

Readiness Proposal

with FAO for Thailand, Cambodia, Lao PDR, Malaysia, Philippines, Viet Nam

18 August 2022



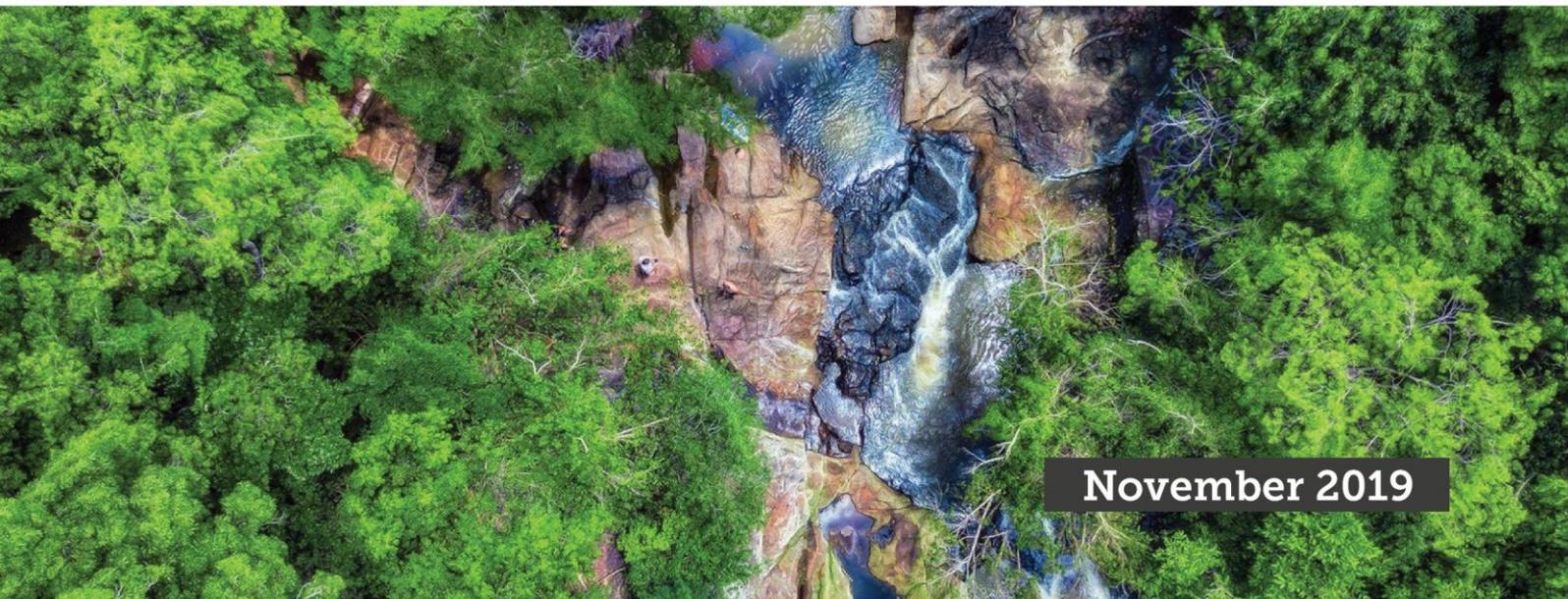
**GREEN
CLIMATE
FUND**

READINESS & PREPARATORY SUPPORT

PROPOSAL TEMPLATE



Proposal title:	Agriculture Sector Readiness for enhanced climate finance and implementation of Koronivia Joint Work on Agriculture priorities in Southeast Asia
Country:	Cambodia, Lao PDR, Malaysia, Philippines, Thailand, Vietnam
National designated authority:	Office of Natural Resources and Environmental Policy and Planning (ONEP)
Implementing Institution:	Food and Agriculture Organization of the United Nations (FAO)
Date of first submission:	23 June, 2021
Date of current submission / version number	13 June 2022 V.4



November 2019

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Note: Environmental and Social Safeguards and Gender

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]-[yyymmdd]

1. SUMMARY

1.1 Country submitting the proposal	<p>Country name: Kingdom of Thailand</p> <p>Name of institution representing NDA or Focal Point: Office of Natural Resources and Environmental Policy and Planning (ONEP)</p> <p>Name of contact person: Dr. Natthanich Asvapoositkul</p> <p>Contact person's position: Director of Climate Change Management and Coordination Division (CCMC)</p> <p>Telephone number: +66 2265 6692</p> <p>Email: gcfundthailand@gmail.com</p> <p>Full office address: 118/1 Tipco Tower 2, Rama VI Road Phaya Thai, Bangkok 10400 Thailand</p> <p>Additional email addresses that need to be copied on correspondences: natthanich@onep.go.th; rosalind55@hotmail.com</p>	
1.2 Date of initial submission	23 June 2021	
1.3 Last date of resubmission	09 December 2021	Version number V.02
1.4 Which institution will implement the Readiness and Preparatory Support project?	<p><input type="checkbox"/> National designated authority</p> <p><input checked="" type="checkbox"/> Accredited entity</p> <p><input type="checkbox"/> Delivery partner</p> <p>Name of institution: Food and Agriculture Organization (FAO)</p> <p>Name of official: Elizabeth A. Bechdol</p> <p>Position: Deputy Director-General</p> <p>Telephone number: +39 06 57051800</p> <p>Email: DDG-Bechdol@fao.org; OCB-director@fao.org</p> <p>Full office address: Food and Agriculture Organization of the United Nations (FAO) Viale delle Terme di Caracalla, 00153 Rome, Italy</p> <p>Additional email addresses that need to be copied on correspondences: Beau.Damen@fao.org Maxwell.McgrathHorn@fao.org Kentaro.Aoki@fao.org Savis.sadeghian@fao.org Sergio.hinojosaramos@fao.org</p>	
1.5 Title of the Readiness support proposal	Agriculture Sector Readiness for enhanced climate finance and implementation of Koronivia Joint Work on Agriculture priorities in Southeast Asia	

1.6 Type of Readiness support sought

- I. Capacity building
- II. Strategic frameworks
- III. Adaptation planning
- IV. Pipeline development
- V. Knowledge sharing and learning

1.7 Brief summary of the request

Overview

Southeast Asia is home to several agriculture-dependent countries highly vulnerable to adverse climate impacts. According to the Global Climate Risk Index (2020), four South East Asian countries (Myanmar, Philippines, Vietnam and Thailand) were among the top ten countries most affected by extreme weather events such as cyclones and hurricanes between 1999 and 2018. These countries are among the countries that form the Association of Southeast Asian Nations (ASEAN), which has recently been engaging in shaping the directions of the Koronivia Joint Work on Agriculture (KJWA) under the United Nations Framework Convention on Climate Change (UNFCCC) through the ASEAN Negotiating Group on Agriculture (ANGA) and the ASEAN Climate Resilience Network.

Southeast Asian countries have piloted innovative and practical agricultural solutions to climate impacts, such as agro-advisories, participatory community-based approaches, and technology-based farm information and financial management technologies. Barriers to scaling-up such climate action include the risk and burden to farmers in adopting new climate resilient and low emission practices, fragmented planning and monitoring of field level measures to address climate change, and low capacity to access climate finance and leverage private sector engagement. Further regional collaboration to address these barriers can be more effective and potentially more efficient than individual countries acting alone.

The target goal of the project is to enhance the capacity of countries in Southeast Asia to develop national climate finance investment programmes and projects linked to adaptation and mitigation priorities for the agriculture sectors and exchange knowledge and learning to promote innovative mechanisms for public and private sector climate finance at national and regional levels. Specifically, the outcomes of the project aligned with the GCF Readiness Objectives and Outcomes will be:

- 1) Agriculture investment programmes to strengthen GCF Country Programmes and leverage national, regional and global climate finance to support implementation of national, sector-specific climate change policy frameworks developed (Outcome 2.1);
- 2) Development of quality GCF concept notes and proposals by building capacities of agriculture sector stakeholders and especially LDCs supported (Outcome 4.1); and
- 3) Opportunities for knowledge capture, learning and dissemination on climate-friendly agriculture through partnership networks enhanced (Outcome 5.2).

Outputs supporting these outcomes will include:

- National and multi-country agriculture and climate investment plans (Output 2.1.1);
- Development of innovative climate finance models for priority agriculture investments (Output 2.1.2);
- Concept notes supporting implementation of national and multi-country climate investment plans (Outputs 4.1.1 and 4.1.2); and
- Southeast Asia partnership network strengthened to support knowledge exchange on prioritizing and structuring of public and private climate finance investment in the agriculture sectors (Output 5.2.1).

Beneficiaries

Direct beneficiaries will be regional, national, and local level policymakers and other actors across the agriculture sector in participating countries in Southeast Asia. In the long run, the proposed project will contribute to building resilience of smallholder farming households and women farmers in participating countries to the adverse effects of climate change.

Contributions

COUNTRY	STATUS OF SUPPORT	CONTRIBUTION AS PER LETTERS RECEIVED
Cambodia	Letter of support signed by NDA	Intended contribution of USD 450,000. Process for obtaining no objection has been followed.
Laos PDR	Letter of support signed by NDA	Intended contribution of USD 450,000. Process for obtaining no objection has been followed.
Malaysia	Letter of support signed by NDA	USD 450,000 of its budget for the year 2022.
Philippines	Letter of support signed by NDA	USD 450,000 of its budget for the year 2022.
Thailand	Letter of support signed by NDA.	USD 450,000 of its budget for the year 2022.
Vietnam	Letter of support signed by NDA	Intended contribution of USD 450,000. Process for obtaining no objection has been followed.

The project will be implemented in close coordination with the NDAs and the Ministries of Agriculture through the ASEAN Climate Resilience Network focal points of each participating Southeast Asian country. The project will also actively draw on outcomes of, and lessons from, previous and ongoing GCF readiness projects in the participating countries, as well as existing regional policy processes and the work of other public and private sector partners.

Based on the discussion with the GCF and participating countries this readiness project has been developed as a multi-country proposal targeting a single year cap. The subsequent proposal with upcoming single year cap from the participating countries will follow this project approach and be submitted.

The current proposal is targeting the 2021 allocations. A subsequent submission will be made in 2022 targeting the 2022 allocations.

1.8 Total requested amount and currency

USD 2,700,000

1.9 Implementation period

36 months

1.10 Is this request a multiple-year strategic Readiness implementation request?

- Yes
 No

1.11 Complementarity and coherence of existing readiness support

- Yes
 No

Southeast Asian countries party to this proposal have requested Readiness funds to varying degrees, see Annex 1. The proposed project fills a regional gap by building on national strengths and previous Readiness projects. Proposals vary by country needs and have not yet explicitly targeted the agriculture sectors. Of the 30 Readiness Proposals submitted by Cambodia, Lao PDR, Malaysia, the Philippines, Thailand, and Vietnam, only two target the land use sector. Lao PDR worked with FAO as Delivery Partner on a project to engage with REDD+ projects and better coordinate among land use sectors. Similarly, Malaysia pursued funding for implementing REDD+ and providing result-based payments. Although other proposals do not directly target the agricultural sector, they contain several key elements that will benefit this project. For example, most other proposals have common aims that will contribute to this proposal, as they facilitate and coordinate broad stakeholder engagement, focus on financing mechanisms, adopt nationally relevant standards, and consider how to implement national strategies. This project will build upon the institutional arrangements and investment planning processes developed under these existing projects to strengthen agriculture sector climate change investment planning processes, support development of an agriculture-sector specific climate finance project pipeline and facilitate knowledge exchange and learning on these topics across countries in Southeast Asia.

2. SITUATION ANALYSIS

1. Regional context

Agriculture¹ plays an important role in the economy of the countries of Southeast Asia (SEA). At the regional level, the agriculture sector contributes to more than 10% of the region's gross domestic product (GDP) and provides jobs for over one-third of the working population. Nearly 47% of the population in SEA reside in rural areas (World Bank, 2019) and 38.9% of the employed population are engaged in the agriculture sectors (Liu et.al., 2020²).

Agriculture is one of the most vulnerable sectors to climate change³. Long coastlines and heavily populated low-lying areas make the region of more than 640 million people one of the world's most vulnerable to weather extremes and rising sea levels associated with global warming. Governments are under pressure to act quickly or risk giving up improvements in living standards achieved through decades of hard-won growth, which has often leveraged improvements in agricultural productivity. Vietnam, Thailand, and the Philippines are among the 10 countries in the world most affected by climate change in the past 20 years (Global Climate Risk Index). In the absence of technological breakthroughs, rice yields in Philippines, Thailand, and Vietnam could drop by as much as 50% by 2100 from 1990 levels⁴. With the current global pandemic caused by COVID-19, supply chains across borders have been strained on top of continuous climate change impacts. Future anticipated climate change risks reversing productivity gains and the improvements for food security and nutrition across the region.

Increasing the resilience of the agricultural sector and furthering progress toward food security have been identified as key priorities for the region and are prominent in the NDCs of all Southeast Asian Countries. Agriculture also contributes a significant share of the greenhouse gas emissions that cause climate change – 17% directly through agricultural activities and an additional 7-14% through land use changes. It is therefore both part of the problem – and an important part of the solution (OECD 2019).

Cambodia, Laos, Philippines Thailand, and Vietnam GCF Country Programmes have highlighted their countries' raised ambitions in their climate change commitment targets while aiming for economic growth or "green growth". Agriculture is identified as an important sector for achieving both low emissions and resiliency targets and economic development. Laos, for example has identified climate resilient farming as one of its priority programmes that need financing. This proposal therefore aims to strengthen the sector in order to attract necessary investments for scaling up such projects and contributing to the country's economic and climate change targets.

1. Cambodia has included this proposal in the GCF Country Programme table 27, page 73
2. Laos has included this proposal in its county programme (p. 34)
3. Malaysia has no Country Programme, but the NDA is quite aware of this proposal, and FAO will continue to coordinate to ensure alignment of this proposal with the country's pipeline development.
4. This proposal is part of the Thailand Country Programme (TCP) and Thailand NDC. There is a plan to revise the TCP which will include this proposal.
5. FAO will continue to coordinate to ensure alignment of this proposal with the Philippine's Country Programming process.
6. FAO will continue to coordinate to ensure alignment of this proposal with the Vietnam's Country Programming process.

2. Work to date in Southeast Asia to coordinate climate action in agriculture

Countries in Southeast Asia, both individually and as members of the Association of Southeast Asian Nations (ASEAN) have committed to addressing the challenges of food security and climate change in the agriculture and land use sectors. In their first round of Nationally Determined Contributions (NDC), several Southeast Asian countries identified a variety of measures and priorities for tackling climate change. A majority of the countries in the region included the agriculture and land use, land-use change and forestry (LULUCF) sectors (90%) in their economy wide mitigation target, but mainly through non- GHG targets and/or policies and measures. All countries in the region have also indicated that adaptation in agriculture is a priority, through the identification of different policies and measures to strengthen resilience of the sector. Most ASEAN Member States(90%) have identified

¹ The FAO definition of agriculture includes crops, livestock, forestry, fisheries and aquaculture.

² Liu, et al, Sustainability 2020, 12, 4981; doi:10.3390/su12124981; <https://www.mdpi.com/journal/sustainability>

³ Raghavan, S.V., J. Ze, J. Hur, L. Jiandong, N.S. Nguyen and Shie-Yui, L. (2019), 'ASEAN Food Security under the 2°C-4°C Global Warming Climate Change Scenarios', in Anbumozhi, V., M. Breiling, and V. Reddy (eds.), Towards a Resilient ASEAN Volume 1: Disasters, Climate Change, and Food Security: Supporting ASEAN Resilience. Jakarta, Indonesia: Economic Research Institute for ASEAN and East Asia, pp. 37-52

⁴ Agricultural Impact of Climate Change: A General Equilibrium Analysis with Special Reference to Southeast Asia, ADB Institute, <https://www.adb.org/sites/default/files/publication/155986/adb-wp131.pdf>

specific adaptation measures for all sub sectors including forestry, fisheries, crops and others. However, based on analysis by FAO⁵, the majority of the policies and measures for both mitigation and adaptation in the agriculture and land use sector are not quantified and, as a result, cannot inform a full assessment of their potential impact or of the technical and financial needs that may be required to support their implementation. An overview of agriculture sector NDC priority policies and measures from Cambodia, Lao PDR, Malaysia, Philippines, Thailand and Vietnam is provided as Annex 7.

At the regional level, in September 2015, ASEAN included the need to address climate change through the promotion of appropriate agricultural practices in the Vision and Strategic Plan for ASEAN Cooperation in Food, Agriculture and Forestry 2016-2025 (FAF 2025). FAF 2025 identifies and prioritizes the main areas for cooperation in response to socio-economic and demographic changes in the region, including pressures on the natural resource base. Under the FAF 2025 Southeast Asian countries have prioritized approaches and measures including climate smart agriculture; enhancing regional and international collaboration and enhancing access to financial resources. Furthermore, the FAF looks to encourage coordination and joint approaches on issues affecting food, agriculture and forestry, and presenting its common positions on these matters. A successful past example of such collaboration is the ASEAN Plus Three Emergency Rice Reserve, which was established in 2011 to strengthen food security, poverty alleviation, and malnourishment eradication among its members without distorting normal trade. The Rice Reserve has been mobilized recently to address problems arising from the COVID19 pandemic.

The ASEAN Technical Working Group on Agricultural Research and Development (ATWGARD) under the ASEAN Ministers for Agriculture and Forestry supports the implementation of the FAF. Based on mutual interest in defining climate-smart agriculture practices and policies, ATWGARD focal points worked to form the ASEAN Climate Resilience Network (ASEAN-CRN). ASEAN-CRN is a platform for regional exchange of information, experience and expertise on climate-smart land use. The network facilitates the translation of science into policies to promote resilient agriculture and explore its mitigation potential, through resource matchmaking with various stakeholders. The ASEAN-CRN has produced and supported implementation of several guidelines in the FAF sectors with the help of development partners, which have later been endorsed by the Senior Officials Meeting of the ASEAN Ministers of Agriculture and Forestry (SOM-AMAF).

The ASEAN CRN also supported the formation of the ASEAN Negotiating Group for Agriculture (ANGA) to engage jointly as a united voice in shaping policies under multilateral environmental agreements, specifically in engaging with the United Nations Framework Convention on Climate Change (UNFCCC) as well as contributing to the Koronivia Joint Work on Agriculture (KJWA). Through ANGA, ASEAN has successfully submitted joint positions to Koronivia and negotiated as a group during Subsidiary Bodies workshops and COPs, highlighting preferred common solutions to shared challenges faced by the sector across national borders.

The Koronivia Joint Work on Agriculture (KJWA) established a programme of work under the UNFCCC for parties to discuss issues related to agriculture. A series of technical workshops have been organized under KJWA to date. Participating countries, through ANGA, have participated actively in the KJWA. ASEAN through ANGA has submitted three joint views/common positions to KJWA's calls for views on relevant topics. In the process, the participating countries have identified priorities and needs in the region for climate action as well as investments required to scale up action. The Subsidiary Body (SB) workshop 52-55 sessions during COP26 continued its discussions and concluded the importance of the following agenda topics for climate resilient and sustainable food production systems for food security: 2(d) soil and nutrient management including organic fertilizers and manure management; 2(e) sustainable livestock management; and 2(f) socioeconomic and food security dimensions as critical aspects to meet climate targets⁶. The proponents of this proposal, through the process of endorsing submissions to KJWA, have now identified and aligned their priorities with the SB reports on KJWA. Part of the key messages that ANGA brought to COP26 was finding actionable items within these identified priorities from the Koronivia topics and roadmap.

These initiatives demonstrate a strong commitment to tackling climate change risks to the agriculture sector and broader regional food system in a collaborative and coordinated manner. Together the countries of Southeast Asia have identified barriers to climate action to be addressed at national and regional levels to realize the region's vision for a climate-smart agriculture sector.

5 Crumpler, K., Dasgupta, S., Federici, S., Meybeck, M., Bloise, M., Slivinska, V., Salvatore, M., Damen, B., Von Loeben, S., Wolf, J. and Bernoux, M. 2020. Regional analysis of the nationally determined contributions in Asia – Gaps and opportunities in the agriculture and land use sectors. Environment and Natural Resources Management Working Paper No. 78. Rome, FAO. <https://doi.org/10.4060/ca7264en>.

⁶ ASEAN. 2020. Submission of views to UNFCCC on KJWA topics 2e and 2f. (also available at: [https://www4.unfccc.int/sites/SubmissionsStaging/Documents/202004181609---Submission%20by%20ASEAN%20on%20KJWA%202\(e\)%20and%202\(f\).pdf](https://www4.unfccc.int/sites/SubmissionsStaging/Documents/202004181609---Submission%20by%20ASEAN%20on%20KJWA%202(e)%20and%202(f).pdf)).

3. Remaining barriers to effective and efficient climate action in agriculture

Southeast Asian countries face several barriers to scaling-up climate action in the agriculture sectors that will be addressed by this proposal:

Barrier 1 - Farmer burden when adopting measures to address climate change. Through research and application, a wide range of potential adaptation and mitigation measures have been found to be potentially applicable to the agriculture sectors. Examples include new stress-tolerant crop and livestock varieties/breeds; access to climate information services; index-based agricultural insurance; and productive social safety nets. The availability of these measures is not in itself sufficient for action. Agricultural production landscapes in Southeast Asia cover a diverse range of agro-ecological zones with unique agro climatic and biophysical features. Measures need to be customized to suit the specific farming system context. The adoption of new technologies and practices can be both costly and risky to farmers and other actors along the value chain. Finance mechanism(s) do not often address the specific needs of agriculture sectors e.g., risk burden of small holders. Farmers also lack knowledge and capacities to understand investment needs or how to make a business case to secure finance and resources to take action to address climate change. Past experience implementing climate change projects with farmers shows that the longer term challenges posed by shifts in climate are sometimes removed from the immediate needs and challenges associated with farm management and climate variability. As a result, climate financing opportunities can also be overlooked. In order to assist farmers in adopting new practices, the scale and modalities by which climate finance is made available to farmers needs to better address these issues associated with scale and the specific context of the farming system.

Barrier 2 - Fragmentation in planning and monitoring climate action in agriculture. Ongoing initiatives in place to enhance capacity with climate change strategies and measures in the sector are often fragmented across multiple agencies and insufficient to properly address the nature and scale of the problem. While agriculture ministries have had some success in improving collaboration and coordination via ASEAN CRN and ATWGARD, there still persists a lack of understanding of common regional risks and challenges for the agriculture sectors and ways that collaboration could lead to more efficient and effective action. Agriculture, in general, lags behind other sectors in adopting technological innovations to address climate change due to a range of factors including, but not limited to, the geographical scale of the sector, the large number of actors involved and the costs and risks to farmers in adopting new technologies and practices. The range of actors looking to address climate change risks in the agriculture and land-use sectors can result in poorly targeted actions or duplication of efforts. Coordination of planning and monitoring of climate change action across the different agencies and partners at different levels and scales across the agriculture sectors has improved in many countries in the region. But more can be done to empower sector champions and develop metrics to prioritize and monitor investment in sector specific climate action⁷. As part of their joint submissions under the KJWA, Southeast Asian countries have highlighted that there is a strong need for enhanced systems to measure progress in the implementation of policies and measures to address climate change in agriculture – particularly for adaptation⁸.

Barrier 3 - Accessing finance and engaging the private sector. Public climate finance specifically allocated for agriculture, forestry, land use and natural resources management is insufficient to meet the magnitude of the climate change challenges faced within the sector. In 2017-2018, investments in the agriculture sector made up only 5.1 percent of the total climate finance outlays globally, which was estimated at USD 579 billion⁹. Many actors in the agriculture sectors also lack awareness of climate finance opportunities and how they can be accessed. Compounding this issue is a lack of experience and capacity among agriculture sector stakeholders, particularly within government and subsistence farmers, to develop financially viable agriculture sector investment packages and investment concept notes that can also deliver climate and environmental benefits. Improving the access of smallholder farmers to climate finance presents a particular challenge. Smallholders generally operate in remote areas, often lack technical and financial capacity, and have few assets that can be offered as collateral. This makes them relatively weak borrowers. Consequently, they tend to suffer disproportionately from underinvestment and lack of access to finance and markets, which puts them at a significant disadvantage compared with their

⁷ ASEAN. 2018. Submission of views to UNFCCC's SBSTA 46 on the Koronivia road map under the Koronivia joint work on agriculture (decision 4/CP.23) on topic 2(a) – Modalities for implementation of the outcomes of the five in-session workshops on issues related to agriculture and other future topics that may arise from this work. (also available at: <https://www4.unfccc.int/sites/SubmissionsStaging/Documents/201810291449---ASEAN%20Submission%20to%20UNFCCC%20Modalities-19Oct2018.doc.pdf>).

⁸ ASEAN. 2016. Submission of views to SBSTA44 on issues related to agriculture (also available at: https://www4.unfccc.int/sites/SubmissionsStaging/Documents/53_84_131031085300631893-ASEAN%20Submission%20to%20SBSTA%202%20-%20Agricultural%20practices%20and%20technologies%20FINAL.pdf)

⁹ CPL. 2019. Global Landscape of Climate Finance 2019. London. CPL. (also available at <https://climatepolicyinitiative.org/wp-content/uploads/2019/11/2019-Global-Landscape-of-Climate-Finance.pdf>).

developed country counterparts. For example, agricultural insurance reaches only 10 percent of smallholders, and fewer than 15 percent have access to a formal savings account¹⁰.

