



Fifth Steering Committee

20-21 June 2023

SOFF Investment Phase Framework

Decision 5.8

Systematic Observations
Financing Facility

**Weather
and climate
data for
resilience**



Decision 5.8: SOFF Investment Phase Framework

The SOFF Steering Committee

Adopts the SOFF Investment Phase Framework and SOFF Investment Phase Funding Request Template, and asks the SOFF Secretariat to add to the template a specific requirement to indicate the role of Civil Society Organizations.

Requests the SOFF Secretariat

- To conduct the necessary actions following the process stated in the SOFF Operational Manual including to coordinate the preparation of the first batch of Investment Phase funding requests for consideration at the 6th Steering Committee meeting.
- To develop Operational Guidance Notes for the Investment Phase and Reporting templates.

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SOFF Investment Phase Framework

1. Introduction

This document presents the framework that guides the implementation of the SOFF Investment Phase. While the general operational provisions are outlined in the SOFF Operational Manual, this framework specifies the execution, implementation arrangements and responsibilities, as well as financial modalities that the SOFF Implementing Entities apply in the Investment Phase.

The framework is complemented by Operational Guidance Notes on specific topics such as tender specifications, private sector engagement, commissioning period and other guidance relevant to the Investment Phase. These notes are expected to be updated based on evolving operational experience to reflect lessons learned.

2. Investment Phase Overview

2.1. Principles

The Investment Phase Framework is guided by three principles.

- **Results-oriented:** Focus on the achievement of results, rather than inputs, as the measure of success, by using a results-based management approach to the investment phase.
- **Ease of access:** Facilitate the preparation of the Investment Phase Funding Request and accelerate access to funding.
- **Flexibility:** Allow for a dynamic investment phase that addresses the variable challenges of GBON implementation in very diverse country contexts.

The proposed framework strives for coherence with the existing policy frameworks and procedures of the SOFF Implementing Entities to facilitate the preparation of the Investment Phase Funding Request and avoid a cumbersome process that would delay the transition from the Readiness Phase to the Investment Phase.

The simplicity of the framework is particularly suitable for targeted short-cycle investments. The dynamic and results-oriented nature of the Investment Phase allows countries to start delivering results promptly. This is the case in particular for countries that already have some infrastructure in place and, with relatively small interventions, can rapidly start sharing data per Global Basic Observing Network (GBON) requirements.

A results-oriented approach enhances flexibility in implementation, in recognition of the challenges of operating in very diverse country contexts, including Fragile and Conflict-afflicted States (FCSs), prioritizing the achievement of results rather than the assessment of specific inputs.

All SOFF Implementing Entities have experience with results-based management, which is a widely embraced approach to enhance development effectiveness, and many have experience with results-based financing instruments. The Investment Phase's focus on specific results, also allows various Implementing Entities the flexibility to implement according to their own established procedures with beneficiary countries and/or a regional approach if appropriate.

2.2. Scope

The SOFF Investment Phase builds on the outputs of the Readiness Phase: the GBON National Gap Analysis, the GBON National Contribution Plan and (in most cases) the Country Hydromet Diagnostic (CHD).

SOFF beneficiary countries receive support under the Investment Phase to ensure they have the infrastructure and capacity required to collect and share high-quality surface-based weather and climate observations in compliance with the internationally agreed GBON regulations.¹ The initial focus of SOFF Investment Phase is on the GBON standard density requirements for surface and upper-air stations.

The amount of funding allocated in the Investment Phase is country-specific, depending on the specifications of the GBON National Contribution Plan. No cap is applied. The funding covers all the activities and expenditures to procure and install the observation infrastructure, telecommunications, and other equipment needed for GBON compliance, as well as strengthen the human and institutional capacity needed to operate, maintain, sustain and share GBON observations.

SOFF Investment Phase funding also covers the direct and indirect costs of operation and maintenance (including the cost of spare parts) of the improved and newly installed infrastructure during the commissioning period (See Section 4.5).

New and improved GBON stations are expected to be fully operational at the end of the Investment Phase, with stations and institutions operating, collecting, and internationally exchanging data following GBON regulations.

2.3. Additionality principle

According to the SOFF Operational Manual, SOFF is guided by the principle of additionality: "An intervention may be described as additional if it results in something that would not otherwise have occurred."

SOFF support is limited to stations that were not GBON-compliant at the time of the WMO GBON Global Gap Analysis. WMO will undertake an updated Global GBON Gap Analysis as of June 2023, with the GBON network initial composition noted by the 19th World Meteorological Congress. WMO will present this baseline to the SOFF 6th Steering Committee meeting for its consideration and adoption as the "SOFF additionality baseline". The 2023 additionality baseline will be publicly available on the SOFF website, thus ensuring complete transparency and open exchange of information on the status of all stations of SOFF beneficiary countries.

