URGENT

No. 1007.4/4267

Office of Natural Resources and
Environmental Policy and Planning
60/1 Soi Pibulwattana 7,
Rama 6 Road, Phayathai,
Bangkok 10400
Tel/ Fax. 02 265 6692

25 March B.E. 2562 (2019)

Dear Ms. Lovita Ramguttee

Subject : Signing of Project Document and Letter of Agreement for the NDC Support Project

Reference is made to the letter Ref. 030/19/IGSD, dated February 12, 2019, requesting the Office of Natural Resources and Environmental Policy and Planning (ONEP) for consideration and signing the Project Document and Letter of Agreement that reflects the endorsed for the provision of support service for the NDC Support Project.

On behalf of ONEP, I am glad to present the Project Document and Letter of Agreement signed and enclosed herewith. I appreciate your generous support toward the implementation of this project and I look forward to working closely with you.

Yours sincerely,

R. Bhu.

Raweewan Bhuridej
Secretary - General

Enclosure : Project Document and Letter of Agreement for the NDC Support Project

Ms. Lovita Ramguttee
Deputy Resident Representative UNDP Thailand
UNDP Resident Representative 12th Floor, United Nation Building
Rajdamnern Nok Ave, Bangkhunprom Phranakorn , Bangkok 10200



STANDARD LETTER OF AGREEMENT BETWEEN UNDP AND THE IMPLEMENTING PARTNER
FOR THE PROVISION OF SUPPORT SERVICES
UNDER PROJECT TITLE:
NDC Support Project: Delivering Sustainability through Climate Finance Actions in Thailand

Dear Mrs. Bhuridej,

1. Reference is made to consultations between officials of the **Office of Natural Resources and Environmental Policy and Planning, under Ministry of Natural Resources and Environment** (hereinafter referred to as "Implementing Partner") and officials of UNDP with respect to the provision of support services by the UNDP country office for the nationally managed project titled "NDC Support Project: Delivering Sustainability through Climate Finance Actions in Thailand" or NDC Support (UNDP Award ID 00107139). UNDP and Implementing Partner hereby agree that the UNDP Country Office may provide such support services at the request of the Implementing Partner in Project Document as decribed below.

2. The UNDP Country Office shall provide support services for assistance with activities as specified in the Project Document and direct payment. In providing such support services, the UNDP Country Office shall ensure that the capacity of the Implementing Partner will be strengthened to enable it to carry out such activities directly. The costs incurred by the UNDP Country Office in providing such support services are to be recovered from the administrative budget of the project.

3. The UNDP Country Office shall provide, at the request of the Implementing Partner, the following support services for the activities of the project

(a) UNDP's technical assistance;
(b) Identification and/or recruitment of project personnel;
(c) Identification and/or recruitment of 3 National Consultants for report compilation;
(d) Identification and/or recruitment of 3 Local Consultants (support);
(e) Identification and facilitation of meeting, training and workshop activities;
(f) Procurement of goods and services;
(g) Publish synthesis report.

4. The procurement of goods and services and the recruitment of project personnel by the UNDP Country Office shall be in accordance with the UNDP regulations, rules, policies and procedures. Support services described in paragraph 3 above shall be in the form provided in the Attachment hereto. If the requirements for support services by the country office change during the life of a project, the annex to the project document is revised with the mutual agreement of the UNDP Resident Representative and the Implementing Partner.

5. The relevant provision of the **Special Fund to Thailand**[1] which was signed between the Royal Thai Government and the United Nations Special Fund, on 4 June 1960, including the provisions on liability and privileges and immunities, shall apply to the provision of such support services. The Implementing Partner shall retain overall responsibility for the nationally managed project. The responsibility of the UNDP Country Office for the provision of the support services described herein shall be limited to the provision of such support services detailed in the attachment.

6. Any claim or dispute arising under or in connection with the provision of support services by the UNDP Country Office in accordance with this letter shall be handled pursuant to the relevant provisions of the Special Fund to Thailand.

[1] *Pending the finalization of the Standard Basic Assistance Agreement (SBAA) between UNDP and the Implementing Partner, the Agreement between the United Nations Special Fund will govern the technical assistance provided by UNDP Thailand under UNPAF (United Nations Partnership Framework), 2017-2021*

7. The manner and method of cost-recovery by the UNDP Country Office in providing the support services described in paragraph 3 above shall be specified in the attachment.

8. The UNDP Country Office shall submit progress reports on the support services provided and shall report on the costs reimbursed in providing such services, as may be required.

9. Any modification of the present arrangements shall be effected by mutual written agreement of the parties hereto.

10. If you are in agreement with the provisions set forth above, please sign and return to this office two signed copies of this letter. Upon your signature, this letter shall constitute an agreement between the Implementing Partner and UNDP on the terms and conditions for the provision of support services by the UNDP Country Office for nationally managed projects.

Yours sincerely,

Signed on behalf of UNDP
Ms. Lovita Ramgutteе
UNDP Resident Representative, a.i.

Date: 12/03/2019

For Implementing Partner

Mrs. Raweewan Bhuridej, Ph.D.
Secretary-General
Office of Natural Resources and Environmental Policy and Planning
Ministry of Natural Resources and Environment

Date: ๒๒ มี.ค. ๒๕๖๒
22/03/2019

Attachment

DESCRIPTION OF UNDP COUNTRY OFFICE SUPPORT SERVICES

1. Reference is made to consultations between officials of the Office of Natural Resources and Environment Policy and Planning under Ministry of Natural Resources and Environment ("ONEP") and officials of UNDP with respect to the provision of support services by the UNDP country office for the nationally managed project "NDC Support Project: Delivering Sustainability through Climate Finance Actions in Thailand (NDC Support) (Award ID: 00107139).

