

# Readiness Proposal

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**with GIZ for the Kingdom of Thailand**

29 January 2018 | Strategic Frameworks



**GREEN  
CLIMATE  
FUND**

# Readiness and Preparatory Support Proposal

## How to complete this document?

- A [Readiness Guidebook](#) is available to provide information 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 11-13 of the guidebook.
- For the final version submitted to GCF Secretariat, please delete all instructions indicated in italics in this template and provide information in regular text (not italics).

## 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, particularly to the situation of vulnerable populations, including women and men. Please be specific about proposed actions to address these issues. Consult page 7 of the readiness guidebook for more information.



|  |   |
|--|---|
|  | <p>technically and financially complex (GCF) climate change projects, a task foreseen to absorb substantial NDA resources and time.</p> <p>The Thailand Country Program (TCP), endorsed in September 2017 by the National Climate Change Committee (NCCC), articulates the country's climate change needs, both in terms of technical and financial assistance. The TCP particularly indicates the necessity to create an enabling environment for financial mechanisms, instruments and budgetary provisions that allow the development of and investment in low-carbon and climate-resilient projects. In this respect, the engagement with the private sector and financial institutions, through the provision of new business opportunities and incentives, is highlighted as a priority area in the TCP.</p> <p>In this context, the present proposal aims to <b>scale up the country's climate finance readiness to further increase the Green Climate Fund's engagement and investments in the country</b>. Thus, 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:</p> <ol style="list-style-type: none"> <li>(1) Acquiring the necessary knowledge and skills to engage with the private sector;</li> <li>(2) Supporting the accreditation of a direct access entity;</li> <li>(3) Identifying GCF project development opportunities along the Thai priorities and mechanisms to facilitate access to finance;</li> <li>(4) Raising awareness and building capacity of Thai private sector stakeholders on GCF engagement benefits and opportunities.</li> </ol> |
| <p><b>8. Total requested amount and currency</b></p> | <p>EUR 555,211</p>  |
| <p><b>9. Anticipated duration</b></p>                | <p>01/01/2018 – 31/12/2019 (24 months)</p>  |

## SECTION 2: LOGICAL FRAMEWORK

Please complete the table below by including proposed outcomes, baseline situations, the targets for implementation period, and the activities to be undertaken, including key outputs or deliverables. Please add rows for additional outcomes as needed. For further guidance on completing the table, please refer to the guidebook "Accessing the GCF Readiness and Preparatory Support Programme", including specific Outcomes to select from.

| OUTCOMES  | BASELINE | TARGET | ACTIVITIES   |
|---|----------|--------|--|
| <b>1. Country capacity strengthened</b>   |          |        |  |
| 1.1 NDA has adequate knowledge and capacity to engage with private sector actors, including the banking sector. | 0        | 2      | <p><b>1.1.1 Better understanding the demands and needs of the Thai private sector</b>, esp. the banking sector, to effectively mobilize private capital in climate investments. Deliverable: Private sector study focusing on the banking sector that may comprise the following elements:</p> <ul style="list-style-type: none"> <li>• Overview of existing national funds and schemes (Thailand Future Fund, PPP Strategic Plan, etc.) and identification of entry points for climate finance mainstreaming.</li> <li>• Overview of existing private sector investments in low-emission and climate resilient projects in Thailand.</li> <li>• Analysis of key financial and non-financial barriers for private sector climate investments as well as needed policy &amp; fiscal reforms (legal, economic, institutional) to create enabling conditions for profitable low-carbon and climate resilient investments using complex financial instruments (guarantees, equities, bonds, etc.).</li> <li>• Consultations with Ministry of Finance and/or the Financial Regulator to consider the approach of the Thai government for private sector and banks access to non-grant financial instruments (from GCF and other) on near commercial terms.</li> <li>• Analysis of needs and expectations from key private sector stakeholders (semi-structured interviews).</li> <li>• Outline of viable business models and areas for private sector climate investments, using both grant-based and non-grant financial instruments and considering GCF's private sector financing policies.</li> </ul> <p>First draft completed and submitted to the Thai NDA 12 months after the 1<sup>st</sup> disbursement. Final draft to be submitted after the validation workshop (see 1.2.2), max. 18 months after 1<sup>st</sup> disbursement.</p> <p><b>1.1.2 Policy advice on core aspects of a Private Sector Engagement Strategy.</b> The topics could include:</p> <ul style="list-style-type: none"> <li>• Institutional mechanism and definition of roles, esp. role of public sector versus private sector</li> <li>• MRV of (private) finance/ tracking of CC finance flows</li> <li>• Articulation of business incentives ('enabling environment')</li> </ul> |