To accommodate national circumstances and capabilities while pursuing avoiding perverse incentives, SOFF beneficiary countries can request an exemption to the additionality principle, provided that there is a strong justification that without SOFF support, the country will not be able to continue funding

¹ The GBON regulations establish that countries **shall** maintain the continuous operation of a set of surface land observing stations at a resolution of 200 km or higher (standard density) and upper air stations at a resolution of 500 km or higher (standard density) and **should** operate surface land observing networks at horizontal resolutions of 100 km or higher (high density) and upper air stations at 200 km or higher (high density). SOFF focuses initially on achieving the "shall" requirements i.e., 200 km resolution for surface stations and 500 km resolution for upper air stations (standard density). GBON regulations have a conditional requirement that Members **shall** exchange data if they operate at higher than standard density.

the operation and maintenance of the stations, for example, where stations were funded by international climate and development funds and mechanisms through time-bound projects.

The GBON National Contribution Plan completed during the SOFF Readiness Phase includes a risk assessment that examines the likelihood that operating stations will cease internationally exchanging data if SOFF does not provide support to those stations and corresponding recommendations, which should be considered and referenced.

The SOFF Steering Committee considers and decides on the countries' request for exemption from the SOFF additionality principle as part of the Investment and Compliance phase funding requests.

2.4. A results-oriented approach

SOFF support aims at achieving a highly ambitious outcome, i.e., sustained GBON compliance. The Theory of Change presented in the [SOFF Terms of Reference](#) outlines clear outputs that need to be delivered to achieve this outcome (further discussed in Section 3).

The success of the Investment Phase is measured by the delivery of the targets indicated in the GBON National Contribution Plan i.e., the number of surface-based and upper-air stations internationally sharing observations as verified by WMO (see Investment Phase results in Section 3).

The unequivocal metrics used to measure success in the outputs and outcome of the Investment Phase, which is guided by the GBON requirements and the GBON compliance criteria,² lend themselves to an investment approach focused on results. Furthermore, the diversity of SOFF beneficiary countries and their specific GBON needs demand a focus on results, which supports an adaptive implementation approach to defining the inputs.

2.5. Programming Criteria

The SOFF Investment Phase is guided by the SOFF Programming Criteria ([Decision 1.4](#)). The preparation of the Funding Requests and design of operations should focus on delivering on these criteria.

- **Close the most significant data gaps** by prioritizing funding flows toward geographic areas that currently have the poorest observational coverage, where strengthening the observing network would yield the largest results regarding the quality of the numerical weather prediction products;
- **Target "easy fixes"** by quickly investing in the capacity, stations, and related infrastructure which can be most easily improved to share data internationally, per GBON regulations;
- **Maximize delivery capacity** by taking advantage of existing Implementing Entities' capacity in country and project management costs across projects wherever possible, to maximize cost effectiveness and efficiency;
- **Create leverage** by integrating or complementing SOFF investments with other ongoing or planned climate adaptation and resilience projects and programs in the SOFF beneficiary countries (where possible), e.g., supported by Implementing Entities and other major climate

² See GBON compliance criteria at the GBON guide (hyperlink to be provided)

and environment funds, which ensures countries can benefit from critical investments across the value chain that will allow them to use the global public good created by SOFF support;

- **Pursue regional and sub-regional gains** by exploring and advancing opportunities to create economies of scale and optimize the design of the observing networks through the development of regionally agreed technical specifications for network infrastructure, leveraging of existing regional mechanisms for coordination, and/or multi-country approaches to procurement (where possible); and
- **Ensure country balance** by tailoring SOFF support to meet the diverse needs of Small Islands Developing States (SIDS) and Least Developed Countries (LDCs) across regions, including FCSs.

3. Investment Phase Results

During the Investment Phase, SOFF funding is used to procure, install and operate the observation infrastructure, telecommunications, and other equipment needed for GBON stations, as well as strengthen the human and institutional capacity needed to operate, maintain, and share GBON observations.

The table below outlines the Investment Phase outputs as well as respective indicators and targets. The baseline and the value of the indicators and targets are established in the **GBON National Contribution Plan**. As part of Module 6 of the National Contribution Plan, the beneficiary countries and the peer advisors work with the Implementing Entities to define phased GBON implementation targets for the Investment phase.

Table 1. Investment Phase results

Output 1. GBON institutional and human capacity developed	Indicators³	Target
1.1 National consultations including with CSOs, and other relevant stakeholders conducted	As per GBON National Contribution Plan	
1.2 NMHS institutional capacity required to operate the GBON network developed		
1.3 NMHS human capacity required to operate the GBON network developed		
Output 2. GBON infrastructure in place	Indicators	Target
2.1 New land-based stations and related equipment, ICT systems, data management systems and standard operating practices in place	# stations as per the GBON National Contribution Plan	
2.2 Improved land-based stations and related equipment, ICT systems, data management systems and standard operating practices in place	# stations as per the GBON National Contribution Plan	
2.3 New upper-air stations and related equipment, ICT systems, data management systems and standard operating practices in place	# stations as per the GBON National Contribution Plan	
2.4 Improved upper-air stations, related equipment, ICT systems, data management systems and standard operating practices in place	# stations as per the GBON National Contribution Plan	

³ The indicators for Output 1 are expected to reflect gender considerations as per the National Contribution Plan and gender-disaggregated data where relevant.