2. In accordance with the provisions of the Letter of Agreement signed on ..... and the Project Document, the UNDP Country Office shall provide support services for the Project as described below.

3. Support services to be provided:

Support services	Schedule for the provision of the support services	Cost to UNDP of providing such support services (where appropriate)
1. Provide support services to ONEP - UNDP's technical assistance; - Identification and/or recruitment of project personnel; - Identification and/or recruitment of 3 National Consultants for report compilation; - Identification and/or recruitment of 3 local consultants (support); - Identification and facilitation of meeting, training and workshop activities; - Procurement of goods and services; - Publish synthesis report.	20 March 2018 – 31 December 2020	US$ 931,500

4. Assistance may consist of any other form which may be agreed by ONEP and UNDP.

5. Description of functions and responsibilities of the parties involved:
   a. ONEP to determine the type of services to be provided by UNDP, in line with the AWPs;
   b. ONEP will be consulted by UNDP in the process of providing the support services;
   c. UNDP will conduct the provision of the services using UNDP's procurement/recruitment/financial rules;
   d. UNDP will update ONEP quarterly, on the cost of the provision of the services.

6. All the decisions related to the support services provided by UNDP shall be made upon agreement/approval of the government.

7. The Inclusive Green Growth and Sustainable Development Unit of UNDP Country Office, together with the Operations Support Team of UNDP Bangkok Regional Hub will be responsible to provide support services as referred under the above-mentioned support services to be provided. The reimbursement costs of support services by UNDP Country Office ,in relation to activity implementation and/or deliver the outputs, which are beyond UNDP's roles of general project oversight and monitoring, will be considered as the project direct cost. The cost of these support services will be analysed based on the actual time spent of UNDP Country Office staff and charged to the project accordingly.

The support services cost provided by the Operations Support Team will be recorded to the project budget as per transactions, based on established UNDP policies.

UNITED NATIONS DEVELOPMENT PROGRAMME

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PROJECT DOCUMENT

Thailand Country Project

Project Title: NDC Support Project: Delivering Sustainability through Climate Finance Actions in Thailand
Project Number: Award ID 00107139/ Output ID 00107518
Implementing Partner: Office of Natural Resources and Environmental Policy and Planning (ONEP), Ministry of Natural Resources and Environment

Start Date: January 2018 **End Date:** December 2020 **PAC Meeting date:** 6 December 2017

Brief Description

Thailand submitted ambitious Intended Nationally Determined Contribution (INDC) targets of reducing its greenhouse gas (GHG) emissions by 20 percent compared to business-as-usual (BAU) level by 2030, prioritized multiple fronts in its adaptation efforts, and up to 25 percent emission reduction by 2030 subject to adequate and enhanced access to technology development and transfer, financial resources and capacity building support through a balanced and ambitious global agreement under the United Nations Framework Convention on Climate Change (UNFCCC).

Along with the opportunity and momentum created by the Paris Agreement comes the important challenge of transforming Thailand's NDC into tangible actions that lead to long term, zero-carbon and climate-resilient development in the country. As evident in the submitted NDC, Thailand will need sustained financial, capacity building and technical support to regularly prepare, implement, and report on national actions under the Paris Agreement and more specifically against NDC targets for reducing greenhouse gases.

Building on UNDP's extensive foundational work supporting low-emission development and climate change finance, the NDC Support Project will support the Thai Government to achieve transformational change by using NDC implementation as a mechanism to scale up investments in inclusive, gender-responsive climate actions that help achieve NDC targets and, through this, deliver on the Paris Agreement and the Sustainable Development Goals (SDGs).

Contributing Outcome (UNDAF/CPD, RPD or GPD): Output 6: Solutions developed at national and sub-national levels for sustainable management of natural resources Indicative Output(s) with gender marker[1]: - Strengthened public climate finance reforms to deliver NDC outcomes and enhance gender equality (GEN2) - Public-private partnership strengthened and policy incentives to leverage private sector climate investment identified to deliver Thailand NDC commitments (GEN1) - Capacities developed to design climate-friendly investment opportunities, address investor risks, and blend and catalyse climate finance (GEN1)	Total resources required:		931,500
	Total resources allocated:		
		UNDP TRAC:	0
		Donor:	
		SIDA	450,000
		IKI/BMUB	481,500
		Government:	0
		In-Kind:	0
	Unfunded:		0

[1] The Gender Marker measures how much a project invests in gender equality and women's empowerment. Select one for each output: GEN3 (Gender equality as a principle objective); GEN2 (Gender equality as a significant objective); GEN1 (Limited contribution to gender equality); GEN0 (No contribution to gender quality)

Agreed by (signatures):

Implementing Partner	UNDP
Mrs. Raweewan Bhuridej, PhD Secretary-General Office of Natural Resources and Environmental Policy and Planning Ministry of Natural Resources and Environment	Ms. Lovita Ramguttee UNDP Resident Representative, a.i.
Date: ๒๒ มี.ค. ๒๕๖๒ 22/03/2019	Date: 12/03/2019

I. DEVELOPMENT CHALLENGE

According to the Germanwatch Global Climate Risk Index 2017[2], Thailand is in the top 10 countries in the world leading the long-term climate risk ranking (1996-2015). In light of the current and projected trends, the country is vulnerable to a series of climate change impacts, particularly increasing droughts and floods, and has experienced several extreme climatic events in the recent past. From national projections (BUR, 2015)[3], the risk of severe flooding and drought are expected to rise due to increase rainfalls in high precipitation areas while arid lands would see a decrease in precipitation levels. ADB's study (2009)[4] on economics of climate change in Southeast Asia estimated the potential economic cost of inaction would equal 6.7 percent loss of combined GDP of Indonesia, Philippines, Thailand, and Viet Nam by 2100, and that the region is likely to suffer more from climate change than the global average. The World Bank (2012)[5] estimated the cost to the economy for the 2011 flood in Thailand to be THB 1.43 trillion (USD 41.3 billion) and additional THB 1.5 trillion (USD 43.5 billion) investment needs for recovery and reconstruction.