The formulation of these types of investment packages requires specific financial and technical knowledge and competencies that are often not readily available in Ministries of Agriculture and smallholder farmers or farmers groups. An additional challenge is the gap between public agriculture sector stakeholders and the work of corporate, regionally focused agri-businesses. Less than one percent of private sector climate finance was directed to agriculture, with 85 percent of this share invested in renewable energy and 14 percent in transport¹¹. Finding ways to better integrate smallholders into national and regional markets for sustainable, climate-friendly agricultural products is an important way to enhance the durability of public sector support to the agriculture sector. However, government and smallholders face several constraints in working with the private sector and the entry points for engaging the private sector more strongly in climate action in agriculture are not well understood by governments and other sector actors.

Public climate finance can provide a key source of leverage to expand finance available to the agriculture sectors. Despite recent growth in absolute terms, the agriculture sector still has relatively more difficulty in accessing climate finance; particularly for adaptation. Given that developing countries are already among the most vulnerable to climate change and many households rely on agriculture for subsistence and livelihoods, addressing the adaptation financing gap in agriculture is crucial. Similarly, financing agriculture to improve food security and make progress on other socio-economic indicators has not sufficiently addressed climate outcomes (World Bank 2018). New potential mechanism(s) to leverage additional sources of financing for climate action in the agriculture sector are emerging such as the ASEAN Green Bonds Standard. However, these are a poorly understood instrument amongst agriculture sector stakeholders at present. Agriculture sectors are also under serviced by green debt instruments in the region. For example, only 3 percent of green bond and loan proceeds in ASEAN are currently allocated to land-use investments¹².

This proposal, through the ASEAN Climate Resilience Network, will also contribute lessons learned on mobilizing different forms of public climate finance to the newly-launched ASEAN Taxonomy Board (ATB) which announced the development of a multi-tiered regional finance taxonomy, covering both green and transition activities, during COP26. The ASEAN Taxonomy will be the overarching guide for all participating countries in developing national sustainability initiatives including those targeting climate change and serve as ASEAN's common language for sustainable finance.

In terms of improving access to private climate finance, FAO with support from CIAT has prepared an analysis based on consultations with a range of private sector actors including philanthropies, impact investors, microfinance institutions (MFIs), agribusinesses, angel investors, venture capital funds (VCFs), private equity funds, commercial banks and pension funds to identify possible financial instruments and finance providers that could be explored to develop innovative approaches to scaling-up climate finance for the agriculture sectors. Private sector financiers vary in a number of critical areas, including their investment objectives, the types of financial instruments the use, their risk-return profiles, investment size and tenor, and target recipients. For example, investments that carry low risk but entail a significant delay between investment and financial returns (e.g. establishing plantations that will start producing in five to seven years) should be funded by long-term debt securities (e.g. bonds), which are attractive to low-risk investors (e.g. banks and pension funds). High-risk, high-return interventions (e.g. the development of disruptive technologies) are likely to attract finance from angel investors and venture capital firms¹³. Different models will be explored under this project at national and regional levels.

The GCF Readiness and Preparatory Support Programme has supported selected actions to enhance the capacity of countries in the region to scale-up climate finance. However, these initiatives have not yet addressed the specific needs of the agriculture sector. An overview of completed and ongoing GCF Readiness projects in participating countries described in Annex 1. This project will aim to complement previous initiatives under the GCF Readiness and Preparatory Support Programme to strengthen capacity to access climate finance and develop bankable climate finance project concept notes and projects; particularly in highly relevant sectors and disciplines such as REDD+.

¹⁰ Dalberg Global Development Advisors, 2016. *Inflection Point: Unlocking Growth in the Era of Farmer Finance*. (also available at www.rafllearning.org/sites/default/files/inflection_point_april_2016.pdf).

¹¹ CPI. 2019. Op cit.

¹² CBI. 2020. *ASEAN State of the Market 2019*. (also available at: https://www.climatebonds.net/files/reports/cbi_asean_sotm_2019_final.pdf).

¹³ FAO and CIAT. Forthcoming. *Increasing private sector financing for climate-smart agriculture in Asia*.

4. Addressing the barriers with this proposal

In response to these barriers, the countries of Southeast Asia are proposing to undertake a collaborative programme of strategic regional action. This regional proposal will build capacity to access climate finance for the agriculture sector and create opportunities to scale promising models at national and regional levels. The project countries will also share experiences and co-create proposals for sector specific climate action at the regional level with public and private sector climate and agriculture finance experts. Investment plans will focus on facilitating farmer's access to capacity to access capacity, resources and finance to address climate change risks.

The main objective of the project is to enhance the capacity of countries in Southeast Asia to develop national climate finance investment programmes and projects linked to adaptation and mitigation priorities for the agriculture sectors and exchange knowledge and learning to promote innovative mechanisms for public and private sector climate finance at national and regional levels. Specifically, the outcomes of the project aligned with the GCF Readiness Objectives and Outcomes will be:

1. Agriculture investment programmes to strengthen GCF Country Programmes and leverage national, regional and global climate finance to support implementation of national, sector-specific climate change policy frameworks developed (Outcome 2.1);
2. Development of quality GCF concept notes and proposals by building capacities of agriculture sector stakeholders and especially LDCs supported (Outcome 4.1); and
3. Opportunities for knowledge capture, learning and dissemination on climate-friendly agriculture through partnership networks enhanced (Outcome 5.2).

The project will equip Southeast Asian countries with agriculture investment plans consistent with national climate change policy frameworks to effectively attract necessary investments that will scale up priority action to mitigate and adapt to the impacts of climate change in agriculture. Through focused collaboration with private sector groups, countries will also gain needed support to incentivize the engagement of the private sector to leverage existing sources of climate and other finance to resource their investment plans.

Annex 5 shows initial bodies of work that explored investment needs of the agriculture sector and potential role of the private sector. This proposal will build on these, and work towards integration of these national-level insights into cohesive and coordinated investment action plans harmonized with national climate change agendas. This proposal will also design a partnership plan with existing entities that can be seen in Annex 4, and building on the capacities of these established entities to secure the right investments. Participating countries will use the plans and investment concept notes developed under the project to update and strengthen their GCF Country Programmes.

The regional nature of the project will also enable the development of initiatives that will meet shared needs to better address climate change risks to agriculture. One example of a priority to be explored in this way is to develop risk-sharing mechanisms for smallholder farmers across the region. Specifically, countries are interested to explore ways to pool together existing sector specific data in the region and existing national foresight capacities to assess the feasibility of a **Regional Agricultural Risk Finance Facility** to coordinate collection and sharing of information on agriculture sector risks, losses, and damages.

3. LOGICAL FRAMEWORK

Outcomes	Baseline	Targets	Outputs	Activities (brief description)	Deliverables
<p>Outcome 2.1: GCF recipient countries have developed Country Programmes to guide GCF investment and programming of readiness support resources</p>	<p>1. National climate change policies and plans (including LTS, NDC, NAP and NAMA) lack quantifiable information on investment priorities for the agricultural sector, scale of finance required and expected impacts.</p> <p>2. There are no systematic assessments of agriculture-focused Direct Access Entities (DAE) capacities to support improved access to climate finance for agriculture.</p>	<p>1. National climate change policies and plans are informed with specific, quantifiable information on investment priorities for the agricultural sector, scale of finance required, and expected impacts.</p> <p>2. Thorough assessments of agriculture-focused DAEs capacities to support improved access to climate finance for agriculture.</p>	<p>Output 2.1.1 Agriculture and climate investment plans formulated to support implementation of agriculture sector climate change strategies and policies, including submissions to the UNFCCC's KJWA.</p>	<p>Activity 2.1.1.1 Prepare national participatory, agriculture and climate foresight and climate-smart options assessments to characterize the agriculture sector's climate change risks and opportunities, in consultation with government agencies, civil society organizations, women's groups, and private sector actors.</p> <p><u>Additional information</u> This activity will involve:</p> <p>a. Organization of a multi-stakeholder consultative process to develop participatory scenarios for the future of the agriculture sectors in each participating country. Six workshops at national levels (1 per country) will be organized with the participation of relevant government agencies, civil society organizations, women's groups, and private sector players. These workshops will cover the following key topics:</p> <ul style="list-style-type: none"> - Agro-climatic scenario development. 	<p>Deliverable 2.1.1.1a: Six workshop reports on climate foresight and climate-smart options assessment reports including:</p> <ul style="list-style-type: none"> - List of participants (up to 40 per workshop) disaggregated by gender; - Training material; and - Results of the pre-post survey to assess the workshops effectiveness. <p>Deliverable 2.1.1.1b: Six participatory, agriculture and climate foresight analysis and climate-smart options assessment reports.</p>

Outcomes	Baseline	Targets	Outputs	Activities (brief description)	Deliverables
	<p>3. Lao PDR and Thailand are the only participating countries that have published GCF country programmes to the GCF website with agriculture priorities identified (See Annex 2).</p>	<p>3. Six participating countries have developed or updated their GCF Country Programmes with priority GCF agriculture investment projects.</p>		<ul style="list-style-type: none"> - Review and assessment of the legal and policy frameworks relevant to climate change and the agriculture sectors including NDCs and National Adaptation Plans. - Identifying climate-smart measures across the whole food system to address climate change risks and opportunities. - Prioritizing measures for implementation to achieve national and local climate change goals. <p>b. Preparation of information inputs to support the scenario development process including past and future agro-climatic assessments using tools such as the FAO agro-ecological zoning (AEZ) framework and related analytical tools. Scenario and foresight analysis exercises will be complemented with an assessment of climate-smart measures using a synthesis of methods developed by the World Bank, FAO and CGIAR. (see Annex 6).</p>	

Outcomes	Baseline	Targets	Outputs	Activities (brief description)	Deliverables
				<p>Activity 2.1.1.2 Organize a regional multi-stakeholder consultation to identify measures to address shared climate change risks and opportunities in the agriculture sectors based on a review of national and regional sector climate change strategies and policies including submissions under the UNFCCC's KJWA.</p> <p><u>Additional information</u> This activity will involve:</p> <p>a. Organization of a multi-stakeholder regional consultation to share lessons learned from national agro-climatic and participatory foresight analysis and develop shared participatory scenarios for the future of the agriculture sectors at the regional level. At least 1 regional workshop will be organized involving government, civil society organizations, women's groups, and private sector actors. The workshop will cover the following key topics:</p> <ul style="list-style-type: none"> - Review of findings of national participatory, agriculture and climate foresight analysis and climate-smart options assessments (Activity 2.1.1.1). - Review of national and regional sector climate change strategies 	<p>Deliverable 2.1.1.2a:</p> <p>One regional multi-stakeholder consultation report on measures to address climate change risks and opportunities in the agriculture sectors including:</p> <ul style="list-style-type: none"> - List of participants (up to 40) disaggregated by gender; - Training material; and - Results of the pre-post survey to assess the workshops effectiveness. <p>Deliverable 2.1.1.2b:</p> <p>1 Regional synthesis report on measures to address climate change risks and opportunities in the agriculture sectors for Southeast Asia.</p>

Outcomes	Baseline	Targets	Outputs	Activities (brief description)	Deliverables
				<p>and policies including submissions under the UNFCCC's KJWA.</p> <ul style="list-style-type: none"> - Assessment of shared regional climate change risks and opportunities for the agriculture sectors. - Possible innovations in technology dissemination and collaboration to deploy climate-smart measures and approaches. - Process to prioritize investments at regional levels to further regional and national climate change goals for the agriculture sectors. <p>b. Preparation of a synthesis report including recommendations for regional-level measures to address shared climate change risks and opportunities in the agriculture sectors. The report will bring together findings of national participatory, agriculture and climate foresight analysis and climate-smart options assessments and the regional consultation and review of sector climate change strategies and policies including submissions under the UNFCCC's KJWA.</p>	
				<p>Activity 2.1.1.3 Develop inclusive and spatially explicit investment plans based on Activity 2.1.1.1 Options Assessments to support GCF Country Programmes and achievement of climate change policy</p>	<p>Deliverable 2.1.1.3a: Six national, multi-stakeholder agriculture and climate change investment planning workshop reports including:</p>

Outcomes	Baseline	Targets	Outputs	Activities (brief description)	Deliverables
				<p>goals for the agriculture sectors at national levels.</p> <p><u>Additional information</u> This activity will facilitate further definition of investment plans to scale-up measures at national levels identified under Activities 2.1.1.1 and 2.1.1.2. Specifically the activity will involve:</p> <p>a. Organization of six national and one regional multi-stakeholder agriculture and climate change investment planning workshops involving government, civil society organizations, women's groups, and private sector actors to develop agriculture and climate change investment plans and prioritize high impact investments for integration into GCF country programmes. As part of the national workshops 1-2 investments will be prioritized for further development. GCF direct access entities will be actively encouraged to take part in these consultations. Investment options will be reviewed and prioritized using a synthesis of methods developed by the World Bank, FAO and CGIAR (see Annex 6).</p> <p>b. Preparation of national agriculture and climate change investment plans to complement sector climate change strategies and policies including submissions under the UNFCCC's KJWA. The plans will include a synthesis</p>	<ul style="list-style-type: none"> - List of participants (Up to 40 per workshop) disaggregated by gender; - Workshop materials; and - Results of the pre-post survey to assess the workshops effectiveness. <p>Deliverable 2.1.1.3b:</p> <p>Six national agriculture and climate change investment plans including 1-2 high priority GCF agriculture investment project idea notes.</p> <p>Deliverable 2.1.1.3c:</p> <p>GCF agriculture investment project idea notes are proposed to NDAs in six 6 countries for inclusion in their respective GCF Country Programmes .</p>

Outcomes	Baseline	Targets	Outputs	Activities (brief description)	Deliverables
				<p>of the work to identify climate-smart options in Activities 2.1.1.1 and 2.1.1.2 and the national investment plan consultations. Plans will include the following information:</p> <ul style="list-style-type: none"> - Institutional context and basis for investment to support climate action in the agricultural sectors; - Mapping of key investment needs to address climate change risks along key agricultural value chains and potential public and private finance providers; - Past investments and analysis of gaps and needs to address climate change risks; - Prioritized investment descriptions, their geographical targeting, target funding, beneficiary profiles and anticipated safeguards requirements; - Responsible actors and roles including DAEs. - Investment timeframe and capitalization periods including any required operation and maintenance expenditures. <p>c. Preparation of 1-2 GCF agriculture investment project idea notes for integration into national GCF country programmes. These idea notes will further define the specific measures, geographic scope, finance requirements and potential instruments for specific</p>	

Outcomes	Baseline	Targets	Outputs	Activities (brief description)	Deliverables
				investments as well as initial consideration of potential safeguards triggers and gender and social inclusion. This work will result in the preparation of 1-2 idea notes at national level and regional levels respectively.	
			<p>Output 2.1.2 Innovative climate finance models for priority agriculture investment packages, including opportunities for agriculture related GCF Direct Access Entities, developed in consultation with national and regional public and private sector partners.</p>	<p>Activity 2.1.2.1 Prepare a regional assessment of existing and potential agriculture-related Direct Access Entities (DAEs)¹⁴ in Southeast Asia to identify options to support future implementation of agriculture and climate change investment plans.</p> <p><u>Additional information</u> This activity will involve:</p> <ul style="list-style-type: none"> a. Consultation with NDAs and agriculture stakeholders to identify existing and potential agriculture related DAEs in Southeast Asia. b. Further consultation with identified DAEs to assess their specific gaps and needs in supporting implementation of agriculture and climate change investment plans and designing investment idea notes that meet the requirements of the GCF. Consultations will aim to assess barriers and opportunities faced by DAEs to work 	<p>Deliverable 2.1.2.1a: One regional assessment report on existing and potential agriculture related DAEs in Southeast Asia including summaries of consultations with NDAs, agriculture stakeholders and potential DAEs.</p>

¹⁴ National and regional DAEs.

Outcomes	Baseline	Targets	Outputs	Activities (brief description)	Deliverables
				<p>with agriculture sector stakeholders to develop bankable GCF projects.</p> <p>c. Prepare a synthesis report including specific investment options and finance models that can be used to engage DAEs in Southeast Asia to support future implementation of agriculture and climate change investment plans.</p>	
				<p>Activity 2.1.2.2</p> <p>In consultation with multiple stakeholders including public and private climate finance providers and agriculture related DAEs, identify innovative finance models at national and regional levels to support climate finance investment plans for the agriculture sector.</p> <p><u>Additional information</u></p> <p>This activity will involve:</p> <p>a. A detailed review of the latest experiences with traditional and innovative finance instruments to promote public and private sector investment in climate-smart agriculture practices and technologies in Southeast Asia. The review will aim to cover all agriculture and land-use sectors and recent experiences with a wide range of instruments including grants, green bonds, soft and commercial loans, mezzanine finance, convertible debt, equity, venture capital and blended instruments. The review will involve a</p>	<p>Deliverable 2.1.2.2a:</p> <p>One technical review feeder report on mobilizing finance for climate-smart agriculture investments including recommendations for promising financial models and instruments to match public and private finance to agriculture and climate change investment plans.</p> <p>Deliverable 2.1.2.2b:</p> <p>One workshop report. Regional multi-stakeholder agriculture and climate change investment and engaging public/private climate finance providers to structure innovative and ESG compliant finance models at national/regional levels to</p>

Outcomes	Baseline	Targets	Outputs	Activities (brief description)	Deliverables
				<p>mix of desktop review and extensive consultation with public and private financial institutions engaged in structuring debt, equity and blended finance instruments for the agriculture sectors including philanthropies, impact investors, MFIs, agri-business firms, angel investors, venture capital funds, private equity funds, commercial banks and pension funds. The review will build upon existing analysis by FAO and CIAT to map on work by FAO and CIAT to map potential sources of private capital for CSA investments based on consultation with public and private finance providers. The final report will provide lessons learned with mobilizing finance for climate-smart agriculture investments and recommendations for promising financial models to match public and private finance to the national and regional agriculture and climate change investment plans and ESG compliant investment packages developed in Activity 2.1.1.3. The report will include initial investment options assessment to identify specific investment packages that could be developed at the regional level based on shared climate-smart technology gaps and needs. The assessment should cover the needs for establishment of a Southeast Asia Agricultural Risk Finance Facility as well as related financial instruments and structures with potential to support climate finance investments in</p>	<p>support investments in the agriculture sector including:</p> <ul style="list-style-type: none"> - List of participants (Up to 40) disaggregated by gender; - Workshop materials; and - Results of the pre-post survey to assess the workshops effectiveness. <p>Deliverable 2.1.2.2c</p> <p>One report on agriculture and climate finance models developed including recommendations on innovative finance models at national and regional levels to support climate finance investment plans for the agriculture sector.</p>

Outcomes	Baseline	Targets	Outputs	Activities (brief description)	Deliverables
				<p>the agriculture sectors. The findings of the report will ai to facilitate discussions at the regional level, multi-stakeholder workshop.</p> <p>b. Organization of a regional level, multi-stakeholder workshop with government, civil society organizations, women's groups, and public and private sector actors to identify high impact investments in agriculture value chains with regional potential and identify specific ESG compliant finance models at national/regional levels to support climate-related investments in the agriculture sector consistent with the national and regional agriculture and climate change investment plans and priorities. The workshop will synthesize the findings of the review exercise under Activities 2.1.2.1 and 2.1.2.2 to identify possible investments or finance structures at the regional level to facilitate climate finance investments in the agriculture sectors. During the This consultation will also provide an opportunity for public and civil society stakeholders to engage with representatives from nationally and regionally operative finance intuitions including national agricultural and rural banks and credit providers as well as philanthropies, impact investors, MFIs, agri-business firms, angel investors, venture capital funds, private equity funds, commercial banks and pension</p>	

Outcomes	Baseline	Targets	Outputs	Activities (brief description)	Deliverables
				<p>funds active in Southeast Asia. GCF DAEs accredited for on-granting, loan and equity investments will be actively encouraged to take part in the consultation. During the workshop, the investment plans and GCF agriculture investment project idea notes developed under Output 2.1.1 will be presented to participating DAEs/organizations to understand their interest and potential to become involved as an accredited entity or executing entity in the development and implementation of future GCF projects.</p> <p>c. Preparation of a report that specifies the most suitable financial models and instruments to match public and private finance to the national and regional ESG compliant investment packages developed in Activity 2.1.1.3. The report will provide details on the structure of recommended models and the role of different actors included in the structures recommended.</p>	
<p>Outcome 4.1: Increased number of quality project concept notes developed and submitted</p>	<p>1. Six national approved GCF projects targeting the agriculture sectors published on the GCF website (see Annex 2).</p>	<p>1. Six new national GCF country concept notes targeting the agriculture sector. 2. One new regional, multi-country GCF concept note for</p>	<p>Output 4.1.1 National GCF concept notes to support implementation of priority agriculture and climate change investments in Southeast Asia developed.</p>	<p>Activity 4.1.1.1 Build the capacity of agriculture sector stakeholders, including relevant GCF Direct Access Entities, NDAs/DAEs to develop inclusive, high quality national and multi-country GCF concept notes. This activity can be further broken down depending on the needs and</p>	<p>Deliverable 4.1.1.1a: Six national capacity building workshop reports on GCF concept note development including: - List of participants (Up to 40) disaggregated by gender;</p>

Outcomes	Baseline	Targets	Outputs	Activities (brief description)	Deliverables
	<p>2. 10 national GCF project concept notes targeting the agriculture sectors published on the GCF website (see Annex 2).</p> <p>3. One regional, multi-country approved GCF project targeting the agriculture sectors (See Annex 2).</p>	Southeast Asia targeting the agriculture sector.		<p>assessments per country to support capacity development of the NDAs/DAEs.</p> <p><u>Additional information</u> This activity will involve:</p> <p>a. Organization of a multi-stakeholder capacity building exercise to develop shared understanding of the GCF and its requirements for successful project concept notes and full proposals with a special focus on issues related to the agriculture sectors. At least 6 workshops will be organized with the participation of relevant government agencies, civil society organizations, women's groups, and private sector players. Accredited GCF direct access entities or organizations to become accredited will also be engaged for these exercises. These workshops will cover the following key topics:</p> <ul style="list-style-type: none"> - GCF results management framework and investment criteria. - Concept note preparation including pre-feasibility and alternative options assessments. - Theory of change for agriculture GCF projects. - The climate rationale for agriculture GCF projects and available tools and methods. 	<ul style="list-style-type: none"> - Workshop materials; and - Results of the pre-post survey to assess the workshops effectiveness.

Outcomes	Baseline	Targets	Outputs	Activities (brief description)	Deliverables
				<ul style="list-style-type: none"> - Feasibility studies needed to support bankable agriculture GCF projects. - Safeguard's requirements and the gender action plan. - Institutional & implementation arrangements and capacity development for national executing entities including direct access entities. - Experiences and lessons learned with agriculture projects at the GCF in Southeast Asia. 	
				<p>Activity 4.1.1.2 Prepare GCF concept notes to support implementation of priority agriculture and climate change investments in Southeast Asia¹⁵.</p> <p><u>Additional information</u> This activity will involve: a. Preparation of pre-feasibility assessments for at least one of the GCF agriculture investment project idea notes developed in Activity 2.1.1.3 for each country (6 total). The project will target at least 6 assessments for projects at</p>	<p>Deliverable 4.1.1.2a: Six pre-feasibility assessments (one per country).</p> <p>Deliverable 4.1.1.2b: Six GCF concept notes (one per country).</p> <p>Deliverable 4.1.1.2c: Twelve stakeholder engagement reports (two</p>

¹⁵ Consultation with NDAs and agriculture stakeholders will be conducted to identify existing and potential agriculture related DAEs in Southeast Asia (national and regional).

Outcomes	Baseline	Targets	Outputs	Activities (brief description)	Deliverables
				<p>either national or regional levels incorporating:</p> <ul style="list-style-type: none"> - Climate rationale; - Theory of change and project logical framework; - Assessment of alignment with the GCF investment and results framework; - Consideration of alternative investment options; - Preliminary financial and economic analysis; - Preliminary environmental, socio-economic analysis; - Proposed implementation arrangements and project financing structure. <p>b. Preparation of GCF concept notes based on the pre-feasibility assessments in the correct GCF concept note template. The structure of pre-feasibility assessments will mirror the requirements of the GCF concept note to allow for pre-feasibility assessment and concept note preparation to proceed in parallel.</p> <p>c. Organization of two sets of stakeholder consultation meetings with public/private actors, civil society, and women's group representatives to ensure multi-stakeholder buy-in for the GCF concept notes developed.</p>	<p>meetings per country for up to 20 participants) corresponding to each concept note developed.</p>

Outcomes	Baseline	Targets	Outputs	Activities (brief description)	Deliverables
			<p>Output 4.1.2 Multi-country GCF concept note to establish a Southeast Asia Agricultural Risk Finance Facility.</p>	<p>Activity 4.1.2.1 Prepare a pre-feasibility assessment and concept note for a Southeast Asia Agricultural Risk Finance Facility</p> <p><u>Additional information</u> This activity will involve:</p> <p>a. A review of existing global experiences with risk financing facilities; particularly facilities targeting support to the agriculture sectors. The review will account for comparable risk financing facilities at national, regional and global levels such as the World Bank's Global Risk Finance Facility. The review will also consider related financing mechanisms for low emission development and green recovery such as the GCF and ADB ASEAN Catalytic Green Finance Facility (ACGF). This exercise will also draw upon experiences with related programmes such as FAO's Early Warning Early Action and World Food Programme's Forecast Based Financing initiatives.</p> <p>b. A review of technical, institutional and financial requirements for the establishment and operation of a Southeast Asia Agriculture Risk Finance Facility such as region-specific agro-meteorological and agro-climatic modelling capacities, the presence of</p>	<p>Deliverable 4.1.2.1a: Pre-feasibility assessment report for a Southeast Asia Agricultural Risk Finance Facility.</p> <p>Deliverable 4.1.2.1b: One multi-country GCF concept note.</p> <p>Deliverable 4.1.2.1c: Regional concept note validation workshop report including:</p> <ul style="list-style-type: none"> - List of participants (Up to 40) disaggregated by gender; - Workshop materials; and - Results of a post-workshop survey to assess the workshops effectiveness.