Outcome: Sustained compliance with GBON	Indicator	Target
3.1 GBON land-based stations' commissioning period ⁴ completed, country-specific standard cost for operations and maintenance established, and data sharing verified by WMO Technical Authority	# stations as per the GBON National Contribution Plan	
3.2 GBON upper air stations' commissioning period completed, country-specific standard cost for operations and maintenance established, and data sharing verified by WMO Technical Authority	# stations as per the GBON National Contribution Plan	

⁴ The commissioning period is the last year of the Investment Phase. The beneficiary country, supported by the Implementing Entity, must demonstrate the sustained operation of all the SOFF-supported stations according to the GBON compliance criteria and as verified by WMO as the SOFF Technical Authority.

4. Implementation Arrangements

The Implementing Entity manages the implementation of the Investment Phase in collaboration with the beneficiary country following the process described in the [SOFF Operational Manual](#) and in line with the [SOFF Terms of Reference](#), and the UNMPTF legal agreements.

The delivery of the outputs is the responsibility of the Implementing Entity that signs the legal agreements with UNMPTF Office.

4.1. Process

Upon completion of the Readiness Phase, the Implementing Entity supports the beneficiary country in the preparation of the Investment Phase Funding Request⁵ in collaboration with the Peer Advisor. The Implementing Entity and beneficiary country may also partner with national and/or regional organizations to execute⁶ the Investment Phase activities; written consent must be granted by the beneficiary country. The Implementing Entities are encouraged to explore the roles of key regional organizations in the execution of the Investment Phase activities.

The completed Investment Phase Funding Request is submitted to the SOFF Secretariat for review. The SOFF Secretariat reviews the request to ensure compliance with the information requirements in the template and provides feedback as needed. The SOFF Secretariat then transmits the request to the Steering Committee for decision-making. The process from the submission of the funding request to the decision of the Steering Committee is expected to take no more than three months.

After approval of the Investment Phase Funding Request by the Steering Committee, the Implementing Entity receives the Investment Phase disbursement from the Trustee in accordance with applicable policies and procedures in the relevant legal agreements.⁷

The Implementing Entity implements the Investment Phase grant⁸ within the specified terms approved in the Investment Phase Funding Request, in cooperation with relevant national and/or regional partners, including, where applicable, civil society organizations (CSOs) and the private sector. The beneficiary country and the Implementing Entity deliver the Investment Phase Outputs and achieve the Investment Phase Outcome. Supported by the Implementing Entity, the Executing Partner(s) proceed(s) to procure the equipment, install and rehabilitate existing stations according to the GBON regulations, and develop the activities to strengthen the human and institutional capacity required for sustained GBON compliance.

4.2. Eligible expenditures

Eligible expenditures for the Investment Phase are any type of expenditures required to implement to deliver the Investment Phase Outputs and achieve the Outcome, including the requirements of the beneficiary country to manage and administer the day-to-day activities of the Investment Phase, as

⁵ Corresponding to the UNMPTF legal term "Project Document".

⁶ See section 4.3 for information on the execution models and the role of the Executing Partners.

⁷ All Implementing Entities must have signed a legal agreement (Memorandum of Understanding or Framework Agreement) with the UNMPTF Office before the submission of a funding request (Project Document). The type of agreement varies depending on the type of organizations. Upon approval of the funding request by the Steering Committee, the Implementing Entities that are non-UN organizations are required to sign individual Financing Agreements with the UNMPTF for each beneficiary country they are supporting. The SOFF Secretariat sends a Fund Transfer Request to the UNMPTF Office, which transfers the funding to the Implementing Entities.

⁸ The Investment Phase grant corresponds to the UNMPTF Office legal term "project".

stated in the approved Investment Phase Funding Request, with due consideration of fiduciary controls, environmental and social risk management, and gender policy. The funding request includes the budget required to finance the direct and indirect costs of establishing a fully operational observation network, collecting and internationally exchanging data according to GBON requirements. It also includes the budget required for the operation and maintenance of the observing network during the commissioning period.

The Investment Phase Funding Request includes the full budget required to achieve the outcome, disaggregated by outputs⁹. If by the end of the Investment Phase, the amount of funding received exceeds the total amount of the expenditures, the Implementing Entity refunds the difference to the SOFF Trustee according to the terms defined in the legal agreements. Re-allocation of resources across outputs is possible up to 20%, at the discretion of the Implementing Entity.

While a detailed budget breakdown is not included in the Funding Request, the Implementing Entity must be in a position to provide copies of all supporting documentation, including budget and costing breakdown according to the United Nations Development Group (UNDG) budget categories¹⁰, as required for financial reporting and audit.

4.3. Execution and disbursements

A key component of the Investment Phase Funding Request preparation is the definition of the execution model, i.e., the definition of roles and responsibilities of the beneficiary country, the Implementing Entity and any additional Executing Partner(s) as well as the corresponding definition of project governance processes and procedures, including instruments to manage the disbursement and flow of funds. Recognizing the diverse profile and needs of SOFF beneficiary countries, the choice of execution model is flexible and dependent on country demand and context.

The Executing Partner's role requires the ability to manage and administer the day-to-day activities of the Investment Phase, as well as the technical ability to deliver the outputs. The Executing Partner is accountable for intended and appropriate use of funds, procurement and contracting of goods and services, and the timely delivery of outputs, reporting to and responsible to the Implementing Entity.