As a middle income country, Thailand is a relatively large emitter of greenhouse gases (GHGs). In the Global Carbon Atlas 2015[6], Thailand ranked 21 of 216 nation states/territories in carbon dioxide emissions, with total emission of 312 $MtCO_2$. The First Biennial Update Report (BUR, 2015) indicates that 72.97 percent of Thailand's total GHG emissions of 234.58 MtCO2eq (excluding land use, land-use change and forestry) in 2011 were from the energy sector, which includes transport, followed by agriculture (17.32%), industrial processes (5.97%) and waste (3.74%). The majority of GHG emissions in energy sector was generated by fuel combustion (specifically from public electricity and heat production and from manufacturing and construction) and transport.

Thailand has taken proactive steps on climate change. In December 2014, Thailand submitted its Nationally Appropriate Mitigation Action (NAMA) plan[7] to the UNFCCC[8]. Thailand's NAMA proposes policies and actions in the energy and transportation sectors to reduce emissions between 7 to 20 percent below business as usual compared in 2020. Proposed specific measures focus upon: (1) development of renewable and alternative energy sources; (2) energy efficiency improvement in industries, buildings, transportation and power generation; (3) bio-fuels in transport and (4) environmentally sustainable transport system[9]. Ahead of COP21 in 2015 in Paris, Thailand submitted ambitious Intended Nationally Determined Contribution (iNDC) targets[10] of reducing its GHG emissions by 20 percent compared to business-as-usual (BAU) level by 2030, prioritized multiple fronts in its adaptation efforts, and up to 25 percent emission reduction by 2030 subject to adequate and enhanced access to technology development and transfer, financial resources and capacity building support through a balanced and ambitious global agreement under the UNFCCC. Thailand's Nationally Determined Contribution (NDC) Roadmap on Mitigation 2021-2030 was developed through a national stakeholder engagement process[11] and endorsed by the Cabinet on 23 April 2017, focusing on effective emission reduction in energy and transport, waste management, and industrial processes and product use (IPPU) sectors[12].

As part of the national efforts towards low-carbon and climate resilient economy, Thailand has updated its energy policies that form the foundation of its NAMA targets in order to meet the country's NDC targets. In September 2015, the new Alternative Energy Development Plan (AEDP 2015)[13] was formulated to replace 30 percent of final energy consumption (in form of electricity, heat, and bio-fuel) by 2036 from the previous target of 25 percent by 2021. In line with AEDP 2015, Thailand also adopted the two other national energy plans namely the Energy Efficiency Development Plan (EEDP2015) and the Power Development Plan 2015-2036 (PDP2015)[14], focusing on the country's energy security (coping with the increasing power demand to correspond to National Economic and Social Development Plans (NESDPs) and taking into account fuel diversification); the economy (maintaining an appropriate cost of power generation for long-term economic

[2] http://germanwatch.org/en/download/16411.pdf

[3] http://unfccc.int/resource/docs/natc/thabur1.pdf

[4] https://www.adb.org/sites/default/files/publication/29657/economics-climate-change-se-asia.pdf

[5] http://documents.worldbank.org/curated/en/677841468335414861/pdf/698220WP0v10P106011020120 Box370022B.pdf

[6] http://www.globalcarbonatlas.org/en/CO2-emissions

[7] http://newsroom.unfccc.int/unfccc-newsroom/thailand-submits-nama/

[8] http://unfccc.int/files/meetings/cop_15/copenhagen_accord/application/pdf/thailandcphaccord_app2.pdf

[9] http://www.thai-german-cooperation.info/download/20141121_eedp_02_Roadmap_Thailand_NAMA_2020.pdf

[10] http://www4.unfccc.int/Submissions/INDC/Published%20Documents/Thailand/1/Thailand_INDC.pdf

[11] http://www.thaigov.go.th/news/contents/details/1511

[12] http://www.cabinet.soc.go.th/soc/Program2-3.jsp?top_serl=99324291&key_word=&owner_dep=%B7%CA&meet_date_dd=&meet_date_mm=&meet_date_yyyy=&doc_id1=&doc_id2=&meet_date_dd2=&meet_date_mm2=&meet_date_yyyy2=

[13] http://www.eppo.go.th/images/POLICY/ENG/AEDP2015ENG.pdf

[14] https://www.egat.co.th/en/images/about-egat/PDP2015_Eng.pdf

competitiveness and energy efficiency); and the ecology (lessening carbon dioxide intensity of power generation). When successfully implemented, Thailand's national energy plans will contribute to energy saving expected to be 89,672 GWh in year 2036 and increased alternative and renewable energy investment (i.e. hydro power, municipal waste, biomass, biogas, wind and solar power generation). Investments in transmission and distribution system will accommodate renewable energy and smart-grid development.

To advance the shift to a low-carbon economy and climate resilience development pathway, the Thai government has established a number of strategies, policies and plans, institutional structures and legal frameworks, while continuing to further develop climate resilience instruments. Thailand's national strategies to address climate change include the 20-Year National Strategy (2017-2036) and the 12th National Economic and Social Development Plan (2017-2021). Developed in accordance with the 20-year national strategy, the 12th NESDP acknowledges climate change and its impacts on the country's socio-economic development by addressing climate-related issues in key development sectors, including agriculture, energy, industries, and SMEs. Among the national development goals are to improve efficiency for climate change mitigation and adaptation, as well as to enhance climate-related disaster management and disaster risk reduction effectiveness[15].