Outcomes	Baseline	Targets	Outputs	Activities (brief description)	Deliverables
				<p>regional databases on agricultural loss and damages, possible governance arrangements and financing structures.</p> <p>c. Preparation of a pre-feasibility assessment including:</p> <ul style="list-style-type: none"> - Climate rationale. - Theory of change and project logical framework. - Assessment of alignment with the GCF investment and results framework. - Consideration of alternative investment options that could provide similar services to a risk finance facility. - Preliminary financial and economic analysis. - Preliminary environmental, socio-economic analysis. - Proposed implementation arrangements and project financing structure. <p>d. Preparation of a multi-country GCF concept note based on the pre-feasibility assessment in the GCF concept note template.</p> <p>e. Organization of a regional workshop to review the findings of the pre-feasibility assessment and to validate the regional concept note.</p>	

Outcomes	Baseline	Targets	Outputs	Activities (brief description)	Deliverables
<p>Outcome 5.2: Partnerships established to foster development and dissemination of methods, frameworks, and information systems for enhanced climate finance programming at subnational, national, and regional levels</p>	<p>There are no partnership networks dedicated to development and dissemination of methods, frameworks, and information systems for enhanced agriculture sector climate finance programming at regional level.</p>	<p>One existing agriculture sector partnership network strengthened (ASEAN Climate Resilience Network) to disseminate methods, frameworks, and information systems for enhanced agriculture sector climate finance and implementation of KJWA priorities in Southeast Asia.</p>	<p>Output 5.2.1 Southeast Asia partnership network strengthened to support knowledge exchange on prioritizing and structuring of public and private climate finance investment in the agriculture sectors consistent with national and regional priorities including those identified in submissions by Southeast Asian countries to the UNFCCC's KJWA.</p>	<p>Activity 5.2.1.1 Develop and implement a regional knowledge-management and communications strategy to strengthen the capacity of regional stakeholders to highlight public and private investment opportunities for agriculture and climate change in Southeast Asia and engage in UNFCCC processes related to mobilizing climate finance including support for implementation of KJWA.</p> <p><u>Additional information</u> This activity will involve:</p> <p>a. Preparation of a knowledge management and communications strategy to be implemented by the ASEAN Climate Resilience Network members to:</p> <ul style="list-style-type: none"> - Raise awareness of the needs and barriers to investment to scale-up action to address climate change risks to agriculture. - Share experiences and lessons learned from project activities. - Enhance engagement with public/private actors including business peak bodies such as WBCSD and Grow Asia, civil society, and women's group representatives to develop ESG compliant investment packages. 	<p>Deliverable 5.2.1.1a: One regional knowledge management and communications strategy to strengthen the capacity of regional stakeholders to highlight public and private investment opportunities for agriculture and climate change in Southeast Asia.</p> <p>Deliverable 5.2.1.1b: Two regional multi-stakeholder public/private agriculture climate finance dialogue reports including:</p> <ul style="list-style-type: none"> - List of participants (Up to 40) disaggregated by gender; - Workshop materials; and - Results of the pre-post survey to assess the workshops effectiveness. <p>Deliverable 5.2.1.1c: One sustainability and partnership action plan report including a post-project sustainability and hand over strategy. This sustainability</p>

Outcomes	Baseline	Targets	Outputs	Activities (brief description)	Deliverables
				<ul style="list-style-type: none"> - Strengthen regional engagement in UNFCCC processes related to mobilizing climate finance including support for implementation of KJWA. - Monitor and track project activities and the contribution of related initiatives to scaling-up climate finance. - Promote the work of the project and related work of Network members through traditional and digital media. <p>b. Organize multi-stakeholder public/private agriculture climate finance dialogues and outreach exercises to promote the work of the project and related work of Network members as well as activities of partner organizations and collaborating agencies. These events and exercises will support implementation of the knowledge management and communications strategy and will be delivered through a mix of digital media and virtual and in-person forums.</p> <p>c. Develop a project Sustainability and partnership action plan and post-project sustainability and hand over strategy through extensive consultation with project stakeholders. The plan will be validated in a regional project closing workshop. This action plan will be implemented by the ASEAN Climate Resilience Network.</p>	<p>and partnership action plan will be implemented by the ASEAN Climate Resilience Network. The action will include lessons learnt from the project activities, recommendations on enhancing engagement with public/private actors including business peak bodies and, strengthening regional engagement in the UNFCCC processes. The action plan will be handed over to the ASEAN CRN members and disseminated to the wider stakeholder groups that include the ASEAN government representatives, the working group on climate change, rural development and poverty eradication initiatives, private sector entities and other civil society groups.</p>

Outcomes	Baseline	Targets	Outputs	Activities (brief description)	Deliverables
				<p>Activity 5.2.1.2 Develop national and regional knowledge products for prioritizing and structuring agriculture sector climate finance investments to achieve climate change policy goals for the agriculture sector and support implementation of KJWA priorities.</p> <p><u>Additional information</u> This activity will involve: a. Preparation of knowledge products that will aim to synthesize the approaches and activities adopted under the project to support preparation of inclusive and spatially explicit investment plans and ESG compliant investment packages to support achievement of climate change policy goals for the agriculture sector at national and regional levels. Target knowledge products will include a region-level guidance document to support future development of funding proposals and investment plans identifying both private and public sector innovative financing options and means of harmonizing the investment plans with the existing</p>	<p>Deliverable 5.2.1.2a: One regional-level knowledge product (guidelines or policy memo) and six national-level knowledge products (policy memo) on prioritizing and structuring climate finance to implement KJWA priorities in Southeast Asia.</p> <p>Deliverable 5.2.1.2b: One normative¹⁶ guidance report on developing and structuring transformative and innovative investments to support implementation of agriculture sector climate change strategies and policies in Southeast Asia.</p> <p>Deliverable 5.2.1.2 c: Consolidated knowledge products and consultation reports on the project activities updated on relevant digital media platforms. Relevant</p>

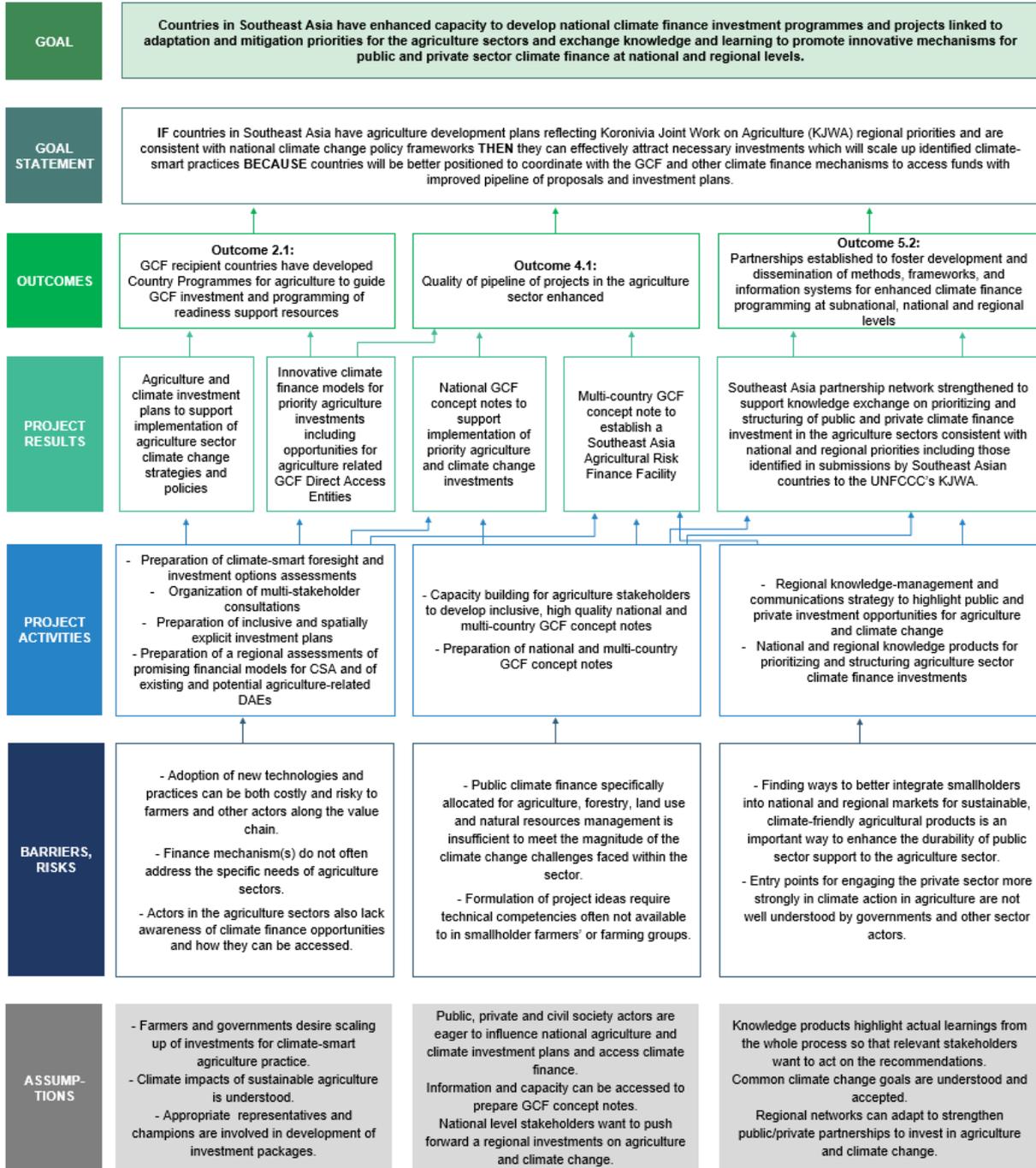
¹⁶ The normative guidance will provide general technical guidance on the topic that can be used by a wider set of actors and stakeholders.

Outcomes	Baseline	Targets	Outputs	Activities (brief description)	Deliverables
				<p>climate change and development frameworks in the region and national policy briefs to summarize the work of the project at the national level.</p> <p>b. Preparation of a normative guidance report for innovative finance for transformative agriculture sector climate finance in Southeast Asia developed and shared with key stakeholders. This report is intended to be a durable contribution of the project to broader policy debates regarding how to promote transformative change toward resilient and low emission agricultural and food systems based on the experiences and lessons learned of the project. This report will be used to inform project engagement at national, regional, and global exchanges on agriculture and climate change and in UNFCCC processes related to mobilizing climate finance including support for implementation of KJWA.</p> <p>c. Consolidation of all knowledge products and consultation reports on relevant digital media platforms. Relevant platforms will include the global, regional, and national websites and social media accounts of FAO and the website and social media accounts of the ASEAN Climate Resilience Network. Linked to Activity 5.2.1.1. Project outputs will also be cross posted on partner platforms and in promotional materials for related national, regional,</p>	<p>platforms will include the global, regional, and national websites and social media accounts of FAO and the website and social media accounts of the ASEAN Climate Resilience Network.</p>

Outcomes	Baseline	Targets	Outputs	Activities (brief description)	Deliverables
				and global events to ensure wide dissemination and availability.	

4. THEORY OF CHANGE

Figure 1: Theory of Change Diagram



To address the need for greater financial and technical support in the agriculture sector, this proposal has identified the following Theory of Change: **IF** Southeast Asian countries have agriculture development plans reflecting KJWA regional priorities that are consistent with national climate change policy frameworks **THEN** they can effectively attract necessary investments that will scale up identified climate-smart practices **BECAUSE** countries will be better positioned to coordinate with the GCF and other climate finance mechanisms to access funds with improved investment plans and pipelines of proposals. This goal will be realized through the achievement of the three GCF Readiness Fund Outcomes described below.

Outputs delivered under **Outcome 2.1**, “Recipient countries have well-developed Country Programmes for the agriculture sector to guide GCF investments and programming of readiness support resources” will provide integrated investment plans and prioritized agriculture GCF investment project idea notes to support the achievement of climate change policy goals for prioritized agriculture sector interventions; and innovative models to channel climate finance to these investment plans and projects. Project activities will characterize climate change risks and opportunities to the agriculture sectors using foresight analysis to provide the basis for capacity building, dialogue assessment to formulate new investment packages linked to national policy priorities and shared needs for climate change in agriculture as defined in regional submissions to KJWA. Activities will also aim to strengthen GCF Country Programmes and/or national climate change policies and plans by developing specific, quantifiable information on investment priorities for the agricultural sector as well as the scale of finance required and expected impacts from increased mobilization of sector-specific climate finance. Public and private sector stakeholders will also be brought together to define potential inclusive and bankable climate finance models to mobilize resources tailored to the investment packages developed.

Barriers to be addressed under this Outcome relate primarily to Barrier 1 and 3 identified in Section 2. Specifically, outputs under this outcome will address the lack of agriculture investment packages at national and regional levels that will address climate change risks and deliver sustainable development co-benefits as well as difficulties faced by agriculture stakeholders, particularly smallholder farmers, in accessing markets and investment (Output 2.1.1). Agriculture sector stakeholders have weak knowledge and capacities to build a business case for public and private investment in climate-smart agriculture. This is partially a result of the lack of technical expertise or capacity to create transformative investment plans. They are also not equipped with an understanding of how to collaborate at a regional scale to demonstrate greater impact, particularly recognizing commonalities such as agro-ecological zones, opportunities and threats, and markets. In general, agriculture sector stakeholders have limited understanding of available climate finance opportunities and ways that existing public and private sector sources of finance can be used to leverage greater investment in the sector. Another barrier that will be addressed, which also leads towards sustainability of the project beyond its timeframe is the current lack of understanding of the capacities of existing and potential agriculture-related DAEs to access climate finance and support agriculture and climate change investment plans. The project will address this by conducting an assessment of DAE capacity and the development of specific investment options and finance models that can be used to engage DAEs in Southeast Asia to support future implementation of agriculture and climate change investment plans (Output 2.1.2).

To achieve the Outcome, it is assumed that Ministries of Agriculture in the region can work with NDAs to lead investment planning and prioritization processes for the agriculture sector at national and regional levels. It is also assumed that governments will commit adequate resources and time to support the development of inclusive and sustainable agriculture investment packages and work with the project to identify suitable representatives from public/private sector, civil society and women’s organizations to engage in the exercise.

Potential risks include that investment packages are not designed in a way that can attract public or private climate finance. There is also a risk that the investment packages overlook the needs of potential important stakeholders or are not well aligned with national budgeting and policy prioritization processes. There is also a risk that changes in the geopolitical situation or a shift in national climate finance priorities might lead to unforeseen changes in the underlying rationale for the project.

Outputs delivered under **Outcome 4.1**, “Increased number of quality project concept notes developed and submitted” will build on the investment planning and prioritization activities under Outcome 2.1 to deliver a pipeline of specific investment projects at the national and regional levels. Project activities will focus on building capacity to identify bankable agriculture sector climate finance project ideas aligned with national and regional priorities and to conduct pre-feasibility and other assessments to turn these ideas into GCF concept notes. This work will aim to include direct beneficiaries, including small-holder and women farmers, to shape projects that can maximize impacts. Given the region’s joint involvement in the KJWA, multi-country pre-feasibility assessments will be developed building from the planning and prioritization exercises conducted under Outcome 2.1 including an assessment of the feasibility of developing a Regional Agricultural Risk Finance Facility. The project will aim to produce at least one multi-country project concept note to leverage economies of scale to scale-up climate action in agriculture at the regional level.

Barriers to be addressed under this Outcome relate primarily to Barrier 3 identified in Section 2. Specifically, the project outputs will address barriers associated with the lack of experience and capacity among agriculture sector stakeholders, particularly within government and subsistence farmers, to develop financially viable agriculture sector investment concept notes and proposals at national (Output 4.1.1) and regional levels (Output 4.1.2) that can also deliver climate and environmental benefits. This barrier is partially related to the lack of awareness of the specific requirements of available climate finance mechanisms, particularly the GCF, amongst agriculture sector

stakeholders. A related barrier is a general lack of capacity with the preparation of feasibility and other assessments required to develop bankable GCF project concepts.

To achieve the outcome, it is assumed that government and farmers, including subsistence and women farmers, want to proactively develop specific projects, consistent with the requirements of the GCF to scale-up climate-smart agriculture consistent with national and regional priorities. It is also assumed that national stakeholders want to strengthen collaboration at the regional level to develop region-level investment projects and multi-country initiatives on climate-smart agriculture.

Potential risks include that the project concepts developed do not adequately reflect the specific needs or challenges faced by beneficiaries in addressing climate change risks or capitalizing on mitigation opportunities. A further risk is that the types of projects and measures that are prioritized reinforce power imbalances or inequalities that favor the needs of specific beneficiaries over others.

Outputs delivered under **Outcome 5.2**, "Partnerships established to foster development and dissemination of methods, frameworks, and information systems for enhanced climate finance programming at sub-national, national, and regional levels," will seek to strengthen existing agriculture-related networks, such as the ASEAN CRN to develop and disseminate methods, frameworks, and information systems to increase public and private climate finance for agriculture and implement KJWA priorities in Southeast Asia. Project activities will focus on forging and strengthening public and private partnerships to scale-up climate finance for climate action in agriculture. Multi-stakeholder consultations and workshops will be essential for identifying opportunities to implement KJWA opportunities, increase capacity of regional agriculture stakeholders to engage in climate finance negotiations, and develop national/regional knowledge products to prioritize/structure agriculture sector climate finance investments. These activities will be coordinated with related consultations to be delivered under Outcome 2.1. Under this outcome the project will also generate lessons learned and associated knowledge products and materials that are tailored to agriculture sector audiences.

Barriers to be addressed under this Outcome relate primarily to Barrier 2 identified in Section 2. Specifically, the project will address the lack of understanding of common regional risks and challenges for the agriculture sectors and ways that collaboration could lead to more efficient and effective action through enhanced regional engagement. Working through regional bodies identified in Section 2, particularly the ASEAN Climate Resilience Network, activities will bridge the needs, priorities and interests of a wide range of public and private sector stakeholders to address the specific challenges associated with increasing access to climate finance for climate action in agriculture (Output 5.2.1). In general, the entry points for different types of stakeholders to work together on this topic are often not well understood. Activities on facilitating regional exchange and dialogue on technical approaches to prioritize and monitor investment in sector specific climate action. Under this Outcome, countries in the region will also be able to exchange views regarding regional priorities and experiences to be highlighted in global discussions on agriculture under the UNFCCC and KJWA in particular.

To achieve this outcome, it is assumed that appropriate champions from the Ministries of Agriculture are empowered to engage in regional exchanges and facilitate coordination with key partners and other relevant stakeholders, especially the National Designated Authorities. It is also assumed that common climate change goals are understood and accepted and that regional technical and finance partners have access to human and other resources to support regional engagement on this topic and strengthen the capacities of networks at the regional level.

Potential risks include that stakeholders at national and regional levels will be unable to find areas of mutual interest or feasible working arrangements to engage in truly collaborative dialogue and action. Another risk is that target audiences will not utilize knowledge products developed to facilitate improved access to climate finance nor engage productively with newly created partnerships or through existing networks working to achieve similar aims.

5. BUDGET, PROCUREMENT, IMPLEMENTATION AND DISBURSEMENT PLAN

5.1 Budget plan

Budget Plan in Excel attached.

5.2 Procurement plan

Procurement Plan in Excel attached

5.3 Implementation Plan

Implementation Plan in Excel attached.

5.4 Disbursement schedule

Readiness Proposal that falls within a Framework Agreement with the GCF

Disbursements will be made in accordance to Clause 4 “Disbursement of Grants” and Clause 5 “Use of Grant Proceeds by the Delivery Partner” of the Second Amended and Restated Framework Readiness and Preparatory Support Grant Agreement entered into between GCF and FAO on 25 August 2020 (the “Framework Agreement”). The Delivery Partner is entitled to submit 2 requests for disbursement each year and an Interim Request for Disbursement within 30 days of approval by the GCF of a proposal, which must be in accordance with the Framework Agreement.

6. IMPLEMENTATION ARRANGEMENTS AND OTHER INFORMATION

6.1 Implementation arrangements

6.1.1 Overview of implementation arrangements and project beneficiaries

FAO, as the Delivery Partner, will be responsible for implementation of the readiness support and will carry out all fiduciary and financial management, procurement of goods and services, monitoring and reporting activities under this proposal in compliance with FAO's policies and procedures and with the Second Amended and Restated Framework Readiness and Preparatory Support Grant Agreement entered into between GCF and FAO dated 25 August 2020. However, the project will be implemented in a way to stress the ownership and coordination role of the participating NDAs. The Readiness project will be implemented during a period of 36 months.

The project will be implemented in close coordination with the NDAs and the Ministries of Agriculture through the ASEAN Climate Resilience Network focal points of each participating Southeast Asian country. The project will also actively draw on outcomes of, and lessons from, previous and ongoing GCF readiness projects in the participating countries, as well as existing regional policy processes and the work of other public and private sector partners. Based on the discussion with the GCF and participating countries this readiness project has been developed as a multi-country proposal targeting a single year cap. The subsequent proposal with upcoming single year cap from the participating countries will follow this project approach and be submitted. The current proposal is targeting the 2021 allocations. A subsequent submission will be made in 2022 targeting the 2022 allocations

The Kingdom of Thailand has volunteered to act as lead NDA and will submit this proposal on behalf of the other countries. In accordance with the GCF requirements for multi-country proposals, the lead NDA (from one of the participating countries) will be the main point of contact and facilitate coordination among the GCF, FAO, the NDAs, the Ministries of Agriculture and other line departments. Following an inception workshop, a Project Steering Committee (PSC) will be established. Details on the composition and role of the PSC can be found in section 6.1.1.1. A detailed work plan, timeline and budget will also be developed and shared with the PSC for feedback and review. This document will be regularly reviewed and updated based on the progress achieved in implementing the activities under the proposal. A final draft of the plan will be presented to the PSC for approval. The plan will guide the PMU in its day-to-day activities. Likewise, the PMU will directly report the outcomes, results, outputs, and issues to the NDA and to the Ministry, based on this work plan.

A visual representation of the implementation arrangements among the actors involved in this project is shown in Figure 2. It also illustrates the interaction and communication flow of all the entities related to this programme. As can be seen, the GCF will directly transfer the Readiness funds to FAO who will be responsible for managing the overall project.

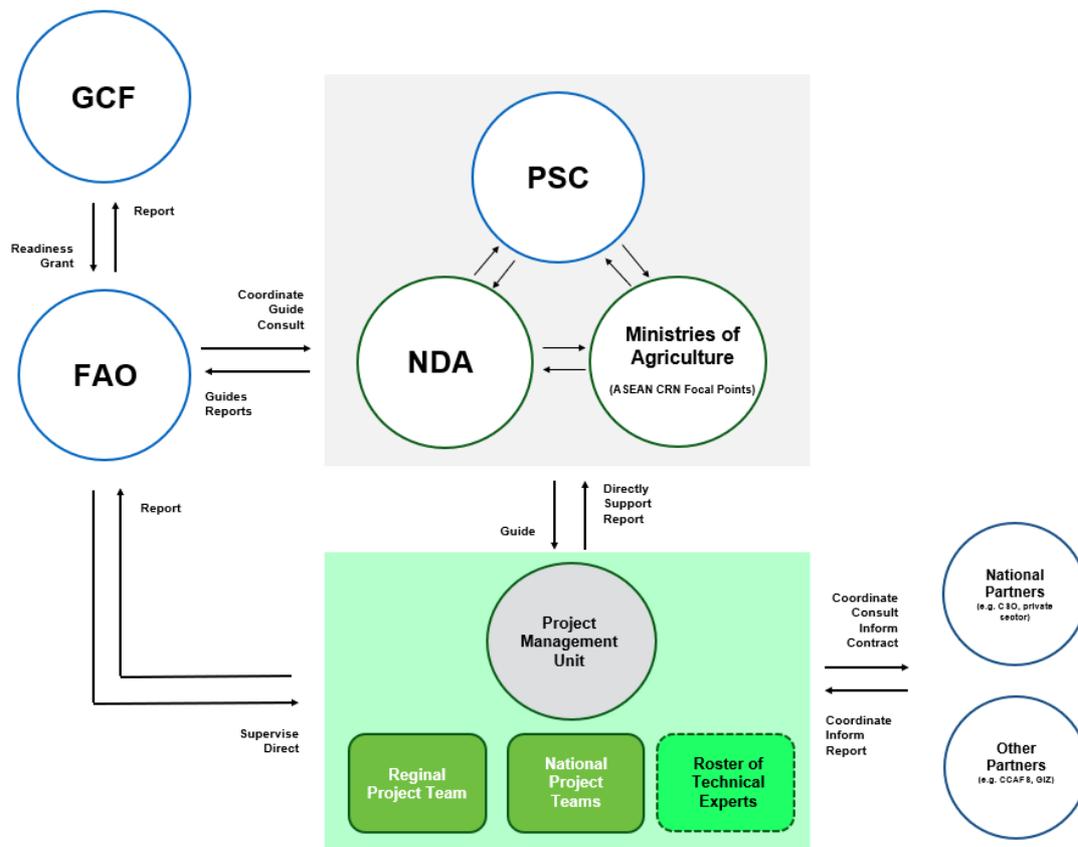


Figure 2: Implementation Arrangements

The project will be implemented through a transparent, participatory and inclusive consultative process, which aims to engage a wide range of stakeholders.

