshop cost	Threshold will depend on the cost of each workshop related cost	Month 1	N/A
Professional services	Web hosting fees for the knowledge management platform in the NDA, US$1,268 per month for 24 months	30,432.00	Existing Service provider	Existing service provider	Month 1	Month 1
Sub-Total (US$)		$ 217,772.00				
Consultancy Services						
International Consultant	Institutional Expert	54,000.00	Shortlisting at least 5 experts	Above 50000	Month 1	Month 2
International Consultant	E&S Expert	16,800.00	Shortlisting at least 3 experts	Between 20000 and 50000	Month 7	Month 8
International Consultant	Economics & Financial Expert	16,800.00	Shortlisting at least 3 experts	Between 20000 and 50000	Month 7	Month 8

International Consultant	Technical Expert - Concept Note and Pre-Feasibility Study(x3)	52,500.00	Shortlisting at least 5 experts	Above 50000	Month 7	Month 8
National Consultant	Policy Expert	90,000.00	Shortlisting at least 5 experts	Above 50000	Month 1	Month 2
National Consultant	Technical Expert - Concept Note and Pre-Feasibility Study (x3)	72,000.00	Shortlisting at least 5 experts	Above 50000	Month 7	Month 8
National Consultant	National Project Coordinator	63,000.00	Shortlisting at least 3 experts	Above 50000	Month 1	Month 2
National Consultant	Gender & Social Inclusion Expert	33,000.00	Shortlisting at least 3 experts	Between 20000 and 50000	Month 1	Month 2
Sub-Total (US$)		$ 398,100.00				

Make sure the identifier number of each activity and deliverable matches with the proposal as this table does not require its name or description. Please refrain from adding descriptions.

For more guidance on how to fill out this tables, please see Part III Section 5 of the Readiness Guidebook

Legend:
- ▨ Planned duration
- ☒ Milestone (deliverable)
- ☒ Target completion date

Activities & Deliverables		Estimated Timeline

Reporting

Activity	Deliverable	Timeline
Activity 1.2.1.a: Undertake a Direct Access Accreditation Needs Assessment of pipeline DAEs, to identify priority needs and preferred methods of engagement for support to be provided through the proposed helpdesk, via: i) A barrier analysis workshop attended by all nominated DAEs – to identify barriers, assess gaps and needs for advancing direct access accreditation ii) Follow up direct engagement with individual pipeline DAEs to further inform helpdesk design features	**Deliverable 1.2.1.a:** i) Accreditation Barrier Analysis Workshop Report ii) Direct Access Accreditation Needs Assessment Report & Proposed Helpdesk Concept Note	Planned duration M2–M3; Milestone/Target completion M4
Activity 1.2.1.b: Establish and staff a Direct Access Accreditation Support Helpdesk within the NDA (including IT Equipment provisioning), based on findings in Deliverables 1.2.1.a, by: i) Developing TORs for Helpdesk staff and recruiting personnel ii) Developing training material for relevant Helpdesk staff iii) Conducting training for relevant Helpdesk staff iv) Developing a Helpdesk service manual v) Developing a first annual Helpdesk workplan; and vi) Developing a Sustainable Financing Plan for Helpdesk, to enable its functioning for the period needed by Sri Lanka's NDA and its direct access stakeholders	**Deliverable 1.2.1.b:** Relevant documentation indicating the establishment of a Direct Access Accreditation Support Helpdesk, including: i) TORs for Direct Access Accreditation Support Helpdesk staff; personnel recruited ii) Training material for Helpdesk staff iii) Pre– and post-training survey results iv) Helpdesk service manual that outlines Standard Operating Procedures for engaging with pipeline DAEs v) First annual Helpdesk workplan vi) Sustainable Financing Plan for Helpdesk (all translated to Sinhalese and Tamil)	Planned duration M5–M6; Milestone/Target completion M7
Activity 1.2.2: Establish a project development working group the following series of steps: i) Develop training material and conduct a training workshop to introduce pipeline DAEs to potential opportunities for GCF programming and projects (including potential PSF projects), including project technical and financial structuring options, in lower watersheds and coastal regions, specifically around integrated approaches to water management for climate resilient irrigation and agriculture, biodiversity and ecosystem services, energy, waste management, health, and coastal zone management; ii) Conduct a project development	**Deliverable 1.2.2.a:** i) Training material to introduce pipeline DAEs to potential opportunities for GCF programming and projects (including potential PSF projects), including project technical and financial structuring options, in lower watersheds and coastal regions, specifically around integrated approaches to water management for climate resilient irrigation and agriculture, biodiversity and ecosystem services, energy, waste management, health, and coastal zone management ii) A training workshop report on GCF programming opportunities and project technical and financial structuring, including pre – and – post workshop capacity assessment surveys (all translated to Sinhalese and Tamil)	Planned duration M5–M6; Target completion M7