In line with the national development strategies, Thailand Climate Change Master Plan (TCCMP) 2015-2050 is the country's first comprehensive, long-term strategic framework to address climate change. The TCCMP sets out Thailand's vision for a low carbon climate resilient development pathway along the lines of the country's economic and socio-cultural contexts as well as sufficiency economy philosophy and sustainable development agenda. It contains an analysis of mitigation and adaptation options and recommended policy and institutional framework, as well as defines the next steps for climate change resilience strengthening, knowledge management and capacity development, technology requirements, and financial mechanisms engaging financial and private sectors.

Gender and Climate Change

Thailand has given a great importance in respect of human dignity, particularly in promoting gender equality. The country has ratified the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW) in 1985 and its Optional Protocol in 2000; endorsed the 1995 Beijing Declaration and Platform for Action (BFPA); as well as committed to addressing gender inequality as targeted in the Millennium Development Goas (MDGs) and the Sustainable Development Goals (SDGs). In addition, Thailand has complied with the requirements and obligations under international human rights law and instruments on gender equality to which the country is a signatory.

Thailand's Gender Equality Act came into effect on 9 September 2015, preventing discrimination on the basis of gender and being inclusive of Lesbian, Gay, Bisexual, Transgender and Intersex (LGBTI) people. The Act establishes a financial mechanism, the Gender Equality Promotion Fund, which comprises a contribution from the national budget, for promotion of gender equality as prescribed in the Act. The Section 71 of Thailand's current Constitution, which was promulgated on 6 April 2017, introduces specific Gender Responsive Budget (GRB) related provision in the context of equality or non-discrimination. The 12th NESDP integrated population dynamics, gender equality, and sexual and reproductive health and rights issues. Furthermore, the Thai government and non-governmental organizations have put more effort to addressing gender inequality in the economy by using many policies and programmes such as providing more education, training workers, as well as enhancing employment opportunities for women.

Climate change widely affects human, natural resources and all development sectors in society. Moreover, poverty and gender inequality further challenge impacts of climate change. Drought, floods, extreme weather, increased incidence of disease, and growing food and water insecurity, these climate change impacts disproportionately affect the poor and powerless, the majority of whom are women. According to UNDP's recent study,[16] only 40 percent of NDCs submitted during the period of the study (as of April 2016) made reference to gender equality and women's empowerment. At COP23 in Bonn, the COP23 Presidency announced the States Parties had finalised the first-ever Gender Action Plan[17], which aims to increase the participation of women in all UNFCCC processes and in national NDC implementation. To realize the imperative of inclusive development, the roles of women in climate change adaptation and mitigation need to be fully recognized and comprehensively integrated into NDC planning and implementation. Whereas gender equality legislations and policies in Thailand have become increasingly evident in recent years, according to the UNDP study, Thailand was not part of the countries with NDC recognized and/or integrated gender equality. There is an important gap in view of understanding and acting upon the gender dimensions of mitigation and adaptation particularly in Thailand's NDC planning and implementation.

[15] http://www.nesdb.go.th/ewt_dl_link.php?nid=6422

[16] https://www.unccleam.org/sites/default/files/inventory/gender_equality_in_national_climate_action_1.pdf

[17] https://cop23.com.fj/cop23-presidency-announces-first-gender-action-plan-highlights-role-women-climate-action/

Climate Change Finance

Like many other developing countries, Thailand indicated that its intended contributions and outlined mitigation and adaptation actions set out in the NDC include conditional targets and actions (INDC, 2015)[18]. The submitted INDC clearly refers to the need to mobilize, in addition to domestic sources, adequate and predictable means of implementation from global agreement under the UNFCCC and bilateral cooperation through finance, market mechanisms, technology development and transfer, and capacity building for increasing Thailand's contributions to achieving the ambitious global targets.

> "Thailand recognizes the important role of market-based mechanisms to enhance the cost effectiveness of mitigation actions, and therefore will continue to explore the potentials of bilateral, regional and international market mechanisms as well as various approaches that can facilitate, expedite and enhance technology development and transfer, capacity building and access to financial resources that support Thailand's efforts towards achieving sustainable, low-carbon and climate-resilient growth, as appropriate." (INDC, 2015, p. 3)

Adaptation undertaking in Thailand will not only provide benefits on local and national scales, but also contribute to the resilience of global food production system, enable ecosystem and biodiversity protection, enhance the livelihood particularly of low-income population and contribute to the achievement of the global millennium and sustainable development goals. During 2009-2011, the public expenditures for adaptation actions in Thailand accounted for 68 percent of the total budget allocated to climate change. (INDC, 2015, p. 7) Existing national finance from public and private sources is climate-relevant, which can have both positive and negative impacts to Thailand climate actions. With heightened vulnerability to climate change impacts, the need for further adaptation investment and finance in Thailand is expected to substantially increase in the future.

Thailand is actively promoting GHG emission reduction through international and domestic carbon pricing instruments, including the Clean Development Mechanism (CDM). Thailand Greenhouse Gas Management Organization (TGO) serves as the Designated National Authority (DNA) for CDM in Thailand. According to the TGO's statistics,[19] Thai DNA has so far issued Letter of Approval (LoA) to 221 projects, with total expected Certified Emission Reduction (CERs) of 12.71 MtCo2e per year; 154 projects of which have been registered with the CDM Executive Board (CDM EB), with total expected CERs of 7.41 MtCo2e per year. Most of Thailand's registered CDM projects are based on the utilization of renewable energy in the form of biogas and biomass to replace fossil fuel for electricity and heat generation. TGO has been working with international development partners, including the Partnership for Market Readiness: PMR[20] and the Forest Carbon Partnership Facility (FCPF), to explore additional international and domestic market mechanisms. To encourage further investment in mitigation activities, Office of Natural Resources and Environmental Policy and Planning (ONEP) in partnership with UNDP Thailand has conducted Private Climate Expenditure and Institutional Review (PCEIR) to analyze the leveraging effects of 7 public supporting mechanisms in stimulating investment in the Renewable Energy sector.

