

# Readiness Proposal

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**with GIZ for the Kingdom of Thailand**

3 July 2015 | NDA Strengthening & Country Programming



GREEN  
CLIMATE  
FUND

# Readiness and Preparatory Support Proposal

## How to complete this document?

- A short guidebook ([URL](#)) is available to provide guidance on how to access funding under the GCF Readiness and Preparatory Support programme. It should be consulted to assist in the completion of this proposal template.
- This document should be completed by National Designated Authorities (NDAs) or focal points with support from their delivery partners where relevant.
- Please be concise. If you need to include any additional information, please attach it to the proposal.
- Information on the indicative list of activities eligible for readiness and preparatory support and the process for the submission, review and approval of this proposal can be found on [pages X-Y](#) of the guidebook

## Where to get support?

- If you are not sure how to complete this document, or require support, please send an e-mail to [countries@gcfund.org](mailto:countries@gcfund.org). We will aim to get back to you within 48 hours.
- You can also complete as much of this document as you can and then send it to [countries@gcfund.org](mailto:countries@gcfund.org). We will get back to you within 5 working days to discuss your submission and the way forward.

### 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, in particular to the situation of vulnerable populations, including women and men. Please be specific about proposed actions to address these issues. Consult [page X](#) of the readiness guidebook ([URL](#)) for more information.



<b>8. Anticipated duration</b>	01/11/2016 – 01/05/2018 (18 months)
<b>9. Is the country receiving other Readiness and Preparatory Support related to the GCF?</b>	<p> <input type="checkbox"/> Yes   <input checked="" type="checkbox"/> No         </p> <p>           If yes, please attach the relevant scope of work, and briefly (100 words) describe the scope of support provided by other institutions         </p>

## SECTION 2: COUNTRY READINESS LOGICAL FRAMEWORK

Please complete the table below, which enables a country to assess its readiness for the GCF and set targets for strengthening its readiness, including proposed outputs and activities to improve the country's readiness. For further guidance on completing the table, please refer to the guidebook "Accessing the GCF Readiness and Preparatory Support Programme".

OUTCOMES <sup>1</sup>	BASELINE	TARGET	ACTIVITIES <i>(including key outputs or deliverables where applicable)</i>
<b>1. Country capacity strengthened</b>	<b>0-8</b>	<b>0-8</b>	
1.1 NDA/focal point leads effective coordination mechanism	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2	<ul style="list-style-type: none"> <li>Conduct bi-annual workshops targeted at NDA personnel on GCF's latest operational modalities, including its financial instruments.</li> <li>Development of bi-annual briefs on GCF-related developments.</li> <li>Support the NDA in the organization of GCF knowledge dissemination events to engage key stakeholders (line ministries, private sector, potential NIEs, etc.), building on internal NDA capacity building and material</li> </ul>
1.2 No objection procedure established and implemented	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2	<ul style="list-style-type: none"> <li>Advise the NDA in defining steps for establishing a no-objection procedure in Thailand as well as a coordination mechanism, e.g. through the collection of best practices and trainings as appropriate.</li> <li>Support the NDA in holding a multi-stakeholder meeting to agree on a procedure for issuing no-objection letters for GCF funding proposals.</li> </ul>
1.3 Bilateral agreements between the country and the GCF executed	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	
1.4 Monitoring, oversight and streamlining of climate finance	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	
<b>2. Stakeholders engaged in consultative processes</b>	<b>0-8</b>	<b>0-8</b>	
2.1 Stakeholders engaged in consultative processes	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2	<ul style="list-style-type: none"> <li>Prepare and support the NDA in conducting a national consultation workshop with a broad range of key stakeholders to present and agree on a draft structure for the Country Programme.</li> </ul>
2.2 Country programmes, including adaptation priorities, developed and continuously updated	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2	<ul style="list-style-type: none"> <li>Support the NDA in the drafting process of the Country programme, e.g. by providing recommendations on its structure, on GCF requirements and on international best practices including gender consideration.</li> </ul>
2.3 Stakeholder consultations conducted with equal representation of women	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	<ul style="list-style-type: none"> <li>Support the NDA in conducting one validation workshop with key line ministries to approve and endorse the Country programme.</li> <li>Support the NDA in conducting 1 Country programme dissemination seminar and</li> </ul>

<sup>1</sup> Based on decisions: B.08/10, annexes XII, XIII & XIV; B.08/11; B.11/10, annex I; B.12/20, annex I



