



## United Nations Development Programme

Country: Thailand

### PROJECT DOCUMENT

**Project Title: Thailand's Domestic Preparation for Post-2020 Contributions**

**UNDAF Outcome(s): UNPAF Area 4: Climate Change**

**UNDP Strategic Plan Environment and Sustainable Development**

**Primary Outcome:** Mainstreaming Environment and Energy

**Secondary Outcome:** Catalysing Climate Finance

**Expected CP Outcome(s):** CP OUTCOME (2012-2016)

Thailand is better prepared to coherently address climate change and environmental security issues through the enhancement of national capacity and policy readiness.

**Expected Outputs (s):** *Those that will result from the project*

- 1) Capacities of Thai government agencies to formulate Nationally Determined Contributions (INDC) enhanced;
- 2) Thai government agencies are prepared for COP21 negotiations on INDCs.


**Implementing Partner:** Office of Natural Resources and Environmental Policy and Planning (ONEP), Ministry of Natural Resources and Environment


#### Brief Description

The objective of this project is to 1) identify Thailand's contributions to the post-2020 global climate agreement (called 'Intended Nationally Determined Contributions' or 'INDC') and to 2) strengthen Thailand's engagement in the UNFCCC negotiation process leading to the post-2020 agreement. The need to submit INDC follows from a recent decision adopted by UNFCCC COP 19 in November 2013.

The INDC will build upon previous and ongoing studies on climate change. At this stage no guidance exists from UNFCCC on what should be included in INDC, but once it becomes available the INDC will follow these guidelines. The project will be carried out by Office of Natural Resource and Environmental Policy and Planning, Ministry of Natural Resources and Environment in the most efficient and effective manner under the guidance of PSC and the National Climate Change Sub-committee. Synergies and cost reductions will be achieved by aligning the INDC project with other projects carried out by ONEP, such as the TNC/BUR and the "Strengthening Thailand's Capacity to link Climate Policy and Public Finance" project. The preparation of the INDC will support mainstreaming of climate change into national sustainable development process of Thailand. The project will also strengthen the cooperation between Thailand and other Parties to achieve the ultimate objectives of the UNFCCC.

Programme Period: 2012-2016	August 2014 – December 2015	Total resources required	USD 200,000
Atlas Award ID:	00079104	Total allocated resources:	USD 200,000
Project ID:	00089204	• Regular	_____
PIMS #	5412	• Other:	_____
Start date:	1 August 2014	○ GEF	USD 200,000
End Date	31 Dec. 2015	○ Government	_____
Management Arrangements	NIM	○ In-kind	_____
PAC Meeting Date	18 July 2014	○ Other	_____
		In-kind contributions	_____

Agreed by:   
 Mr. Kasemsun Chinnavaso, Ph D  
 Secretary General  
 Office of Natural Resources and Environmental Policy and Planning  
 Date/ Month/ Year \_\_\_\_\_

Agreed by:   
 Mr. Luc Steyens  
 UN Resident Coordinator  
 UNDP Resident Representative  
 Date/Month/Year 3 September 2014

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## II. ACRONYMS

APR/PIR	Annual Project Report/Project Implementation Report
ATLAS QPR	ATLAS Quarterly Progress Report
BUR	Biennial Update Report
COP	Conference of the Parties
CPAP	Country Programme Action Plan
CPD	Country Programme Document
EA	Enabling Activities
GEF	Global Environment Facility
GHGs	Greenhouse Gases
INC	Initial National Communication
IPCC	Inter-governmental Panel on Climate Change
KP	Kyoto Protocol
LULUCF	Land Use, Land Use Change and Forestry
M&E	Monitoring and Evaluation
MRV	Measurement, Reporting and Verification
NA	Not Applicable
NAMA	Nationally Appropriate Mitigation Action
NFP	National Focal Point
NGOs	Non-governmental Organizations
ONEP	Office of Natural Resources and Environmental Policy and Planning
PSC	Project Steering Committee
QA/QC	Quality Assurance/Quality Control
SBAA	Standard Basic Assistance Agreement
SNC	Second National Communication
TNC	Third National Communication
TNC/BUR	TNC and BUR
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNIDO	United Nations Industrial Development Organisation

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### III. SITUATION ANALYSIS

The Royal Government of Thailand (GoT) is committed to addressing climate change and adapting to the consequences of it. In support of the global efforts to achieve this, it ratified the UN Framework Convention on Climate Change (UNFCCC) in 1994 and the Kyoto Protocol (KP) in 2002. Thailand has undertaken and is undertaking many activities and initiatives to deal with the climate change challenges. These efforts are led by the National Committee on Climate Change Policy (NCCC), which is chaired by the Prime Minister. The Office of Natural Resource and Environmental Policy and Planning (ONEP) has been assigned as the National Focal Point (NFP) for the UNFCCC and KP.

Part of the obligations under UNFCCC is the submission of National Communications. The national communication is a vital medium for the exchange of information on Parties' responses to climate change and the UNFCCC process. Thailand submitted its Initial National Communication (INC) in November 2000, the Second National Communication (SNC) was submitted in March 2011 while Thailand aims to submit its Third National Communication (TNC) in 2018. Currently Thailand is preparing its first BUR (Biennial Update Report), and aims to submit it within next year (2015).

From 2007 till 2011 the climate change efforts in Thailand were guided by the 'national strategic plan on climate change for 2007 – 2011'. Currently, Thailand is preparing a new long-term strategic plan for Climate Change. This long term plan is called "Thailand's Climate Change Master Plan for 2014-2050". A draft has been approved by a subcommittee under the NCCC and is currently in the pipeline for approval by the NCCC. The plan has the vision and lays out a framework to "achieve climate resilience and low carbon development in accordance with sustainable development" for Thailand. To achieve this, three key strategies have been specified: Adaptation, Mitigation and Strengthening of supporting mechanisms for implementation.