To ensure that climate actions can be effectively enhanced to address the distress experienced domestically and internationally, it will be necessary for Thailand to be more efficient in climate change financing to free up resources for climate actions, as well as strengthening of national processes and boast capacity to become climate change finance ready. In addressing adaptation and mitigation challenges, it will be necessary for Thailand will be able to secure adequate means of implementation including finance, technology development and transfer, and capacity building through strengthened and structured climate change finance systems and processes.

[18] http://www4.unfccc.int/ndcregistry/ PublishedDocuments/Thailand%20First/Thailand_INDC.pdf

[19] http://www.tgo.or.th/2015/english/content.php?s1=33&s2=79

[20] https://www.thepmr.org/system/files/documents/Thailand%20Funding%20Proposal%20Related%20to%20Policy%20Analysis%20Activities_22%20Feb%2017.pdf

II. STRATEGY

Theory of Change

Guided by Thailand's long-term national strategies towards climate-resilient sustainable development, this project aims to support Thailand's implementation of priority mitigation and adaptation actions by using the NDC as a chapeau for bringing together the various strands of climate action in-country under a single long-term vision for achieving transformational change. Recognizing that climate finance is fundamental to achieving the scale required for transformational change, the project will support the initiation of a climate change financing framework by engaging high-level leadership and private sector, strengthening legislative and institutional frameworks, identifying investment barriers to prioritized mitigation and adaptation actions, enhancing capacities of key stakeholders for catalytic financing and investments, integrating gender needs, and fostering structured peer-to-peer learning and partner networking approach towards climate-resilient and inclusive development in Thailand.

The NDC Support Project builds on UNDP's strong expertise and lessons learned from climate change mitigation and adaptation programmes and projects, particularly the Low Emission Capacity Building (LECB) and Strengthening Thailand's Capacity to Link Climate Policy and Public Finance (Climate Finance) projects, as well as UNDP work on National Communications, transparency, REDD+ (reducing emissions from deforestation and forest degradation in developing countries), gender, and climate change governance.

Key results of Thailand's Climate Finance project that underpin the NDC Support Project are summarized as follows:

- *Institutional capacity built to integrate climate change objectives in relevant policy review and planning processes.* Building from the Climate Public Expenditure and Institutional Review (CPEIR[21]), which provided a systematic qualitative and quantitative analysis of the country's public expenditures and how they relate to climate change, the Climate Finance project developed the Climate Change Benefit Analysis (CCBA) Guidelines in collaboration with ONEP and Budget Bureau (BB) that has been piloted in agencies within both Ministry of Agriculture and Cooperatives (MoAC) and Ministry of Energy (MoE);
- *Improved understanding of how the government budget is impacting upon climate change.* The CCBA Guidelines is the foundation for the CCBA training course at TGO to train government officials in implementing climate change consideration into their budget request;
- *Thailand's capacity strengthened to take leading position in south-south cooperation and innovation in the area of linking climate policy and public finance, especially among ASEAN countries.* The Thai government, in regional workshops and dialogues, has shared their experiences in strengthening climate change integration into their public budgeting framework and lesson learned in developing CCBA.

While the climate finance project strengthened the integration of climate change into the budgeting process, the Thai Royal Government has viewed climate change as a gender-neutral issue thus limiting gender specific considerations in the policy, planning, and budgeting processes. Therefore, in line with the Gender Action Plan, the NDC Support Project will support the government in conducting a gender analysis in relation to climate change and public budgeting framework. The NDC Support Project will build on CCBA Guidelines in order to integrate gender responsive consideration into the budgeting framework. The project strategy will also focus on sustainable processes of national public budget reforms that enable the delivery of inclusive climate change related investments that would have positive impacts on gender equality, poverty, and human rights.

Key results of Thailand's LECB project that underpin the NDC Support Project are summarized as follows:

- *Prototype of mitigation actions and associated MRV strengthened for selected industrial sectors:* Through LECB project implementation, Thai cement and steel industries were sensitized to have a more robust understanding emission reduction potential within the industries, which could form a foundation to identify GHG mitigation opportunities and support the NDC implementation. The LECB project supported awareness raising, discussions on mitigation opportunities, and baseline emissions analysis in Thailand, and identified critical barriers to investment from a private sector perspective;
- *Strengthened institutional and procedural system for the national GHG inventory for the transport and waste sectors.* The LECB project delivered capacity development, improvement in inventory data estimates, strengthening of institutional coordination, and formulation of baseline analysis for mitigation actions;
- *Knowledge exchange and dissemination of results.* The LECB project held multiple stakeholder engagement meetings and workshops for cement and steel sectors. Training workshops of personnel implementing the GHG inventory of transport and waste sectors were also held. Publications of key results to the broader industrial sector included featured articles in industrial journals along with

[21] http://www.th.undp.org/content /thailand/en/home/ library/environment_energy/CPEIRThailand.html

targeted articles aimed at engaging with management of various companies through trade publications;

- *Analysis of private climate finance flows in key sectors.* A UNDP methodology for mapping private finance flows and assessment of current public support mechanism in driving private investment (Private Climate Expenditure and Institutional Review: PCEIR[22]) was applied:
    - Detailed methodology was developed for a scoping of the sectors of renewable energy, energy efficiency in buildings, and Energy Service Companies (ESCOs) to assess data availability and willingness of actors to participate in more detailed analysis;
    - Based upon the scoping phase, it was agreed to conduct an in-depth analysis of the renewable energy sector;
    - A formal Working Group of government agencies and private sector on PCEIR was established for the energy sector.