|   |   |   |  |
|---|---|---|--|
|   |   |   | <ul style="list-style-type: none"> <li>• Indication of viable areas for private sector investments</li> <li>• Estimation of needed finance flows from private sector, incl. a clear timeline</li> <li>• Outline of GCF financing terms available to the Thai private sector (based on existing GCF private sector portfolio and, if relevant, discussions with GCF PSF).</li> <li>• Creation of synergies with existing funds and mechanisms</li> <li>• Integration of strategy in key policy documents (NDC Roadmap, TCP, etc.)</li> </ul> <p>Deliverable: Recommendation paper. First draft completed and submitted to the Thai NDA 12 months after 1<sup>st</sup> disbursement. Final draft completed 18 months after 1<sup>st</sup> disbursement (given that the policy recommendations will closely build on the study under 1.1.1).</p>  |
| 1.2 NDA effectively coordinates private sector participation and strengthens its national, regional and international networks. | 1 | 2 | <p>1.2.1 <b>National structured dialogue</b> with, banks, private sector representatives and the Ministry of Finance (MoF) to initiate cooperation and exchange on private sector engagement opportunities with the Green Climate Fund in Thailand. Deliverable: A 2-day private sector engagement kick-off workshop. Completed within 6 months after 1<sup>st</sup> disbursement.</p> <p>1.2.2 <b>Public consultation on the preliminary findings of the private sector study (1.1.1)</b> to relevant national public and private sector stakeholders. Deliverable: 1-day consultation/validation workshop. Completed within 12 months after 1<sup>st</sup> disbursement.</p> <p>1.2.3 <b>Regional (SEA) NDA workshop</b> to exchange on lessons learned in engaging with the Green Climate Fund, especially regarding to the NOL procedure, DAE accreditation and private sector mobilization. Deliverable: 2-day event to be held in Bangkok. Completed 18 months after 1<sup>st</sup> disbursement.</p> <p>1.2.4 <b>International dialogue</b> between European and Thai banks<sup>1</sup> on the banking sector's role and contribution to the achievement of national climate targets, through the NDC and other similar processes. The Thailand Country Programme (TCP) has identified the banking sector as a key sector to leverage international climate finance in the country. However, this potential has so far not been unlocked. On the contrary: from the NDA's perception, the understanding of the sector of its role and new investment opportunities is still fairly limited. Initiating a peer-to-peer exchange through on-site visits and discussions will give Thai banks a better idea on how to contribute to their country's climate targets. As such, the main objective of this European study tour is to allow for an intensive institutional exchange with frontrunners in the area (e.g. EIB, Deutsche Bank and other relevant institutions), visiting several headquarters and departments to get an in-depth impression of how these institutions have strategically set themselves up in the area of climate finance. Outputs are multi-fold and may most</p> |

<sup>1</sup> And other relevant stakeholders such as NDA, MoF and private sector representatives (Thai delegation of around 12 persons, not including GIZ).