On the international level at UNFCCC the negotiations are progressing. Many different topics are being discussed, which are often related to each other. Also the stakes are high and the topics complex. To prepare Thai stakeholders in different line agencies for the negotiations and the issues under consideration, several projects have been and are being implemented. ONEP is coordinating all these activities. Examples of project currently being implemented include: 1) TNC/BUR, 2) Strengthening Thailand's Capacity to link Climate Policy and Public Finance, 3) Market Readiness project and 4) Thailand's Low Emission Capacity Building (LECB) Project.

Recently, in November 2013 during COP 19 a decision on "Intended Nationally Determined Contributions" (INDCs) was adopted. This decision invited "all Parties to initiate or intensify domestic preparations for their intended nationally determined contributions, without prejudice to the legal nature of the contributions, in the context of adopting a protocol, another legal instrument or an agreed outcome with legal force under the Convention for the period post 2020 applicable to all Parties towards achieving the objective of the Convention as set out in its Article 2 and to communicate them well in advance of the twenty-first session of the Conference of the Parties (by the first quarter of 2015 by those Parties ready to do so) in a manner that facilitates the clarity, transparency and understanding of the intended contributions, without prejudice to the legal nature of the contributions." (Dec.1/CP19)

This decision of the COP does not provide any further guidance or information on INDCs. However, past experience during the AWGLCA and national processes relating to low emission and climate resilient development provide a starting point to develop them. Precedents under the Convention and its Kyoto Protocol may be used by some countries to guide their own process as well as expectations about the contributions of other countries.

In the absence of specific financial support mechanisms to non-Annex I Parties for the initiation and/or intensification of domestic preparations for INDCs, countries have been informed that their GEF STAR allocations can be used in order to engage the country in the exercise of identifying, consulting, preparing, and communicating INDCs in advance of the COP21.

This project document proposes to support Thailand in the preparation of their INDCs during 2014-2015, leading to COP21. This project will be closely linked with the ongoing efforts of the government of Thailand to address climate change, to ensure a coherent policy framework and actions. Therefore it is proposed that ONEP will be the implementing partner of the project.

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## IV. STRATEGY

The project has two objectives:

1. To identify Thailand's contributions to the post-2020 global climate agreement (Intended Nationally Determined Contributions – INDC);
2. To strengthen Thailand's engagement in the UNFCCC negotiation process leading to the post-2020 agreement.

These objectives are in line with the current United Nations Partnership Framework (UNPAF) with the Royal Thai Government and the UNDP Country Programme in Thailand (2012-2016) under the outcome on 'Effective Response to Climate Change'. This particular Outcome aims to enable Thailand to be better prepared to address climate change and environmental security issues through the enhancement of national capacity and policy readiness, in two key areas:

1. Strengthening Policy Coherence and Coordination;
2. Building Institutional readiness and capacity.

The project objective will be achieved with the fulfilment of the outcomes described below, which are in line with the GEF's climate change mitigation strategic objective (SO-6) under GEF-5: Enabling Activities: Support enabling activities and capacity building under the Convention. The outcome is: Completed climate change enabling activities under the UNFCCC. In this case, the climate change enabling activities concerns the preparation of the INDC.

The project is divided in two components. The first component addresses the capacities of the Thai government agencies to formulate the INDC, while the second component involves the preparation of the INDC and preparations for the negotiations on the INDC. INDC is a new concept, and there are no clear guidelines from UNFCCC on how INDC submissions look like, so many discussions to arrive at an INDC supported by the stakeholders in Thailand are required.

### **Component 1: Enhancement of capacities of Thai government stakeholders to formulate INDCs**

This component addresses the capacity needs of Thai government agencies in order to formulate the INDCs in a coherent way and in line with the work done for the TNC/BUR, other capacity building projects and the low emission strategies/NAMAs currently being developed. The formulation of INDC will require intensive consultation with various agencies across different line ministries. The expected outcome from the outputs that will be delivered under this component is the enhanced capacity of the Thai agencies to formulate the INDC. The following outputs will contribute to the achievement of this outcome:

- 1.1 Consultation process with & capacity building process of stakeholders completed;
- 1.2 Policy advice paper of Thailand's GHG mitigation potential prepared;
- 1.3 Gaps and technical capacity needs identified and recommendations to strengthen Thailand's INDC implementation and monitoring prepared.

#### ***Output 1.1: Consultation process with & capacity building process of stakeholders completed***

This output will address the capacity building activities and consultation process with various agencies across different line ministries to, amongst other topics:

- explain the context and objectives of INDC;
- identify possible national contribution types and possible upfront information relevant to contribution types;
- discuss implications for information ex post, data availability, monitoring and evaluation arrangements;

- discuss pros and cons of different time frames;
- review the policy advice paper of Thailand's GHG mitigation potential and INDC;
- organize sessions to share approaches and experience of INDC formulation with other countries.

Envisaged activities under this output include (tentatively):

- 1.1.1 Organising stakeholder consultation workshops to support INDC formulation;
- 1.1.2 Organising technical workshops to build capacity of relevant stakeholders on issues relevant to INDCs formulation;
- 1.1.3 Organising workshops to share experience of INDC with other countries.

***Output 1.2: Policy advice paper of Thailand's GHG mitigation potential prepared & Output 1.3: Gaps and technical capacity needs identified and recommendations to strengthen Thailand's INDC implementation and monitoring prepared***

These two outputs will involve a policy analysis regarding Thailand's GHG mitigation potential and the preparation of a Gaps and technical capacity needs analysis including recommendations to strengthen Thailand's INDC implementation and monitoring. This will require inputs from stakeholders and policy makers in various sectors.