6.1.1.1 Project Steering Committee (PSC)

A **Project Steering Committee (PSC)** will be formed after the project becomes operational. Arrangements regarding chairpersonship of the PSC will be decided during the inception phase of the project based on the outcomes of the first PSC meeting. Chairpersonship could be permanent or rotating depending on the preferences of the participating countries. The PSC will oversee project implementation, and review and endorse project work plans and budget (on an annual basis) as well as decide major changes, if any. In addition, the PSC will lead and support the coordination among the Ministries of Agriculture in participating countries, the NDAs and other government organizations to ensure collaboration and oversee implementation of the project in accordance with the agreed work plan and link the work of the project to relevant policy at the national level and regional levels. It will also review and approve the project work plan and any subsequent work plan revisions. Furthermore, the PSC will also coordinate inputs to the project activities and review performance of the project and provide strategic guidance to support efficient achievement of the outcomes. The PSC will meet and approve work plans on an annual basis. Ad-hoc meetings will be organized as required based on project performance and need.

Acting as advisory board to the Project Management Unit, it will consist of assigned representatives from the NDAs of each participating country, representatives from the Ministries of Agriculture from the participating countries, and representatives from the ASEAN-Climate Resilience Network. If possible, it will also include an observer from key, regionally active private sector groups, such as from Grow Asia and the World Business Council for Sustainable Development.

6.1.1.2 Project Management Unit (PMU)

The Project Management Unit (PMU) will supervise project implementation to ensure its alignment to the stated objectives and timeline. The PMU will be guided by the PSC. Every six months, it will report progress to the PSC.

The main responsibilities of the PMU will be to ensure efficient and timely implementation of activities and delivery of results. The PMU will be comprised of the following members and teams, which are described briefly below:

- National Project Directors from all participating countries (working level appointed by government)
- FAO Project Task Force comprising FAO Budget Holder, Lead Technical Officer, sector and thematic experts and project management experts
- FAO Country Office focal points from all participating countries
- Regional Project Team (based at FAO regional office in Bangkok)
- National coordinator and climate finance specialists from all participating countries.

The specific roles of each of the PMU member groups are outlined below. The specific roles of individual PMU members and project supported experts are elaborated in 6.2.

6.1.1.3 FAO Project Task Force

To support the PMU in the day-to-day implementation of the project, FAO will also establish an interdisciplinary Project Task Force (PTF) within FAO – led by the Budget Holder in the FAO Regional Office for Asia and the Pacific. The PTF is a management and consultative body that integrates the necessary technical qualifications from relevant FAO units and country offices to support the project. The core members of the PTF include the Budget Holder and the Lead Technical Officer (LTO) at the FAO Regional Office for Asia and the Pacific (FAORAP) in Bangkok, Thailand. FAO Headquarters in Rome, Italy, will provide additional technical, operational and financial support, coordinated by the Funding Liaison Officer (FLO).

Collectively, the PTF will provide support and oversight to the PMU, as well as provide: (i) administrative, operational and procurement support; (ii) technical backstopping and assistance; and (iii) revision of Interim Progress Reports. Additional technical assistance is foreseen through short missions of experts in specific technical subjects (GHG Inventory, information technology, rural development policy and planning, institutional analysis, etc.). FAO will ensure synergies with other countries, in relation to GCF experience, by facilitating south-south exchanges.

FAO, as delivery partner, will implement the activities directly, based on its standards and procedures, and will coordinate delivery in close consultation with the PSC. FAO will be fully responsible for the implementation, financial management and oversight of the Readiness project, in coordination with the PSC. For the avoidance of doubt, FAO will carry out all procurement activities under this proposal, in accordance with FAO's policies, in consultation with the 6 participating Governments from Southeast Asia.

6.1.1.4 Regional Project Team

The Regional Project Team will oversee project implementation progress and maintain communication with the rest of the PMU to ensure a smooth flow of work. The Regional Project Teams will comprise a Regional Coordinator and International Agriculture and Climate Change Specialist, Climate finance specialist (part-time), and a Knowledge Management Associate. A brief overview TOR for these positions can be found in Section 6.2. The Regional Project Team will lead technical and operational guidance to project activities at the regional level and support National Project Teams deliver country level activities in close collaboration with FAO country offices and national stakeholders. The Regional Project Team will also lead the implementation of knowledge exchange and knowledge management activities under Outcome 5 of the project. The Team will coordinate with the ASEAN-CRN representatives, the Ministries of Agriculture, and other relevant stakeholders to establish linkages of the project with their national and regional priorities

6.1.1.5 National Project Teams

Project activities at the country level and coordination for regional activities will be led by dedicated National Project Teams. The National Project Teams will comprise a National coordinator and climate finance specialist, an Agricultural value chain specialist (part-time) and an Administration and procurement support specialist (part-time). A brief overview TOR for these positions can be found in Section 6.2. The National Project Teams will be primarily responsible for ensuring delivery of national level outputs under Outcomes 2 and 4. National project teams will also ensure strong country level engagement in regional knowledge exchange and learning activities under Outcome 5. The National project teams will receive technical support from the regional project team and a roster of international and national specialized experts to provide specific technical inputs and analysis required to support preparation of project deliverables. The National Project Team will be responsible for establishing country specific rosters of experts in close collaboration with their respective FAO country offices.

6.1.1.6 Roster of specialized technical experts

Dedicated rosters of technical experts at national and international levels will be established at the project outset to enable the provision of specialized inputs and analysis to support national investment plans and national and regional concept notes under Outcomes 2 and 4 of the project. FAO will establish expert rosters at the regional and national levels to enable easy recruitment of needed expertise and timely delivery of project inputs. The use of these experts will be guided by the specific needs identified by the National Project Directors and National Project Teams with support from the Regional Project Team. Rosters could include, but not be limited to:

- Innovative finance experts
- CSA & Sustainable agriculture experts
- Livestock experts
- Agro-forestry experts
- Geospatial experts
- Environmental and social safeguards experts
- Gender and inclusive development experts
- Financial and economic analysis experts
- Agriculture infrastructure experts
- Digital agriculture experts
- Climate foresight and scenarios development experts

Experts will be recruited for short-term inputs. Specialized inputs for investment plan development and the structuring of specific investments will be developed with additional support from the FAO Investment Center Asia Bureau.

6.1.2 Stakeholders and Beneficiaries

At the national level, main stakeholders of this project will be NDAs, Ministries of Agriculture in the participating countries and the ASEAN-CRN. The project is designed to be inclusive and will ensure regular consultation and engagement of all relevant stakeholders across the agriculture value chain. The activities under the project such as feasibility studies, GCF concept note development trainings and establishment of private and public partnership will greatly benefit the stakeholders by strengthening their capacities and knowledge on identifying investment opportunities and for making evidence-based decisions in support of their national climate change targets.

Direct beneficiaries will be the regional, national and local level policy makers engaging with the Ministries of Agriculture in the AMS. The project will contribute towards building resilience of smallholder farming households and women farmers in participating countries, to mitigate and adapt to climate impacts.

6.1.3 Complaint and claim mechanism

Within the framework of this project, the FAO shall facilitate the resolution and/or clarification of any concern directly linked to the implementation of the project that the beneficiaries and the involved stakeholders may have in relation to possible violations of the social and environmental commitments of the FAO. In this sense, if necessary, all the involved groups may present complaints and claims related to the project to the Representation of the FAO in the country, or through the project team, according to the criteria of eligibility that apply to all the FAO programmes and projects. If a notice of receipt of the claim is not received within 7 days, the complaint or concern must be sent to the FAO's Regional Office in Asia-Pacific (Email: FAO-RAP@fao.org).

In those cases, in which the claim could not be resolved through the project team at the FAO office in Bangkok, the project beneficiaries may send a complaint to the FAO Office of the Inspector General, who shall carry out an independent investigation. The procedure for the claims is detailed at <http://www.fao.org/aud/> (Email: Investigations-hotline@fao.org).

To avoid any possible conflicts of interest deriving from the Delivery Partner's role as an Accredited Entity, the prioritization of investments and projects in the context of this readiness grant will be made through a broad consultation process with relevant stakeholders, including other potential implementing entities for South East Asia. The final validation of these priorities will be carried out through the countries' own relevant coordination mechanism and institutional arrangements, with the participation of other government agencies as well as representatives from civil society and private sector as the NDA deems relevant, to ensure chosen priorities are fully aligned with national plans and strategies and adequately includes inputs from consulted stakeholders.

6.1.4 FAO obligations

- FAO will be responsible for the provision, with due diligence and efficiency, of assistance as provided in the Project Document. FAO will consult Government partners closely with respect to all aspects of the Project.
- Assistance under the Project will be made available to the relevant Government partners, or to such entity as provided for in the Project, and will be furnished and received: (i) in accordance with relevant decisions of the Governing Bodies of FAO, and with its constitutional and budgetary provisions; and (ii) subject to the receipt by FAO of the necessary contribution from the Resource Partner. FAO will disburse the funds received from the Resource Partner in accordance with its regulations, rules and policies. All financial accounts and statements will be expressed in United States Dollars and will be subject exclusively to the internal and external auditing procedures laid down in the financial regulations, rules and directives of FAO.
- FAO's responsibilities regarding financial management and execution of the Project will be as stipulated in the Framework Agreement and this Project Document.
- Assistance under the Project provided directly by FAO, including technical assistance services and/or oversight and monitoring services, will be carried out in accordance with FAO regulations, rules and policies, including on recruitment, travel, salaries, and emoluments of national and international personnel recruited by FAO, procurement of services, supplies and equipment. FAO will transfer the equipment to the government at the end of the project.

Equipment procured by FAO will remain the property of FAO for the duration of the Project. Each participating government will provide safe custody of such equipment, which is entrusted to it prior to the end of the Project.

6.1.5 Starting date

The start date for implementation will be as outlined in the Second amended and Restated Framework Agreement between GCF and FAO that has been signed on 25 August 2020.

6.2 Implementation and execution roles and responsibilities

6.2.1 Implementing and executing agencies and partners

The project will be implemented and executed by the agencies outlined in the table below.

Agency	Type	Role in the project
National		
Ministries of Agriculture	Government Institutions	Ministries of Agriculture will work with the NDAs as key partners at the national level. The Ministry will assign a PSC member and National Project Director to provide working level guidance and support to the work of the PMU.
GCF Nationally Designated Authorities / Ministries of Environment	Government Institutions	NDA's / Ministries of Agriculture will work with the Ministries of Agriculture as the partners at the national level. The Ministry will assign a PSC member to provide working level guidance and support to the work of the PMU. Ministries of Environment will also provide coordination representatives engaging with UNFCCC processes related to KJWA.
Line Ministries	Government Institutions	Other relevant line Ministries responsible for water resources management, provision of climate services, finance, local level planning will be engaged in planning workshops and project design activities. Furthermore, they will also be engaged in and support the process of DAE identification.
FAO	Delivery Partner	<p>FAO as the Delivery Partner, will be responsible for implementation of the readiness support and will carry out all fiduciary and financial management, procurement of goods and services, monitoring and reporting activities under this proposal in compliance with FAO's policies and procedures and with the Second Amended and Restated Framework Readiness and Preparatory Support Grant Agreement entered into between GCF and FAO dated 25 August 2020.</p> <p>FAO will provide support and project assurance through the FAO Representations in the participating countries as well as through its regional office based in Bangkok and headquarters in Rome. This will include project oversight, technical support and monitoring functions.</p>
ASEAN Climate Resilience Network	Regional Network	ASEAN CRN will support regional technical and coordination activities; particularly the organization of regional workshops, trainings and knowledge exchanges. The network will draw on its connections to public and private organizations working on agriculture and climate change issues in Southeast Asia.
CSOs/non-governmental organizations (NGOs)	Non-State	CSOs and NGOs will be engaged during the stakeholder engagement processes connected to the agriculture climate change investment planning and project design process.
Private Sector	Private	The private sector specifically banks will play an important role in the process of direct access to climate finance and country programming as well as GCF coordination mechanism. A list of potential collaborating institutions/organizations promoting Public-Private Partnership (PPP) in Southeast Asia is provided as Annex 4.
Existing or potential GCF Direct Access Entities (DAE)	Public/Private	DAEs and potential DAEs working at national and regional levels will be engaged as part of the review and investment project design activities under Output 2.1.1 and Output 4.1.1.

Other development partners and UN agencies including GCF Accredited Entities	International Organizations	Development partners including other UN agencies at the regional and national levels will be engaged to support the agriculture climate change investment planning and project design process and to work as project accredited entities or executing entities based on the interest and comparative advantage of the agencies and the support of the NDA and relevant stakeholders.
International Finance Institutions (IFI)	International Organizations	IFIs will be engaged to align investment planning processes to support the agriculture climate change investment planning and project design process. Collaboration with IFIs will also be sought in the project design process as potential accredited entities or finance partners.

6.2.2 Project Management Unit Staff

The Project Management Unit will supervise project implementation to ensure the delivery of all project outputs and activities on time. Further details on the project supported staff and their proposed terms of reference are provided in the table below.

Consultant/Position	Expertise	Brief TOR	Rate (in USD)	Time input over 36 months
National Project Team				
National coordinator and climate finance specialists (x6)	<ul style="list-style-type: none"> - At least five years experience in project management - An advanced degree in Climate Change, natural resources management, environmental economics or any relevant topics - Demonstrated knowledge of international climate finance, specifically the green climate fund architecture and adaptation and mitigation agendas of the UNFCCC 	<p>To lead, monitor and coordinate activities at the national level including:</p> <ul style="list-style-type: none"> - Monitor day to day implementation and progress of the project activities - Collect baseline information and prepare inception phase reports. - Lead coordination of the agriculture climate change investment planning and project design process. - Lead national expert teams. - Prepare inputs and materials on climate, climate change and climate change impacts on agriculture. - Work with international experts to implement national level assessment exercises. - Coordinate with relevant stakeholders at the national level including PSC members from the NDA and Ministry of Agriculture as well as ASEAN CRN members, DAEs. Public, private and civil society actors. - Support the regional PMU. - Coordinate national participation on national and regional level trainings, workshops and knowledge exchanges. 	USD 250 per day	440 days per specialist

National administrative and procurement support specialists (x6)	<ul style="list-style-type: none"> - At least three years experiences in procurement activities and office support work - Good knowledge of the MS Office applications, Internet and office technology equipment 	<p>To support the National coordinators with day-to-day management of project activities at the national level including:</p> <ul style="list-style-type: none"> - Procurement of national experts. - Arrangement of venues and logistics for national level workshops and meetings. - Preparation of inputs for project monitoring and progress reports. - Support dissemination of project knowledge products and materials on digital and other media platforms. - Support coordination between the project teams and the relevant staff at the NDA and Ministries of Agriculture. 	USD 100 per day	250 days per specialist per country
National agricultural value chain specialists (x6)	<ul style="list-style-type: none"> - At least seven years experience working in the field of climate change and agricultural value chain assessments - An advanced degree in a topic relevant to agricultural value chain - Demonstrated knowledge of agriculture climate change investment plans and value chain finance analyses 	<p>To support the National coordinators with the preparation of the agriculture climate change investment planning and project design process including:</p> <ul style="list-style-type: none"> - Support the agriculture climate change investment planning and project design process. - Prepare inputs and materials including value chain and value chain finance analyses. - Support stakeholder engagement at the national level including PSC members from the NDA and Ministry of Agriculture as well as ASEAN CRN members, DAEs. Public, private and civil society actors. 	USD 250 per day	138 days per specialist
National economist (x6)	<ul style="list-style-type: none"> - At least seven years experience working in the field of climate change and economic analysis of agricultural systems - An advanced degree in climate change, environmental economics, natural resource management or a related area - Demonstrated knowledge of international climate finance, specifically the green climate fund architecture and adaptation and 	<p>To support the collection of data, surveys and other information to support the preparation of preliminary financial and economic analysis of the agriculture climate change investment plans and GCF project concept notes.</p>	USD 250 per day	13 days per specialist

	mitigation agendas of the UNFCCC			
National safeguard specialist (x6)	<ul style="list-style-type: none"> - An advanced degree in in Gender Relations or related area. - At least five years experience in conducting gender assessments and developing gender strategies 	To support the collection of gender disaggregated data, surveys and other information to support the stakeholder engagement and safeguard screening process for the agriculture climate change investment plans and GCF project concept notes. These experts will also support preliminary data collection and analysis to outline the approach to preparation of the gender action plans for the GCF project concept notes.	USD 250 per day	13 days per specialist
Rostered technical experts (Up to 3 per country)	<ul style="list-style-type: none"> - As relevant to the specific TORs of the specialist 	To provide targeted technical inputs for specific tasks related to preparation of the agriculture climate change investment planning and project design process at the national level.	USD 200 per day	33 days per specialist
Regional Project Team				
Regional Coordinator and International Agriculture and Climate Change Specialist	<ul style="list-style-type: none"> - Ten years of relevant experience in policy advice and analysis relating to sustainable development of food and agriculture systems, climate finance and investment plans, and coordination and monitoring of project activities - Advanced university degree in climate change, land use management, agricultural economics, development economics, project management and business administration, or a related topic 	<p>To lead, monitor and coordinate implementation of the project including:</p> <ul style="list-style-type: none"> - Work closely with the national coordinators to lead the day-to-day implementation of project activities, the Regional Project Team and the PMU. - Participate in regular coordination meetings with the national project team to monitor the progress and implementation status of the project. - Provide guidance on the development of the outputs under each of the outcomes. - Lead regional investment feasibility and design activities. - Coordinate needed inputs from project experts and government counterparts. - Coordinate the organization of region level consultations under each outcome of the project. - Prepare inputs and materials on climate, climate change and climate change impacts on agriculture. - Coordinate with relevant stakeholders at the national and regional levels including PSC members from the NDA and Ministry of Agriculture as 	USD 450 per day	600 days

		well as ASEAN CRN members, DAEs. Public, private and civil society actors.		
Climate finance specialists	<ul style="list-style-type: none"> - Ten years of relevant experience in climate finance and project/programme planning and monitoring, including practical experience in project formulation, appraisal, implementation, monitoring, communication and/or in financial and budget planning - Advanced degree in Economics, development studies, environmental/agricultural sciences, political science, social science, international relations, business administration or a related appropriate field - Demonstrated knowledge of international climate finance, specifically the green climate fund architecture and adaptation and mitigation agendas of the UNFCCC 	To lead on activities related to the identification and structuring of financial models and partnerships to support the further funding and implementation of the agriculture climate change investment plans and GCF project concept notes. The Climate finance specialist will also lead on the design and preparation of the regional assessment of existing and potential agriculture-related DAEs in close collaboration with the national project teams.	USD 475 per day	310 days in total
Climate Foresight and Scenarios Development Experts	<ul style="list-style-type: none"> - Ten years of relevant experience in policy advice and analysis relating to foresight and scenarios sustainable development for food and agriculture systems. - Advanced university degree in climate change, land use management, agricultural economics, development economics, project management and business administration, or a related topic 	To lead the development of the reports on climate foresight analysis and climate-smart options for the six participating countries.	Up to USD 475 per day	168 days in total

Knowledge Management Associate	<ul style="list-style-type: none"> - At least two years experiences working on knowledge management and communications - University degree in communication, social science or international development studies 	<p>To support the overall implementation of the project at the regional level and lead on regional knowledge management activities including:</p> <ul style="list-style-type: none"> - Organize the logistics for knowledge exchange activities under Outcome 5. - Support the regional and national project management teams to develop project monitoring and communications materials to ensure the project is meeting its target project deliverables, while increasing the overall visibility and impact of the project activities. 	USD 260 per day	456 days
Agriculture and climate change investment design specialists (x6)	<ul style="list-style-type: none"> - Ten years of relevant experience in climate finance and project/programme planning and monitoring, including practical experience in project formulation, appraisal, implementation, monitoring, communication and/or in financial and budget planning - Advanced degree in Economics, development studies, environmental/agricultural sciences, political science, social science, international relations, business administration or a related appropriate field - Demonstrated knowledge of international climate finance, specifically the green climate fund architecture and adaptation and mitigation agendas of the UNFCCC 	<p>To lead and coordinate the design of GCF agriculture investment idea notes and the preparation of GCF project concept notes.</p>	USD 475 per day	23 days per specialist
International Economists (x6)	<ul style="list-style-type: none"> - At least seven years experience working in the field of climate change and economic analysis of agricultural systems - An advanced degree in climate change, 	<p>To lead the design and preparation of preliminary financial and economic analysis of the agriculture climate change investment plans and GCF project concept notes.</p>	USD 475 per day	23 days per specialist

	<p>environmental economics, natural resource management or a related area</p> <ul style="list-style-type: none"> - Demonstrated knowledge of international climate finance, specifically the green climate fund architecture and adaptation and mitigation agendas of the UNFCCC 			
Rostered international technical experts (Up to 6 experts)	As relevant to the specific TORs of the specialist	To provide targeted technical inputs for specific tasks related to preparation of the agriculture climate change investment planning and project design process at the regional level.	USD 475 per day	15 days per specialist

6.2.3 Roles of participating governments and FAO

As per established procedures for FAO cooperation programme implementation in participating countries, the respective participating country governments and FAO will sign the project document that will serve as the legal basis for the project implementation, monitoring and reporting within the relevant FAO Country Programme Framework.