|  |   |   |   |
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|  |   |   | likely include a self-reflection on (i) the status quo of the Thai banking sector regarding climate investments; on (ii) current contribution (options) to leverage private capital to finance the NDC implementation; as well as (iii) provide a good basis for the identification of successful models that can be replicated in the context of the Thai banking and financial sector to increase the sector's investments in climate change action. This activity will kick-start the process of including the banking sector in the implementation of the TCP, being as such tightly linked to the achievement of the NDC targets through transformational projects using innovative financial instruments. In the short term, the reflections from the study trip will be captured in a summary report including a draft roadmap outlining options and the way forward to enhance the Thai banking sector's contribution to Thailand's climate finance.<br>Deliverable: Study trip report including a draft roadmap. Completed 18 months after 1 <sup>st</sup> disbursement.   |
| <b>2. Stakeholders engaged</b>   |   |   |   |
|  |   |   |   |
| <b>3. Direct Access Realized</b>   |   |   |   |
| 3.1 A nominated direct access entity has the capacities to prepare and submit a GCF application. | 0 | 1 | <p><b>3.1.1 In-depth support and advice to the</b> Bureau of the Environmental Fund (applicant institution; official nomination by NDA forthcoming) to address gaps and submit an application for direct access accreditation to the Green Climate Fund. In April 2017, the Bureau of the Environmental Fund has undertaken the institutional self-assessment<sup>2</sup> to start identifying gaps and challenges in view of seeking GCF accreditation. The assessment showed that the institution lacks consolidated Environmental and Social Safeguards (ESS), transparency and accountability mechanisms (especially in terms of financial management) as well as a gender policy. The support will thus aim at closing these gaps in order to submit an application form to the GCF for direct access. Deliverables: (1) An up-to-date and personalized readiness and preparatory support plan to close the gaps, and (2) an accreditation application form ready to be submitted to the GCF through the OAS (<i>N.B.: the delivery of the second deliverable depends on the speed and the capacity of the institution in gathering relevant documentation as well as on the amount of needed TH-EN translations</i>). Completed within 18 months after 1<sup>st</sup> disbursement.</p> <p><b>3.1.2 Raising awareness of the GCF accreditation process, fiduciary standards and ESS among the Thai banking sector.</b> The Thailand Country Programme (TCP) has identified the banking sector as a key sector to leverage international climate finance in the country. It is therefore a relevant partner for cooperation for the GCF, through the direct accreditation engagement but also through other constructions, e.g. as Executing Entities of funding proposals. The activity aims to reach out to the Thai banking to raise awareness on cooperation opportunities with the GCF, notably through direct access</p> |

<sup>2</sup> The assessment was carried out in the frame of an IKI-funded Climate Change Policy Support project and conducted by two consultants from Ricardo EE.

|   |   |   |  |
|---|---|---|--|
|   |   |   | accreditation. Deliverable: Conducted institutional self-assessments with interested banks leading to a potential shortlist of 2 or 3 banks <sup>3</sup> demonstrating satisfying potential in fulfilling the GCF requirements for direct access accreditation and an overview of GCF cooperation opportunities other than through accreditation. Completed within 12 months after 1 <sup>st</sup> disbursement.   |
| <b>4. Access to finance</b>   |   |   |  |
| 4.1 Nationally appropriate project potentials are identified to lay the ground for converting TCP priorities and needs into a GCF project pipeline. | 0 | 1 | <p><b>4.1.1 Support for converting TCP priority areas into a nationally appropriate and viable GCF project pipeline</b>, building on national stakeholders' perspective of desirable GCF projects in Thailand, both in terms of scope/area and size/scale. Deliverable: Study investigating GCF project potential in Thailand along: (1) TCP needs and priority areas with high climate-resilient and low-emission potential (paradigm shift); (2) viable financing and business models including the Thai private and banking sectors (using findings from 1.1.1); (3) national stakeholders' interests and readiness. The development of the study could include the following steps:</p> <ul style="list-style-type: none"> <li>• (a) National stakeholder consultation on appropriate GCF project size, (thematic) scope and approaches</li> <li>• (b) Following the recommendations of national stakeholders, identify project potential and appropriate business models for the development and implementation of nationally appropriate GCF projects</li> <li>• (c) Presentation of study findings to relevant national stakeholders (govt, private sector, AE, etc.)</li> </ul> <p>First draft 18 months after 1<sup>st</sup> disbursement. Completed 24 months after 1<sup>st</sup> disbursement.</p> |
| <b>5. Private sector mobilization</b>   |   |   |  |
| 5.1 The private sector, particularly the banking sector, is aware of GCF opportunities and acquires capacity to engage with the Green Climate Fund. | 0 | 1 | <p><b>5.1.1 Raise awareness and provide capacity building on climate finance and GCF engagement opportunities</b> for Thai national banks, private sector representatives, MoF and its agencies, NDA, others as appropriate. Deliverable: 2 different trainings on:</p> <ul style="list-style-type: none"> <li>• (1) Access to climate finance and use of innovative financial instruments (target: MoF + banks)</li> <li>• (2) How to access and engage with the Green Climate Fund as a private sector entity (target: mostly banks/private sector representatives)</li> </ul> <p>Completed within 18 months after 1<sup>st</sup> disbursement.</p>  |