Envisaged activities under these outputs include (tentatively):

- 1.2.1 Conducting an assessment of baseline scenarios in specific sectors;
- 1.2.2 Identifying priority sectors for inclusion in INDC;
- 1.2.3 Performing an analysis of GHG mitigation potential in priority sectors;
- 1.2.4 Performing an analysis of the socio-economic effects and multi-benefits of GHG mitigation actions in priority sectors;
- 1.2.5 Drafting of policy advice paper;
- 1.2.6 Establishing expert panels for technical inputs into the preparation of policy advice paper;
- 1.3.1 Preparing report on recommendations for the institutional arrangements, including legal arrangements, if applicable, for the implementation and monitoring of INDCs.

**Component 2: Preparation of Thai government agencies for UNFCCC negotiations leading to the 2015 agreement**

This component addresses the preparations of Thai government agencies for the negotiations under the UNFCCC and the preparation of the draft INDC. The formulation of the draft submission of the INDC will require careful consultation with stakeholders, including the National Committee on Climate Change Policy. The expected outcome from the outputs that will be delivered under this component is that the Thai stakeholders' capacity is strengthened for the negotiations under the UNFCCC leading to the 2015 agreement. The following outputs will contribute to the achievement of this outcome:

- 2.1 Thailand's draft submission of INDC prepared;
- 2.2 Consultation process and capacity building process for the negotiations under the UNFCCC for Thai stakeholders completed.

***Output 2.1 Thailand's draft INDC prepared***

This output will involve the preparation of the draft INDC which requires the inputs from all relevant stakeholders. Envisaged activities under these outputs could include:

- 2.1.1 Preparing Thailand's draft INDC;
- 2.1.2 Organising consultation workshops with stakeholders on the draft INDC;
- 2.1.3 Revising and preparing final draft INDC for submission to UNFCCC;

***Output 2.2 Consultation process and capacity building process for the negotiations under the UNFCCC for Thai stakeholders completed***

This output will address capacity building and consultation process for the Thai stakeholders to engage in the UNFCCC negotiations leading to the 2015 agreement.

Envisaged activities under these outputs include (tentatively):

- 2.2.1 Organising consultation and capacity building workshops on UNFCCC negotiations leading to the 2015 agreement;
- 2.2.2 Preparing relevant data to support Thailand's engagement in the UNFCCC negotiations leading to the 2015 agreement.

To effectively engage all relevant stakeholders in the preparation of the INDC, several capacity building activities and stakeholder consultations are required. In this regard, the task forces consisting of relevant line agencies will be involved. These task forces are coordinated by ONEP as the UNFCCC focal point and climate change policy and planning agency, in collaboration with the Thailand Greenhouse Gas Management Organization (TGO), which provides technical support to ONEP. The task forces are also supported by national experts from academic and research institutes on relevant issues of climate change. The project will strengthen the capacities and coordination among these task forces to draft a coherent INDC which is supported by the stakeholders. The capacity building process on INDC will be integrated with the other capacity building projects currently underway, such as the project on 'Low Emission Capacity Building' and the TNC/BUR. In this way synergies (and cost reductions) can be achieved.

The experiences gained from the TNC/BUR and SNC process will be used to address the capacity-building and institutional arrangements for the preparation of the INDC. As the UNFCCC process is evolving and increasingly complex, capacity-building activities are even more important. Hence, they will form the key part of the project and will be done through stakeholder engagement, capacity building & validation workshops, sharing experiences and encouraging information exchange between national and relevant regional and international institutions.

In addition to gender disaggregated data collection for the INDC, the project will ensure that the needs of women, but also children, indigenous and marginalized communities are adequately considered. During the inception phase, the project will design a strategy to ensure the adequate participation of women and local groups in activities to address climate change that may impact or benefit them. This will seek to address gender and vulnerable community dimensions.



## V. PROJECT RESULTS FRAMEWORK:

<p><b>This project will contribute to achieving the following Country Programme Outcome as defined in CPAP or CPD:</b> Thailand is better prepared to address climate change and environmental security issues through the enhancement of national capacity and policy readiness.</p>							
<p><b>Country Programme Outcome Indicators:</b></p> <p><b>Indicator 1:</b> Number of national and local (networking) platforms supported and/or strengthened.  <b>Baseline:</b> As of 2011, there are few (networking) platforms fully operated by the Thai Government and participated by communities and stakeholders.  <b>Target:</b> At least 3 national and local platforms developed with UNDP support by 2016.</p> <p><b>Indicator 2:</b> Number of climate-related policies and model actions established applied and/or replicated by national and local partners; as well as exchanged in south-south cooperation forums.  <b>Baseline:</b> As of 2011, no strong climate-related national policies and model actions established, applied and/or replicated by national and local partners.  <b>Target:</b> At least 3 climate-related policies and model actions established, applied and/or replicated by 2016 with support by UNDP.  At least 3 south-south exchange forums conducted addressing the three outputs and other key issues (e.g. mitigation, adaptation, environmental security, climate fiscal framework, etc.)</p>							
<p><b>Primary applicable Key Environment and Sustainable Development Key Result Area (same as that on the cover page, circle one):</b> 1. Mainstreaming environment and energy</p>							
<p><b>Applicable GEF Strategic Objective and Program:</b> Enabling Activities: Support enabling activities and capacity building under the Convention.</p>							
<p><b>Applicable GEF Expected Outcomes:</b> National communications, etc. completed and submitted to the UNFCCC as appropriate</p>							
<p><b>Applicable GEF Outcome Indicators:</b></p> <ul style="list-style-type: none"> <li>Adequate resources allocated to support enabling activities under the Convention. Indicator: Percentage of eligible countries receiving GEF funding</li> <li>Human and institutional capacity of recipient countries strengthened Indicator: Countries and institutions supported by the GEF</li> </ul>							
	Outputs	Indicative activities	Indicator (for project objective and outcome)	Baseline (for project objective and outcome)	Targets End of Project (for project objective and outcome)	Source of verification	Risks and Assumptions
<b>Project name:</b>	Thailand's Domestic Preparation for Post-2020 Contributions						
<b>Project Objective:</b>	To identify Thailand's contributions to the post-2020 global climate agreement (Intended Nationally Determined Contributions – INDC) and to strengthen Thailand's engagement in the UNFCCC negotiation process leading to the post-2020 agreement	-	Preparation and submission of INDC to UNFCCC	Thailand has not submitted its INDC to UNFCCC	Thailand's INDC endorsed and submitted to UNFCCC	UNFCCC documentation Project reports	Changing responsible agencies Significant political changes in the country
<b>Outcome 1: Capacities of Thai government agencies to formulate INDC enhanced</b>	1.1 Consultation process with & capacity building process of stakeholders completed; 1.2 Policy advice paper of Thailand's GHG mitigation potential prepared; 1.3 Gaps and technical capacity needs identified and recommendations to strengthen Thailand's INDC implementation and monitoring prepared	1.1.1 Organising stakeholder consultation workshops to support INDC formulation; 1.1.2 Organising technical workshops to build capacity of relevant stakeholders on issues relevant to INDCs formulation; 1.1.3 Organising workshops to share experience of INDC with other countries. 1.2.1 Conducting an assessment of baseline scenarios in specific sectors;	a) National capacity enhanced b) Identified baseline scenarios c) Identified priority areas d) Recommendations to strengthen engagement provided e) Availability of	a) Limited understanding of INDC b) no baseline scenarios identified c) no priority areas identified d) no recommendation	a) Good understanding of INDC, able to negotiate on the matter b) baseline scenarios identified and agreed upon c) priority areas identified and agree upon d) recommendations	Project reports Baseline reports Policy report Recommendations Workshop reports	Changing responsible agencies Significant political changes in the country