The PCEIR conducted under the LECB project identified the key private investment gaps that public policies and resources can address to drive green investment from the private sector, particularly under the AEDP2015 and broadly review the other two national energy plans (EEDP2015 and PDP2015), to achieve the NDC targets. In the LECB Project Board meeting on 29 June 2016, the Project Board, after endorsing the in-depth analysis of the renewable energy sector, recommended the energy efficiency sector be considered for future implementation in order to promote the effectiveness of the Energy Efficiency Development Plan 2015-2036 (EEDP2015).

The NDC Support Project strategy will draw upon lessons learned during the CPEIR and PCEIR development and the LECB implementation to enhance the Thai Government's capacity to implement the NDC Roadmap[23] and addressing private investment gaps through renewable energy and energy efficiency in Thailand.

Core Building Blocks

The NDC Support Project in Thailand is designed based on the theory of change which assumes that supporting national institutional and technical capacities within strategic and pivotal areas of work to improve the business case for climate actions by encouraging design of financing mechanisms and strengthening the enabling environment to encourage private sector engagement and investments will help to achieve long term, sustainable and self-driven climate change actions at national, sectoral and sub-national levels. The knowledge generated under Thailand's NDC Support Project will be distilled and disseminated through partner networks to showcase actions for the Paris Agreement and demonstrate the government's ambition.

The strategy is built on two core building blocks as follows:

I. Socially-inclusive and Gender-responsive Public Climate Finance

Under the framework of UNDP's *Asia-Pacific regional programme on Strengthening the Governance of Climate Change Finance to Enhance Gender Equality*, the NDC Support Project will focus on providing necessary interventions to assist the Thai Government in undertaking public budget reforms that enable a more integrated approach to public investments that enhance NDC implementation and can incorporate multiple dimensions of the sustainable development agenda – in particular climate change, gender equality and poverty. Based on the CPEIR and CCBA initiatives and results, through working closely with relevant Thai Governmental agencies and concern stakeholders, the project will improve on and operationalize the Climate Change Benefit Analysis (CCBA) to be gender-responsive and poverty-focused (*Output 1.1*). The inclusive, gender-responsive CCBA will assist the government in minimizing climate change impacts on sustainable development by improving the country's budgetary system and approach to cost and prioritize climate actions identified in the NDC as well as in the existing and future development policies and strategic plans.

Thailand's NDC Support activities will promote effective political engagement and advocacy in the country's public-sector climate budget reforms and capacity development. Under this project, policy briefs, high level symposiums and workshops will be developed and supported to ensure that political momentum is maintained for the adoption of the inclusive, gender-responsive CCBA, particularly facilitating effective NDC implementation (*Output 1.2*). The work in Thailand will assist concerned government and CSOs entities in tracking the differential impact of existing climate change related public investment on gender, poverty, and human rights. Thailand's access to international climate funds, including the Green Climate Fund (GCF) through GCF readiness initiatives in the country, will be further supported to strengthen the domestic budgeting system. To ensure the sustainability of the programme initiatives in Thailand and to maximize its potential for going to scale, a national institution that have the greatest potential to yield new knowledge[24] and that will lead

[22] http://lowemissiondevelopment.org/lecbp/docs/resources/ UNDP_LECB_Methodology.pdf

[23] https://www.international-climate-initiative.com/en/news/article/thailand_launches_greenhouse_gas_reduction_roadmap/

[24] http://www.undp.org/content/undp/en/home/librarypage/womens-empowerment/gender-equality-in-national-climate-action--planning-

to more inclusive climate action and gender responsive budgeting for Thailand will be identified and actively engaged in the programme.

II. Engagement of Private Sector through Climate-Friendly Investment Opportunities

Under the framework of UNDP's global *NDC Support Programme*, the NDC Support Project will further enhance national capacity to scale up investments on climate change mitigation in priority areas of the NDC, focusing on the energy and transport sectors.

The NDC Support Project will support a joint public-private approach for energy efficiency investment and finance in Thailand (*Output 2.1*) to create an environment of trust, openness and informational symmetry and help the Government to address regulatory and legislative hurdles that are impeding energy efficiency investments. Efforts to advance the findings from analysis on private sector investments in the renewable energy sector (undertaken through the LECB project) may also be explored, potentially through engagement with other development partners. To create conditions for competitive, market-based solutions to climate change that also deliver sustainable development dividends, this output will also support national systems platforms and partnerships through which the public and private sector can work in a trusting, collaborative manner to advance NDC implementation and, through this, deliver on the Paris Agreement and Sustainable Development Goals.

Applying a UNDP country-based approach that is based on the UNFCCC secretariat's technical report in 2007[25] on assessing the needs for climate change investment and financial flows in developing countries, the NDC Support project will assist the Thai Government to assess existing and planned investment and financial flows needed for NDC implementation in the selected sector (e.g., transport) in order to develop effective and integrated domestic-international responses (*Output 3.1*). Under this output, UNDP will work closely with the concern public and private stakeholders in the selected sector to identify gaps and prioritise needs for further work on investment and financial flows to address climate change that can be undertaken, particularly on changing financial incentive structures. Main activities for this output will include a comprehensive assessment of the domestic and international financial architecture (i.e., legal and institutions arrangements and mechanisms) available and required for implementation of Thailand's NDC targets during 2021-2030; and an analysis of the possible role of different sources of investment and financing (including domestic and international public and private sectors) and their future potential for climate change adaptation and mitigation, including incentives structures, technology development and transfer and capacity development to achieve Thailand's NDC and sustainable development targets (particularly Goal 13).