<sup>3</sup> Shortlisted banks will likely be part of the study tour delegation to learn from other institutions that have been through similar accreditation processes.

### SECTION 3: ADDITIONAL INFORMATION

This proposal will build on the GCF's current Readiness Support to the Thai NDA<sup>4</sup> and will respond to major needs outlined in the Thailand Country Programme (TCP).

The ongoing Readiness support has already contributed to the achievement of significant milestones such as the development and approval of the TCP as well as the formulation and first application of the (draft) no-objection procedure and criteria. Moreover, strengthening the capacities of NDA personnel is a major objective under the current Readiness phase, notably through the conduct of a tailored Training of Trainers (ToT) and the provision of strategic advice on communicating and disseminating GCF information to national stakeholders.

Yet, while a lot of progress has been achieved in the past year, Thailand is still not in a position to fully engage with the Green Climate Fund, not at least due to 4 major factors, also identified in the Thailand Country Programme as key 'enabling environment' priority areas for both climate change mitigation and adaptation:

- (1) The legal difficulties and lack of experience of the Thai government in devising financial mechanisms and national budgetary provisions to support the development of adaptation and mitigation projects using complex financial instruments;
- (2) The limited capacity and manpower to support national entities in seeking direct access accreditation;
- (3) The missing project pipelines in alignment with the thematic priority areas outlined in the TCP;
- (4) The insufficient engagement with the private sector and limited knowledge on attractive investment incentives for the latter.

The present proposal addresses these key readiness needs and proposes to apply a holistic approach combining activities from 4 out of 5 outcomes of the Fund's Readiness Programme:

- **Area 1. Country capacity strengthened:** Acquiring the necessary skills and networks to engage with stakeholders such as banks or private sector representatives will be crucial to increase Thailand's engagement with the Fund. The proposed activities will strengthen the country's capacities to perform these tasks by providing the necessary knowledge and networking opportunities.
- **Area 3. Direct access realized:** The Bureau of the Environmental Fund, a public-sector fund under the Ministry of Environment, has recently been mandated and nominated to seek direct access to become Thailand's first national entity accredited to the GCF. The Readiness grant will support the Environmental Fund in its accreditation application as well as provide preliminary advice for national private sector entities interested in accreditation.
- **Area 4. Access to finance:** Further national consultations must be conducted to identify nationally appropriate GCF projects (in terms of size, scope and approaches). Based on stakeholders' appraisal along the TCP needs and priorities, further analysis on concrete project potentials and viable business models must be undertaken. The Readiness grant will help convert outlined priority areas and topics in the TCP into potential GCF project ideas.
- **Area 5. Private sector mobilization:** While capacities to better understand and engage with the private sector in consultative processes will be enhanced under Readiness area 1, it is also fundamental to directly target national private sector representatives by providing awareness, capacity building and tailored information on GCF engagement benefits and opportunities.

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<sup>4</sup> Implemented by GIZ as delivery partner since January 2017 and to be completed by June 2018.