Timeline columns: M1 M2 M3 M4 M5 M6 M7 M8 M9 M10 M11 M12 M13 M14 M15 M16 M17 M18 M19 M20 M21 M22 M23 M24 M25 M26 M27 M28 M29 M30 M31 M32 M33 M34 M35 M36

Activity	Deliverable
ii) Conduct a project development stakeholder engagement workshop to develop shared understanding of main roles & responsibilities in the GCF project development cycle (priority ideas to concept note to funding proposal), and identify corresponding entities that undertake those roles in Sri Lanka iii) Develop TORs for multi-stakeholder project development working group including relevant project proponents and executing entities. Validate TORs by participants of above project development stakeholder workshop. Develop working group members list, initial workplan (linked to Pipeline Development Plan in Output 4.1.1). Conduct first working group meeting.	Deliverable 1.2.2.b: A project development stakeholder workshop report mapping agreed roles of different stakeholders for advancing priority project ideas to GCF project concept note submission, and further to full proposal (translated to Sinhalese and Tamil) Deliverable 1.2.2.c: Relevant documentation indicating the establishment and functioning of a project development working group: · Working group TORs (endorsed by project development stakeholder workshop participants) · Members list · Initial workplan · Minutes of first meeting.
Activity 1.3.1.a: Via targeted focus groups and surveys, assess capacity of NDA, executing entities, civil society organizations, NGOs and private sector, and marginalized groups (incl. women, indigenous groups, social minorities etc.) for effectively engaging in GCF programming (at different stages of the project development cycle) as specified in the 'Stakeholder Engagement Strategy for GCF-related Activities in Sri Lanka', and propose actions to address any gaps. Ensure engagement of, and address concerns of, women and other vulnerable groups.	Deliverable 1.3.1.a: i) Focus group/survey questionnaires ii) Report and action plan: 'Effectively engaging executing entities, CSOs, NGOs, the private sector, and marginalized groups in programming and project development for the GCF – an assessment of capacity gaps of NDA and stakeholders, and an action plan for capacity strengthening' (translated to Sinhalese and Tamil)
Activity 1.3.1.b: Implement 2 capacity building workshops (1 for the NDA, 1 for other stakeholders) - per the recommendations of the stakeholder engagement capacity strengthening action plan in Deliverable 1.3.1.a.	Deliverable 1.3.1b: 2 capacity building workshop reports, including completed pre-and post-workshop capacity surveys
Activity 1.3.2.a: Operationalize the data and information portal managed by the NDA (developed by ICRAF-led 2019 Readiness) by: i) continuing to provide web hosting support ii) supporting line Ministries, Provincial Councils, and relevant entities to digitize and upload relevant information to the portal.	Deliverable 1.3.2.a: Report on the functionality and usage statistics of the climate information portal