		<p>1.2.2 Identifying priority sectors for inclusion in INDC;</p> <p>1.2.3 Performing an analysis of GHG mitigation potential in priority sectors;</p> <p>1.2.4 Performing an analysis of the socio-economic effects and multi-benefits of GHG mitigation actions in priority sectors;</p> <p>1.2.5 Drafting of policy advice paper;</p> <p>1.2.6 Establishing expert panels for technical inputs into the preparation of policy advice paper;</p> <p>1.3.1 Preparing report on recommendations for the institutional arrangements, including legal arrangements, if applicable, for the implementation and monitoring of INDCs.</p>	<p>policy paper on GHG mitigation actions in priority sectors</p> <p>f) Establishment of expert panel</p>	<p>s available</p> <p>e) No policy paper on GHG mitigation actions in priority sectors available.</p> <p>f) no expert panel established</p>	<p>provided</p> <p>e) Policy paper on GHG mitigation actions in priority sectors available</p> <p>f) expert panel established</p>		
<p><b>Outcome 2:</b></p> <p><b>Thai government agencies are prepared for COP21 negotiations on INDC</b></p>	<p>2.1 Thailand's draft submission of INDC prepared;</p> <p>2.2 Consultation process and capacity building process for the negotiations under the UNFCCC for Thai stakeholders completed.</p>	<p>2.1.1 Preparing Thailand's draft INDC;</p> <p>2.1.2 Organising consultation workshops with stakeholders on the draft INDC;</p> <p>2.1.3 Revising and preparing final draft INDC for submission to UNFCCC</p> <p>2.2.1 Organising consultation and capacity building workshops on UNFCCC negotiations leading to the 2015 agreement;</p> <p>2.2.2 Preparing relevant data to support Thailand's engagement in the UNFCCC negotiations leading to the 2015 agreement.</p>	<p>a) Draft INDC prepared</p> <p>b) final draft INDC prepared</p> <p>c) Availability of support data for UNFCCC negotiations</p>	<p>a) draft INDC not prepared</p> <p>b) no final draft INDC prepared</p> <p>c) support data for UNFCCC negotiations not available</p>	<p>a) draft INDC prepared</p> <p>b) final draft INDC prepared</p> <p>c) support data for UNFCCC negotiations available</p>	<p>Project reports</p> <p>Workshop reports</p> <p>INDC document</p>	<p>Changing responsible agencies</p> <p>Significant political changes in the country</p>

## VI. TOTAL BUDGET AND WORKPLAN

<b>Award ID:</b>	00079104	<b>Project ID(s):</b>	00089204
<b>Award Title:</b>	Thailand's Domestic Preparation for Post-2020 Contributions		
<b>Business Unit:</b>	THA10		
<b>Project Title:</b>	Thailand's Domestic Preparation for Post-2020 Contributions		
<b>PIMS no.:</b>	5412		
<b>Implementing Partner</b>	ONEP		

GEF Outcome/Atlas Activity	Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (2014) (USD)	Amount Year 2 (2015) (USD)	Total (USD)	See Budget Note:
<b>OUTCOME 1: Capacities of Thai government agencies to formulate INDC enhanced</b>	ONEP	62000	GEF	71300	Local Consultants	18,000	33,900	51,900	A
				71600	Travel	1,440	2,712	4,152	H
				72500	Supplies	500	500	1,000	I
				72100	Contractual services - Companies	10,000	10,000	20,000	E
				75700	Workshops/meetings	10,000	10,000	20,000	J
				74500	Miscellaneous	500	500	1,000	K
					<b>sub-total GEF</b>	<b>40,440</b>	<b>57,612</b>	<b>98,052</b>	
	<b>Total Outcome 1</b>	<b>40,440</b>	<b>57,612</b>	<b>98,052</b>					
<b>OUTCOME 2: Thai government agencies are prepared for COP21 negotiations on INDC</b>	ONEP	62000	GEF	71300	Local Consultants	15,000	30,000	45,000	B
				71600	Travel	1,000	2,400	3,400	H
				72100	Contractual services - Companies	10,000	10,000	20,000	F
				75700	Workshops/meetings	-	10,000	10,000	J
				74500	Miscellaneous	700	693	1,393	K
	<b>sub-total GEF</b>	<b>26,700</b>	<b>53,093</b>	<b>79,793</b>					
	<b>Total Outcome 2</b>	<b>26,700</b>	<b>53,093</b>	<b>79,793</b>					
<b>MONITORING, &amp; EVALUATION</b>	ONEP	62000	GEF	71300	Local Consultants	1,000	1,000	2,000	C
				74100	Professional Services	1,000	1,000	2,000	L
					<b>sub-total GEF</b>	<b>2,000</b>	<b>2,000</b>	<b>4,000</b>	
	<b>Total M&amp;E</b>	<b>2,000</b>	<b>2,000</b>	<b>4,000</b>					
<b>PROJECT MANAGEMENT UNIT</b>	ONEP	62000	GEF	71400	Contractual Services - Individual	3,575	8,580	12,155	D
				74599	UNDP cost recovery chrg-Bills	3,000	3,000	6,000	G