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The proposed activities tie in with the identified priorities in the Thailand Country Programme, notably with the sections 1.1.1 and 1.2.1 of the TCP that identify multiple factors needed to create an enabling environment for climate change investments, including private sector engagement<sup>5</sup>, financial instruments and mechanisms to promote the development of mitigation and adaptation projects, awareness raising and capacity building as well as climate finance tracking and monitoring schemes. Hence, the proposed activities will not only contribute to significantly scale up Thailand's engagement with the Green Climate Fund, but also more largely strengthen the country's climate finance readiness, and thus provide a key contribution in achieving national NDC targets, regarding both GHG mitigation and adaptation efforts. Finally, synergies will be sought with other Readiness implementers (UNDP, CTCN, GGGI) to ensure an integrated approach and support in strengthening Thailand's climate finance readiness.

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<sup>5</sup> Both to foster investments and provide new business opportunities (1.1.1. (6a)) as well as to enhance the adaptive capacity of the private sector (1.1.1 (6b)) in the face of hazardous climate events.

**SECTION 4: BUDGET, PROCUREMENT, IMPLEMENTATION AND DISBURSEMENT**

**4.1. BUDGET SUMMARY**

GIZ is a company under private law, owned by the German Federal Government. With regard to commissions from German public bodies, GIZ is subject to a number of requirements under price law, such as Regulation 30/53 and the Guiding Principles for Pricing on the Basis of Prime Costs (LSP). The accounting system (financial accounting, cost accounting and invoicing) is organised in accordance with these requirements. This ensures the transparent allocation of costs in accordance with the causality principle, as required under price law. Under public price law, GIZ is further only allowed to pass on reasonable costs (of an efficiently managed enterprise) to its clients.

|                                     |                 |  |
|-------------------------------------|-----------------|--|
| GIZ Personnel                       | 128.256€        | Includes national and international experts on climate change, project management and internal services that can be directly allocated to the project activities.<br>GIZ hires national and international staff with profound knowledge on climate change readiness to ensure a high quality of advisory services towards our partners. GIZ staff aims at building long term working relationships with the partners to maximize outcomes and to further develop strategies for the future through a steady minimum number of contact points. Internal GIZ staff will furthermore ensure high quality results from and coordinate with external consultants. |
| Project Management Costs            | 19.872€         |  |
| External Consultants                | 239.074€        | External Procurement - see procurement schedule below  |
| Goods and Non-Consulting Services   | 36.000€         | External Procurement - see procurement schedule below  |
| Travel Costs & Running Office Costs | 57.500€         |  |
| Contingency Costs (5%)              | 24.035€         |  |
| Indirect Costs (10%)                | 50.474€         |  |
| <b>TOTAL</b>                        | <b>555.211€</b> |  |