6.3 Risks and mitigation measures

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)
Start-up delay risk	Potential challenge to efficient and timely start-up of project implementation due to delays in signing the project agreement with Southeast Asian government counterparts due to COVID pandemic restrictions, recruiting consultants, beginning procurement,	Low	Medium	Six participating Government of Southeast Asia counterparts are informed early and contacted frequently to ensure they are prepared to sign the project agreement with FAO upon notification of approval by the GCF. Terms of Reference (ToRs) for consultants will be finalized by the time of project approval. FAO's PSC and PMU will meet promptly to begin internal processes to initiate recruitment of consultants and other procurement activities. They will be able to draw on existing rosters of consultants constructed through a competitive selection process. The FAO Climate and Environment Division (CBC) GCF Team in FAO HQ will	PMU

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)
	and other implementation processes.			<p>support and share examples and best practices with the PSC and PMU.</p> <p>An innovative code of conducting work taking into consideration possible COVID movement restrictions will be drafted by PMU, allowing for work to continue amidst current context.</p>	
Implementation risk	Lack of sufficient data	Medium	High	Data on certain topics may not be readily available with Governments of participating countries and that is likely to affect outcomes 2 and 4. Under such circumstances, ongoing relevant projects in each country will be identified and research organizations will be contacted in order to fill in the data gap. The PMU will also coordinate with the PSC to seek support for effective institutional coordination and enabling access to data or expertise in various line ministries, as necessary.	FAO
Implementation risk	Government bureaucracy and lack of coordination among concerned ministries and local government authorities	Medium	High	Lack of coordination among different stakeholders can cause unforeseen delays in project implementation. Therefore, clear project implementation structures and institutional arrangements specifying roles and responsibilities of all concerned personnel will be thoroughly discussed and confirmed in advance. As discussed in section 6.1.1, an implementation plan and timeline will be prepared at the inception of the project which will be approved by the NDAs and the Ministries of Agriculture.	FAO, PMU, ASEAN-CRN focal points, Ministry of Agriculture focal points and NDAs
Implementation risk	Risk of not identifying DAEs for the national-level concept notes	Low	Medium	Under output 2.1.2, the project will firstly conduct an assessment of the DAE capacity and the development of specific investment options and finance models that can be used to engage DAEs in Southeast Asia to support future implementation of agriculture and climate change investment plans. As also highlighted in Annex 1, a number of countries in the region have Readiness projects on	FAO, PMU, ASEAN-CRN focal points, Ministry of Agriculture focal points and NDAs

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)
				enhancing capacities of the DAEs. FAO will work closely with ASEAN CRN focal points, and seek guidance from the NDAs and the Ministries of Agriculture to identify all relevant national and regional DAEs to be involved in the process.	
Implementation risk	Coordination/communication issues relating to coordinating a regional grant	Medium	High	The overall implementation arrangement of the project have been discussed with the ASEAN CRN focal points, the Ministries of Agriculture focal points and the NDAs during the various consultations. During the inception phase of the project, the implementation plan, timeline of key activities, modalities of grant release and the concrete roles and responsibilities of all project staffs will be further discussed in details, which will be approved by the NDA and the Ministries of Agriculture.	FAO, PMU, ASEAN-CRN focal points, Ministry of Agriculture focal points and NDAs
Strategic risk	Risk of duplication or failure to leverage outputs and outcomes of other Readiness projects and climate change plans / projects / programmes / strategies	Low	Low	The project emphasizes developing effective relationships with international development actors as well as relevant line ministries and will build on existing efforts. FAO has reviewed publicly available documents (assessment reports, country programme, etc.) to understand needs and opportunities for integrating agriculture investment plans into existing national climate change frameworks and programme in preparing this proposal, and will continue to engage relevant stakeholders through consultations and workshops. Environment. For instance, FAO is aware and collaborating with several ASEAN initiatives on climate finance and investments. Moreover, as shown in Annex 1, there is very little work done on agriculture sector under the Readiness project of the GCF; so, this will be paving the way for other follow up projects.	PSC and PMU
Strategic risk	Ensuring sustainability of the	Medium	Medium	This project was developed through an active consultative process, high interest, and demand	FAO, ASEAN-CRN focal points,

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)
	outputs/deliverables, such as investment plans			of the ASEAN countries to be able to jointly engage at the UNFCCC events. The ASEAN CRN, ANGA and Ministry of Agriculture Focal Points have indicated the pressing need for financing options and the investment plans for their national and regional priorities under the KJWA and other climate change development frameworks. The project builds on existing mechanisms established by the AMS, and deliverables under this project will be shared with Ministries of Agriculture for further endorsement from the AMAF and other relevant governing entities to ensure their integration and endorsements at the national and regional levels.	Ministry of Agriculture focal points and NDAs
Strategic Risk	Lack of interest in the grant activities by key stakeholders.	Low	Medium	The project built on outcomes of various consultations with the ASEAN CRN members, the Ministry of Agriculture focal points from all the participating countries and the NDAs, who have all contributed towards its formulation at various stages. The demand for the project emerged from the interest of the ASEAN CRN members to build capacities to develop national climate finance investment programmes and projects linked to adaptation and mitigation priorities for the agriculture sectors and exchange knowledge and learning to promote innovative mechanisms for public and private sector climate finance at national and regional levels. Therefore, the activities outlined in this project are in line with regional and national priorities of the AMS. FAO and the PMU will continue to work with the key stakeholders for their guidance, prioritizing their country needs during each stage of the implementation of the project.	FAO
Reputational risk	Potential conflicts of interest, related to FAO's role as a delivery partner for this	Low	Low	This proposal used a consultative process to establish demand for agriculture investment plans to be integrated into overall national climate change frameworks. Moreover, this proposal benefited	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)
	project and as a GCF Accredited Entity			<p>from highly inclusive and official consultative process of ASEAN Negotiating Group for Agriculture (ANGA) which spelled out common positions of 10 Member States of ASEAN which were in turn submitted to the Koronivia Joint Work on Agriculture workplan. Prioritize investment topics/areas. This process underwent official endorsement through the ASEAN Ministries of Agriculture and Forestry (AMAF) and are reflected as key elements of the log frame in this proposal. The PMU will continue to follow ASEAN protocols if needed regarding consultations and guidance.</p> <p>To avoid any possible conflicts of interest the prioritization of technologies, potential investments or projects in the context of this readiness grant, will be made through a broad consultation process with relevant stakeholders, including other potential implementing entities from the participating countries. The final validation of these priorities will be carried out through each participating country's own relevant coordination mechanism and institutional arrangements, with the participation of other government agencies, as well as representatives from civil society and private sector the NDA deems relevant, to ensure chosen priorities are fully aligned with their respective national plans, strategies and Country Work Programme and adequately includes inputs from consulted stakeholders.</p>	
Political or environmental risks	Inadequate or no access to marginalized agrarian communities due to extreme weather events and continuing COVID	Medium	High	The project will plan local stakeholder consultations with marginalized communities well in advance, and with the support of the relevant national official/departments together with FAO country offices, reach out to representatives to facilitate access. The PMU will also devise appropriate consultation	PMU

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)
	pandemic situation.			approaches especially in the time of COVID restrictions.	
Implementation risk	Anti-money Laundering and Counter-Financing Terrorism	Low	Low	The consultants will support the development of a number of technical documents including the ToRs/founding documents and its related work plan with clear roles and responsibilities for the Coordination Structure for the Blue Economy sectors. The International consultants will assist in bringing the strong technical leadership in relation to climate change and sectorial expertise. The international experience is required to bring the correct content, operational, design issues on the table, and assist stakeholders in shaping their contributions. The project team will use structures, national and international consultants contained in its database and roster, to ensure they have been working with UN agencies before. New consultants as well as new structures will be assessed before being recruited. Missions in the field will be escorted, when needed, as per FAO's procedures.	FAO, PMU
Social Risks	Gender and Social Exclusion	Low	Low	FAO will ensure effective gender and social inclusion mainstreaming in line with FAO's policy on gender equality, the GCF standards on gender equality and social inclusion, and FAO environmental and social management guidelines. Implementation of project activities will encourage gender equality including equal participation of women and men in decision-making, equal ability to exercise their human rights, equal access to and control over resources and the benefits of development, and equal opportunities in employment and in all other aspects of their livelihoods. The specific needs, priorities and constraints of both women and men will be considered as part of the assessment and planning process for capacity building activities, as applicable.	FAO

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)
				Assessment of capacity building exercises will track the equal and meaningful participation of both men and women.	

6.4 Monitoring

Monitoring will be led by FAO as Delivery Partner but jointly carried out with the NDAs to ensure that country ownership is guaranteed throughout all of the project phases. The project activities and deliverables (as highlighted in the logical framework in Section 3), and overall achievement of the target will be monitored monthly and evaluated periodically during the implementation process. Through iterative management, the findings of this regular monitoring will feed into the project's implementation to contribute to adaptive management.

Day to day implementation and monitoring of the activities will be undertaken by the PTF, the Regional Project Team and the country coordinators. Specific TORs and an overview of the positions under PTF and regional project team can be found under section 6.2. The Regional Project Team will lead technical and operational guidance to project activities at the regional level and support National Project Teams deliver country level activities in close collaboration with FAO country offices and national stakeholders. The Team will coordinate with the ASEAN-CRN representatives, the Ministries of Agriculture, and other relevant stakeholders to establish linkages of the project with their national and regional priorities.

The teams will arrange internal consultations once every month or as needed to discuss the project activities, the budget, review progress and, discuss and identify any potential risks, using the risk management framework. The regional and national coordinators will work closely to keeping track of the implementation plan and timeline. Any change to the implementation plan will be reported by FAO to the PSC and the PMU and the implementation plan will be updated through adaptive management.

The FAO Lead Technical Officer will work closely with the regional and national coordinators to monitor the project implementation plan and provide all support required for preparing of the progress reports which will also be cleared by the LTO before submitting to the PMU and PSC.

All reports to the GCF will be put to the consideration of the Project's Steering Committee to make sure that the information is clear and transparent before submission (by FAO) to the GCF.

Interim Progress Reports (IPR): One IPR will be prepared by FAO every six month period, in coordination with the FAO local staff and the Lead Technical Officer in the Regional Office, and approved by the Funding Liaison Office in FAO headquarters and the NDAs. The IPR will inform and monitor progress made since project effectiveness date and activities planned for the next reporting period. FAO will send the Progress Report to the GCF. The GCF IPR template will be used for reporting the project implementation.

Completion Report (PCR): At the end of the Implementation Period, the Delivery Partner will prepare a completion report and will submit it to the GCF no later than six months after the end of the Implementation Period of the approved grant. This comprehensive report will be made available to the public through the NDAs. It will summarize the results achieved (objectives, outcomes, outputs), lessons learned, problems met and areas where results may not have been achieved. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the project's results.

The reports (IPRs, completion and financial) to be submitted to the GCF, will be as per Framework Agreement, and will include reporting against the logical framework included in section 3.

6.5 Other Relevant Information

6.5.1 Exit Strategy

The exit strategy of the project is embedded into the project activities in the following ways:

- Agriculture and climate change investment plans will be designed to directly complement existing national and regional sector policies and strategies on climate change to ensure that future work is consistent with the mandate and resources available to the stakeholders engaged under the project.
- Prioritized agriculture and climate investment packages will be selected from the investment plans and will be integrated into GCF country programmes to ensure that they will continue to be prioritized for development following the close of the project.
- The development of several concept notes for agriculture with strong private sector engagement will also function as proof-of-concept on translating the private sector engagement strategy into action.
- Direct Access Entities will be engaged directly under Outcomes 2 and 4 to maximize the potential for local entities to lead in the implementation of prioritized agriculture and climate investment packages or other promising investments identified in the agriculture and climate change investment plans.
- Activities under Outcome 2.1 to engage a wide range of possible finance providers will aim to ensure that innovative financial models identified under the project will be viable and available for the development of future pipeline projects.
- Exit strategies are finalized 6 months before project termination, and will culminate in a project ending workshop as indicated in Activity 5.1.1.2 disseminating all knowledge products developed. The ASEAN Climate Resilience Network composed of focal points from the Ministries of Agriculture and vast partners from the scientific and policymaking sectors, is envisioned to be strengthened and capacities built for climate financing by this project, and will continue the work of attracting investments for low emissions and resilient agriculture. Together with the FAO investment facility and FAO Regional Asia Pacific office, these entities will utilize and monitor usage of the knowledge products produced by this proposal in order to continue supporting countries in seeking further investments and climate financing
- Capacity building activities will strengthen the enabling environment in the participating countries for both accreditation and project implementation, and FAO will continue to work with the NDAs and Ministries of Agriculture and ASEAN CRN focal points on strengthening their capacity to play a leadership role on accessing climate finance and securing private partnerships for agriculture investments.
- The regional and national consultations with the private sector actors have the potential to increase potential PPP agreements both at national and regional scale. An end of project regional workshop attended by stakeholders, development agencies and the private sector will be designed to incorporate hand over of successes and lessons learned for scaling up and continuity.
- Finally, by sharing all reports and policy briefs on the NDA websites, the ASEAN CRN website and its accompanying social media, the FAO communication channels, and each country's Ministry of Agriculture communication channels, the project will also enable knowledge sharing and foster sustainability.

6.5.2 Environmental and Social performance

In general, FAO will ensure activities adhere to FAO and GCF environmental and social safeguards standards.

6.5.2.1 Environmental risks

No significant environmental risks are anticipated. This Readiness proposal is in line with the commitments of the SEA countries' contributions to global response to climate change and promote sustainable development – as stipulated in their NDCs and KJWA submissions. All activities will be implemented under that principle, and the planning and implementation of all activities, including baseline or pre-feasibility studies, will tackle environmental safeguards into consideration.

6.5.2.2 Gender and social inclusion

FAO will ensure effective gender and social inclusion mainstreaming in line with FAO's policy on gender equality, the GCF standards on gender equality and social inclusion, and FAO environmental and social management guidelines. Implementation of project activities will encourage gender equality including equal participation of

women and men in decision-making, equal ability to exercise their human rights, equal access to and control over resources and the benefits of development, and equal opportunities in employment and in all other aspects of their livelihoods. The specific needs, priorities and constraints of both women and men will be considered as part of the assessment and planning process for capacity building activities, as applicable. Assessment of capacity building exercises will track the equal and meaningful participation of both men and women.

The project will also take a proactive approach to the gender equality, women's empowerment and social inclusion. In the work to prepare agriculture and climate change investment plans and investment concept notes under Outcomes 2.1 and 4.1, with support of the project safeguards experts, the project will: 1) Prepare gender and social inclusion analysis; 2) Encourage participation of the vulnerable including women and indigenous, socially excluded populations by empowering them to reflect their voice to investment planning processes; 3) Identify measures to address gaps and needs for gender and social inclusion identified as part of steps 1 and 2 above; and 4) Develop strategies to ensure project concepts will meet gender requirements of FAO and the GCF.

6.5.2.3 Indigenous Peoples

It is not possible to assert at this stage whether the project will directly affect or involve indigenous peoples. This will be clarified during inception activities and investment planning and prioritization activities under Outcome 2.1. If during these activities it is found that proposed investment plans or projects will involve or affect indigenous peoples, principles of Free, Prior and Informed Consent (FPIC) will be adhered to and an Indigenous Peoples Plan developed as required. These activities will be addressed by the safeguard experts in the regional and national project teams. The project activities will adhere to FAO and GCF environmental and social safeguards standards; in particular the GCF's indigenous peoples policies.

6.5.3 Comparative advantage

FAO is a Specialized Agency of the United Nations with headquarters in Rome, a Regional Office for Asia and the Pacific in Bangkok, and fully-fledged official representations in the project target countries. The FAO regional office for Asia and Pacific was formally established in Bangkok, Thailand in 1953. Since then, the regional office has played a fundamental role in supporting its 43 member countries to alleviate poverty and ensure continued development of their agriculture sectors through enhanced productivity.

FAO has a wide-ranging mandate, which covers multiple disciplines and sectors (agricultural crops, livestock, forest management, fisheries, climate change, management of natural resources, legal and policy frameworks, etc.), allowing the provision of a holistic and multi-sectorial support towards developing agriculture and climate change investment plans and packages with the benefit of guidance and advice from its extensive in-house network of technical experts.

The project's activities will contribute to the achievement of FAO's Strategic Objectives and specific objectives under the respective Country Programming Frameworks (CPF) in each participating country. FAO developed the CPF as a medium-term response mechanism to support member countries to achieve their national development goals in line with FAO's Strategic Framework, Regional Priorities, the MDGs and other Internationally Agreed Development Goals (IADGs)¹⁷. Each member country, thereby, has its own CPF that defines its strategic priorities, areas of technical collaboration and support required for country level programming. The proposed Readiness Project will directly/indirectly contribute towards achieving the following CPF priority areas of the participating Southeast Asian countries.

Country	CPF target years	CPF Priority Area
Cambodia	2019-2023	<ul style="list-style-type: none"> - Enhanced agricultural productivity, diversification and commercialization, and safe and nutrition-sensitive food systems for poverty reduction and food and nutrition security. - Equitable and sustainable management of natural resources, and climate change adaptation and mitigation.
Lao PDR	2016-2021	<ul style="list-style-type: none"> - Fostering agricultural production and rural development - Improving capacity to respond to food and agricultural threats and emergencies and the impact of climate change
Malaysia	2017-2021	<ul style="list-style-type: none"> - Sustainable agro-ecosystem management, climate change adaptation and mitigation

¹⁷ FAO's Country Programme Framework: <http://www.fao.org/3/a-an661e.pdf>

Philippines	2018-2024	- Expanded economic opportunities in AFF and ensured ecological integrity, clean and healthy environment. Including support to initiatives that will ensure that national and local governments, communities and key stakeholders will benefit from economic growth and climate change actions.
Thailand	2018-2021	- Enhancing sustainable natural resources management. With a support to resilience to climate change impacts and support to the implementation of the Climate Change Strategy (2017-21) and priority actions for agriculture and land-use sectors in the NDC under the Paris Agreement.
Vietnam	2017-2021	- Sustainable development of the agriculture sectors (including agriculture, livestock, fisheries and forestry), contributing to the national Green Growth and other strategies on improved natural resources management and environment protection.

Climate change is also a cross cutting theme in the Strategic Framework of FAO. FAO's widespread technical expertise in relation to the Strategic Framework 2 "Make Agriculture, Forestry and Fisheries More Productive and More Sustainable", will greatly benefit the overall implementation of this Readiness Project and achievement of the outcomes as highlighted in section 6. With FAO's support as the delivery partner, the Readiness project will also directly contribute towards achieving several of the NDC and KJWA goals under the Paris Agreement and the UNFCCC, in alignment with the regional, national and sectoral development plans.

FAO RAP and the Country offices have been key in engaging and communicating directly with their respective NDAs to facilitate the discussions with the NDAs, connecting the different stakeholders in this proposal. In addition it has direct working relations with ASEAN and its entities who have identified the agriculture sector priorities and needs in their regional joint submissions in the Koronivia Joint Work on Agriculture. The ASEAN Member States are the main beneficiaries and implementors of this proposal and are the same entities who have also been liaising with the different Ministries and NDAs since the time this proposal was being developed.

6.5.4 Anti-money Laundering and Counter-Financing Terrorism

As per clause 11.01 (f) of the Framework Readiness and Preparatory Support Grant Agreement between the GCF and FAO, FAO will apply its own fiduciary principles and standards relating to any "know your customer" checks, AML/CFT, and financial sanctions imposed by the United Nations Security Council, which should enable it to comply with the objectives of the Policy on Prohibited Practices and the principles of the AML/CFT Policy.

No risks of money laundering, terrorist financing, corruption or prohibited practices are foreseen during project implementation. The project team will use structures, national and international consultants contained in its database and roster, to ensure they have been working with UN agencies before. New consultants as well as new structures will be assessed before being recruited. Missions in the field will be escorted, when needed, as per FAO's procedures.

6.5.5 UNSC Sanctions

In accordance with FAO rules and regulations, FAO will perform all necessary actions to ensure that the project be implemented in full compliance with any UN sanctions list that may be of relevance.

6.5.6 Whistle blower Protection Policy

FAO is committed to ensuring that its resources are used solely for their intended purposes, that all operations are free from fraud and other corrupt practices, and to being held accountable to donors and beneficiaries for the implementation of its programs. To this end, the Organization has adopted a zero-tolerance policy in respect of fraud and other corrupt practices in all their manifestations. This policy applies, regardless of their location, to all activities and operations of the Organization, whether funded by Regular Programme or Extra-Budgetary Funds; administrative, technical or operational in nature; or implemented by the Organization and/or an implementing partner, including any government agency. This policy applies to all FAO personnel and all contractual arrangements between the Organization and other involved partners, suppliers or other third parties for administrative, technical, or operational purposes. The FAO Whistle blower Protection Policy follows the guidelines to report allegations of possible wrongdoing in the activities of the project stated in the Administrative Circular 2019/06¹⁸.

6.5.7 Cooperation between the delivery partner and the NDA

¹⁸ <http://www.fao.org/aud/48699-03f867c68c965c8bbad27e7d5f7512e43.pdf>

The development of this proposal is the product of process of consultation and engagement led by the Ministry of Agriculture focal points of the ASEAN CRN from the participating countries and their respective NDAs in close collaboration with FAO as the selected Delivery Partner. FAO was proposed as the Delivery Partner for the project during a regional consultation of the ASEAN CRN in April 2020 based on FAO's previous experience working with ASEAN CRN and developing and managing regional technical assistance projects focused on the agriculture sectors in Southeast Asia.

To support the further development of the proposal, the FAO Regional Office in close collaboration with the ASEAN CRN focal points and NDAs from participating countries organized a series of regional consultations. These were supplemented in some cases by country specific consultations between FAO country officers, Ministry of Agriculture stakeholders and the respective NDAs. These consultations have been used to shape the specific details of this proposal and ensure it responds to the demands and needs identified by the participating countries to enhance the capacities of countries to develop national climate finance investment programmes and projects linked to adaptation and mitigation priorities for the agriculture sectors and exchange knowledge and learning to promote innovative mechanisms for public and private sector climate finance at national and regional levels.

ANNEX 1: Southeast Asian Countries' Readiness Projects

	TITLE	DELIVERY PARTNER (DP) / IMPLEMENTING AGENCY	PURPOSE	ADDITIONAL DETAILS AND LINKS TO THE PROPOSED PROJECT
Cambodia				
1	Strategic frameworks support for Cambodia through CTCN and UNIDO	United Nations Industrial Development Organization	The objective of this proposal is to provide a technology needs assessment and a series of technology action plans to support and guide a pipeline of projects aimed at decarbonizing development linked to Sihanoukville's SEZs.	No reference made on agricultural investment. This is about increasing investments in and promotion of low-carbon electricity generation.
2	Strategic frameworks support for Cambodia through Mekong Strategic Partners	Mekong Strategic Partners	Supporting the Cambodian Government's national environmental and climate priorities and policies in Cambodia and bottom-of-the-pyramid beneficiaries, this proposal is intended to provide the Government of Cambodia with a clear framework and recommendations on how best to progress with their climate change goals through a key initiative: Development of a catalytic financial institution for green financing.	No reference made on agricultural investment. This proposal seeks to identify the most appropriate financing vehicle that can deliver appropriate long-term finance to projects and programs that stimulate green growth in Cambodia.
3	Strategic frameworks support for Cambodia through GGGI	Global Green Growth Institute	This Readiness proposal builds especially on the activities of the first Readiness project to establish the no-objection procedure, to support a national candidate DAE and to develop a country programme. This project will also draw on the recent "Assessment of Regulatory and Fiscal Policies for Road Transport Vehicles in Cambodia" by Clean Air Asia and complement it with analysis related to non-fiscal policy gaps and options to stimulate e-motorbikes. This project will also be executed in synergy with the UNDP "Sumai" project which focuses on data management and regulation for clean transport.	No reference made on agricultural investment. This is about completing a market assessment and developing a business case and concept note for a sustainable E-Vehicle (e-motorbikes) support program for Cambodia.

	TITLE	DELIVERY PARTNER (DP) / IMPLEMENTING AGENCY	PURPOSE	ADDITIONAL DETAILS AND LINKS TO THE PROPOSED PROJECT
4	NDA Strengthening and Country Programming support for Cambodia through Ministry of Environment	Ministry of Environment	Over the past few years, Cambodia has put a lot of emphasis on integrating climate change in the development planning process, at the national, sectoral, and sub-national level, as well as piloting potential approaches, mostly in adaptation. As this phase is closing, the emphasis is shifting towards full-scale implementation of the climate change response, including mitigation aspects as mentioned in Cambodia's INDC. At this stage, partnerships with public and private entities involved in the climate change response need to be refined, project and programme concepts need to be developed into concrete full proposals, and Government must put in place the required capacities to manage the gradual up-scaling of the response. GCF is expected to be a major financing partner for Cambodia, and there is a need to ensure that GCF resources are programmed in a strategic manner, taking into account comparative advantages and synergies with other financing partners, both public and private. GCF being a new entity, the Royal Government of Cambodia requires initial support to develop the procedures and human resources required to adequately manage the partnership with the GCF, and coordinate inputs from various stakeholders.	No reference made on agricultural investment. This proposal is about capacity building to manage the partnership with the GCF and other stakeholders in implementing the climate change response.
5	Adaptation Planning	Cambodia, DCC of the General Secretariat of the National Council for Sustainable Development		Sent back to Country for resubmission https://www.greenclimate.fund/sites/default/files/document/readiness-pipeline-20210624_0.pdf
6	Strategic Framework	Green Technology Center		Sent back to Country for resubmission https://www.greenclimate.fund/sites/default/files/document/readiness-pipeline-20210624_0.pdf
7	Climate Resilient Rapid Readiness	Cambodia, DCC of the General Secretariat of the National Council for Sustainable Development		Sent back to Country for resubmission https://www.greenclimate.fund/sites/default/files/document/readiness-pipeline-20210624_0.pdf
Laos People's Democratic Republic				

	TITLE	DELIVERY PARTNER (DP) / IMPLEMENTING AGENCY	PURPOSE	ADDITIONAL DETAILS AND LINKS TO THE PROPOSED PROJECT
8	NDA strengthening and country programming support for Lao PDR through GGGI	Global Green Growth Institute	In 2019, Lao PDR completed its first Country Programme for the GCF. In this next phase of readiness for the NDA, support is being requested for the following: <ul style="list-style-type: none"> a) To operationalize the agreed institutional arrangements and build the awareness and capacity of the NDA to deliver on its mandate; b) Continuing to refine the GCF Country Programme and engage stakeholders and AEs to complete the annual updates to the CP that were specified in the CP, building on the results of other readiness project in specific sectors/subsectors and mobilize GCF investments; c) Engage the private sector and banks to help deliver on the Lao PDR's climate change ambitions. 	No reference made on agricultural investment. This is a capacity building program for the NDA to deliver its mandate and at the same time to engage the private sector to deliver the country's climate change ambitions.
9	Strategic frameworks support for Lao PDR through UN-Habitat	UN-Habitat Lao PDR	The GCF Readiness Grant will be supporting a study of the towns in the Greater Mekong Subregion (GMS), along a 229-kilometres-long stretch of the East West Economic Corridor (EWEC) in Lao PDR in order to contribute to becoming better equipped in the development as resilient settlements in the context of a changing climate.	No reference made on agricultural investment. This proposal is about infrastructure and urban development in the Greater Mekong Subregion.
10	Strategic frameworks support for Lao PDR through UNEP	UN Environment	The proposed GCF Readiness support activities will build on the previous EE experiences to strengthen institutional capacity in designing and implementing MEPS and labelling. The Readiness support will develop an implementation plan for MEPS and labelling programme for EE lighting and appliances and establish an enabling environment for transformation of the EE lighting and appliance market, including an investment plan for introducing EE appliances and supporting implementation of MEPS and labelling in a long term.	No reference made on agricultural investment. This is about reducing domestic electricity consumption from fossil fuels.
11	Entity Support for Lao PDR through GGGI	Global Green Growth Institute	EPF has an extensive record of managing and monitoring projects and its internal procedures are meeting international standards, as such it is a good candidate for accreditation to the GCF and to become the 1st GCF National Accredited Entity. In depth support is however needed (i) to accompany EPF to meet GCF standards, (ii) to be in a position to absorb GCF and climate finance at scale, and (iii) to reinforce the capacity of the EPF bodies and recipients on how to assess and prepare	No reference made to agricultural investment. This is about the accreditation of EPF to GCF.