With the inclusive, gender-responsive CCBA operationalized, the analysis on leveraging private sector's investment on climate actions, and the analysis on investment and financial flow of key economic sectors, the process to develop Climate Change Financing Framework (CCFF) will be initiated (Output 3.2) which will incorporate the financial landscape for climate change actions both from the public and private sector, access to international and domestic sources for climate finance, and monitoring and evaluation framework for climate expenditures and their impacts, to support NDC and its contributions to SDGs as well as the government's reform agenda. Recommendations for financial mechanisms to support scaled up investments and to support CCFF initiation will be made, and relevant ministries capacitated.

Key assumptions underlying the strategy of the Thailand NDC Support project include:

- National political support for the NDC implementation does not diminish and the Thai Government endeavors to align the climate change and SDGs agendas;
- The Thai Government is willing to engage a broad range of stakeholders through a whole of government approach to progress towards NDC implementation and to address barriers to institutional collaboration;
- The Thai Government has the capacities to design robust mitigation actions and strategies and can successfully negotiate climate targets with key sectors;
- The Thai Government will be keen to showcase concrete success stories and/or learn from examples that have been successfully implemented elsewhere to speed up NDC implementation;
- Thai financial sector and investors will be encouraged to provide voluntary support and/or to voluntarily adapt government-promoted NDC mitigation actions;
- Thai private sector will be increasingly aware of the relevance of the national climate action and development agendas for both business continuity and development, and will understand that early participation and engagement in NDC implementation will deliver long-term security for a wide range of inter-locking business interests.

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for-gender-.html

[25] http://unfccc.int/resource/docs/ publications/financial_flows.pdf

III. RESULTS AND PARTNERSHIPS

Expected Results

The goal of the NDC Support Project is to assist the Thai Government to undertake fully inclusive, low-carbon development pathways to deliver on the Paris Agreement in the context of sustainable development. This will be achieved by using the NDC as a chapeau for bringing together the various strands of climate mitigation and adaptation actions in-country under a single long-term vision for achieving transformational change. This initiative aims to identify hands-on and nationally-owned solutions to scaling up climate change efforts that are customized to domestic circumstances, needs and priorities. Through this initiative, UNDP will work closely with the Thai Government and key relevant stakeholders to plan for, and implement, the country's NDC in a consensus-driven and inclusive manner by addressing critical barriers to climate finance.

Through this project, building on previous efforts including the Climate Finance and LECB projects and foundational work on climate finance and gender equality, UNDP will encourage development of capacities that enable climate-related institutional, financial and policy reforms in Thailand. UNDP's technical support to Thailand under this project focuses upon public climate finance reforms and design of innovative financing mechanisms, coupled with investment analysis, derisking strategies, and sustained private sector engagement, to strengthen the enabling environment and attract scaled up investments in low-carbon pathways throughout the NDC process. These essential compositions to effective NDC implementation will be based on research and advocacy, drawing on gender-focused and local knowledge.

Outputs 1 to 3 are designed as primarily country-level support areas that UNDP Thailand team will deliver with technical backstopping from the UNDP NDC Support Programme Global Support Unit (GSU) along with the Governance and Climate Change Finance team at UNDP Bangkok Regional Hub (BRH). The Outputs thus also reflect the broader frameworks of support described under the global NDC Support Programme implemented by UNDP HQ and Swedish International Development Cooperation Agency (Sida) supported Regional Project on 'Strengthening the Governance of Climate Change Finance to Enhance Gender Equality'.

Based on the operationalized of inclusive, gender-responsive CCBA in Output 1, the analysis on leveraging private sector investments in Output 2, and the formulation of investment and financial flows for climate change in selected key economic sectors in Output 3.1, the blueprint of Thailand's Climate Change Financing Framework (CCFF) will be initiated by the end of the project.

Output 1: Strengthened public climate finance reforms to deliver NDC outcomes and enhance gender equality

The output will be achieved by incorporating inclusive, gender-responsive Climate Change Benefits Analysis (CCBA) in budget formulation processes within the line ministries including consideration how climate change impacts men, women, and vulnerable groups. This output will focus on improving the budget formulation processes, incorporating inclusive, gender-responsive CCBA. The output will be achieved through a combination of evidence generation, participatory action research, and technical support. Building on the success from Strengthening Thailand's Capacity to Link Climate Policy and Public Finance (Climate Finance) project where CCBA guidelines was developed and piloting of CCBA utilization conducted with Ministry of Agriculture and Cooperatives (MoAC). By 2020, the project aims to incorporate CCBA in budget formulation within line agencies (e.g., Ministry of Agriculture and Cooperatives (MoAC) and Ministry of Transport (MoT)). A Participatory Action Research (PAR) on inclusive, gender-responsive climate change actions and climate change adaptation on vulnerable groups will be conducted in selected sector(s) using Strategic Gender Assessment. The research findings will be incorporated in the improved CCBA to support inclusive, gender-responsive budget formulation processes. Inclusive, gender-responsive CCBA training module will also be developed to ensure that capacity development processes are in place. Key stakeholders and relevant government officials will be trained on utilization of inclusive, gender-responsive CCBA.

The project will also establish stronger capacities and a more robust evidence base from Participatory Action Research (PAR) for the adoption of CCBA as well as to build accountability for the impact of public investments on vulnerable groups and the poor. Alongside feeding evidence into the budget formulation process, once the research is completed, its evidence will also be disseminated to the different stakeholders, providing an opportunity for the voice of the people to be heard through this process. The project will work with multi-stakeholders to increase debates and dialogue in the public space. This can help trigger more concerted actions from policy-makers, thereby reinforcing the likelihood of more informed, and responsive planning and investment decisions.