| <p><b>OUTCOMES</b></p> <p>(same as in section 2)</p>   | <p><b>ACTIVITIES</b></p> <p>(same as in section 2)</p>  | <p><b>TOTAL COST</b></p> <p>(per outcome)</p> |
|--|---|---|
| <p>1.1 NDA has adequate knowledge and capacity to engage with private sector actors, including the banking sector.</p>                 | <p>1.1.1 <b>Better understanding the demands and needs of the Thai private sector</b>, esp. the banking sector, to effectively mobilize private capital in climate investments. Deliverable: Private sector study. First draft completed and submitted to the Thai NDA 12 months after the 1<sup>st</sup> disbursement. Final draft to be submitted after the validation workshop (see 1.2.2), max. 18 month after 1<sup>st</sup> disbursement.</p> <p>1.1.2 <b>Policy advice on core aspects of a Private Sector Engagement Strategy</b>. Deliverable: Recommendation paper. First draft completed and submitted to the Thai NDA 12 months after 1<sup>st</sup> disbursement. Final draft completed 18 months after 1<sup>st</sup> disbursement.</p>   | <p>€127.314</p>                               |
| <p>1.2 NDA effectively coordinates private sector participation and strengthens its national, regional and international networks.</p> | <p>1.2.1 <b>National structured dialogue</b> with, banks, private sector representatives and the Ministry of Finance (MoF) to initiate cooperation and exchange on private sector engagement opportunities with the Green Climate Fund in Thailand. Deliverable: A 2-day private sector engagement kick-off workshop. Completed within 6 months after 1<sup>st</sup> disbursement.</p> <p>1.2.2 <b>Public presentation of the preliminary findings of the private sector study</b> (1.1.1) to relevant national public and private sector stakeholders. Deliverable: 1-day consultation/validation workshop. Completed within 12 months after 1<sup>st</sup> disbursement.</p> <p>1.2.3 <b>Regional (SEA) NDA workshop</b> to exchange on lessons learned in engaging with the Green Climate Fund, especially regarding to the NOL procedure, DAE accreditation and private sector mobilization. Deliverable: 2-day event to be held in Bangkok. Completed 18 months after 1<sup>st</sup> disbursement.</p> <p>1.2.4 <b>International dialogue</b> between European and Thai banks on how the sector's contribution to national climate targets through the NDC and other similar processes. Deliverable: Study tour report including roadmap. Completed 18 months after 1<sup>st</sup> disbursement.</p> | <p>€113.078</p>                               |



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|  |   |                         |
|--|---|-------------------------|
| <p>3.1 A nominated direct access entity has the capacities to prepare and submit a GCF application.</p>  | <p><b>3.1.1 In-depth support and advice to the Thai Environmental Fund</b> (nominated applicant institution) to address gaps in submitting an application for direct access accreditation to the Green Climate Fund. Deliverable: Up-to-date and personalized readiness and preparatory support plan and draft application form. Completed within 18 months after 1<sup>st</sup> disbursement.</p> <p><b>3.1.2 Awareness raising and advice on accreditation for national commercial banks</b> interested in direct access accreditation. Deliverable: Conducted institutional self-assessments with interested banks leading to a potential shortlist of 2 or 3 banks and overview of GCF cooperation opportunities. Completed within 12 months after 1<sup>st</sup> disbursement.</p> | <p>€ 93.578</p>         |
| <p>4.1 Nationally appropriate project potentials are identified to lay the ground for converting TCP priorities and needs into a GCF project pipeline.</p> | <p><b>4.1.1 Support for converting TCP priority areas into a nationally appropriate and viable GCF project pipeline.</b> Deliverable: Study investigating GCF project in Thailand. First draft 18 months after 1<sup>st</sup> disbursement. Completed 24 months after 1<sup>st</sup> disbursement.</p>  | <p>€ 142.314</p>        |
| <p>5.1 The private sector, particularly the banking sector, is aware of GCF opportunities and acquires capacity to engage with the Green Climate Fund.</p> | <p><b>5.1.1 Raise awareness and provide capacity building on climate finance and GCF engagement opportunities</b> for Thai national banks, private sector representatives, MoF and its agencies, NDA, others as appropriate. Deliverable: 2 trainings. Completed within 12 months after 1<sup>st</sup> disbursement.</p>  | <p>€ 78.927</p>         |
| <p><b>TOTAL</b></p>  |   | <p><b>€ 555.211</b></p> |

#### 4.2. Procurement Plan

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

| Procurement of Goods and Services                                       |                     |
|---|---------------------|
| Method  | Threshold           |
| Direct procurement by Project (no tender)                               | ≤ 1.000 Euro        |
| Restricted tendering by GIZ bureau                                      | 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       |
| Local Subsidies (by GIZ bureau)   | ≤ 50.000 Euro       |
| Local Subsidies (by GIZ bureau in coordination with headquarter)        | > 50.000 Euro       |
| EU wide procurement (by GIZ bureau in coordination with headquarter)    | ≥ 209.000           |
| Hotel, Event and Catering by Project (direct procurement)               | ≤ 1000 Euro         |
| Hotel, Event and Catering by GIZ bureau (restricted tendering)          | ≤ 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       |