	TITLE	DELIVERY PARTNER (DP) / IMPLEMENTING AGENCY	PURPOSE	ADDITIONAL DETAILS AND LINKS TO THE PROPOSED PROJECT
			climate projects and respond to the GCF policies, requirement and standards.	
12	Strategic Frameworks support for Lao PDR through FAO	Food and Agriculture Organization of the United Nations	<p>Among the core barriers hindering progress with Lao's Readiness include the coordination challenges among key actors in both public and private sectors, including between the forestry sector, agriculture, and other land use sector as well as the climate change focal point, including on monitoring and reporting of related climate financing, investment planning and private-sector engagement. This proposed Readiness project will address such barriers through:</p> <ul style="list-style-type: none"> • Formalization of coordination mechanisms; • Development of monitoring and reporting processes; • Preparation of a Green Climate Fund (GCF) climate investment plan for the forestry and REDD+ SECTORS; • Measures to enhance private sector engagement in financing and implementation of the REDD+ strategy. <p>The proposal also aims to strengthen the institutional foundation for a Zero Deforestation Agriculture policy to address the most expansive driver of deforestation in the Lao PDR.</p>	One of the targets of this proposal is to review and survey investment trends, markets and access to finance as a means to understand potential entry points for transformative, zero deforestation agriculture investments. The results will provide recommendations for incentives and other measures to promote sustainable agriculture business models and zero deforestation supply chains. One of key characteristics of investments is the application of models of contract farming in the North of LPDR. One of the activities of the proposal is to organize events targeting investors, potential investors, financing institutions, and facilitating institutions to promote zero deforestation agriculture and to develop incentive schemes to support Zero-deforestation agriculture investment.
13	Entity support for Lao PDF through GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH	EPF has an extensive record of managing and monitoring projects and its internal procedures are meeting international standards, as such it is a good candidate for accreditation to the GCF and to become the 1st GCF National Accredited Entity. In depth support is however needed (i) to accompany EPF to meet GCF standards, (ii) to be in a position to absorb GCF and climate finance at scale, and (iii) to reinforce the capacity of the EPF bodies and recipients on how to assess and prepare climate projects and respond to the GCF policies, requirement and standards.	No reference made to agricultural investment. This is about the accreditation of EPF to GCF.

	TITLE	DELIVERY PARTNER (DP) / IMPLEMENTING AGENCY	PURPOSE	ADDITIONAL DETAILS AND LINKS TO THE PROPOSED PROJECT
14	Strategic Frameworks support for Lao PDR through GGGI	Global Green Growth Institute	The proposed activities are designed to (1) improve coordination amongst key stakeholders in urban development and capacity to manage green, climate resilient cities; 2) identify priority projects/programs on Green, Climate Resilient Cities, 3) identify financing options to implement the identified priority projects and mobilize the private sector to contribute Lao PDR's country priorities; and, 4) enhance private sector's capacity to engage in Lao PDR's priority program areas.	No reference made to agricultural investment. This is about developing a coordination mechanism between the NDA and stakeholders for the green climate resilient cities, development of a framework for reporting, formulation of project concept notes among others.
15	NDA Strengthening and Country Programming support for Lao PDR through UNDP	United Nations Development Programme	The NDA of Lao PDR has requested UNDP to act as delivery partner for this readiness project. This support will focus on two GCF outcomes: <ul style="list-style-type: none"> Country capacity strengthened Stakeholders engaged in consultative processes 	No reference made to agricultural investment. This is a capacity building project.
16	Resilient COVID-19 recovery and transformational pipeline to boost climate actions in agriculture, land and water sectors in Lao PDR	FAO	The proposed project aims to strengthen the capacity of the new NDA office with particular focus on (1) Building new NDA capacity for GCF coordination, in synergy with GEF and Adaptation und programming and strengthening Monitoring, Reporting, and Verification (MRV) of climate finance and its contribution to achieving the NDC, the 9th National Socio-Economic Development Plan 2021-2025 and localized SDGs targets; (2) Developing resilient and green COVID-19 recovery investment plans for the agriculture, forest, and other land use (AFOLU) sectors that are the most climate vulnerable and heavily affected by COVID-19 while also being the largest emitting sectors in the country; and (3) Developing a transformational climate finance pipeline with programme/project concept notes to maximize synergies of GCF, GEF, and AF and address resilient and green COVID-19 recovery.	This proposal complements activities to be implemented under this Readiness project and implementation of the proposed project will be closely coordinated. Under this proposal, the participatory, agriculture and climate foresight analysis and climate-smart options assessments will support work under the Readiness project to develop investment plans and related concept notes. This proposal will also provide a platform to disseminate the work of the Readiness project at the regional and global levels.
17	Strategic Framework	World Health Organization		Under Secretariat Review for 2021 pipeline https://www.greenclimate.fund/sites/default/files/document/readiness-pipeline-20210624_0.pdf
Malaysia				

	TITLE	DELIVERY PARTNER (DP) / IMPLEMENTING AGENCY	PURPOSE	ADDITIONAL DETAILS AND LINKS TO THE PROPOSED PROJECT
18	Strategic Frameworks support for Malaysia through UNEP	United Nations Environment Programme (UN Environment)	After five years of effort, starting in 2012, Malaysia has completed four key elements of the REDD+ readiness process: a national strategy, reference level, national forest monitoring system, and a first summary of information on safeguards. This proposal is to support the country's transition into the third phase of REDD+, i.e. full implementation and result-based payments.	No reference made to agricultural investment. This is a capacity building project for the government and key stakeholders, particularly on their information system process. This is also about the development of financial and communication strategy for REDD+ implementation.
19	NDA Strengthening and Country Programming support for Malaysia through Carbon Trust	Carbon Trust Advisory	The GCF Readiness and Preparatory Support Project will contribute to strengthening Malaysia's technical and coordination capacity and enhancing its access to adequate climate financing to address climate threats and implement identified priorities for action. The NDA has selected the Carbon Trust as the delivery partner to support GCF readiness activities. This Readiness and Preparatory project is expected to help achieve the following outcomes: stakeholders engaged; direct access realized; and access to finance.	No reference made to agricultural investment. This proposal aims to identify priority mitigation programs, nominate an entity for GEF accreditation, capacity building for that entity, and the development of a concept note for Malaysia Green Cities Fund.
20	Climate Resilient Rapid Readiness	Malaysia Green Technology and Climate Change Centre		Returned to Country for resubmission https://www.greenclimate.fund/sites/default/files/document/readiness-pipeline-20210624_0.pdf
Philippines				
21	NDA strengthening and country programming support for the Philippines through GGGI	Global Green Growth Institute	This proposal mainly aims to support the country's first Direct Access Entity (DAE), Land Bank of the Philippines (LBP), in its post-accreditation activities to strengthen and build the capacity of the LBP to be an effective DAE that will facilitate access to climate finance for climate change adaptation and mitigation projects coming from the national and local government agencies, business enterprises, communities, as well as CSOs, in collaboration with the NDA to the GCF. This proposal also intends to support the accreditation of other nominated DAEs such as the Development Bank of the Philippines (DBP) and Foundation for the Philippine Environment (FPE) as well as potential DAEs in their accreditation process, by assessing the capacity gaps for their accreditation and providing necessary	No reference made to agricultural investment. This is a capacity building project for LBP as a newly accredited DAE. It also seeks to support the accreditation of other nominated DAEs in the country.

	TITLE	DELIVERY PARTNER (DP) / IMPLEMENTING AGENCY	PURPOSE	ADDITIONAL DETAILS AND LINKS TO THE PROPOSED PROJECT
			guidance throughout the accreditation process.	
22	Entity support for the Philippines through GGGI	Global Green Growth Institute	The primary objective of the Readiness Support to Strengthen the Philippines' Capacity and Knowledge on Accessing the Green Climate Fund or Readiness and Preparatory Support Program (RPSP) is to support the CCC in fully implementing its roles and responsibilities as the designated NDA of the Philippines to the GCF. The proposal also seeks additional institutional support for national capacities of government agencies, civil society organizations (CSOs), and the academe to develop a monitoring and verification system for climate finance flows in the country, as well as to pursue the ratification of a bilateral agreement between the Philippines and GCF on privileges and immunities.	No reference made to agricultural investment. This is a capacity building project for CCC as a designated NDA.
23	Climate Resilient Rapid Readiness	Landbank of the Pihippines		Under Secretariat Review for 2021 pipeline https://www.greenclimate.fund/sites/default/files/document/readiness-pipeline-20210624_0.pdf
Thailand				
24	Pipeline Development by TGO		Developing GCF pipeline of projects from locally-driven climate actions	
25	Strengthened Adaptation Planning by UNDP	United Nations Development Programme	Increasing resilience to climate change impacts in marine and coastal areas along the Gulf of Thailand	
26	NDA strengthening support for Thailand through GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH	While the Environmental Fund Division (EFD) is currently being supported by an ongoing Readiness Support Programme to assess its potential to become a direct access entity (DAE) under the GCF and support its initial application steps, this proposal intends to support the Environmental Fund Division (EFD) in strengthening its capacities to act as a national climate funding mechanism by providing tailored advice on the integration of climate change in the EFD's portfolio and procedures, delivering trainings for practical	No reference made to agricultural investment. This proposal aims to capacitate the EFD as a national climate funding mechanism.

	TITLE	DELIVERY PARTNER (DP) / IMPLEMENTING AGENCY	PURPOSE	ADDITIONAL DETAILS AND LINKS TO THE PROPOSED PROJECT
			knowledge on GCF's operational policies to advance the accreditation request as well as advice the EFD on its public visibility and communication.	
27	Strategic frameworks support for Thailand through CTCN and UNEP	UN Environment Programme – The Climate Technology Centre and Network (CTCN)	This proposal aims to support Thailand in achieving national targets for energy efficiency in the building sector through defining energy and GHG emission baselines and benchmarks, conducting energy audits, identifying potential technologies for BEC compliance including their financial aspects, developing a Measurement, Report and Verification framework for GHG emission reductions and energy consumption for existing and new buildings and building capacity of representatives of different stakeholder groups in the BEC standards.	No reference made to agricultural investment. This proposal is about building capacity to implement the Building Energy Code in order to reduce GHG emission through energy efficiency and the use of renewable energy.
28	Strategic Frameworks support for Thailand through GGGI	Global Green Growth Institute (GGGI)	To continue the momentum from GCF Readiness support in 2016, Thailand has successfully developed its Country Programme, criteria for no objection procedure, and other necessary elements. However, Thailand has some key challenges, which prevent the country from effectively accessing GCF resources. These are: a) limited technical capacity of NDA in assessing potential GCF projects; b) unidentified priority sector for project pipeline development; and c) the need for private sector engagement in developing the sector investment plan. This project aims to address the above challenges with the expected result that Thailand will be ready to access GCF's resources and will be on track to achieve its NDC targets of reducing GHG emissions by 20-25% from BAU by 2030.	No reference made to agricultural investment. This proposal is geared towards reducing GHG emissions with focus on capacity building for NDA, developing an investment plan for a potential sector for future project pipeline development, and engaging the private sector in investment planning.
29	Strategic Frameworks support for Thailand through GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit GIZ (GmbH)	Aims to scale up the country's climate finance readiness to further increase the GCF's engagement and investments in the country. To address the country's readiness needs, the NDA proposes to extend its cooperation with GIZ as a delivery partner and to apply a holistic approach focusing in four key areas: <ul style="list-style-type: none"> • Acquiring knowledge and skills to engage the private sector; • Support the accreditation of a direct access entity; • Identify GCF project development opportunities along the Thai priorities and mechanisms to facilitate access to finance; 	No reference made to agricultural investment. This is about creating an enabling environment for financial mechanisms by building capacity of the NDA as well as the private sector stakeholders on GCF engagement benefits and opportunities.

	TITLE	DELIVERY PARTNER (DP) / IMPLEMENTING AGENCY	PURPOSE	ADDITIONAL DETAILS AND LINKS TO THE PROPOSED PROJECT
			<ul style="list-style-type: none"> Raise awareness and build capacity of Thai private sector stakeholders on GCF engagement benefits and opportunities. 	
30	NDA Strengthening and country programming support for Thailand through GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit GIZ (GmbH)	<p>The Office of Natural Resources and Environmental Policy and Planning is appointed Focal Point to the Green Climate Fund (GCF). To adequately fulfill its roles and responsibilities, the Focal Point requests support on the key areas:</p> <ul style="list-style-type: none"> There is continuous demand to get in-depth knowledge of the GCF and its procedures and operations, particularly on the implementation of the no-objection procedure and in disseminating key updates and operational procedures of the fund to all the interested parties. Focal Point requires support in strengthening its capacity as well as facilitating and institutionalizing stakeholder dialogues and consultation process to setup a strategic framework to engage with the GCF. The Focal Point also encourages national institutions to get direct access to the Fund, with the ultimate goal to enhance country ownership and to access and allocate the fund's resources effectively. Therefore, the Focal Point strives to support national institutions to become accredited and to ensure the involvement of private sectors in relevant consultative processes. <p>These activities will support Thailand to prepare and implement climate change measures in the frame of the Fund.</p>	No reference made to agricultural investment. This is a capacity building project for the Office of Natural Resources and Environmental Policy and Planning as the Focal Point to the GCF.
31	Strategic Frameworks	GIZ		<p>Returned to Country 2021</p> <p>https://www.greenclimate.fund/sites/default/files/document/readiness-pipeline-20210624_0.pdf</p>
Viet Nam				

	TITLE	DELIVERY PARTNER (DP) / IMPLEMENTING AGENCY	PURPOSE	ADDITIONAL DETAILS AND LINKS TO THE PROPOSED PROJECT
32	Adaptation planning support for Viet Nam through UNDP	United Nations Development Programme	<p>The NAP readiness project is designed along the following outcomes:</p> <ul style="list-style-type: none"> a) Capacity for data integration enhanced and National Adaptation Plan (NAP) prepared and aligned with NDC review; b) National adaptation plan and CCA integrated into national, subnational, and sectoral development plans and budget of priority sectors with Private Sector Participation Outcome; c) Participatory results-based monitoring and evaluation mechanism developed and operationalized. 	No reference made to agricultural investment. This project aims to capacitate the government to effectively integrate CCA into plans and budget at different levels and to design, operationalize, finance and monitor adaptation actions. However, one of the priority sectors to be addressed under this proposal is the Agriculture and Rural Development.
33	NDA Strengthening and Country Programming support for Viet Nam through the Ministry of Planning and Investment	Ministry of Planning and Investment (MPI)	<p>In 2013, Viet Nam was officially chosen as one of the ten pilot countries to receive support from the GIZ Climate Finance Readiness Programme and MPI was the official partner for CF Ready. Then in 2014, this was followed-up by a Climate Finance Training (CliFiT) for MPA and other government officials. In late 2014, initial assessments of institutional capacities of various line ministries and private sector entities was conducted by the Frankfurt School of Finance/UNEP Collaborating Centre for Climate and Sustainable Energy Finance, funded by CF Ready in coordination with the NDA. In 2015, the Frankfurt School of Finance (FSF), with the support of national consultants, conducted a thorough Institutional and Capacity Assessment of the NDA. The objective of this assessment was to identify shortcomings and help MPI to set up the institutional arrangements of the NDA and assessment of existing capacity needed for NDA operations in accordance with the GCF requirements. The FSF assessment highlighted a number of gaps that fall under the GCF's Standardized Package for NDA Strengthening and the Standardized Package for Country Programmes, it also underscored the need for additional funds to successfully address readiness gaps. This project aims to fill these finance gaps.</p>	No reference made to agricultural investment. This proposal aims to address the finance gaps to fully capacitate the NDA and set up the institutional arrangements in accordance with the GCF requirements.

ANNEX 2: Southeast Asian Countries' GCF Country Programmes

COUNTRY	PUBLISHED ON THE GCF WEBSITE	DRAFT COUNTRY PROGRAMME	COUNTRY PROGRAMME PRIORITIES RELEVANT TO AGRICULTURE	UPDATED STATUS
CAMBODIA	Yes	N/A	<ul style="list-style-type: none"> Land Use Land Change and Forestry (Mitigation/Adaptation) Agriculture (Mitigation/Adaptation) 	This project is identified in Table 27 on page 62 of the country programme document.
LAO PDR	Yes	N/A	<ul style="list-style-type: none"> Enhancing resilience of farming system and communities through promoting innovative and climate-smart agriculture practices, climate resilient agricultural infrastructures Supporting an increase and maintenance of national forest cover 	This project is identified in Table 10 on page 26 of the country programme document.
MALAYSIA	No	No	N/A	Malaysia has no Country Programme, but the NDA is quite aware of this proposal, and FAO will continue to coordinate to ensure alignment of this proposal with the country's pipeline development.
PHILIPPINES	No	Yes	Under development	FAO will continue to coordinate to ensure alignment of this proposal with the Philippine's Country Programming process
THAILAND	Yes	N/A	<ul style="list-style-type: none"> Agriculture and food security (Adaptation) Agriculture and Forestry (Mitigation) 	The Thailand Country Programme does not refer to specific proposals or projects.
VIETNAM	No	Yes	Under development	FAO will continue to coordinate to ensure alignment of this proposal with Vietnam's Country Programming process.

ANNEX 3: Southeast Asian Countries GCF Agriculture Project Pipelines

	TITLE & ACCREDITED ENTITY	PURPOSE	STATUS
	CAMBODIA		
1	Climate-Friendly Agribusiness Value Chains Sector Project ADB	Reducing greenhouse gas emissions and the climate vulnerability of Cambodia's agricultural value chains. This initiative targets four agricultural value chains in Kampong Cham, Tbong Khmum, Kampot, and Takeo provinces. It will enhance the resilience and productivity of crops, and increase agricultural competitiveness and household incomes in the targeted provinces. It will address each stage of the agricultural value chain.	Approved
2	Public-Social-Private Partnerships for Ecologically-Sound Agriculture and Resilient Livelihood in Northern Tonle Sap Basin (PEARL) FAO	The project aims to enhance climate change resilience of farmers and local communities in the NTSB by removing barriers to climate-resilient agriculture through public-social- private partnerships.	Concept Note
3	Reducing Cambodia's Emissions Through Decentralized Forest Management (the 'Project') Conservation International	The project will build capacity at the provincial level to address the drivers of deforestation in areas not already included in REDD+ projects, by implementing proven decentralization models within 3 target provinces.	Concept Note
	LAO PDR		
4	Implementation of Lao PDR Emissions Reduction Programme Through Improved Governance and Sustainable Forest Landscape Management GIZ	This project supports Lao PDR's implementation of an ambitious REDD+ emission reductions programme after decades of losing tropical forest cover. It will strengthen an enabling environment for REDD+ by enhancing the availability of finance and strengthening the forestry sector's legal and regulatory framework. It will also encourage deforestation-free agriculture and agroforestry by enhancing agricultural productivity.	Approved
5	Lao People's Democratic Republic: REDD+ RBP for results period [2015 - 2018] JICA	Lao PDR will use the RBP to improve the quality and extent of forests nationwide to provide economic, social and environmental benefits, and also to demonstrate its contribution to the global ambition on climate change mitigation by achieving the national emission reduction target set in its Nationally Determined Contribution (2015) (note that Lao PDR is currently updating the Nationally Determined Contribution (NDC)). For achieving its goal, 5 programs are identified: (1) promote sustainable agriculture aligned with forest protection objectives; (2) promote commercial tree plantation and forest rehabilitation; (3) mitigate the impacts of infrastructure	Concept Note

	TITLE & ACCREDITED ENTITY	PURPOSE	STATUS
		and industrial development to forests; (4) prevent illegal harvesting of wood and other forest products; and (5) stabilize uncontrolled shifting cultivation and forest fires.	
6	Resilient Integrated Food Systems (RIFS) in Rural Laos UNDP	The objective of the project is to strengthen the resilience of rural livelihoods in climate-vulnerable communities. The proposed project seeks to improve food security and nutrition while improving livelihoods in a sustainable and resilient manner.	Concept Note
PHILIPPINES			
7	Scaling up Climate Change Adaptation in Agriculture in the Philippines FAO	The project will build systems and services for increasing resilience of vulnerable farmers to a range of severe projected climate change impacts. The project will support the Government in developing a user responsive agro meteorological system with agriculture climate information and advisory systems, for climate-resilient agriculture.	Concept Note
THAILAND			
8	Enhancing Climate Resilience in Thailand through Effective Water Management and Sustainable Agriculture UNDP	The objective of the project is to mitigate the social and economic impacts of climate change in the Yom and Nan river basins through improved climate risk-informed planning in the water and agriculture sector; strengthened water management infrastructure for greater resilience to projected climate change; and increased resilience of agriculture livelihoods in drought and flood prone areas.	Concept Note. Full proposal submitted and reviewed for approval.
VIETNAM			
9	Strengthening the Resilience of Smallholder Agriculture to Climate Change-induced Water Insecurity in the Highlands and South-Central Coast Regions of Vietnam UNDP	The project aims to empower vulnerable smallholders in central highlands and south-central coast to manage increasing climate risks to agricultural production by securing water provision, supporting farmers to adopt climate-resilient agriculture, and strengthening access to agro-climate information, credit and markets.	Approved
10	Improving the Resilience of Vulnerable Coastal Communities to Climate Change Related Impacts in Viet Nam UNDP	Strengthening storm and flood protection for coastal communities in Viet Nam through resilient housing, planting, and rehabilitation of mangrove forests, and systematized climate risk assessments for the public and private sectors. In order to create storm surge buffers, 4,000 hectares of mangroves will be planted and rehabilitated, which will also create sustainable ecosystem resources to support coastal livelihoods.	Approved

	TITLE & ACCREDITED ENTITY	PURPOSE	STATUS
11	Vietnam REDD-plus results-based payments for results period of 2014 JICA	The objective of this program towards 2030 are to manage existing forest areas sustainably and to increase the national forest cover up to 45% through 11 work packages.	Concept Note
12	Climate and Disaster Resilient Land use and Water Management in the Mekong Delta GIZ	The objective of the project is to increase the climate resilience of the rural population by strengthening institutional capacity and coordination and by scaling-up integrated coastal protection and climate resilient livelihood systems.	Concept Note
13	Achieving emission reductions in the central highlands of Vietnam to support National REDD+ Action Programme goals FAO	The project will support the implementation of these policies, in combination with sector and cross-sector interventions with a focus on the forest and agriculture sectors, to help to address the major drivers of land use change	Concept Note
REGIONAL			
14	ASEAN Catalytic Green Finance Facility (ACGF): Green Recovery Program ADB	The ASEAN Catalytic Green Finance Facility: Green Recovery Program (ACGF GRP) is an urgently needed and pioneering initiative which aims to embed three integrated objectives into the mainstream of countries' economic recovery planning post the COVID-19 pandemic: a) "green infrastructure development", b) catalyzing of capital" from all sources – commercial, private and public, and, c) urgent need for upscaling such efforts through a programmatic approach developing - rapidly - a large pipeline of projects.	Approved

ANNEX 4: List of Institutions/Organizations Promoting Public-Private Partnership (PPP) in Southeast Asia

	PPP Organization	Description
Cambodia		
1	Cambodia Partnership for Sustainable Agriculture (PSAV)	<p>The Partnership for Sustainable Agriculture in Viet Nam brings together companies, government agencies, civil society organizations, farmer groups, and financial institutions to link smallholder farmers to the market. This increases the profits and productivity of farmers, while improving climate resilience, international integration, and the sustainable development of the agriculture sector. They have 6 working groups:</p> <ul style="list-style-type: none"> • Agrochemicals - established to address the misuse of agrochemicals in Viet Nam • Coffee - aims to make Viet Nam the recognized reference for Robusta coffee by sustainably improving the quality of yields and helping farmers adapt to climate change. • Fisheries - promotes multi-stakeholder dialogues to identify challenges and solutions for the fisheries sector • Fruits and Vegetables - helping farmers produce a higher quality product and increasing their yields. • Livestock - aims to foster active PPP to address sectoral challenges and uplift the capacity of value chain actors holistically and effectively. The task force includes 4 sub-working groups: Dairy Cattle, Poultry, Pork, and Animal feed • Pepper - aims to foster Viet Nam's pepper industry development by encouraging sustainable production methods as well as providing information and increasing enforcement on quality standards to improve Viet Nam's credibility as a supplier of pepper products. • Rice - aims to help smallholders and stakeholders address these challenges in an environmentally sustainable way. • Tea - improving the quality and variety of Viet Nam's tea with R&D.
Malaysia		
2	Public-Private Partnership Unit	<p>This is a form of cooperation between the public and private sector whereby a stand-alone business is created, funded and managed by the private sector as a package that encompasses construction management, maintenance and repair works as well as replacement of public amenities comprising buildings, infrastructures, equipment and facilities.</p>
Philippines		
3	Philippines Partnership for Sustainable Agriculture (PPSA)	<p>The Philippines Partnership for Sustainable Agriculture (PPSA) builds and nurtures national and regional networks aimed at increasing farm productivity and farmer's profitability, and achieving inclusive agricultural growth. It has seven (7) working groups: Coconut, Coffee, Corn, Fisheries, Vegetables, Agri-Finance, and Learning Alliance.</p>