Activity	Deliverable	Gantt Timeline
Activity 1.3.2.b: Conduct an early assessment of data and information portal established under the ICRAF-led 2019 Readiness, including O&M needs, technical and financial sustainability, value-to-user. Capture lessons from all target users including all GCF programming stakeholders (NDA, DAE, International Accredited Entities (IAEs), Delivery Partners, Executing Entities, project sponsors, private sector, CSOs, NGOs, etc.). Propose steps to strengthen data and information portal focused on creating value for target users (including integrating Pipeline Development Plan in Output 4.1.1).	**Deliverable 1.3.2.b:** Data and information portal assessment report: · Capturing inputs of key GCF programming stakeholders in country (across all levels) on how fit-for-purpose the data and information portal is; · recommending any needed updates and concrete steps for improvement; · outlining O&M action plan for the portal; and · outlining a technical and financial sustainability strategy for the portal. (translated to Sinhalese and Tamil)	
Activity 2.2.1.a: Develop a Climate-Smart Green Growth Strategy for the Lower Watersheds and Coastal Regions of Sri Lanka by: i) Developing training material and training all relevant stakeholders on GCF financial structuring to enhance the strategic engagement with GCF as a climate financier for future implementation of the Climate-Smart Green Growth Strategy as a way of advancing Sri Lanka's Pipeline Development Plan (Output 4.1.1); ii) engaging in a national-level Green Growth Strategy vision setting exercise to align stakeholders and allow for participatory design inputs to the Climate-Smart Green Growth Strategy; iii) developing scenarios for a climate-resilient and sustainable Sri Lanka; iv) developing the Green Growth Strategy for Lower Watersheds and Coastal Regions using inputs from the newly trained and capacitated stakeholders who have been engaged in inputs i) and ii) above, as well as	**Deliverable 2.2.1.a.1:** Training material on GCF project financial structuring – with the aim of enabling participants to understand the links between implementation of	
	Deliverable 2.2.1.a.2: GCF investment project financial structuring training workshop report, including pre – and – post workshop capacity assessment surveys	
	Deliverable 2.2.1.a.3: A national-level Green Growth Strategy vision workshop report (translated to Sinhalese and Tamil)	
	Deliverable 2.2.1.a.4: Report on possible future climate change impacts and potential climate-resilient and sustainable green growth pathways for Sri Lanka	
	Deliverable 2.2.1.a.5: 3 successive Green Growth Strategy development workshop reports.	
	Deliverable 2.2.1.a.6: A Climate-Smart Green Growth Strategy (translated to Sinhalese and Tamil) for Lower Watersheds and Coastal Regions of Sri Lanka validated by the NDA.	
Activity 2.2.1.b: Develop a brief synthesis, and a 4-page policy brief, that consolidates the Climate-Smart Green Growth Strategies for the Lower Watersheds & Coastal Regions, and for the Central Highlands (developed by ICRAF-led 2019 Readiness) to provide a succinct nation-	**Deliverable 2.2.1.b.1:** Synthesis climate-smart green growth strategy brief for Sri Lanka (including Central Highlands, Lower Watersheds, Coastal Regions) validated by NDA (translated to Sinhalese and Tamil)	
	Deliverable 2.2.1.b.2: 4-page policy brief of Deliverable 2.2.1.b.1 (translated to Sinhalese and Tamil)	
Activity 4.1.1: Undertake a multi-stakeholder consultative process to develop an Pipeline Development Plan detailing the schedule for development of project ideas currently in Sri Lanka's Country Programme and for their submission to GCF – including steps required to identify suitable AEs (direct and international), obtain financing for project development, and indicative submission years for concept	**Deliverable 4.1.1:** Pipeline Development Plan for GCF project ideas to be submitted until 2023, and indicative plan for 2024-2026 – both integrated into NDA Operations Manual and NDA's data and information portal.	

Activity	Deliverable
Activity 4.1.2.a: With the engagement of NDA working groups and AEs, identify 3 new project ideas from Pipeline Development Plan to be developed into GCF Concept Notes, matching with Accredited Entities to support the submission and project development (ideally DAEs in Sri Lanka, but IAEs may be approached if no DAE is available)	Deliverable 4.1.2.a: Stakeholder meetings and 3 new project idea notes
Activity 4.1.2.b: Hold three project development inception workshops to obtain input into the project ideas and outline implementation arrangements, initiate inception field missions in coordination with AEs	Deliverable 4.1.2.b: 3 project inception workshops (one per project idea)
Activity 4.1.2.c: Prepare pre-feasibility studies, including environmental and social risk screening and preliminary gender analyses for 3 Concept Notes	Deliverable 4.1.2.c: Pre-feasibility studies, ESS screening reports, gender analyses, and any additional annexes for the selected Concept Notes
Activity 4.1.2.d: Draft 3 Concept Notes (to be drafted by consultants remotely post the field mission and shared amongst all key stakeholders)	Deliverable 4.1.2.d: 3 Draft Concept Notes
Activity 4.1.2.e: Organize a validation workshop for each of the 3 Concept Notes [AL1] [RS2] and revise these Concept Notes based on feedback received.	Deliverable 4.1.2.e: 3 validated concept notes finalized for NDA to submit to GCF