| ITEM                                     | ITEM DESCRIPTION  | ESTIMATED COST<br>(US €) | PROCUREMENT METHOD  | THRESHOLDS<br>(Min-Max monetary value<br>for which indicated<br>procurement method<br>must be used) | ESTIMATED<br>START DATE | PROJECTED<br>CONTRACTING<br>DATE |
|--|---|--------------------------|---|---|-------------------------|----------------------------------|
| <b>Goods and Non-Consulting Services</b> |   |                          |   |   |                         |                                  |
| Direct costs                             | Workshops/events organization   | € 11.000                 | Direct procurement by Project<br>(no tender)                            | ≤ 1.000 Euro  | n/a <sup>6</sup>        | n/a                              |
| Direct costs                             | Publication/ interpreter/ translation services                        | € 20.000                 | Direct procurement by Project<br>(no tender)                            | ≤ 1.000 Euro  | n/a                     | n/a                              |
| Equipment                                | Equipment and materials   | € 2.500                  | Direct procurement by Project   | ≤ 1.000 Euro  | Q1/2018                 | Q1/2018                          |
| SUB-TOTAL (€)                            |   | <b>€ 33,500</b>          |   |   |                         |                                  |
| <b>Consultancy Services</b>              |   |                          |   |   |                         |                                  |
| Consultant 1                             | National consultants for Private sector study and policy advice       | € 75.000                 | Tender by publication (by GIZ bureau in coordination with headquarter)* | > 20.000 Euro   | Q1/2018                 | Q1/2018                          |
| Consultant 2                             | National consultants for GCF project pipeline study                   | € 90.000                 | Tender by publication (by GIZ bureau in coordination with headquarter)* | > 20.000 Euro   | Q1/2018                 | Q1/2018                          |
| Consultant 3                             | International consultants for DAE accreditation support               | € 39.464                 | Restricted informal tendering by GIZ headquarter*                       | 1.000 – 50.000 Euro   | Q1/2018                 | Q1/2018                          |
| Consultant 4                             | International consultants for Green finance/banking and GCF trainings | € 25.110                 | Restricted informal tendering by GIZ headquarter*                       | 1.000 – 50.000 Euro   | Q2/2018                 | Q2/2018                          |
| 5  | Audit   | € 9.500                  | Restricted informal tendering by GIZ headquarter*                       | 1.000 – 50.000 Euro   |                         |                                  |
| SUB-TOTAL (€)                            |   | <b>€ 239.074</b>         |   |   |                         |                                  |
| TOTAL COST (EUR)                         |   | <b>€ 272.574</b>         |   |   |                         |                                  |

<sup>6</sup> Throughout project duration.

#### 4.3. Disbursement schedule

As stipulated in the framework agreement between GIZ and the GCF, GIZ shall be entitled to submit two Requests for Disbursement each year. Each such Request for Disbursement must be submitted to the Fund together with the relevant Portfolio Report, or within 30 days of receipt of the relevant Portfolio Report. GIZ shall, in respect of each Approved Readiness Support Proposal, be entitled to submit a separate request for disbursement (“Interim Request for Disbursement”) within 30 days of the date of the relevant approval by the Fund. The disbursement will be made directly to GIZ, the delivery partner, in four tranches.

Please refer to the *disbursement schedule* on the detailed budget (Excel file).

#### 4.4. Additional information

GCF Readiness and Preparatory Support is an integral instrument for us in building our national capacities in the fields of climate change, green investments and the use of innovative financial instruments to scale up climate change mitigation and adaptation investments. As part of this readiness proposal, we will work as much as possible together with our local and regional experts, to ensure that best use is made of local expertise and knowledge for our engagement with the GCF. We complement this approach by using international expertise in few selected areas of this proposal where we think that we can best benefit by learning from international best practices. We think that this is especially the case for learning more on direct access accreditation standards and developing and conducting trainings for the banking sector on the aforementioned fields, including providing a comprehensive overview on engagement opportunities with the GCF’s Private Sector Facility.