	PPP Organization	Description
4	Philippine Business for Social Progress	PBSP is the key partner of Grow Asia in the Philippines to manage the Secretariat and implement the inclusive business projects of the Philippines Partnership for Sustainable Agriculture (PPSA).
5	Public Private Partnership Center	The PPP Center is the main driver of the PPP Program. It serves as the central coordinating and monitoring agency for all PPP projects in the Philippines. It champions the country's PPP Program by enabling implementing agencies in all aspects of project preparation, managing of the Project Development and Monitoring Facility (PDMF), providing projects advisory and facilitation services, monitoring and empowering agencies through various capacity building activities.
6	Philippine Center for Entrepreneurship	The Center seeks to be the institution that brings together all key stakeholders and enablers to generate competitive Filipino entrepreneurs. It partners with the Department of Agriculture towards a more Agripreneurial Philippines.
7	Philippine Chamber of Commerce and Industry	The main responsibility of PCCI is to provide focused advocacy for business growth and sustainable development by providing business services for the advancement of grassroots entrepreneurship, chamber development, international trade relations, business innovation and excellence, and operating efficiency. These will be achieved through a professional organization working in close cooperation with various stakeholders in public and private sectors.
8	The American Chamber of Commerce of the Philippines, Inc.	The Chamber exists to serve the interests of Philippine and American businesses through the participation of members in promoting their long-term objectives, while contributing to the civic and economic development of the Philippines.
9	American Chamber Foundation Philippines, Inc.	The main role of AmCham Foundation as the enabler in engaging companies to set up or strengthen their CSR initiatives by: providing the means and opportunities for the companies to implement CSR as part of their core business strategies, providing technical assistance to companies who are not yet implementing CSR initiatives but have recognized the relevance of CSR, assist in strengthening CSR programs of companies through benchmarking and referral to other organizations who are experts in specific CSR programs.
Thailand		
10	Kenan Foundation Asia	Kenan Foundation Asia believes in a world where everyone has the right to build a better life for themselves, their family, and their community. Kenan provides training, coaching and mentoring, and necessary materials and equipment to make sure people are able to apply their new skills in order to improve their circumstances and pursue their dreams.
Viet Nam		

	PPP Organization	Description
11	Partnership for Sustainable Agriculture in Viet Nam (PSAV)	The PSAV brings together companies, government agencies, civil society organizations, farmer groups, and financial institutions to link smallholder farmers to the market. This increases the profits and productivity of farmers, while improving climate resilience, international integration, and the sustainable development of the agricultural sector. They have eight working groups: Agrochemicals, Coffee, Fisheries, Fruits and Vegetables, Livestock, Pepper, Rice, and Tea.
Others		
12	Japan International Cooperation Agency (JICA)	JICA aims to contribute to the promotion of international cooperation as well as the sound development of Japanese and global economy by supporting the socioeconomic development, recovery or economic stability of developing regions.
13	Asian Partnership for the Development of Human Resources in Rural Asia (AsiaDHRRA)	AsiaDHRRA is a regional partnership of 11 social development networks and organizations in 11 Asian nations that envisions Asian rural communities that are just, free, prosperous, living in peace and working in solidarity towards self-reliance. Its mission is to be an effective promoter and catalyst of partnership relations, facilitator of human resource development processes in the rural areas and mobilizer of expertise and opportunities for the strengthening of solidarity and kinship among Asian rural communities. It is dedicated to the empowerment of farmers in the Asian region.
14	Business for 2030	Business for 2030 is an official Employee Action of the #Global Goals campaign of Project Everyone and is an official Action Network of the UN Partnerships Registry of the Economic and Social Council. It showcases business' past and continuing contributions to sustainable development through the prism of the SDGs with the goal of stimulating a more productive partnership between the public and private sectors at the UN and at national levels and to demonstrate the need for a proportionate role for business in the negotiations, implementation, and follow-up mechanisms of the 2030 Development Agenda at both the UN and at national levels.
15	Business Call to Action (BCtA)	Launched at the United Nations in 2008, BCtA aims to accelerate progress towards the Sustainable Development Goals by challenging companies to develop inclusive business models that engage people at the base of the economic pyramid. A total of 249 companies have responded to the BCtA by committing to improve the lives and livelihoods of millions in developing countries through access to markets, financial services, affordable healthcare, water and sanitation, education and other critical services.
16	International Agri-Food Network Asia	The Network aims to be the platform for international trade associations and companies involved in the agri-food sector in Asia to engage with multilateral and international tri-sector initiatives. It endeavors to bring a stronger, more coherent private sector voice to regional multilateral forums on issues affecting food and agriculture industries including food security, nutrition, and sustainable agricultural practices; and to highlight and engage on issues that are particularly relevant to Asia, including expanding market access to small holder farmers.

ANNEX 5: Baseline Studies on Agriculture Investments and Climate Change

Title	Conducted	Year	Source
OECD Pilot Project on Responsible Agricultural Supply Chains in Southeast Asia: Baseline Report	Organisation for Economic Cooperation and Development	2020	http://mneguidelines.oecd.org/Pilot-on-Responsible-Agricultural-Supply-Chains-in-SEA-Baseline-Report.pdf
Climate Change Adaptation for Smallholder Farmers in Southeast Asia	World Agroforestry Center	2002	https://ccafs.cgiar.org/sites/default/files/assets/docs/lasco-2011-ccadaptationfarmerssoutheastasia.pdf
Assessment of Current Capacities and Needs for Institutional and Individual Capacity Development in Agricultural Innovation Systems in Asia	Southeast Asian Regional Center for Graduate Study and Research In Agriculture (SEARCA)	2013	http://www.fao.org/3/a-bc467e.pdf
Actionability of Climate Services in Southeast Asia	Climate Change, Agriculture and Food Security	2018	https://ccafs.cgiar.org/resources/publications/actionability-climate-services-southeast-asia-findings-acis-baseline
Agricultural Investments in Southeast Asia	International Institute for Environment and Development	2013	https://pubs.iied.org/sites/default/files/pdfs/migrate/12573IIED.pdf
A Review of Issues and Challenges in Climate Change and Agriculture in Southeast Asia	Asia Pacific Adaptation Network	2013	http://www.asiapacificadapt.net/resource/review-issues-and-challenges-climate-change-and-agriculture-southeast-asia
The Economics of Climate Change in Southeast Asia: A Regional Review	Asian Development Bank	2009	https://www.google.com/url?sa=t&rct=j&q=&esrc=s&source=web&cd=&ved=2ahUKEwisi5aC7KTuAhXJdd4KH eQPArYQFjAHegQIEhAC&url=https%3A%2F%2Fwww.ipcc.ch%2Fapps%2Fnlite%2Far5wg2%2Fnlite_download2.php%3Fid%3D9112&usg=AOvVaw1CCKUO4c66Gk3eLHyra6Dt
Southeast Asia: Prospects and Challenges	OECD-FAO	2017	https://www.oecd-ilibrary.org/docserver/agr_outlook-2017-5-en.pdf?expires=1610956590&id=id&accname=guest&checksum=4CE0B3A60DA580335D6FE97A53DF29E0
Building Climate Resilience in the Agriculture Sector of Asia and the Pacific	Asian Development Bank	2009	https://www.unisdr.org/files/11486_BuildingClimateResilienceAgricultur.pdf

Title	Conducted	Year	Source
Southeast Asia and Pacific Islands: The Impact of Climate Change to 2030	National Intelligence Council	2009	https://www.dni.gov/files/documents/climate2030_southeast_asia_pacific_islands.pdf
Investing in Innovation: Food, Agriculture, and Forestry in Southeast Asia	GrowAsia	2020	https://www.growasia.org/post/2020/02/24/investing-in-innovation-food-agriculture-and-forestry-in-southeast-asia
The Impact of Larger Scale Agricultural Investments on Communities in Southeast Asia: A First Assessment	Geneva Graduate Institute	2015	https://journals.openedition.org/poldev/2029#tocto3n6
Increasing private sector financing for climate-smart agriculture in Asia	FAO and CIAT	2022	Forthcoming

ANNEX 6: Process for design and prioritisation of Climate Smart Agriculture measures

OVERVIEW

The process for designing and prioritising CSA practices consists of the following six steps:

- 1) **Context analysis.** This step includes a review of the agriculture sector in the targeted geographic area, including key commodities, policies, plans, projects, and challenges (e.g. low yields, lack of agricultural land, food insecurity). The climate vulnerability and adaptive capacity of the sector, as well as sources of GHG emissions and the mitigation potential also need to be assessed.¹⁹
- 2) **Selection of CSA scope.** Using information gathered in Step 1, the scope of CSA interventions is chosen. This usually involves selecting agro-ecological zones (AEZs) and agricultural production systems to be targeted, based on their climate vulnerability and adaptive capacity and potential CSA gains.
- 3) **Identification of CSA investment options.** A long list of CSA investments within the selected scope is prepared.
- 4) **Prioritisation of CSA investment options.** A selection criterion is applied to the long list of CSA investments, resulting in a short list of CSA investments.
- 5) **Development of CSA investment plans.** Plans to encourage the uptake of prioritised CSA investments are then developed, including identification of implementing partners, activities to be conducted, and human and financial resources needed. The investment plans should consider government policies and plans related to CSA, as well ongoing and proposed CSA projects, to ensure complementarity and avoid overlap. The activities can include policy-level strengthening of the enabling environment for CSA, infrastructure improvements, and capacity-building activities (among others).
- 6) **Design of CSA project portfolio.** Activities specified in the CSA investment plans are developed into projects. This including developing project concept notes, securing project funding, conducting feasibility studies, and preparing detailed project design.

TOOLS FOR DESIGN AND PRIORITIZATION OF CSA MEASURES

Developed by CIAT and CCAFS, **CSA Country Profiles**²⁰ review the agricultural challenges in the targeted country and identify field-level CSA activities that can help the country adapt to and mitigate climate change. Profile development is an expert-driven process which primarily relies on expert opinion and analysis of secondary data. It includes i) conducting background research on the agriculture sector and climate change in the county, ii) identifying a long list of agricultural commodities and field-level CSA practices, iii) conducting stakeholder workshops to select a short list of agricultural commodities and CSA practices and to identify policy entry points, iv) analyzing projected impacts of climate change on shortlisted commodities using IMPACT modelling; and v) developing recommendations on how the uptake of CSA practices can be improved. Each profile is a 25-30 page document with a standardised layout; 31 profiles have been produced worldwide to date.

Developed by CIAT, **sub-national Climate Risk Profiles (CRPs)**²¹ seek to inform the sub-national governments on the climate change risks and opportunities for agriculture. Similarly, to CSA Country Profiles, CRP preparation is an expert-driven process that includes background research and stakeholder consultations. However, CRPs focus on sub-national (district or county) rather than national-level interventions; cover climate resilience and productivity, but not mitigation; cover the whole value chain of selected commodities, rather than field-level activities only; and contain more in-depth analysis of existing CSA policies and projects, which assists with identifying gaps that should be covered by future

¹⁹ As an example, Carter et al (2015) suggest considering the following national-level factors when identifying interventions to reduce agricultural emissions: levels of GHG emissions from agriculture and from agriculture-driven deforestation; yield gaps for key crops; availability of non-forested land suitable for agriculture; the presence of enabling environment for introducing mitigation interventions (including government effectiveness, regulatory quality, rule of law and control of corruption); and food security.

²⁰ <https://ccafs.cgiar.org/publications/csa-country-profiles>

²¹ <https://ccafs.cgiar.org/publications/kenya-county-climate-risk-profiles>

interventions. Each CRP is a 25-30 page document with a standardised layout; to date, CIAT has developed CRPs for 31 out of 47 counties in Kenya.

CCAFS-CIAT CSA Prioritization Framework (CSA-PF)²² is a decision-support framework to identify CSA investment portfolios. The CSA-PF process is typically led by a government agency with mandate for climate change or agriculture and facilitated by a local NGO, with a steering committee providing scientific and technical expertise. Similarly, to CSA Country Profiles and CRPs, CSA-PF includes background research on the agriculture sector and impacts of climate change, and shortlisting of key commodities and CSA practices by stakeholders. However, the tool also includes a cost-benefit analysis (CBA) of the shortlisted CSA practices, and development of CSA action plans to promote their uptake (including human and financial resources needed, and institutions for implementation). Since 2014, national-level CSA-PFs have been completed in Mali²³, Guatemala²⁴, Colombia, Nicaragua, Trifinio biosphere (a tripartite region covering parts of Guatemala, El Salvador and Honduras)²⁵ and Belize.²⁶

National-level **Climate-Smart Investment Plans (CSIPs)**²⁷ are a new initiative by the World Bank, in a collaboration with CIAT. Similar to the above-mentioned tools, its initial steps include background research on the agriculture sector and impacts of climate change, and shortlisting of key commodities and CSA practices by stakeholders. Foresight agricultural modelling is then used to project future production of key commodities under different climate change - economic growth scenarios, and to estimate impacts of CSA interventions on commodity production, GHG emissions, water use and profitability (among others). The modelling results allow decision makers to explore alternative pathways and are used to inform the selection of CSA 'investment packages'. The first CSIP is currently being prepared for Bangladesh, and the World Bank is aiming to complete 10 CSIPs by 2020 (including Nepal and Lao PDR).

In contrast to the top-down decision-making approaches described above, **CSA Rapid Appraisal (CSA-RA)**²⁸ uses participatory, bottom-up, qualitative, and quantitative tools to identify and prioritise context-specific CSA options. It is applicable at the village and district levels and combines common participatory rural appraisal and rapid rural appraisal techniques. The process is facilitated by multi-disciplinary team with expertise in agriculture, climate change and participatory methods, and includes farmer workshops, interviews with farmers and key informants, and transect walks. All key decisions – including selection of targeted crops and prioritisation of CSA practices – are made by farmers in targeted villages, and selected CSA practices are implemented in demonstration plots. To date, two CSA-RAs have been carried out (in Uganda and Tanzania in 2014).

Two pilots in Kenya and Tanzania implemented under **FAO's Mitigation of Climate Change in Agriculture (MICCA) Programme**²⁹ in 2014 present an alternative approach to identifying and prioritising CSA practices at the village level. Targeted farming systems were selected by FAO based on their contributions to national GHG emissions, while existing and potential CSA practices were identified and prioritised via village-level socio-economic baseline surveys, capacity needs assessments and stakeholder workshops. FAO's Ex-Ante Carbon-balance Tool (EX-ACT, discussed below) was then used to estimate the GHG emissions under with-pilot and without-pilot scenarios over a 20-year period. Following the implementation of the pilots, the extent of adoption and benefits of CSA practices were evaluated via household interviews and focus group discussions, and efforts were made by FAO to ensure that findings were used when developing national-level CSA initiatives.

CCAFS Mitigation Options Tool for Agriculture (CCAFS-MOT)³⁰ is a free-to-use Microsoft Excel-based tool which integrates several empirical models to provide users with quick information on the likely GHG

²² <https://ccafs.cgiar.org/climate-smart-agriculture-prioritization-framework>

²³ <https://ccafs.cgiar.org/blog/climate-smart-solutions-malian-sahel#.W6Sna3sza00>

²⁴ <https://ccafs.cgiar.org/es/blog/creando-un-%E2%80%98centro-de-aprendizaje%E2%80%99-para-el-desarrollo-agr%C3%ADcola-guatemalteco#.W6SnoHsza00>

²⁵ http://map.catie.ac.cr/asac/index_en.php?restore_session=1

²⁶ Miguel Lizarazo, 1 Oct 2018.

²⁷ The official documentation of the tool is currently being finalized.

²⁸ <https://ccafs.cgiar.org/climate-smart-agriculture-rapid-appraisal-csa-ra-prioritization-tool>

²⁹ FAO (2016), 'Planning, implementing and evaluating Climate-Smart Agriculture in Smallholder Farming Systems: The experience of the MICCA pilot projects in Kenya and the United Republic of Tanzania'.

³⁰ <https://ccafs.cgiar.org/mitigation-option-tool-agriculture>

emissions of proposed agricultural activities, as well as potential mitigating measures. Users are required to type in information on the proposed agricultural activity, including location, soil type, land use change in the area, crop type, yield, soil management techniques, etc. The tool then calculates GHG emissions per source type (fertiliser production, fertilizer-induced field emissions, soil management, land-use change, burning of residue, etc.), GHG emissions per ha and per kg of yield (or per head for livestock), and provides a suggested list of CSA practices to mitigate these emissions and mitigation potential for each practice. The tool is still under development, with 34 crops and 6 out of 12 climate zones covered to date but was successfully tested in Ethiopia in March 2018.

CIAT's online CBA Tool³¹ is a free tool used to determine the changes in farmer profitability from the introduction of a field-level CSA practice, thus providing an indication of the likelihood of farmers adopting the practice. This is done by comparing the annual flow of incremental benefits with that of incremental costs over the lifecycle of the practice. The tool can also be used to aggregate the net benefits of the adoption of the CSA practice by a larger group of farmers, and allows for inclusion of externalities of the CSA practice (such as increased carbon sequestration) in the calculation of net benefits. The user is required to provide input data, including estimated crop yields with and without the intervention, crop prices and farming costs (ploughing, tools, weeding equipment, seeding, harvesting, seeds, fertilizer, pesticides, etc.). Since 2015, the tool has been used in the implementation of projects in the Philippines, Vietnam, and Azerbaijan.

Developed in 2016 by FAO, the **EX-ACT Value Chain (VC)**³² is an ex-ante project-level tool which calculates net GHG emissions of agricultural interventions, as well as assessing their climate resilience and socio-economic performance. EX-ACT VC covers the whole life cycle of value chains, including input supply, production, transport, and processing. The user is required to enter detailed information³³ for with-project and without-project scenarios,³⁴ including a qualitative self-assessment of project's performance against 36 resilience indicators³⁵. Tool outputs are disaggregated by value chain stage and include project net emissions, gross production value and generated employment, and a resilience index score. While the tool is still under development, it appears to be widely used in Africa, Asia, and South America.

Figure 2 below shows where each of the reviewed tools fits within the six-step process for designing and prioritising CSA practices. As none of the tools cover all six stages of CSA design and prioritisation. Consequently, it is necessary to **use these tools in combination**.

1. Context analysis	2. Selection of CSA scope	3. Identification of CSA investment options	4. Prioritisation of CSA investment options	5. Development of CSA investment plans	6. Design of CSA project portfolio
CSA Country Profiles					
CIAT's Sub-National Climate Risk Profiles					
CCAFS-CIAT CSA Prioritization Framework (CSA-PF)					
World Bank's Climate-Smart Investment Plans (CSIPs)					
CSA Rapid Appraisal (CSA-RA)					CSA Rapid Appraisal (CSA-RA)
FAO's MICCA pilots					FAO's MICCA pilots
CCAFS Mitigation Options Tool for Agriculture (CCAFS-MOT)					CCAFS-MOT
				CIAT's online CBA Tool	CIAT's online CBA Tool
					FAO EX-ACT Value Chain (VC) Tool

Figure 2: CSA tools and the CSA identification and prioritisation process

³¹ <http://cbatool.ciat.cgiar.org/>

³² <http://www.fao.org/tc/exact/ex-act-tool-for-value-chains/en/>

³³ Examples of the level of detail required are: i) consumption of each source of energy (gasoline, electricity) per year; ii) amounts of each type of fertilizer applied per ha per year, with and without the project; iii) distances travelled at each stage of the value chain (feed producers – farm – processing – wholesaler – harbour – final destination) and vehicles used.

³⁴ This includes land use change, production practices, production inputs, processing, transport, and infrastructure and workforce requirements (for mitigation); costs of inputs, processing and transportation, and market prices of produced crops and livestock (for socio-economic performance).

³⁵ An example of an indicator is 'To what extent does upgrading the value chain improve land cover (e.g. agroforestry, cover crops etc.)?'

ANNEX 7: NDC Adaptation and Mitigation Priority Policies and Measures for the Agriculture Sectors

Country	Metric	Financial Conditionality	Adaptation measures related to agriculture, food security and nutrition			
			Agriculture and Food Systems			
			Sub Sector	Land Use	Management Activity	Description
Cambodia	Non-quantified	Combined	Aquaculture	NA	Aquaculture management	Promote aquaculture production systems and practices that are adaptive to climate change
Cambodia	Non-quantified	Combined	General agriculture	Agricultural land	CSA	NA
Cambodia	Non-quantified	Combined	Crops	Cropland	Plant management	Develop crop varieties suitable to Agro-Ecological Zones (AEZ) and resilient to climate change
Cambodia	Non-quantified	Combined	General agriculture	Agricultural land	Integrated water management	Develop and rehabilitate the flood protection dykes for agricultural and urban development
Cambodia	Non-quantified	Combined	Water	Cropland	Irrigation and drainage	Developing climate-proof tertiary-community irrigation to enhance the yields from agricultural production of paddy fields
Malaysia	Non-quantified	Combined	Water	Agricultural land	Water availability and access	Expand the water supply network and treatment capacity infrastructure and increase the efficiency of water supply services
Malaysia	Non-quantified	Combined	General agriculture	Agricultural land	Sustainable agriculture practices/approach	Expand implementation of good agricultural practices
Malaysia	Non-quantified	Combined	NA	NA	Irrigation and drainage	New granary areas and adequate and efficient irrigation and drainage infrastructure will be developed to increase the production of rice

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Lao People's Democratic Republic	Non-quantified	Combined	General agriculture	Agricultural land	Sustainable agriculture practices/approach	Improve appropriate resilient agricultural farming system practices and technologies to address climate change impacts
Lao People's Democratic Republic	Non-quantified	Combined	Crops	Cropland	Plant management	climate resilient crops especially in the risk, flood and drought areas; short rotation cropping
Lao People's Democratic Republic	Non-quantified	Combined	Crops	Cropland	Plant management	Promote two seasons rice cultivation in flood area by adaptive and short rotation rice varieties
Lao People's Democratic Republic	Non-quantified	Combined	Livestock	Grassland	Animal breeding and husbandry	Animal diversification for resilience especially in the risk, flood and drought areas.
Lao People's Democratic Republic	Non-quantified	Combined	Livestock	NA	Feeding practices	long term feed storage improvement
Lao People's Democratic Republic	Non-quantified	Combined	Water	Agricultural land	Irrigation and drainage	Construct / rehabilitate dykes and enhance river bank protection and irrigation systems to increase climate resilience.
Lao People's Democratic Republic	Non-quantified	Combined	Water	Agricultural land	Water storage and harvesting	Design and build multi-purposes dam and reservoirs to ensure sufficient water supply in drought prone areas and seasons
Thailand	Non-quantified	Combined	General agriculture	Agricultural land	Sustainable agriculture practices/approach	Promote sustainable agriculture and Good Agricultural Practice (GAP)
Viet Nam	Non-quantified	Combined	General agriculture	Agricultural land	Land management and restoration	Ensure food security through protecting, sustainably maintaining and managing agricultural land

GCF READINESS & PREPARATORY SUPPORT

Viet Nam	Non-quantified	Combined	Crops	Cropland	General crop management	restructuring of crops; create new climate change resilient varieties; complete the disease control and prevention system
Viet Nam	Non-quantified	Combined	Livestock	Grassland	General livestock management	restructuring of livestock; create new climate change resilient varieties; complete the disease control and prevention system

Country	Mitigation Policies and Measures				Quantified policy and measures			Conditionality
	Land Use sub sector	Management Activity	Description of Actions	Metric	Counterfactual values	Unit	2030 Target	
Cambodia	Cropland	Rice management	Intermittent drainage in rainy season can reduce GHG emissions by 25%	Non-GHG quantified	0	percent	-25	Combined
Cambodia	Cropland	Nutrient management	Switch to sulphur fertilizer instead of urea for rice cultivation (15 percent GHG reduction compared to 2000)	GHG absolute	0	kt CO2eq	-2474	Combined
Cambodia	Cropland	Nutrient management	Use of compost/bioslurry instead of manure under rice cultivation (20% reduction compared to 2000)	GHG absolute	0	kt CO2eq	-4195	Combined
Cambodia	Livestock	Manure management	Small-scale biogas and composting (85% reduction compared to 2000)	GHG absolute	0	kt CO2eq	-1168	Combined
Cambodia	Cropland	Plant management	Fodder production	Non-GHG non-quantified	NA	NA	NA	Combined
Cambodia	Cropland	General cropland management	Cropland management	Non-GHG non-quantified	NA	NA	NA	Combined
Cambodia	Cropland	Nutrient management	Organic input agriculture and bio-slurry	Non-GHG non-quantified	NA	NA	NA	Combined
Cambodia	Integrated systems	Agroforestry	Agroforestry	GHG absolute	0	tC/ha/yr	-1.5	Combined
Cambodia	Livestock	Manure management	Large-scale biogas production (85% reduction compared to 2000)	GHG absolute	0	kt CO2eq	-767	
Cambodia	Cropland	Nutrient management	Organic input agriculture and bio slurry, crop management	Non-GHG non-quantified	NA	NA	NA	Combined

GCF READINESS & PREPARATORY SUPPORT

Lao People's Democratic Republic	Bioenergy from agriculture	Liquid biofuel production	increase the share of biofuels to meet 10% of the demand for transport fuels by 2025.	Non-GHG quantified	0	percent	10	Combined
Malaysia	Cropland	Nutrient management	Promote nitrogenous fertiliser management	Non-GHG non-quantified	NA	NA	NA	
Malaysia	Cropland	Rice management	Promote irrigated rice water management	Non-GHG non-quantified	NA	NA	NA	
Malaysia	Livestock	Manure management	Manure management	Non-GHG non-quantified	NA	NA	NA	
Thailand	Cropland	Fire management	Reduce crop residue burning on land	Non-GHG quantified	0	ha	-20000	
Thailand	Cropland	Fire management	Reduce agricultural land where open burning is done	Non-GHG quantified	0	ha	-24000	
Thailand	Integrated systems	Agroforestry	Increase areas for permanent trees	Non-GHG quantified	0	ha	72000	
Viet Nam	Agricultural land	Sustainable agriculture practice/approach	Reduce GHG emissions through the development of sustainable agriculture (farming, livestock, fisheries and animal feed and food processing)	Non-GHG non-quantified	NA	NA	NA	Combined
Viet Nam	Agricultural land	Sustainable agriculture practice/approach	Research and apply production processes and economic technologies that efficiently use seedlings, feed, agricultural materials, soil, water, and other inputs and reduce GHG emissions from agricultural production	Non-GHG non-quantified	NA	NA	NA	Combined
Viet Nam	Agricultural land	Sustainable agriculture practice/approach	Widely replicate technologies that treat and reuse by-products and waste from agricultural production to produce animal feed, mushrooms, materials for industries, biogas, and organic fertilizer	Non-GHG non-quantified	NA	NA	NA	Combined

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 you get to the end of the project and you haven't spent Contingency, you can't increase the scope of the project or buy some more equipment to use it up.