GEF Outcome/Atlas Activity	Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (2014) (USD)	Amount Year 2 (2015) (USD)	Total (USD)	See Budget Note:
					sub-total GEF	6,575	11,580	18,155	
					Total Management	6,575	11,580	18,155	
<b>PROJECT TOTAL</b>						<b>75,715</b>	<b>124,285</b>	<b>200,000</b>	

Summary of Funds: <sup>1</sup>

	Amount Year 1	Amount Year 2	Total
<b>GEF</b>	75,715	124,285	200,000
<b>TOTAL</b>	75,715	124,285	200,000

**Budget Notes:**

Items	Description
<b>A</b>	National Climate Change consultants to support drafting of documents (e.g. baseline scenario act. 1.2.1, policy report act.1.2.5 and identification priority sectors act. 1.2.2) and supporting organisation of/documents for workshops (6 + 11.3 person-months = 17.3 months * UDS 3,000 p/m = USD 51,900)
<b>B</b>	National Climate Change consultants to support drafting of documents (preparing draft and final NDC act. 2.1.1 and act. 2.1.3 and preparing (documents) for workshops (5 + 10 person-months = 15 months * UDS 3,000 p/m = USD 45,000)
<b>C</b>	M&E activities will be aligned with other projects from ONEP. Cost savings are made here. Total costs of local consultants for M&E are USD 1,000 per year * 2 years = USD 2,000 per year.
<b>D</b>	Project management will be aligned with other projects from ONEP. Estimated cost for a part-time senior coordinator are USD 715 per month * (5 months in year 1 + 12 months in year 2 = 17 months) = USD 12,155
<b>E</b>	Contractual services to prepare (amongst others) recommendations for the institutional arrangements, including legal arrangements, if applicable, for the implementation and monitoring of INDCs (act. 1.3.1)
<b>F</b>	Contractual services to (amongst others): preparing relevant data to support Thailand's engagement in the UNFCCC negotiations leading to the 2015 agreement (act. 2.2.2).
<b>G</b>	Cost to UNDP for providing support services for project implementation(see Annex 4)
<b>H</b>	Travel costs
<b>I</b>	Office supplies
<b>J</b>	Meetings, Workshops and Conferences
<b>K</b>	Miscellaneous for unforeseen costs
<b>L</b>	Audit cost

<sup>1</sup> Summary table should include all financing of all kinds: GEF financing, cofinancing, cash, in-kind, etc...

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## VII. MANAGEMENT ARRANGEMENTS

The project will be executed according to UNDP's National Implementation Modality (NIM) as per NIM guidelines agreed by UNDP and the Government of Thailand.

The project is designed to be implemented in parallel and in complementarity with the UNDP-supported "Strengthening Thailand's Capacity to link Climate Policy and Public Finance" project and the TNC/BUR. The rationale of streamlining the management arrangement of the three projects is as follows:

- The three projects are executed under ONEP as the implementing partner;
- The outcomes of the projects are closely linked especially with regards to national greenhouse gas inventory and on mitigation actions;
- The implementation timeframe and steps are in tandem. The project on Climate Policy and Public Finance will be implemented in 2013-2015; TNC-BUR in 2014-2018 and this proposed project on INDC from August 2014 till December 2015.

Office of Natural Resource and Environmental Policy and Planning, Ministry of Natural Resources and Environment, will be responsible for executing the project. To ensure the link between project implementation and policy level that facilitate the integration of climate change to national policies, three levels of institutional arrangement will be established.

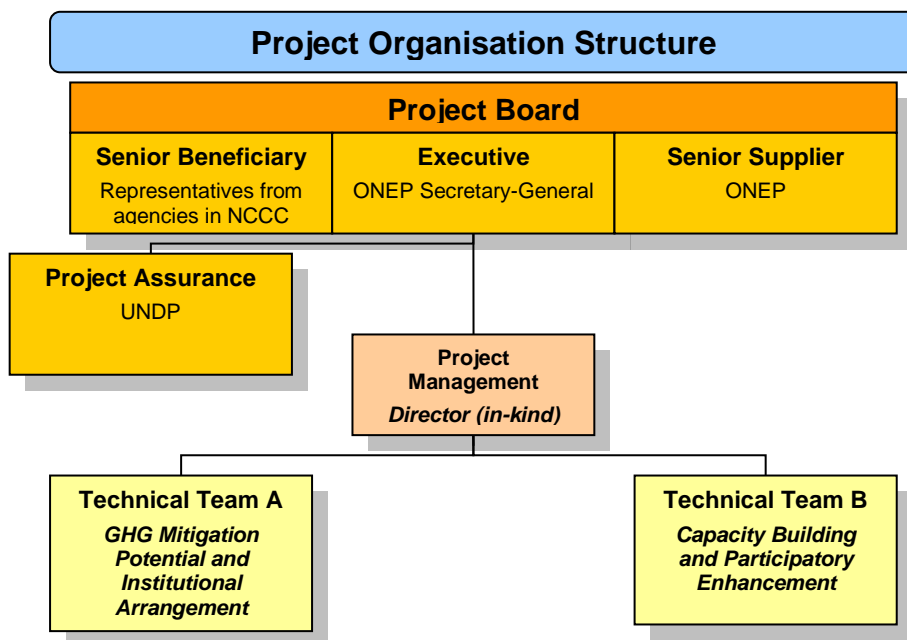
At policy level, through its technical subcommittee, the National Climate Change Committee, chaired by the Prime Minister, comprised of ministers of key ministries and relevant public agencies, private sector, non-government organizations and experts will provide overall policies and guidance to project implementation. The committee is the body that approves the final reports of the project.