Under an execution model in which an entity other than the beneficiary country National Meteorological and Hydrological Service (NMHS) and collaborating country agencies perform the Investment Phase execution function (or part of), due attention is expected to be paid to strengthening NMHS capacity to maintain GBON compliance and receive results-based payments during the Compliance Phase.

Regardless of the execution models, SOFF funding is always disbursed from the Trustee to the Implementing Entities. The funding is disbursed in two tranches, the amount of each tranche is specified in the Investment Funding Request Template. Further details on the payment schedule are specified in the legal agreements. The Implementing Entities utilize their financing instruments, policy

⁹ See how to present the budget in Section 4 of the Investment Phase Funding Request Template – Outputs and budget

¹⁰ The budget is expected to indicate the aggregated amount per output. The UN eligible cost categories apply i. Staff and personal costs; ii. Supplies, Commodities and Materials; iii. Equipment, Vehicles, Furniture and Depreciation; iv. Contractual Services Expenses; v. Travel; vi. Transfers and Grants; vii. General Operating Costs.

frameworks and procedures for the disbursements to the country, always providing the funding as grants.

Additional financing may be requested as needed. If by the end of the commissioning period SOFF-supported stations are not GBON compliant due to unforeseen difficulties, or in cases where the GBON stations are affected by particular national circumstances (e.g., extreme events), the country can request additional Investment funding. The Steering Committee decides on these requests.

4.4. Private Sector

During the Readiness phase, the beneficiary country, with the support of the peer advisor and the Implementing Entity, explores options for a potential partnership with the private sector to achieve cost-effective and efficient implementation of the GBON National Contribution Plan.

The SOFF Operational Manual outlines four basic business models, from full public ownership to full private ownership, that can be deployed with variations, depending on the specific country context.

- Fully public: Fully State/NMHS owned and operated GBON infrastructure
- Public-Private: State/NMHS owned and Private Partner operated
- Public-Private: State/NMHS and Private Partner owned
- Fully Private: Owned and operated by a private partner contracted by the State/NMHS

Based on a careful assessment of the technical, political, and legal preconditions that need to be met for a model to be applicable, the peer advisor makes recommendations. The country decides on the most suitable model to implement GBON.

In all cases, SOFF funding is transferred to the Implementing Entity. The subsequent flow of funds varies according to the execution model and the private sector business model. This is expected to be specified under Section 5 of the Investment Phase Funding Request.

More information on the specific modalities of implementation of these models are defined in the SOFF's Private Sector Operational Guidance Note.

4.5. Transition to the Compliance Phase

During the Investment Phase, beneficiary countries and Implementing Entities should strive to bring as many stations as quickly as possible into GBON compliance, i.e., sharing data internationally following the GBON requirements. Beneficiary countries receive support for the operation and maintenance of those stations that become compliant during the implementation period of the Investment Phase, supported by the Investment Phase funding envelope.

At the end of the Investment phase, SOFF beneficiary countries can transition to the Compliance Phase when the capacity for sustained operation of all SOFF-funded stations has been demonstrated and the station's "commissioning period" has been completed.

A GBON station commissioning is the process in which GBON data is reliably shared via WIS 2.0¹¹ according to the GBON compliance criteria. The commissioning period will be the last year of the Investment Phase. During the commissioning year, the beneficiary country operates and maintains the network striving to achieve the sustained operation of all the SOFF-supported stations according to the GBON compliance criteria. Supported by WMO Technical Authority, the beneficiary country and the Implementing Entity monitor the performance of the network and, supported by the peer advisor, troubleshoot any remaining issues. The station will be declared “commissioned” once WMO verifies that the station meets the GBON compliance criteria over the last quarter (three months) of the commissioning period. The upfront operation and maintenance costs of the commissioning period are included in the SOFF Investment Phase Funding Request.

After the completion of the commissioning period, the country enters the Compliance phase and receives result-based financing as a contribution to the operation and maintenance costs. The specific arrangements, including how the result-based financing instrument is operationalized, is provided in the SOFF Compliance Phase Framework.

As part of the Investment Phase, the beneficiary country, Implementing Entity and peer advisors develop a country-specific standard cost for operation and maintenance of GBON stations. This cost shall be used as the basis for the results-based payments in the Compliance phase.

In cases of force majeure or unforeseen difficulties preventing the country from achieving GBON compliance of the supported stations, the commissioning period may be extended, or additional investment funding may be requested. The Steering Committee decides on these requests.

4.6. Regional Implementation

The SOFF Secretariat provides support for the pursuit of regional gains by facilitating regional knowledge exchange and learning between Implementing Entities, Peer Advisors and beneficiary countries. Supported by the technical guidance from WMO Technical Authority, the SOFF Secretariat facilitates the use of regionally standardized and compatible technical specifications for the GBON infrastructure and systems.

Additionally, a regional approach to Investment Phase procurement may be pursued including in cooperation with regional organizations.

4.7. Complementary Financing

The Implementing Entities are expected to integrate or align SOFF funding with broader projects and programs in the beneficiary country and to look for opportunities to mobilize additional investments in the other parts of the hydro-meteorological value chain, drawing on their own resources or from the multilateral climate and environment funds.

