



**INITIATION PLAN TEMPLATE
FOR A GEF PROJECT PREPARATION GRANT (PPG)**

Project Title: Achieving Low Carbon Growth in Cities through Sustainable Urban Systems Management in Thailand

Country: Thailand

Initiation Plan Start Date: February 2014

Initiation Plan End Date: November 2014

CPAP Programme Component: Environment and Energy
ATLAS Project Award: 00078085
ATLAS Project ID: 00088545
PIMS Project ID: 4778
Management Arrangement: DIM

Total budget: US\$ 205,000

Allocated resources:

- GEF US\$ 100,000
- Government US\$ 100,000
- UNDP (parallel) US\$ 5,000

AGREED BY UNDP RESIDENT REPRESENTATIVE

Resident Representative

Mr. Luc Stevens
UNDP Thailand

Signature

A handwritten signature in black ink, appearing to read 'Luc Stevens', written over a horizontal line.

Date: day/month/year

20/02/2014

A. Brief Description of Initiation Plan:

During the initiation plan period, a number of studies and stakeholder consultations will be undertaken with the view to further develop the approved project concept (see GEF PIF attached in Annex 1) into a fully formulated project document. The final output of the initiation plan will be a [UNDP-GEF Project Document](#) and [GEF CEO Endorsement Request Document](#) ready for submission to UNDP and GEF.

B. Project Preparation Activities:

A. Component A: Technical review

I. Conduct of baseline studies:

The following technical studies shall be conducted during the PPG exercise:

- (a) Comprehensive baseline analysis with baseline energy consumption and CO₂ emissions data of the scenario without a GEF contribution to the low carbon projects in each of the project cities of Khon Kaen, Nakorn Ratchasima, Samui, and Klang.
- (b) Comparative analysis of urban NAMAs in the region.
- (c) Initial review of existing and anticipated financial incentive schemes for low-emission projects in Thailand.

II. Conduct of studies to address any opportunities/risks identified during an environmental and social screening of the project proposal: see attached pre-screening.

III. Identification and assessment of the design and implementation plan for the 6 baseline investments – This will involve discussions or negotiations with the owners/implementers of the investment projects on the: (a) confirmation of the agreement to subsume their projects as part of this GEF project; (b) incremental activities or modifications/additions for enhanced features of their projects that will be funded by the GEF; (c) project reporting responsibilities; and, (d) project M&E, which includes the M&E planning and the actual M&E work for each of the 6 investment projects.

IV. Integration with development plans, policies, budgets and complementary projects:

The PIF identifies six baseline initiatives that the project will build upon, influence and facilitate improvements in. The PPG team shall further describe and cost the baseline projects as discussed in the PIF, analyze weaknesses and gaps in these, and identify opportunities for GEF incremental support and joint action.

V. Completion of GEF focal area tracking tool, i.e., Climate Change Mitigation tracking tool

VI. Conduct of stakeholder consultations during technical review: Mobilize and engage stakeholders during project design. Negotiate partnerships with on-going projects to align their activities and the project to build synergies. Document these consultations.

B. Component B: Project design and project document preparation, including Institutional arrangements, monitoring and evaluation

The outputs of Component A will be used as technical input to Component B for the formulation of the UNDP-GEF project document.

I. Finalization of Project Planning Matrix (PPM) / logical framework: Further define the project planning matrix with appropriate objective-level and outcome-level quantitative and qualitative

SMART indicators, and time-bound targets. This matrix will be developed through an LFA workshop, which will either confirm or modify the outputs in the results framework in the GEF-approved PIF, based on the outputs of Components A and B above. Special attention will be accorded to the inclusion of socio-economic and sex disaggregated indicators.

- II. Detailed design of the project components and activities – This shall be based on the finalized PPM and from the outputs in Component A. The schedule and budget of each identified project activity (baseline and incremental) will also be determined. This activity will also address the comments and recommendations in the STAP Scientific and Technical Screening Report, and the GEFSec review (at CEO endorsement stage), and ESSP findings. The budget, M&E plan, annual targets and tracking tool shall be prepared based on the detailed design of the project components and activities.
- III. Definition of monitoring and evaluation (M&E): A detailed M&E work plan will be developed, including clear identification of responsibilities and accountabilities, as well as an appropriate M&E budget. The plan will be based on the standard template provided in the UNDP-GEF project document template that reflects the mandatory requirements of the GEF M&E Policy. This detailed M&E plan will be based on the agreed/approved Project Planning Matrix.
- IV. Definition of a sustainability plan: The sustainability plan will outline the principles and guidelines for ensuring the long-term sustainability of project achievements. It will also outline an exit strategy, seeking the continuation of key activities/achievements without the need of long-term international financing.
- V. Definition of management arrangements: The organizational structure governing the project will be decided. This will include identification of the Project Board.
- VI. Stakeholder consultations during Component B: Involve key agencies in the development of the project strategy to ensure a strong national ownership. In close collaboration with key government representatives and other stakeholders ensure full participation in the development of the project results framework and ensure agreement on the project objectives and outcomes. Undertake consultations to secure agreement(s) on project implementation arrangements; including roles, responsibilities, and accountabilities of lead and partner agencies. The proceedings of these consultations shall be documented.
- VII. Preparation of the UNDP-GEF Project Document (ProDoc) and GEF CEO Endorsement Request (CER) Document based on the GEF-approved project concept.
- VIII. Finalization of the ProDoc and CER Document.