At administrative level, a project steering committee will be established to oversee the implementation of the project. The project steering committee, in general, will compose of the main agencies relevant to the study – including the Thailand Greenhouse Gas Management Organisation (TGO), representative of UNDP country office, non-governmental organization and selected experts. The project steering committee will oversee the project team in carrying out the project activities, provide guidance and recommendation and support to ensure the project activities are carried out efficiently and effectively.

At implementation level, a part-time coordinator with qualified expertise and experiences will be selected to carry out the project management. A Team of national experts on the issues identified above will be selected to carry out the technical works. The Thailand Greenhouse Gas Management Organisation (TGO) will also provide support to the technical teams, in collaboration with ONEP.

Figure 1 below shows the organization structure of the project to support Thailand in the preparation of its INDC project. The UNDP Country Office and Thai team of ONEP will work very closely in the project to ensure timely delivery of the projects' activities.

Figure 1: Overall Structure of Project Management



The final project outputs will be in line with the UNFCCC Guidelines that most probably will be shared with parties during the COP20 in December 2014.

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## VIII. MONITORING FRAMEWORK AND EVALUATION

The project will be monitored through the following M&E activities. Cost for M&E activities will be limited, due to cost reductions as the project will be aligned with other projects implemented by ONEP. USD 4,000 is set aside for M&E activities.

### **Project start:**

A Project Inception Workshop will be held within the first 2 months of project start with those with assigned roles in the project organization structure, UNDP country office and where appropriate/feasible regional technical policy and programme advisors as well as other stakeholders. The Inception Workshop is crucial to building ownership for the project results and to plan the first year annual work plan.

The Inception Workshop should address a number of key issues including:

- a) Assist all partners to fully understand and take ownership of the project. Detail the roles, support services and complementary responsibilities of UNDP CO and RCU staff vis à vis the project team. Discuss the roles, functions, and responsibilities within the project's decision-making structures, including reporting and communication lines, and conflict resolution mechanisms. The Terms of Reference for project staff will be discussed again as needed.
- b) Based on the project results framework, finalize the first annual work plan. Review and agree on the indicators, targets and their means of verification, and recheck assumptions and risks.
- c) Provide a detailed overview of reporting, monitoring and evaluation (M&E) requirements. The Monitoring and Evaluation work plan and budget should be agreed and scheduled.
- d) Discuss financial reporting procedures and obligations, and arrangements for annual audit.
- e) Plan and schedule Project Board meetings. Roles and responsibilities of all project organisation structures should be clarified and meetings planned. The first Project Board meeting should be held within the first 12 months following the inception workshop.
- f) Best way of aligning the project with other ongoing projects implemented by ONEP and supported by UNDP.

An Inception Workshop report is a key reference document and must be prepared and shared with participants to formalize various agreements and plans decided during the meeting.

### **Quarterly:**

- Progress made shall be monitored in the UNDP Enhanced Results Based Management Platform.
- Based on the initial risk analysis submitted, the risk log shall be regularly updated in ATLAS. Risks become critical when the impact and probability are high. Note that for UNDP GEF projects, all financial risks associated with financial instruments such as revolving funds, microfinance schemes, or capitalization of ESCOs are automatically classified as critical on the basis of their innovative nature (high impact and uncertainty due to no previous experience justifies classification as critical).
- Based on the information recorded in Atlas, a Project Progress Reports (PPR) can be generated in the Executive Snapshot.
- Other ATLAS logs can be used to monitor issues, lessons learned etc.. The use of these functions is a key indicator in the UNDP Executive Balanced Scorecard.

**Bi-annual progress:**

- Status Survey Questionnaires to indicate progress and identify bottlenecks as well as technical support needs will be carried out twice a year.

**Periodic Monitoring:**

A detailed schedule of project reviews meetings will be developed by the project management, in consultation with project implementation partners and stakeholder representatives and incorporated in the Project Inception Report. Such a schedule will include: (i) tentative time frames for Steering Committee Meetings, (or relevant advisory and/or coordination mechanisms) and (ii) project related Monitoring and Evaluation activities.

*Day to day monitoring of implementation progress* will be the responsibility of the Project Director and Project Coordinator, based on the project's Annual Work plan and its indicators. The Project Team will inform the UNDP-CO of any delays or difficulties faced during implementation so that the appropriate support or corrective measures can be adopted in a timely and remedial fashion.

*Periodic monitoring of implementation progress* will be undertaken by the UNDP-CO through quarterly meetings with the project proponent, or more frequently as deemed necessary. This will allow parties to take stock and to troubleshoot any problems pertaining to the project in a timely fashion to ensure smooth implementation of project activities.

**End of Project:**

During the last three months, the project team will prepare the Project Terminal Report. This comprehensive report 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.

**Audit clause:**

Audit on project will follow UNDP Financial Regulations and Rules and applicable Audit policies.

**Learning and knowledge sharing:**

Results from the project will be disseminated within and beyond the project intervention zone through existing information sharing networks and forums.

The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation through lessons learned. The project will identify, analyze, and share lessons learned that might be beneficial in the design and implementation of similar future projects.

Finally, there will be a two-way flow of information between this project and other projects of a similar focus.