The CHD performed during the Readiness Phase provides an assessment of the National Meteorological Services, their operating environment, and their contribution to high-quality weather, climate, hydrological and environmental services and warnings. Through the CHD, countries and their

¹¹ The WMO Information System 2.0 (WIS 2.0) is the framework for WMO data sharing for all WMO domains and disciplines. With technical specifications and an implementation plan adopted by INFCOM-2 in October 2022, the new data-sharing infrastructure will gradually replace the Global Telecommunication System (GTS). WMO has developed the open-source software “WIS2 in a box” (<https://docs.wis2box.wis.wmo.int>) to support LDCs and SIDS in implementing WIS 2.0.

partners gain an initial understanding of the additional support and capacity building needed to make effective use of SOFF results for activities in the downstream part of the value chain, i.e., local data processing, forecast, early warning, advisory products, and delivery of services and effective decision making for adaptation, disaster risk management, and resilient development.

4.8. Peer Advisors and WMO Technical Authority

The SOFF peer advisors provide technical advice and analysis to support SOFF beneficiary countries and SOFF Implementing Entities in the design and implementation of the activities related to SOFF Investment Phase.

The peer advisors are accountable to the country and the Implementing Entity, and are engaged through the WMO pass-through mechanism¹² to provide advisory services on the implementation of the GBON National Contribution Plan.

Potential areas of support may include providing technical advice related to bidding documents development, bid assessment and/or evaluation, ensuring the correct commissioning and initial operation of equipment, supporting dispute resolution with suppliers on technical matters, and/or staff training, capacity building, and institutional strengthening. The Peer Advisor budget is included in the Investment Phase Funding Request.

The Steering Committee's approval of the Investment Funding Request triggers the allocation of funds to WMO as the pass-through mechanism to contract the services of the Peer Advisor. WMO transfers the resources to the Peer Advisors, which operate on a cost-recovery basis. The final payment to the peer advisor is made upon satisfactory completion of the assignment as confirmed by the beneficiary country and the Implementing Entity.

During the Investment Phase, WMO Technical Authority provides basic on-demand technical assistance to beneficiary countries, Implementing Entities and peer advisors, including on monitoring and assessing the data-sharing status of the stations using the WDQMS web tool.¹³ WMO is also responsible for the verification of data sharing of the new or rehabilitated surface and upper-air stations as per GBON regulations.

4.9. Policies

SOFF Implementing Entities are expected to utilize their existing financing and legal instruments, policy frameworks, and procedures to manage and implement the Investment Phase. Implementing Entity fiduciary and social and environmental policies, including gender policies, apply.

¹² WMO is responsible for establishing and administering a pass-through mechanism for contracting, funding and receiving reimbursement of unspent funds related to technical assistance provided by the SOFF peer advisors. WMO establishes standardized contractual arrangements, issues contracts, and makes payments to peer advisors based on Steering Committee decisions and upon request from the SOFF Secretariat and per WMO administrative rules and procedures

¹³ The WDQMS web tool monitors the availability and quality of observational data based on near-real-time information from the four participating global Numerical Weather Prediction centres: the German Weather Service (DWD), the European Centre for Medium range Weather Forecasts (ECMWF), the Japan Meteorological Agency (JMA) and the United States National Centers for Environmental Prediction (NCEP). These are four of the ten World Meteorological Centres, designated by WMO to provide global numerical weather prediction products for all WMO Members.

The Implementing Entities retain full accountability for the use of funds according to the terms stated in the Framework Agreement and Financing Agreement and shall adhere to any decision of the Steering Committee on the implementation of the Agreement for each Funding Request.

The Implementing Entities are expected to execute the Investment Phase activities with due diligence, maintaining appropriate fiduciary and environmental and social oversight, management and systems. They are responsible for assessing the country's fiduciary systems and capacity and, as appropriate, introducing financial controls and/or methods to ensure compliance with Implementing Entities' fiduciary standards to provide assurance that SOFF Investment Phase funding is used appropriately, in line with internal policies. Implementing Entities are also expected to support actions to strengthen beneficiary countries' NMHS institutional capacity in areas such as procurement, financial management, promotion of environmental and social sustainability, and systems to handle risks of fraud and corruption, including complaint/grievance mechanisms, in order to support sustained GBON compliance past the Investment Phase.

The Implementing Entity is also responsible for employing appropriate grievance and control mechanisms for dispute resolution, including following the procedures detailed in the complaints management and conflict resolution mechanism in the [SOFF Operational Manual](#).

4.10. Risk Management

During the preparation of the Investment Phase Funding Request, the Implementing Entities are responsible for assessing Investment Phase risks, in line with the [SOFF Risk Management Framework](#). They are expected to incorporate relevant programmatic risks and include additional country-specific risks, which may affect the successful delivery of SOFF Investment Phase Outputs and Outcome.

The Implementing Entities are responsible for regular monitoring and reporting of Investment Phase risks, including supporting appropriate risk mitigation strategies.