C. Component C: Financial planning and co-financing investments:

- I. Prepare a detailed multi-year budget following the standard template provided in the UNDP-GEF project document template that reflects the mandatory requirements of the GEF M&E Policy.
- II. Explore multilateral and bilateral co-financing opportunities: Undertake series of consultations with partners to ensure a coherent and sustainable financing package for the project including post- GEF grant phase.
- III. Ensure completion of required co-financing letters: A co-financing guarantee will be collected from participating government institutions, bilateral development partners, multilateral development partners and NGOs who wish to provide cash or in kind contributions to the project. The financial

plan and co-financing investments should be discussed and agreed with all relevant stakeholders. The indicative co-financing presented in the PIF totalled \$91,600,000 and included grant contributions of \$30,000,000 from Khon Kaen Municipality and \$60,000,000 from Klang Municipality. The co-financing contributions from the four municipalities, UNDP, and TGO should be discussed with the stakeholders and confirmed during the preparation phase. Co-financing commitments should be formally conveyed in writing, with the co-financing amounts.

D. Component D: Validation workshop

A validation workshop will gather representatives from all relevant stakeholders to present, and discuss and validate the final draft project document.

C. Project preparation activities work plan, timeframe, responsibilities and budget:

| PPG Activity | Timeframe (in months) ¹ | | | | | | | | | | | | | | | | Responsibility | Budget US\$ |
|--|------------------------------------|---|---|---|---|---|---|---|---|----|----|----|----|----|----|----|---|----------------|
| | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 | | |
| A. Technical review | | | | | | | | | | | | | | | | | International consultant, National consultants | 35,000 |
| B. Project design and project document preparation | | | | | | | | | | | | | | | | | International consultant, National consultants, CO | 25,000 |
| C. Financial planning and co-financing investments | | | | | | | | | | | | | | | | | National consultants, CO | 35,000 |
| D. Validation workshop | | | | | | | | | | | | | | | | | International consultant, National consultants, CO, RTA | 5,000 |

¹ If an FSP project please add additional six months noting 18 month deadline between GEF approval of the PIF and GEF CEO endorsement of the project document
UNDP-GEF Guidance for UNDP Initiation Plan for GEF funded projects

D. Total Budget and Work Plan:

| | |
|--|--|
| Award ID: | 00078085 |
| Award Title: | Achieving Low Carbon Growth in Cities through Sustainable Urban Systems Management in Thailand |
| Business Unit: | THA10 |
| Project Title: | Achieving Low Carbon Growth in Cities through Sustainable Urban Systems Management in Thailand |
| Project ID: | 00088545 |
| Implementing Partner (Executing Agency) | Thailand Greenhouse Gas Management Organisation (TGO) |

| GEF Outcome/Atlas Activity | Responsible Party/ | Fund ID | Donor Name | Atlas Budgetary Account Code | ATLAS Budget Description | Amount US\$ | Budget Note |
|--|--------------------|---------|-------------|------------------------------|---------------------------|----------------|-------------|
| Project preparation grant to finalize the UNDP-GEF project document for project "Achieving Low Carbon Growth in Cities through Sustainable Urban Systems Management in Thailand" | UNDP | 62000 | GEF TRUSTEE | 71200 | International Consultants | 30,000 | A |
| | | | | 71300 | Local Consultants | 42,000 | B |
| | | | | 71600 | Travel | 10,000 | C |
| | | | | 72500 | Supplies | 0 | D |
| | | | | 74500 | Miscellaneous Expenses | 3,000 | E |
| | | | | 75700 | Trainings/workshops | 15,000 | F |
| | | | | | PROJECT TOTAL | 100,000 | |

Budget notes:

| Budget Note | Items | Total estimated person weeks | Budget (\$) | Explanation |
|-------------------------|---|------------------------------|----------------|---|
| A | International consultant – Low carbon cities expert / GEF project design specialist | 12 | 30,000 | \$2,500 per week * 12 = \$30,000. Please see Annex 2 for details |
| B | Local consultants – a) Transport sector expert; b) Waste management expert; c) Climate finance specialist | 30 | 42,000 | a) \$600*25 = \$15,000; b) \$600*30 = \$18,000; c) \$600*15 = \$9,000. Please see Annex 2 for full details of responsibilities |
| C | Travel | - | 10,000 | This item will cover the cost of travel of the international consultant and local consultants' internal travel. |
| D | Supplies | - | 0 | |
| E | Miscellaneous | - | 3,000 | This includes the recruitment of a translator for field visits and meetings. |
| F | Workshops | - | 15,000 | This will include all costs associated with organizing the validation workshop in Bangkok as well as other conferences and trainings as required. |
| Total PPG Budget | | | 100,000 | |