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			communicate the Country programme throughout various channels and target groups – in particular accredited entities
2.4 Annual participatory review of GCF portfolio in the country organized	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	
<b>3. Direct access realized</b>	<b>0-8</b>	<b>0-8</b>	
3.1 Candidate entities identified and nominated for accreditation	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2	
3.2 Direct access entity accredited	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	
3.3 Entity/ies annual/multi-annual work programme developed	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	
3.4 Funding proposals through enhanced direct access modality approved	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	
<b>4. Access to finance</b>	<b>0-8</b>	<b>0-8</b>	
4.1 Structured dialogue between the NDA/Accredited Entities and the GCF Secretariat organized	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	<ul style="list-style-type: none"> <li>Support NDA in organizing annual meeting between the NDA/NIE and the GCF Secretariat in order to share lessons learned of GCF implementation in the country</li> </ul>
4.2 Country programmes, concept notes, including on adaptation, developed that implement high-impact priorities identified in INDCs and other national strategies or plans	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	
4.3 Project/programme preparation support, including for adaptation, to develop funding proposals provided	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	
4.4 Funding proposals, including for adaptation, that are aligned with country priorities approved	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	
<b>5. Private sector mobilization</b>	<b>0-8</b>	<b>0-8</b>	
5.1 Private sector engaged in country consultative processes	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2	<ul style="list-style-type: none"> <li>Support the NDA to implement a consultative process by including private sector through which national climate change priorities for the GCF and further national and international funds are defined;</li> </ul>
5.2 Enabling environment for crowding-in private sector	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	



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<i>investments at national, regional and international levels exists</i>			
<i>5.3 Funding proposals for private sector projects/programmes, including for adaptation, approved</i>	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	
<i>5.4 Funding proposals under the Private Sector Facility programmes (small- and medium-sized enterprises and mobilizing funds at scale) submitted and approved</i>	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	
<b>TOTAL</b>	<b>5</b>	<b>16</b>	

### SECTION 3: ADDITIONAL INFORMATION

**Please explain how this grant will help deliver on the country's readiness needs as identified above and build on institutions, processes or existing work already underway in the country** (*maximum 500 words*)

Thailand is highly vulnerable to climate change hazards such as droughts, floods, sea level rise and vector-borne diseases with strong economic and social effects. Meanwhile, Thailand is continually showing economy-wide efforts having pledged in its INDC an emission reduction of 20-25% below BAU by 2030. Yet, to fulfil this ambitious target, very high upfront investment costs and operations as well as high levels of technical capacity and effective coordination across sectors and stakeholders are required. In this regard, Thailand has a large need for international climate finance support in order to unlock national potentials and contributions towards the global solutions to climate change in regards to both, mitigation and adaptation actions. Currently the structures needed for the GCF are not in place. While Thailand has appointed a Focal Point, it does not yet have a defined no-objection procedure nor a strategic framework defining national priorities. Furthermore, while the focal point has received initial support on the identification of potential NIEs through an institutional self-assessment, Thailand does not yet have an accredited National Implementing Entity (NIE) which could give the country direct access to the GCF. As such, to effectively use GCF funds to reduce Thailand's vulnerability to the effects of a changing climate as well as to reduce its GHG emissions, Thailand needs to take significant steps on the institutional setup, the prioritization of support as well as on NIE accreditation.

The GCF readiness support and the activities planned in this context will allow to significantly spur the process of making Thailand ready to develop and implement ambitious climate actions. The established focal point can currently not perform all of its tasks, notably due to a lack of knowledge, financial resources and institutional barriers. GCF readiness support, through capacity building activities directly targeted at the focal point personnel and relevant national partners, will build and enhance the necessary work streams as well as the national processes required to access and effectively allocate international climate finance flows.









### Procurement plan

For goods or services to be procured/hired, list the items to be procured/hired (including consultants), the estimated cost of each item, and the procedure to be used (i.e. direct procurement, open tender, shopping, other and related thresholds). Please include the procurement plan for at least the first tranche of disbursement requested below.

The following process thresholds shall apply to national procurement of goods and services

Procurement of Goods and Services	
Method	Threshold
Direct procurement by Project (no tender)	≤ 1.000 Euro
Restricted tendering by Project*	1.000 – 2.500 Euro
Restricted tendering by GIZ bureau*	1.000 – 20.000 Euro
Tender by publication (by GIZ bureau in coordination with headquarter)*	> 20.000 Euro
Procurement of goods (by GIZ bureau with approval from GIZ HQ)	> 20.000 Euro
Contract services (by GIZ bureau with approval from GIZ HQ)	> 50.000 Euro
Local Subsidies (by GIZ bureau)	≤ 50.000 Euro
Local Subsidies (by GIZ headquarter)	> 50.000 Euro
EU wide procurement (by GIZ bureau in coordination with headquarter)	≥ 209.000
Hotel, Event and Catering by Project	≤ 20.000 Euro

\*Exceptions possible under GIZ rules and regulations for direct awards without tendering if only one supplier/consultant/company is suitable or order placement is objectively urgent.