5. Monitoring, Reporting, and Verification

5.1. Monitoring and Reporting

The Implementing Entities are responsible for monitoring the delivery of the Investment Phase outputs and reporting accordingly to the SOFF Secretariat and UNMPTF Office in line with the Framework Agreement. The beneficiary countries are expected to establish appropriate monitoring and reporting arrangements to provide the Implementing Entities with the necessary data. The peer advisors support the Implementing Entities the reporting function. Reporting templates are provided by the Secretariat and UNMPTF Office.

- **Quarterly updates to the SOFF Secretariat:** A simple standardized form (1 page) providing a progress update against the Investment Phase Outputs' indicators (and Outcome, where applicable¹⁴) and flagging major issues that are delaying implementation, if any. The quarterly updates are communicated to the SOFF Steering Committee to allow them to monitor implementation progress.
- **Annual narrative and financial reports** according to the UNMPTF reporting requirements indicated in the legal agreements. The annual narrative report reports on the delivery of the Investment Phase Outputs, measured by the Investment Phase Indicators. It also includes a review of the Investment Phase risks and an update on environmental and social safeguards, including gender.
- **Final narrative and financial reports** according to the UNMPTF reporting requirements indicated in the legal agreements. The final narrative report confirms the completion of all the activities and reports on the number of stations that have completed the commissioning period (outcome). It describes the Investment Phase results achieved and lessons learned; and it should also specify the long-term institutional arrangements to secure sustained GBON compliance with SOFF Compliance Phase support.

5.2. Verification

The outcome of the Investment Phase is achieved when the commissioning period for GBON surface stations and GBON upper-air stations is completed. The WMO Technical Authority verifies data sharing according to the GBON compliance criteria and provides a verification report to the SOFF Secretariat.

The SOFF Secretariat facilitates the coordination of the verification process between the beneficiary country, the Implementing Entity and WMO Technical Authority.

¹⁴ The quarterly reports should also include, when applicable, progress achieved in terms of new or rehabilitated stations that have become operational and are already sharing the data into the WIS 2.0 system as confirmed through the WIGOS Data Quality Monitoring System (WDQMS) webtool. WMO Technical Authority supports beneficiary countries and the Implementing Entities in assessing the data sharing status of stations.

6. SOFF Investment Phase Funding Request Template

SOFF Investment Phase Funding Request

The funding request should be prepared by the SOFF beneficiary country in collaboration with the SOFF implementing entity and supported by the SOFF peer advisor. The funding request reflects and is based on the National Contribution Plan. In case of questions on how to complete this template, please contact the SOFF Secretariat at: soffsecretariat@wmo.int.

The SOFF Investment Funding Request template includes the following sections:

1. **Basic Information**
2. **Programming Criteria**
3. **Readiness and Country Context**
4. **Investment Phase Outputs and Budget**
5. **Investment Phase Implementation Arrangements**
6. **Investment Phase Monitoring, Reporting, and Verification**
7. **Investment Phase Risk Management Framework**

The **GBON Gap Analysis**, the **GBON National Contribution Plan** and **Country Hydromet Diagnostic** are included in **Annex 1, 2, 3**.

1. Basic Information

SOFF Beneficiary Country and Focal Point	<p><i>[Beneficiary country]</i></p> <p><i>[Focal point name and contact information. The Focal point is WMO Permanent Representative or Head of NMHS]</i></p>			
Country classification	<input type="checkbox"/> LDC	<input type="checkbox"/> SIDS	<input type="checkbox"/> FCS	<input type="checkbox"/> ODA-recipient
SOFF Implementing Entity and Focal Point	<p><i>[Implementing Entity]</i></p> <p><i>[Focal point name and contact information]</i></p>			
SOFF Peer Advisor and Focal Point	<p><i>[Peer Advisor]</i></p> <p><i>[Focal point name and contact information]</i></p>			
Total Budget (USD)	<p><i>Please complete with the total Investment Phase budget and the amount requested for the two tranches (value and percentage).</i></p> <p>Total:</p> <p>First tranche:</p> <p>Second tranche:</p>			
Delivery timeframe	<p><i>Please indicate specific months for the expected start and completion of the activities, including the commission period</i></p>			
Date of Steering Committee Approval				
SOFF Steering Committee Co-Chairs Signature (signature confirms Steering Committee approval of the funding request)				

2.SOFF Programming Criteria (2 pages)

Alignment with the SOFF Programming Criteria	
<p><i>This section should be based on the SOFF Readiness Phase outputs, i.e. the National GBON Gap Analysis and GBON National Contribution Plan, and the Country Hydromet Diagnostic where available.</i></p>	
Close the most significant data gaps	<p><i>Please provide a brief summary regarding the GBON gap in the Beneficiary Country.</i></p>
Target easy fixes	<p><i>Please provide an overview of the opportunities for rehabilitation and improvement of existing observing infrastructure in the country and rapid delivery of GBON data sharing.</i></p>
Create leverage	<p><i>Please detail how SOFF investments are complementary to previous, ongoing, and planned operations in the beneficiary country by the SOFF Implementing Entities and other funds. Please state relevant ongoing or planned activities of the Implementing Entities in the beneficiary country. If the SOFF Investment program will be integrated within or complemented by a larger project or program of the Implementing Entity / Beneficiary Country, please identify the project or program and summarize alignment and leverage.</i></p>
Maximize delivery capacity	<p><i>Please outline the capacity of the Implementing Entity and any Executing Entities to deliver SOFF support efficiently and effectively in the country.</i></p>
Sub-regional gains	<p><i>Please state describe opportunities to create economies of scale and optimize the design of the GBON national networks through multi-country /sub-regional SOFF implementation, e.g., existing sub-regional cooperation or opportunities for sub-regional procurement and operations and maintenance. Explore opportunities for collaboration among Implementing Entities in the same region, where relevant. Please indicate how regional opportunities will be pursued during the Investment Phase implementation and any support required from the SOFF Secretariat.</i></p>