Annex 1: GEF CEO PIF approval letter



NAOKO ISHII
Chief Executive Officer and Chairperson

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Washington, DC 20433 USA
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E-mail: Nishi@TheGEF.org

September 12, 2013

Ms. Adriana Dinu
Deputy GEF Executive Coordinator
United Nations Development Programme
One United Nations Plaza
New York, NY 10017

Dear Ms. Dinu:

I am pleased to inform you that I have cleared the project concept detailed below for inclusion in the upcoming work program. I have also approved your request for project preparation grant.

| | |
|-------------------------------|---|
| Decision Sought: | Project Identification Form (PIF) Clearance for Work Program Inclusion and Project Preparation Grant (PPG) Approval |
| GEFSEC ID: | 5086 |
| Agency ID: | 4778 (UNDP) |
| Agency(ies): | UNDP |
| Focal Area: | Climate Change |
| Project Type: | Full Size Project |
| Country(ies): | Thailand |
| Name of Project: | Achieving Low Carbon Growth in Cities through Sustainable Urban Systems Management in Thailand |
| Indicative GEF Project Grant: | \$3,150,000 |
| Indicative Agency Fee: | \$299,250 |
| PPG Grant: | \$100,000 |
| PPG Agency Fee: | \$9,500 |
| Funding Source: | GEF Trust Fund |

* Out of the above indicative Agency fee amount, Trustee will commit the first tranche (40%) of the Agency fee which is \$119,700 at the time of Council approval of the work program. The second tranche (60%) of the Agency fee which is \$179,550 will be committed at the time of CEO endorsement of the FSP.

This PIF clearance and PPG approval are subject to the comments made by the GEF Secretariat in the attached document. It is also based on the understanding that the project is in conformity with GEF focal areas strategies and in line with GEF policies and procedures.

Ms. Adriana Dinu

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September 12, 2013

Please submit your final project document for my endorsement no later than 18 months after Council approval of the work program.

Sincerely,



Naoko Ishii
Chief Executive Officer and Chairperson

Attachment: GEFS/C Review Sheet
Copy to: Country Operational Focal Point, GEF Agencies, STAP, Trustee

Annex 2: Summary of Consultants Financed by the Initiation Plan

| Type of Consultant | Position / Titles | \$/ Person Week ¹ | Estimated PWs ² | Tasks to be Performed |
|--------------------|----------------------------|------------------------------|----------------------------|---|
| Local | Transport sector expert | 600 | 25 | <ul style="list-style-type: none"> • Collect baseline information for public transport projects in Khon Kaen and Nakorn Ratchasima. The basic data requirements include mode share, ridership, and length of routes, frequency, passenger trip length, as well as bus capacity, engine type, fuel and average speeds currently found in the corridor. Planning information regarding the length, route, capacity, and features of the proposed transit projects are also required. • Based on this information, develop projected baseline CO₂ emissions of the scenario without a GEF contribution to the projects and calculate direct and indirect GHG benefits from BRT projects, in line with the GHG Manual for Transport Projects. • Contribute to preparation of baseline report • Help design incremental activities related to public transport improvement projects |
| Local | Waste management expert | 600 | 30 | <ul style="list-style-type: none"> • Collect baseline information on waste management projects in Khon Kaen, Nakorn Ratchasima, Samui, and Klang. The basic data requirements include waste volume and composition, storage and collection, treatment and disposal. Data on waste generation projections are also required. • Based on this information, develop projected baseline CO₂ emissions of the scenario without a GEF contribution to the projects and calculate direct and indirect GHG benefits from integrated waste management projects. • Contribute to preparation of baseline report • Help design incremental activities related to integrated waste management projects |
| Local | Climate finance specialist | 600 | 15 | <ul style="list-style-type: none"> • Conduct comparative analysis of urban NAMAs in the region • Conduct preliminary review of existing and anticipated financial incentive schemes for low-emission projects • Help design component on financial incentives and institutional arrangement in support of low carbon cities initiatives |
| International | Low carbon cities expert | 2,500 | 12 | <ul style="list-style-type: none"> • Monitor and support the implementation of all PPG activities, by means of 1-2 visits to Thailand. This in-country support will be supplemented by periodic home-based support; • Facilitate log frame analysis workshop, including barriers analysis, problems tree and objectives tree; • Respond to technical queries and comment on technical reports; • Draft the full-sized project document and Request for CEO Endorsement; • Respond to GEFSec Comments |