**Communications and visibility requirements:**

Full compliance is required with UNDP's Branding Guidelines. These can be accessed at <http://intra.undp.org/coa/branding.shtml>, and specific guidelines on UNDP logo use can be accessed at:



<http://intra.undp.org/branding/useOfLogo.html>. Amongst other things, these guidelines describe when and how the UNDP logo needs to be used, as well as how the logos of donors to UNDP projects needs to be used. For the avoidance of any doubt, when logo use is required, the UNDP logo needs to be used alongside the GEF logo. The GEF logo can be accessed at: [http://www.thegef.org/gef/GEF\\_logo](http://www.thegef.org/gef/GEF_logo). The UNDP logo can be accessed at <http://intra.undp.org/coa/branding.shtml>.

Full compliance is also required with the GEF’s Communication and Visibility Guidelines (the “GEF Guidelines”). The GEF Guidelines can be accessed at: [http://www.thegef.org/gef/sites/thegef.org/files/documents/C.40.08\\_Branding\\_the\\_GEF%20final\\_0.pdf](http://www.thegef.org/gef/sites/thegef.org/files/documents/C.40.08_Branding_the_GEF%20final_0.pdf).

Amongst other things, the GEF Guidelines describe when and how the GEF logo needs to be used in project publications, vehicles, supplies and other project equipment. The GEF Guidelines also describe other GEF promotional requirements regarding press releases, press conferences, press visits, visits by Government officials, productions and other promotional items.

Where other agencies and project partners have provided support through co-financing, their branding policies and requirements should be similarly applied.

### M& E work plan and budget

Type of M&E activity	Responsible Parties	Budget US\$ <i>Excluding project team staff time</i>	Time frame
Inception Workshop and Report	<ul style="list-style-type: none"> <li>▪ Project Manager</li> <li>▪ UNDP CO, UNDP GEF</li> </ul>	Indicative cost: 4,000	Within first two months of project start up
Measurement of Means of Verification of project results.	<ul style="list-style-type: none"> <li>▪ UNDP GEF RTA/Project Manager will oversee the hiring of specific studies and institutions, and delegate responsibilities to relevant team members.</li> </ul>	To be finalized in Inception Phase and Workshop.	Start, mid and end of project (during evaluation cycle) and annually when required.
Measurement of Means of Verification for Project Progress on <i>output and implementation</i>	<ul style="list-style-type: none"> <li>▪ Oversight by Project Manager</li> <li>▪ Project team</li> </ul>	To be determined as part of the Annual Work Plan's preparation.	Annually prior to ARR/PIR and to the definition of annual work plans
ARR/PIR	<ul style="list-style-type: none"> <li>▪ Project manager and team</li> <li>▪ UNDP CO</li> <li>▪ UNDP RTA</li> <li>▪ UNDP EEG</li> </ul>	None	Not applicable
Periodic status/ progress reports	<ul style="list-style-type: none"> <li>▪ Project manager and team</li> </ul>	None	Quarterly
Mid-term Evaluation	<ul style="list-style-type: none"> <li>▪ Project manager and team</li> <li>▪ UNDP CO</li> <li>▪ UNDP RCU</li> <li>▪ External Consultants (i.e. evaluation team)</li> </ul>	None	Not applicable for EA projects
Final Evaluation	<ul style="list-style-type: none"> <li>▪ Project manager and team,</li> <li>▪ UNDP CO</li> <li>▪ UNDP RCU</li> <li>▪ External Consultants (i.e. evaluation team)</li> </ul>	None	Not applicable for EA projects
Project Terminal Report	<ul style="list-style-type: none"> <li>▪ Project manager and team</li> <li>▪ UNDP CO</li> </ul>	None	At least three months before the end of the

Type of M&E activity	Responsible Parties	Budget US\$ <i>Excluding project team staff time</i>	Time frame
	<ul style="list-style-type: none"> <li>▪ local consultant</li> </ul>		project
Project Monitoring Visits	<ul style="list-style-type: none"> <li>▪ UNDP CO</li> <li>▪ UNDP RCU (as appropriate)</li> <li>▪ Government representatives</li> </ul>	For GEF supported projects, paid from IA fees and operational budget	Yearly
<b>TOTAL indicative COST</b> Excluding project team staff time and UNDP staff and travel expenses		<b>US\$ 4,000</b> (+/- 2% of total budget)	

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## IX. LEGAL CONTEXT

The Royal Thai Government and the United Nations Special Funds have entered into the Agreement to govern assistance from the Special Fund to Thailand, which was signed by both parties on 04 June 1960. Pending the finalization of the Standard Basic Assistance Agreement (SBAA) between UNDP and the Government, the Agreement will govern the technical assistance provided by UNDP Thailand under the Country Programme Document (2012-2016).

Under the UNDP-funded programmes and projects, the responsibility for the safety and security of the implementing partner and its personnel and property, and of UNDP's property in the implementing partner's custody, rests with the implementing partner in accordance with the aforementioned Agreement between the UN Special Fund and the Government of Thailand concerning Assistance from the Special Fund 1960.

The implementing partner shall:

- a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the Programme is being carried;
- b) assume all risks and liabilities related to the implementing partner's security, and the full implementation of the security plan.

UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.

The implementing partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Programme Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under this Programme Document.

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## **X. ANNEXES**

Annex 1: Endorsement letter from Thai GEF OFP

Annex 2: Risk Analysis

Annex 3: Terms of reference

Annex 4: Letter of Agreement for the provision of support service

## Annex 1: Endorsement letter from Thailand Operational Focal Point for GEF

**URGENT**

No. 0204.4/ 957



Ministry of Natural Resources  
and Environment  
92 Soi Phahon Yothin 7  
Phahon Yothin Road  
Bangkok 10400 Thailand  
Tel: +66 2 278 8621  
Fax: +66 2 278 8621

21 May B.E. 2557 (2014)

Dear Ms. Adriana Dinu,

Subject: Endorsement for "Thailand's Domestic Preparation for Post-2020 Contributions"

In my capacity as GEF Operational Focal Point for Thailand, I confirm that the above project proposal (a) is in accordance with my government's national priorities and our commitment to the relevant global environmental conventions; and (b) was discussed with relevant stakeholders, including the global environmental convention focal points.