6. The Budget Notes sheet should be used to record explanations, further details or cost breakdowns for individual lines

If you are unsure about how to complete the budget template, please send your query to: countries@gcfund.org

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		Detailed Budget (in US\$)						Disbursement Plan										
		Budget Categories <small>choose from the drop-down list</small>	Unit	Notes	# of Unit	Unit Cost	Total Budget <small>(per budget category)</small>	Total Budget <small>(per sub-outcome)</small>	Total Budget <small>(per outcome)</small>	6m	12m	18m	24m	30m	36m			
Outcome 2.1 GCF recipient countries have developed Country Programmes to guide GCF investment and programming of readiness support resources	Output 2.1.1 Agriculture and climate investment plans to support implementation of agriculture sector climate change strategies and policies, including submissions to the UNFCCC's KJWA	5013 Consultants	W/day	A1	180	450.00	81,000.00	915,790.00	1,112,520.00	32,400.00	24,300.00	16,200.00	8,100.00	-	-			
		5013 Consultants	W/day	A2	155	260.00	40,300.00			16,120.00	12,090.00	8,060.00	4,030.00	-	-			
		5013 Consultants	W/day	A3	210	475.00	99,750.00			39,900.00	29,925.00	19,950.00	9,975.00	-	-			
		5013 Consultants	W/day	A4	1500	250.00	375,000.00			150,000.00	112,500.00	75,000.00	37,500.00	-	-			
		5013 Consultants	W/day	A5	180	200.00	36,000.00			14,400.00	10,800.00	7,200.00	3,600.00	-	-			
		5013 Consultants	Lumpsum	A20	168	475.00	79,800.00			31,920.00	23,940.00	15,960.00	7,980.00	-	-			
		5023 Trainings & Workshops	Lumpsum	B1	1	10,000.00	10,000.00			4,000.00	3,000.00	2,000.00	1,000.00	-	-			
		5023 Trainings & Workshops	Lumpsum	B2	12	7,000.00	84,000.00			33,600.00	25,200.00	16,800.00	8,400.00	-	-			
		5021 Travels	Trip	C1	50	1,570.00	78,500.00			31,400.00	23,550.00	15,700.00	7,850.00	-	-			
		5021 Travels	Lumpsum	C2	6	240.00	1,440.00			576.00	432.00	288.00	144.00	-	-			
	5024 Expendable Procurement	Lumpsum	D1	6	5,000.00	30,000.00	12,000.00	9,000.00		6,000.00	3,000.00	-	-					
	5013 Consultants	W/day	A6	60	450.00	27,000.00	13,500.00	13,500.00		-	-	-	-					
	5013 Consultants	W/day	A7	48	260.00	12,480.00	6,240.00	6,240.00		-	-	-	-					
	5013 Consultants	W/day	A8	120	475.00	57,000.00	28,500.00	28,500.00		-	-	-	-					
	5013 Consultants	W/day	A9	180	250.00	45,000.00	22,500.00	22,500.00		-	-	-	-					
	5023 Trainings & Workshops	Lumpsum	B1	1	10,000.00	10,000.00	5,000.00	5,000.00		-	-	-	-					
	5021 Travels	Trip	C3	25	1,570.00	39,250.00	19,625.00	19,625.00		-	-	-	-					
	5024 Expendable Procurement	Lumpsum	D1	6	1,000.00	6,000.00	3,000.00	3,000.00		-	-	-	-					
	Outcome 4.1 Increased number of quality project concept notes developed and submitted (contribution to Outcome 4.3 in Cambodia and Lao PDR)	Output 4.1.1 National GCF concept notes to support implementation of priority agriculture and climate change investments in Southeast Asia developed	5013 Consultants	W/day	A1	180	450.00	81,000.00		547,240.00	729,510.00	-	24,300.00	24,300.00	24,300.00	8,100.00	-	
			5013 Consultants	W/day	A2	155	260.00	40,300.00				-	12,090.00	12,090.00	12,090.00	4,030.00	-	
5013 Consultants			W/day	A10	286	475.00	135,850.00	-	40,755.00			40,755.00	40,755.00	13,585.00	-			
5013 Consultants			W/day	A11	576	250.00	144,000.00	-	43,200.00			43,200.00	43,200.00	14,400.00	-			
5013 Consultants			W/day	A12	324	200.00	64,800.00	-	19,440.00			19,440.00	19,440.00	6,480.00	-			
5023 Trainings & Workshops			Lumpsum	B2	6	7,000.00	42,000.00	-	12,600.00			12,600.00	12,600.00	4,200.00	-			
5023 Trainings & Workshops			Lumpsum	B3	12	2,000.00	24,000.00	-	7,200.00			7,200.00	7,200.00	2,400.00	-			
5021 Travels			Trip	C4	5	1,570.00	7,850.00	-	2,355.00			2,355.00	2,355.00	785.00	-			
5021 Travels			Lumpsum	C2	6	240.00	1,440.00	-	432.00			432.00	432.00	144.00	-			
5024 Expendable Procurement			Lumpsum	D1	6	1,000.00	6,000.00	-	1,800.00			1,800.00	1,800.00	600.00	-			
5013 Consultants		W/day	A6	60	450.00	27,000.00	-	8,100.00	8,100.00	8,100.00		2,700.00	-					
5013 Consultants		W/day	A7	48	260.00	12,480.00	-	3,744.00	3,744.00	3,744.00		1,248.00	-					
5013 Consultants		W/day	A13	20	475.00	9,500.00	-	2,850.00	2,850.00	2,850.00		950.00	-					
5013 Consultants		W/day	A14	456	250.00	114,000.00	-	34,200.00	34,200.00	34,200.00		11,400.00	-					
5023 Trainings & Workshops		Lumpsum	B1	1	10,000.00	10,000.00	-	3,000.00	3,000.00	3,000.00		1,000.00	-					
5021 Travels		Trip	C5	5	1,570.00	7,850.00	-	2,355.00	2,355.00	2,355.00		785.00	-					
5021 Travels		Lumpsum	C2	6	240.00	1,440.00	-	432.00	432.00	432.00		144.00	-					
Outcome 5.2 Partnerships established to foster development and dissemination of methods, frameworks, and information systems for enhanced climate finance programming at subnational, national, and regional levels		Output 5.2.1 Southeast Asia partnership network strengthened to support knowledge exchange on prioritizing and structuring of public and private climate finance investment in the agriculture sectors consistent with national and regional priorities including those identified in submissions by Southeast Asian countries to the UNFCCC's KJWA.	5013 Consultants	W/day	A15	120	450.00	54,000.00	452,650.00	452,650.00		16,200.00	10,800.00	10,800.00	10,800.00	5,400.00	-	
			5013 Consultants	W/day	A16	50	260.00	13,000.00				3,900.00	2,600.00	2,600.00	2,600.00	1,300.00	-	
			5013 Consultants	W/day	A17	40	475.00	19,000.00				5,700.00	3,800.00	3,800.00	3,800.00	1,900.00	-	
	5013 Consultants		W/day	A18	912	250.00	228,000.00	68,400.00			45,600.00	45,600.00	45,600.00	22,800.00	-			
	5023 Trainings & Workshops		Lumpsum	B1	2	10,000.00	20,000.00	6,000.00			4,000.00	4,000.00	4,000.00	2,000.00	-			
	5021 Travels		Trip	C6	45	1,570.00	70,650.00	21,195.00			14,130.00	14,130.00	14,130.00	7,065.00	-			
	5024 Expendable Procurement		Lumpsum	D1	6	5,000.00	30,000.00	9,000.00			6,000.00	6,000.00	6,000.00	3,000.00	-			
	5025 Non-expendable Procurement		Lumpsum	F1	6	3,000.00	18,000.00	5,400.00			3,600.00	3,600.00	3,600.00	1,800.00	-			
	Total Outcome Budget										2,294,680.00	600,476.00	682,485.00	492,541.00	400,962.00	118,216.00	-	
	Project Management Cost (PMC) Up to 7.5% of Total Activity Budget		5028 GOE		Lumpsum	E1	1	20,852			20,852	Actual amount and % of PMC requested: do not change the formula	Maximum PMC that can be requested: do not change the formula					
5013 Consultants		W/day	A19	1,500	100.00	150,000.00												
						-	170,852.00											
						-	7.45%	172,101.00										

FOR GREEN CLIMATE FUND SECRETARIAT'S USE ONLY

Breakdown (per budget category)	Total (per budget category)
	-
	-
5013 Consultants	1,946,260.00
5014 Contracts	-
5021 Travels	208,420.00
5023 Trainings & Workshops	200,000.00
5024 Expendable Procurement	72,000.00
5025 Non-expendable Procurement	18,000.00
5028 GOE	20,852.00
	-
0	-
0	-
0	-
0	-
0	-
0	-
Total Outcome Budget + PMC	2,465,532.00

FOR GREEN CLIMATE FUND SECRETARIAT'S USE ONLY

Total Outcome Budget		2,294,680
Project Management Cost (PMC)	7.4% requested	170,852
Contingency	1% requested	22,947
<hr/>		
Sub-Total (Total Outcome Budget + Contingency + PMC)		2,488,479
Delivery Partner Fee (DP) - Up to 8.5% of the Sub-Total		211,521
<hr/>		
Total Project Budget (Total Activity Budget + Contingency + PMC + DP)		\$ 2,700,000

Budget Note	Detailed Description
A1	<ul style="list-style-type: none"> One international consultant CATEGORY B (Regional Coordinator and Agriculture and Climate Change specialist) for 180 working days @450 USD per day. Assumption is that offer of longer term assignment will compensate for offer of CAT B rate.
A2	<ul style="list-style-type: none"> One international consultant CATEGORY C (Knowledge management associate) for 155 working days @USD 260 per day. Position will target consultants with relevant technical and operational skills, but lower levels of international experience.
A3	<ul style="list-style-type: none"> 2 international consultants CATEGORY A (Climate Finance Specialist) for 60 working days (each) @ 475 USD per day 6 international consultants CATEGORY A (Agriculture and Climate Change Investment design expert) for 5 working days @475 USD per day. 6 international consultants CATEGORY A (Economist) for 5 working days @475 USD per day. Up to 6 international rostered technical experts CATEGORY A working for 5 days each @ 475 USD per day
A4	<ul style="list-style-type: none"> 6 national consultants (National coordinator and climate finance specialist) for 180 working days @250 USD per day. 6 national consultants (Agricultural value chain specialist) for 60 working days @250 USD per day. 6 national consultants (National economist) for 5 working days @250 USD per day. 6 national consultants (National safeguards specialist) for 5 working days @250 USD per day.
A5	<ul style="list-style-type: none"> Up to 6 rostered national technical experts working for 15 days each @ USD 200 per day in each of the 6 target countries (180 days total for this output)
A6	<ul style="list-style-type: none"> 1 international consultant CATEGORY B (Regional Coordinator and Agriculture and Climate Change specialist) for 60 working days @450 USD per day. Assumption is that offer of longer term assignment will compensate for offer of CAT B rate.
A8	<ul style="list-style-type: none"> 2 international consultant CATEGORY A (Climate Finance Specialist) for 60 working days (each) @ 475 USD per day
A7	<ul style="list-style-type: none"> 1 international consultant CATEGORY C (Knowledge management associate) for 48 working days @USD 260 per day. Position will target more consultants with technical skills, but lower levels of international experience.
A9	<ul style="list-style-type: none"> 6 national consultants (National coordinator and climate finance specialist) for 20 working days @250 USD per day. 6 national consultants (Agricultural value chain specialist) for 10 working days @250 USD per day.
A10	<ul style="list-style-type: none"> 1 international consultant CATEGORY A (Climate Finance Specialist) for 10 working days @ 475 USD per day 6 international consultants CATEGORY A (Agriculture and Climate Change Investment design expert) for 18 working days @475 USD per day. 6 international consultants CATEGORY A (Economist) for 18 working days @475 USD per day. Up to 6 international rostered technical experts CATEGORY A working for 10 days each @ 475 USD per day
A11	<ul style="list-style-type: none"> 6 national consultants (National coordinator and climate finance specialist) for 60 working days @250 USD per day. 6 national consultants (Agricultural value chain specialist) for 20 working days @250 USD per day. 6 national consultants (National economist) for 8 working days @250 USD per day. 6 national consultants (National safeguards specialist) for 8 working days @250 USD per day.
A12	<ul style="list-style-type: none"> Up to 6 rostered national technical experts working for 18 days each @ USD 200 per day in each of the 6 target countries (324 days total for this output)
A13	<ul style="list-style-type: none"> 2 international consultant CATEGORY A (Climate Finance Specialist) for 10 working days @ 475 USD per day
A14	<ul style="list-style-type: none"> 6 national consultants (National coordinator and climate finance specialist) for 60 working days @250 USD per day. 6 national consultants (Agricultural value chain specialist) for 16 working days @250 USD per day.
A15	<ul style="list-style-type: none"> 1 international consultant CATEGORY B (Regional Coordinator and Agriculture and Climate Change specialist) for 120 working days @450 USD per day. Assumption is that offer of longer term assignment will compensate for offer of CAT B rate.
A16	<ul style="list-style-type: none"> 1 international consultant CATEGORY C (Knowledge management associate) for 50 working days @USD 260 per day. Position will target more consultants with technical skills, but lower levels of international experience.
A17	<ul style="list-style-type: none"> 1 international consultant CATEGORY A (Climate Finance Specialist) for 40 working days @ 475 USD per day
A18	<ul style="list-style-type: none"> 6 national consultants (National coordinator and climate finance specialist) for 120 working days @250 USD per day. 6 national consultants (Agricultural value chain specialist) for 32 working days @250 USD per day.
A19	<ul style="list-style-type: none"> 6 national consultants (Administration and procurement specialist) for 250 working days (part time) @100 USD per day per country (1500 total over the whole project for every country).
A20	<ul style="list-style-type: none"> 2 international consultants CATEGORY B (Climate Foresight and Scenarios Development Specialist) for 84 working days (each) @475 USD per day. Assumption is that offer of longer term assignment will compensate for offer of CAT B rate.
B1	<ul style="list-style-type: none"> Regional workshop venue hire, meals and incidentals, 3 days, 40 participants @10000 USD per venue.
B2	<ul style="list-style-type: none"> National workshop venue hire, meals and incidentals, 3 days, 40 participants @7000 USD per venue.

B3	<ul style="list-style-type: none"> • National stakeholder consultation meeting venue hire, meals and incidentals, half day, 20 participants @2000 USD per venue.
C1	<ul style="list-style-type: none"> • 30 Regional technical backstopping support mission (3 technical staff travelling to 5 countries for 2 sets of national workshops - no international travel for Thailand where the regional project team is based) - Round trips tickets USD500, 5 day DSA @ \$200 per day; and Terminals @ \$35 each way. The intended purpose of the technical staff to travel to the 5 countries (Thailand is not included as the regional project team will be based in Thailand) will be to attend the regional and national workshops as part of technical backstopping and to engage in the discussions and activities of the workshops. • 20 international regional workshop participants - Return ticket USD500, 5 day DSA @ \$200 per day; and Terminals @ \$35 each way.
C2	<ul style="list-style-type: none"> • Vehicle hire or rental costs including taxis or travel allowance for attendance at workshops or meetings with project stakeholders per country.
C3	<ul style="list-style-type: none"> • 5 Regional technical backstopping support missions (1 technical staff travelling to 5 countries - no international travel for Thailand where regional project team is based) - Round trips tickets USD500, 5 day DSA @ \$200 per day; and Terminals @ \$35 each way. The intended purpose of the travel to the 5 participating countries (Thailand is not included as the regional project team will be based in Thailand) will be to attend the regional and national workshops as part of technical backstopping and to engage in the discussions and activities of the workshops. • 20 international regional workshop participants - Return ticket USD500, 5 day DSA @ \$200 per day; and Terminals @ \$35 each way.
C4	<ul style="list-style-type: none"> • 15 Regional technical backstopping support missions (3 technical staff travelling to 5 countries for 1 national workshop and follow-up - no international travel for Thailand where the regional project team is based) - Round trips tickets USD500, 5 day DSA @ \$200 per day; and Terminals @ \$35 each way. The intended purpose of the travel to the 5 countries (Thailand is not included as the regional project team will be based in Thailand) will be to attend the regional and national workshops as part of technical backstopping and to engage in the discussions and activities of the workshops.
C5	<ul style="list-style-type: none"> • 5 Regional technical backstopping support mission (1 technical staff travelling to 5 countries - no international travel for Thailand where the regional project team is based) - Round trips tickets USD500, 5 day DSA @ \$200 per day; and Terminals @ \$35 each way. The intended purpose of the travel to the 5 countries (Thailand is not included as the regional project team will be based in Thailand) will be to attend the regional and national workshops as part of technical backstopping and to engage in the discussions and activities of the workshops.
C6	<ul style="list-style-type: none"> • 5 Regional technical backstopping support mission (1 technical staff travelling to 5 countries - no international travel for Thailand where the regional project team is based) - Round trips tickets USD500, 5 day DSA @ \$200 per day; and Terminals @ \$35 each way. The intended purpose of the travel to the 5 countries (Thailand is not included as the regional project team will be based in Thailand) will be to attend the regional and national workshops as part of technical backstopping and to engage in the discussions and activities of the workshops. • 40 international regional workshop participants for 2 regional workshops - Return ticket USD500, 5 day DSA @ \$200 per day; and Terminals @ \$35 each way.
D1	<ul style="list-style-type: none"> • Printing, materials and incidental expenses for project activities at the county level
E1	<ul style="list-style-type: none"> • PMU Office space establishment costs, floor space rental, utilities and maintenance in Thailand.
F1	<ul style="list-style-type: none"> • 6 Computers and software, 1 for each national project team.

Budget Categories
5013 Consultants
5014 Contracts
5021 Travels
5023 Trainings & Workshops
5024 Expendable Procurement
5025 Non-expendable Procurement
5028 GOE

Indicate additional budget categories

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						
5021 Travel - National	Vehicle rental costs	4,320.00	Direct procurement	USD 0-200 per hire	Contingent on the schedule of the national and regional workshops/trainings, and as seen necessary for backstopping project activities	N/A
5021 Travel - International	DSA, Terminal and Ticket cost	204,100.00	According to UN Travel Policy	Up to USD 2500 per trip	Contingent on the schedule of the national and regional workshops/trainings, and as seen necessary for backstopping project activities	N/A
5023 Trainings & workshops	Workshop venues, refreshments etc	200,000.00	Invitation to bid (Open Submission)/ UN LTAs According to UN Travel Policy	Up to USD 10,000 per workshop Up to USD 2,500 per trip	Contingent on the schedule of the national and regional workshops/trainings	N/A
5028 Expendable procurement	Paper/Toner/Stationery	72,000.00	Direct procurement	USD 500-1,000	First purchase within 6 months of project EOD. Replenished every 6 months.	N/A
5025 Non expendable Procurement	Laptops and softwares for national project staffs	18,000.00	Quotation/Direct procurement	USD 1,000-3,000	First purchase within 6 months of project EOD.	N/A
5028 GOE	Costs for PMU office establishment and maintenance	20,852.00	Direct procurement	USD 0-5,000 per year	Recurring expenditures for floor space rental, utilities and maintenance	N/A
Sub-Total (US\$)		\$ 519,272.00				
Consultancy Services						
5013 Consultants - International	Regional Coordinator and International Agriculture and Climate Change specialist	270,000.00	Vacancy Announcement / FAO roster	CATEGORY B USD 300- 450 per day	Within 1 month of project EOD	Month 1
5014 Consultants - International	Climate Foresight and Scenarios Development Expert	79,800.00	Vacancy Announcement / FAO roster	CATEGORY B USD 300- 450 per day	Within 2 months of project EOD	Month 2
5013 Consultants - International	Climate Finance specialists	147,250.00	Vacancy Announcement / FAO roster	CATEGORY A USD 450 - 600 per day	Within 2 months of project EOD	Month 2
5013 Consultants - International	Knowledge management associate	118,560.00	Vacancy Announcement / FAO roster	CATEGORY C USD 100 -300 per day	Within 1 month of project EOD	Month 1
5013 Consultants - International	Agriculture and Climate Change Investment design expert	65,550.00	Vacancy Announcement / FAO roster	CATEGORY A USD 450 - 600 per day	Within 6 months of project EOD	Month 6
5013 Consultants - International	International Economist	65,550.00	Vacancy Announcement / FAO roster	CATEGORY A USD 450 - 600 per day	Within 6 month of project EOD	Month 6
5013 Consultants - International	International Technical Experts	42,750.00	Vacancy Announcement / FAO roster	CATEGORY A USD 450 - 600 per day	Within 6 month of project EOD	Month 6
5013 Consultants - National	National coordinator and climate finance specialists	660,000.00	Vacancy Announcement / FAO roster	NATIONAL CONSULTANT USD 100 - 250 per day	Within 3 months of project EOD	Month 3
5013 Consultants - National	National agricultural value chain specialists	207,000.00	Vacancy Announcement / FAO roster	NATIONAL CONSULTANT USD 100 - 250 per day	Within 3 months of project EOD	Month 3
5013 Consultants - National	National economists	19,500.00	Vacancy Announcement / FAO roster	NATIONAL CONSULTANT USD 100 - 250 per day	Within 6 months of project EOD	Month 6
5013 Consultants - National	National safeguards specialists	19,500.00	Vacancy Announcement / FAO roster	NATIONAL CONSULTANT USD 100 - 250 per day	Within 6 months of project EOD	Month 6
5013 Consultants - National	National technical experts	100,800.00	Vacancy Announcement / FAO roster	NATIONAL CONSULTANT USD 100 - 250 per day	Within 6 months of project EOD	Month 6
5013 Consultants - National	National procurement and administration experts	150,000.00	Vacancy Announcement / FAO roster	NATIONAL CONSULTANT USD 100 - 250 per day	Within 3 months of project EOD	Month 3
Sub-Total (US\$)		\$ 1,946,260.00				

5.3 Implementation Plan

Please list all the deliverables (e.g. D.1.1.1a) per activity (e.g. A1.1.1) with the identifier and mark the planned duration as show in the example. Please also indicate milestones for any deliverables to be completed during the implementation period of the activity in question. 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

Activity duration Operational reporting Milestone (deliverable) Target completion date

Activities & Deliverables		Estimated Timeline																																						
		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			
Reporting to GCF																																								
Recruitment of PMU				X																																				
Reporting to PTF and PSC				X			X			X		X		X		X		X		X		X		X		X		X		X		X		X		X		X		
Activity 2.1.1.1 Prepare national participatory, agriculture and climate foresight and climate-smart options assessments to characterize the agriculture sector's climate change risks and opportunities. In consultation with government agencies, civil society organizations, women's groups, and private sector actors.	Deliverable 2.1.1.1.a:																																							
	Deliverable 2.1.1.1.b:																																							
Activity 2.1.1.2 Organize regional multi-stakeholder consultation to identify measures to address shared climate change risks and opportunities in the agriculture sectors based on a review of national and regional sector climate change strategies and policies including submissions under the UNFCCC's KJWA.	Deliverable 2.1.1.2a:																																							
	Deliverable 2.1.1.2b:																																							
Activity 2.1.1.3 Develop inclusive and spatially explicit investment plans to support GCF Country Programmes and achievement of climate change policy goals for the agriculture sectors at national levels.	Deliverable 2.1.1.3a:																																							
	Deliverable 2.1.1.3b:																																							
	Deliverable 2.1.1.3c:																																							
Activity 2.1.2.1 Prepare a review report on mobilizing finance for climate-smart agriculture investments and promising financial models to match public and private finance to national and regional agriculture and climate change investment plans.	Deliverable 2.1.2.1 a:																																							
Activity 2.1.2.2 In consultation with multiple stakeholders including public and private climate finance providers and agriculture related DAEs, identify innovative finance models at national and regional levels to support climate finance investment plans for the agriculture sector.	Deliverable 2.1.2.2a:																																							
	Deliverable 2.1.2.2b:																																							
	Deliverable 2.1.2.2c:																																							
	Deliverable 2.1.2.2d:																																							
Activity 4.1.1.1 Build the capacity of agriculture sector stakeholders, including relevant GCF direct access entities, to develop inclusive, high quality national and multi-country GCF concept notes.	Deliverable 4.1.1.1a:																																							
Activity 4.1.1.2 Prepare GCF concept notes to support implementation of priority agriculture and climate change investments in Southeast Asia.	Deliverable 4.1.1.2a:																																							
	Deliverable 4.1.1.2b:																																							
	Deliverable 4.1.1.2c:																																							