The following process thresholds shall apply to international procurement of goods and services

Procurement of Goods and Services	
Method	Threshold
Direct procurement by GIZ headquarter	≤ 1.000 Euro
Restricted informal tendering by GIZ headquarter*	1.000 – 50.000 Euro
Formal tendering by GIZ headquarter*	≥ 50.000 Euro
EU wide procurement by GIZ headquarter	≥ 209.000
Hotel, Event and Catering by GIZ headquarter	≤ 20.000 Euro

\*Exceptions possible under GIZ rules and regulations for direct awards without tendering if only one supplier/consultant/company is suitable or order placement is objectively urgent.

### Goods and Works Contracts Estimated

The following table lists goods and works contracts for which procurement activity is either ongoing or expected to commence within the next 18 months.

General Description	Contract Value	Procurement Method	Prequalification of Bidders (y/n)	Advertisement Date (quarter/year)	Comments
Development of Publication and information material	10.000 Euro	Restricted tendering by GIZ Bureau	n	(Q1/2017-Q4/2017)	
Workshops/ev	15.900	Restricted	n	Q1/2016-Q4/2017	

ents organization	Euro	tendering by GIZ Bureau			
Interpreter/translation services	12.600 Euro	Restricted tendering by GIZ Bureau	n	Q1/2016-Q4/2017	

**Consulting Services Contracts Estimated**

The following table lists consulting services contracts for which procurement activity is either ongoing or expected to commence within the next 12 months.

<b>General Description</b>	<b>Contract Value</b>	<b>Recruitment Method<sup>1</sup></b>	<b>Advertisement Date (quarter/year)</b>	<b>International or National Assignment</b>	<b>Comments</b>
International Consultant 1 - Expert for NDA support on GCF matters (e.g. on financial products, no-objection, etc.)	40.980 Euro	Restricted informal tendering by GIZ headquarter	Q1/2017	International	
National Consultant - Expert(s) supporting the NDA in various GCF work streams (Country program development, review of GCF concept notes/proposals and legal aspects of the Fund)	65.600 Euro	Tender by publication by GIZ bureau Thailand	Q4/2016	National	
Auditing Expert	10.000 Euro	Restricted tendering by GIZ bureau Thailand	Q4/2017	National	

**Disbursement schedule**

Specify the proposed schedule for requesting disbursements from the GCF, including amounts and periodicity. For amounts requested, keep to multiples of USD 5,000, and for periodicity, specify whether it's quarterly, bi-annually or annually only.

See separate document.

**Additional information**



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This box provides an opportunity to include further explanations related to the budget, procurement plan and disbursement schedule, including any details on the assumptions to justify costs presented in the budget.

## SECTION 5: IMPLEMENTATION ARRANGEMENTS AND OTHER INFORMATION

### Please attach an “implementation map” or describe how funds will be managed by the NDA/FP or delivery partner

If the entity implementing the readiness support is not an accredited entity of the GCF, please complete the Financial Management Capacity Assessment (FMCA) questionnaire ([URL](#)) and submit it with this proposal.

Readiness and preparatory support in all the requested areas will be implemented through Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH in close cooperation with the National Designated Authority/Focal Point and other relevant stakeholders.

In collaboration with the NDA, GIZ will competitively procure services and goods that are consistent with GIZ and Government of Thailand policies:

- Consultants will be procured on a competitive basis and according to detailed terms of reference.
- For items such as venues and travel for stakeholder workshops, a shopping method will be used at all times seeking competitive quotes above pre-set thresholds

More detailed information on procurement processes will be outlined in the financing agreement between Government, GIZ and GCF.

### Other relevant information

This box provides an opportunity to include any important information you wish to bring to the attention of the GCF Secretariat, but did not have an opportunity to provide in the sections above.

ONEP, in cooperation with GIZ, organized a kick-off seminar on “Knowledge for Green Climate Fund and the establishment of national implementing entity” on 17 March 2015 including a wide range of Thai stakeholders from key ministry agencies, private sector, civil society, academic institutions, international development agencies and mass media. The goal was to raise awareness and build knowledge on the Fund’s purpose and relevance for Thailand as well as to clarify the role of the focal point. Furthermore, to maintain the momentum of GCF readiness support, ONEP, again in cooperation with GIZ, conducted a “Climate Finance Readiness Workshop” on 2nd July 2015. At this occasion, ONEP explained its role to relevant agencies, offering the opportunity for key stakeholders to co-create and design the no-objection procedure, also opening the floor for ideas of project development and a national coordination mechanism for climate finance. In addition to the NDA point of view, ONEP also provided knowledge on GCF accreditation criteria, guiding participants through GCF fiduciary standards as well as environmental and social safeguards criteria. In 2015, GIZ also supported ONEP on identifying potential NIE through institutions self-assessment in order to indicate the current level of conformance of each institution with the GCF’s accreditation criteria. GIZ also advice ONEP in initiating the nomination letter issuing process. As a result, ONEP issued nomination letters for four national institutions.