I am pleased to endorse the preparation of the above project proposal with the support of the GEF Agency (ies) listed below. If approved, the proposal will be prepared and implemented by the Office of Natural Resources and Environmental Policy and Planning (ONEP), Ministry of Natural Resources and Environment. I request the GEF Agency (ies) to provide a copy of the project document before it is submitted to the GEF Secretariat for CEO endorsement.

Ms. Adriana Dinu  
Executive Coordinator and Director a.i.  
UNDP-GEF  
304, E 45<sup>th</sup> Street  
New York, NY 10017, USA

CC: UNFCCC Focal Point

/The total...

The total financing (from GEFTF) being requested for this project is US\$ <sup>219,000</sup> 220,000 inclusive of agency fees, for project cycle management services associated with the total GEF grant. The financing requested for Thailand is detailed in the table below.

Source of Funds	GEF Agency	Focal Area	Amount (in US\$)			
			Project Preparation	Project	Fee	Total
GEFTF	UNDP	Climate Change	-	200,000	<del>20,000</del> <sup>19,000</sup>	<del>220,000</del> <sup>219,000</sup>
Total GEF Resources			-	200,000	<del>20,000</del> <sup>19,000</sup>	<del>220,000</del> <sup>219,000</sup>

I consent to the utilization of Thailand's allocations in GEF-5 as defined in the System for Transparent Allocation of Resources (STAR).

Yours sincerely,



Mr. Chote Trachu  
Permanent Secretary

Ministry of Natural Resources and Environment  
Thailand Operational Focal Point

## Annex 2: Risk Analysis

Risk	Level of Risk	Commentary and Mitigating Strategies and Actions
<p>National experts do face difficulties in enhancing the depth and quality of assessments to be carried out under the project due to limited capacities and lack of adequate climate relevant data, GHG inventory baselines, information and lessons and good practices.</p>	<p>Moderate</p>	<p>UNDP will raise the level of project supervision and work closely with relevant international efforts developed in parallel to help Thailand to identify centres of excellence in country as well as outside Thailand.</p> <p>Additionally, UNDP would encourage peer support by linking the Thai team to teams in other countries working on INDCs, for instance the teams under the UNDP umbrella project for INDC preparation. This to exchange data and information, lessons learnt and good practices to enhance the quality and relevance of the INDCs.</p>
<p>Limited consultations and weak participation process amongst stakeholders due to institutional rivalries and rigidities which hampering responsiveness of project outputs to national development needs as well as effective work delivery and quality of the outputs.</p>	<p>Moderate</p>	<p>National Project Coordinator will be requested to provide evidence of active involvement of stakeholders, practitioners and/or the general public in all facets of project proposal development and in the implementation of project activities in the reports, which will be regularly reviewed by UNDP. The activities are led by ONEP, which is also leading other efforts on climate change in Thailand. The institutional structures already built under other projects will be used.</p> <p>It is important to ensure that project is known beyond implementation partners that there are no misunderstandings concerning objectives and activities. Efforts will be made to ensure that the project is addressing both short term needs of meeting convention requirements (INDC) and also achieving results with a long term perspective of helping Thailand address climate change issues in a more sustainable manner.</p>
<p>The limited time available and the absence of concrete reporting guidelines from the UNFCCC may lead to delays in submission of INDCs to the UNFCCC</p>	<p>High</p>	<p>UNDP will work with the UNFCCC and other relevant partners in order to enhance the scope of this project in terms of its deliverables together with its associated budget so as to adequately meet the needs of countries with respect to the reporting requirement.</p>

### Annex 3: Terms of Reference

**(A) Project Board (PB)** shall be established at project inception. It will be chaired by ONEP Secretary General. The proposed composition includes representatives from line agencies sitting in the National Climate Change Committee, particularly the Thailand Greenhouse Gas Organisation (TGO), including representatives from the private sector (e.g. the Federation of Thai Industry, and the Board of Trade, as well as representatives from the selected industrial sectors). It shall meet at least once a year, to approve the annual work plans and annual progress reports.

The project board will be responsible for making management decisions for the project in particular when guidance is required by the Project Management Unit. The Project Board plays a critical role in project monitoring and evaluations by quality assuring these processes and products, and using evaluations for performance improvement, accountability and learning. It ensures that required resources are committed and arbitrates on any conflicts within the project or negotiates a solution to any problems with external bodies. In addition, it approves the responsibilities of the Project Management Unit and any delegation of its Project Assurance responsibilities. Based on the approved Annual Work Plan, the Project Board can also consider and approve the quarterly plans (if applicable) and also approve any essential deviations from the original plans.<sup>2</sup>

The project board's decisions will be made in accordance to standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition. In case consensus cannot be reached within the Board, the final decision shall rest with the UNDP Environment Programme Manager.

**(B) Project Management Unit (PMU)** will be in charge of overall project administration and coordination with relevant organizations, under the overall guidance of the Project Board. The **Project Director** will be ONEP official assigned as an in-kind contribution to be the focal point to provide overall guidance to the Project Management Unit members who will be hired under the project budget.<sup>3</sup>

**(C) Project Coordinator** will be responsible for the administrative, financial and technical coordination of the project and report progress. S/he shall have the authority to run the project on a day to day basis in support of the Project Director, within the constraints laid down by the Project Board. The Project Coordinator's prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified time and cost. The Project Coordinator will also coordinate directly with UNDP Environment Unit Manager and responsible programme officer, who will subsequently report to the UNDP-GEF Global Support Unit.

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<sup>2</sup> See further details in Appendix B

<sup>3</sup> See further details in Appendix B

**Annex 4: STANDARD LETTER OF AGREEMENT BETWEEN UNDP AND THE GOVERNMENT FOR THE PROVISION OF SUPPORT SERVICES**