3. Readiness and Country context (1 page)

SOFF Beneficiary Country Capacity Assessment

This section should summarize existing Beneficiary Country capacity to execute the GBON National Contribution Plan.

Based on the National GBON Gap Analysis and the requirements of the GBON National Contribution Plan, and complemented by the Country Hydromet Diagnostic where available, please provide an overview of Beneficiary Country technical, management, and administrative capacity for Investment Phase execution, including an assessment of the status of the NHMS and any other national and/or regional partners.

Investment Phase Alignment with the GBON National Contribution Plan

Please attach the National GBON Gap Analysis and GBON National Contribution Plan as Annex 1.

Please explicitly indicate and justify any differences in the proposed Investment Phase targets and the requirements of the GBON National Contribution Plan approved at the finalization of the Readiness Phase.

4. Investment Phase Outputs and Budget

The GBON National Contribution Plan provides detailed information on the Investment Phase Outputs (please see Annex 1).

Based on the recommendations and technical specifications provided in the National GBON Gap Analysis and GBON National Contribution Plan, and complemented by the Country Hydromet Diagnostic, please provide the required budget amount for the delivery of the Investment Phase Outputs.

Output 1. GBON institutional and human capacity developed	Main activities	Budget (USD)
1.1 National consultations including with CSOs, and other relevant stakeholders conducted		
1.2 NMHS institutional capacity required to operate the GBON network developed		
1.3 NMHS human capacity required to operate the GBON network developed		
Output 2. GBON infrastructure in place	Main activities	Budget (USD)
2.1 New land-based stations and related equipment, ICT systems, data management systems and standard operating practices in place		
2.2 Improved land-based stations and related equipment, ICT systems, data management systems and standard operating practices in place		
2.3 New upper-air stations and related equipment, ICT systems, data management systems and standard operating practices in place		
2.4 Improved upper-air stations, related equipment, ICT systems, data management systems and standard operating practices in place		
Outcome: Sustained compliance with GBON	Main activities	Budget (USD)

3.1 GBON land-based stations' commissioning period completed , country-specific standard cost for operations and maintenance established, and data sharing verified by WMO Technical Authority		
3.2 GBON upper air stations' commissioning period completed , country-specific standard cost for operations and maintenance established, and data sharing verified by WMO Technical Authority		
Total for all Outputs		
Implementing Entity Fee¹⁵		
SOFF peer advisory services		
Total funding request		

Budget breakdown by UNDG category (Excluding SOFF peer advisory services)¹⁶	USD
Staff and personnel costs	
Supplies, Commodities and Materials	
Equipment, Vehicles, Furniture and Depreciation	
Contractual Services Expenses	
Travel	
Transfers and Grants	
General Operating Costs	

¹⁵ The implementation fee cannot exceed 7% of the total Investment Phase funding request.

¹⁶ The total budget (excluding the budget for the SOFF peer advisory services) is expected to be disaggregated by UNDG category. It includes direct and indirect costs of the Implementing Entity and beneficiary countries to establish a fully operational observation network, collecting and internationally exchanging data according to GBON requirements. Eligible expenditures are any type of expenditure required to implement the GBON National Contribution Plan, including the requirements of the beneficiary country to manage and administer the day-to-day activities of the Investment Phase. It also includes the budget required for the operation and maintenance of the observing network.

5. Investment Phase Implementation Arrangements

<p>Execution model and implementation arrangements</p>	<p><i>Based on the Beneficiary Country Capacity Assessment, please detail the proposed Investment Phase execution model, including governance, implementation arrangements, coordination and management and implementation of activities, the roles and responsibilities of each Executing Partner, and the flow of funds (including an overview of relevant legal / financial instrument(s) to distribute the SOFF support).</i></p>
<p>Civil society participation and private sector involvement</p>	<p><i>Please indicate the anticipated role of civil society and/or private sector, including relevant stakeholder engagement processes.</i></p>
<p>Fiduciary systems</p>	<p><i>Please provide an overview of the Investment Phase fiduciary arrangements, including financial management and procurement.</i></p>
<p>Social and environmental safeguards</p>	<p><i>Please provide an overview of the Investment Phase social and environmental safeguards, including gender policy.</i></p>
<p>Dispute resolution mechanism</p>	<p><i>Please provide an overview of the Investment Phase complaints management and conflict resolution mechanism.</i></p>
<p>Additional relevant policies and procedures</p>	<p><i>Please state any other policies and procedures that the Implementing Entity applies.</i></p>