Learning from international experts for these tasks through the present Readiness proposal would greatly contribute to building national capacities in these fields that are of increasing importance in the context of Thailand’s climate change efforts and action.

## SECTION 5: IMPLEMENTATION ARRANGEMENTS AND OTHER INFORMATION

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

The activities under this Readiness proposal will be implemented with the support of GIZ as the delivery partner and manager of the funds. For the management and technical oversight of the activities, GIZ will provide additional human resources, both international and national. These personnel resources, particularly the two national staff positions, will very closely work with the NDA team to ensure a smooth and effective implementation of activities. The selection of sub-contracted experts (national and international) will also be the object of close consultations between the NDA and GIZ as well as the further refinement of the activities’ scope, according to the NDA’s needs and priorities.

For more information on relevant stakeholders for the implementation of the Readiness activities, please find a Readiness stakeholder map below (Page 17).

### 5.2. Other relevant information

The baseline and target rating in section 2 (logical framework) of the proposal provides the basis for the comparison of the ‘before’ and ‘after’ scenarios. The baseline situations and intended targets have been filled out according to the methodology of the Readiness Logical Framework spelled out in Annex III of the Readiness Guidebook. They will thus serve as reference indicators for monitoring (measuring progress) and reporting (measuring success) on the outcomes of the proposal. The implementation map in section 5.1 will ensure the timely implementation of the proposal (according to project duration), and thus also indicate whether the achievement of the Readiness outcomes is on track. Financial planning, monitoring and reporting will be ensured through agreed frameworks and templates between the GCF and the delivery partner.

Please find the implementation map below (Page 18).

## 5.1 Stakeholder map

| STAKEHOLDER MAP OF THAILAND   |   |  |
|---|---|--|
| Key actors  | Institutional functions   | Roles within the Readiness Support   |
| <b>The Office of Natural Resources and Environmental Policy and Planning (ONEP), as NDA</b> | Under the Ministry of Natural Resources and Environment (MoNRE) to act upon all matter related to climate change and climate finance                                      | Main actor on providing board strategic oversight of the accreditation supports; acting as a point of communication of national climate change policies and priorities; coordinating a country coordination mechanism; engaging with stakeholders, especially the private sector |
| <b>Screening Committee for Project Financial Support under the International Framework</b>  | Chaired by ONEP Secretary-General   | Providing guidance and suggestions on the Thailand Country Programme; reviewing and assessing project proposals requiring international financial support;   |
| <b>GIZ</b>  | Implementing Agency/Delivery Partner  | Providing technical advice and support; channeling funds; procurement and tendering  |
| <b>Ministry of Finance (MoF)</b>  | Oversight of public finance, taxation, government property, state enterprises, etc.; responsible for national economic and fiscal policies; government accounting systems | Engaging in national structured dialogue on opportunities with the GCF; recipients of capacity building and awareness raising measures   |
| <b>Bank of Thailand (BOT)</b>   | Formulating national monetary policies; regulator of the banking sector   | Engaging in national structured dialogue on opportunities with the GCF; recipients of capacity building and awareness raising measures   |
| <b>Bureau of the Environmental Fund</b>   | The only national monetary mechanism to support all matter related to the environment   | Nominated applicant for direct access accreditation to the GCF; receiving in-depth support and advice on accreditation   |
| <b>Commercial Banks</b>   |   | Engaging in national structured dialogue on opportunities with the GCF; receiving support and advice on accreditation; recipients of capacity building and awareness raising measures  |
| <b>Private sector</b>   |   | Engaging in national structured dialogue on opportunities with the GCF; participating in demands and needs assessment; recipient of capacity building and awareness raising measures   |
| <b>Other Key Ministries</b>   | Contributing to decision-making related to climate finance and/or to policies and strategies related to climate change  | Engaging in national consultation on the GCF project pipeline development  |