6. Investment Phase Monitoring and Reporting

The implementing entity, with the support of the peer advisor, is expected to monitor the implementation of the Investment Phase following an output-based approach. The Investment Phase outputs as well as respective indicators and targets are presented below. *Please indicate the implementation targets and adjust the table as needed to reflect the implementation timeline. Years can be added.*

Output 1. GBON institutional and human capacity developed	Indicator	Target Y1	Target Y2	Target Y3
1.1 National consultations including with CSOs, and other relevant stakeholders conducted	As defined in the National Contribution Plan			
1.2 NMHS institutional capacity required to operate the GBON network developed				
1.3 NMHS human capacity required to operate the GBON network developed				
Output 2. GBON infrastructure in place	Indicator	Target Y1	Target Y2	Target Y3
2.1 New land-based stations and related equipment, ICT systems, data management systems and standard operating practices in place	# stations as per the GBON National Contribution Plan			
2.2 Improved land-based stations and related equipment, ICT systems, data management systems and standard operating practices in place	# stations as per the GBON National Contribution Plan			
2.3 New upper-air stations and related equipment, ICT systems, data management systems and standard operating practices in place	# stations as per the GBON National Contribution Plan			
2.4 Improved upper-air stations, related equipment, ICT systems, data management systems and standard operating practices in place	# stations as per the GBON National Contribution Plan			
Outcome: Sustained compliance with GBON	Indicator	Target Y1	Target Y2	Target Y3
3.1 GBON land-based stations' commissioning period ¹⁷ completed, country-specific standard cost for operations and maintenance established, and data sharing verified by WMO Technical Authority	# stations as per the GBON National Contribution Plan			
3.2 GBON upper air stations' commissioning period completed, country-specific standard cost for operations and maintenance established, and data sharing verified by WMO Technical Authority	# stations as per the GBON National Contribution Plan			

¹⁷ The commissioning period is the last year of the Investment Phase. The beneficiary country, supported by the Implementing Entity, must demonstrate the sustained operation of all the SOFF-supported stations according to the GBON compliance.

The implementing entity is expected to report on progress as described below.

- **Quarterly updates** to the SOFF Secretariat: A simple standardized form providing a progress update against the Investment Phase Outputs' indicators (and Outcome, where applicable¹⁸) and flagging major issues that are delaying implementation, if any.
- **Annual narrative and financial reports** according to the UNMPTF reporting requirements indicated in the legal agreements. The annual narrative report reports on progress on the delivery of the Investment Phase Outputs, measured by the Investment Phase Indicators. It includes also a review of the Investment Phase risks and an update on environmental and social safeguards, including gender.
- **Final narrative and financial reports** according to the UNMPTF reporting requirements indicated in the legal agreements. The final narrative report confirms the completion of all the activities and report on the number of stations that have completed the commissioning period (outcome). The WMO technical authority verifies GBON compliance of the indicated stations and provides a verification report to the SOFF Secretariat. Upon WMO verification, the Investment Phase can be considered completed. The Final Report should describe the Investment Phase results achieved and lessons learned; and it should also specify the long-term institutional arrangements to secure sustained GBON compliance with SOFF Compliance Phase support.

¹⁸ The quarterly reports should also include, when applicable, progress achieved in terms of new or rehabilitated stations that have become operational and are already sharing the data into the WIS 2.0 system as confirmed through the WIGOS Data Quality Monitoring System (WDQMS) web tool.

7. Investment Phase Risk Management Framework

The Investment Phase Risk Management Framework should be based on the [SOFF Risk Management Framework](#), incorporating relevant programmatic risks and including additional country-specific risks. Please follow the [methodology established by the Multi-Partner Trust Fund Office \(MPTFO\)](#) presented below.

		Impact				
		Insignificant (1)	Minor (2)	Moderate (3)	Major (4)	Extreme (5)
Likelihood	Very Likely (5)	Medium (5)	High (10)	High (15)	Very High (20)	Very High (25)
	Likely (4)	Medium (4)	Medium (8)	High (12)	High (16)	Very High (20)
	Possible (3)	Low (3)	Medium (6)	High (9)	High (12)	High (15)
	Unlikely (2)	Low (2)	Low (4)	Medium (6)	Medium (8)	High (10)
	Rare (1)	Low (1)	Low (2)	Medium (3)	Medium (4)	High (5)

Please complete the following table.

Risk	Risk level	Likelihood	Impact	Risk Mitigation Measures
Non-compliance with fiduciary and procurement standards in some SOFF activities	<i>Please indicate: Low, Medium, High, Very high</i>	<i>Please indicate: Rare, Unlikely, Possible, Likely, Very likely</i>	<i>Please indicate: Insignificant, Minor, Moderate, Major, Extreme</i>	<i>Please indicate risk mitigation measures the project will undertake.</i>
SOFF-funded investments cause environmental or social impacts				
NMHS staff depart after being trained				
Slow implementation and delays in				

procurement, installation and capacity building activities				
After the conclusion of the Investment phase, GBON data are not collected or shared or are shared of insufficient quality				
Destruction or theft of SOFF-financed equipment and infrastructure				
Countries cannot make optimal use of data, including accessing or using improved forecasts products from the Global Producing Centers throughout the hydromet value chain				
<i>Please add any additional, specific country risks</i>				