1.1: Operationalized inclusive, gender-responsive Climate Change Benefit Analysis (CCBA) into selected line ministries

Activities:

1.1.1 Conduct Participatory Action Research (PAR) on inclusive, gender-responsive climate change actions in selected sector(s) (e.g., agriculture and transportation) using developed Strategic Gender Assessment (SGA) tool(s) and recommendations;

1.1.2 Strengthen and operationalize CCBA by incorporating gender dimensions and impacts on vulnerable groups to developing 2 budget proposals of the selected line agency (s) (e.g., Ministry of Agriculture, Ministry of Transport) for submission to the Budget Bureau, utilizing inclusive CCBA;

1.1.3 Initiate Climate Change Financial Framework (CCFF) as a pathway to inclusive NDC implementation and advancement on SDG agenda;

1.1.4 Develop a training module and provide trainings to line agencies to build capacity and scale up the adoption of the inclusive CCBA.

1.2: Public debates for inclusive, gender-responsive climate change related investments enhanced through political engagement and advocacy

Activities:

1.2.1 Conduct multi-stakeholder symposium(s) on inclusive, gender-responsive climate change budgeting using findings from PAR and CCBA;

1.2.2 Engage high-level decision makers and key stakeholders at relevant ministries in inclusive, gender-responsive climate change budgeting workshop(s), and on initiating CCFF;

1.2.3 Advocate for political commitment on the utilisation of inclusive, gender-responsive CCBA through policy briefs, high-level symposium(s), workshop(s) and other relevant interventions;

1.2.4 Disseminate PAR findings to ensure inclusive, gender-responsive budget submission incorporate CCBA in budget formulation processes and path towards initiating Thailand's CCFF in Output 3.

Output 2: Public-private partnership strengthened and policy incentives to leverage private sector climate investment identified to deliver Thailand NDC commitments

Public-private partnerships must be encouraged to create an environment of trust, openness and informational symmetry and help the Thai Government to address regulatory and legislative impediments to the NDC implementation investment. As noted above, under the LECB project, a Private Climate Expenditures and Institutional Review (PCEIR) exercise was undertaken in the renewable energy sector and the experience forms the basis for new work under the NDC Support Project. Under this output, a PCEIR Working Group will be established and also used as a mechanism to create a proactive and participatory approach to identifying the areas in which the private sector can best contribute to NDC implementation and support the transparency and credibility of efforts. The project will engage the private sector to achieving low-carbon, climate resilient, and sustainable development targets. Regulatory and policy approaches that can best encourage financial stability and market-based solutions will be identified and pursued. The findings and recommendations of PCEIR in both renewable energy and energy efficiency sectors will also constitute the initiation of Climate Change Financing Framework (CCFF) in Output 3.

2.1: Private sector systematically engaged on NDC mitigation investment opportunities

Activities:

2.1.1: Establish a PCEIR Working Group which will include industry representatives, private sector trade representatives, government agencies, and other stakeholders established to provide regular public-private engagement on NDC mitigation implementation (focusing on transportation and energy sectors), advise on perceived investment risks (in support of Output 3.1), and promote benefits of low-emission and risk-informed actions to support the initiation of CCFF;

2.1.2: Conduct PCEIR on energy efficiency to compliment the findings from PCEIR on renewable energy. The two studies will inform the analysis on public support mechanisms and incentive structures in driving private investment in NDC implementation in Output 3;

2.1.3 Strengthen partnerships between government and private sector through establishing systematic and regular exchange forum to discuss inclusive NDC investment opportunities, including advancement of the SDG agenda through achievement of the Paris Agreement.

Output 3: Capacities developed to design climate-friendly investment opportunities, address investor risks, and blend and catalyse climate finance

This Output will take forward the two strands of works on public and private sector climate finance in Output 1 and Output 2 to develop capacities of key public sector stakeholders to identify and apply the appropriate policy and financial tools for addressing investment risks and remove barriers, including design of sustainable finance mechanisms. An assessment of Investment and Financial Flows (I&FF) will be conducted to address inclusive, gender-responsive climate change for selected sector (e.g., transport), as well as to provide policy

recommendations on inclusive policy instruments to leverage public support mechanism in driving private investment in NDC implementation and the initiation of Climate Change Financial Framework (CCFF).

Activities under this output are designed to determine the country's current and future financial requirements to address the impact of climate change and the anticipated financial sources for selected sector to support the NDC implementation through the I&FF assessment; as well as to develop long-term capacity enhancement in climate change planning and decision-making in the public sector.

3.1: Investment risks assessed and barriers addressed (in selected sector e.g. transport)
Activities:

3.1.1: Conduct investment and finance flows analysis to map and assess climate finance investment trends and leveraging effects of public policies in Thailand in selected sector (e.g., transportation);

3.1.2 Identify inclusive policy and financial instruments (e.g., incentive structures) to leverage public support mechanisms in driving private investment in NDC implementation (e.g., transportation, energy efficiency, renewable energy) and to support the initiation of Climate Change Financial Framework (CCFF);

3.1.3: Capacities of relevant ministries assessed and strengthened to access, blend, catalyse, and coordinate climate finance.

3.2: Climate Change Financing Framework initiated to scale up NDC mitigation actions and the contributions to SDGs.
Activities:

3.2.1: Based on results under Outputs 1.1, 2.1, and 3.1, develop recommendations to initiate a blueprint for Thailand's Climate Change Financing Framework (CCFF) to support scaled up investments in prioritized NDC actions and the contributions to SDGs;

3.2.2 Engage high-level decision makers and key stakeholders at relevant ministries in initiating inclusive, gender-responsive CCFF (parallel with 1.2.2);

3.2.3 Advocate for political commitment to initiate inclusive, gender-responsive CCFF through policy briefs, high-level symposium(s), workshop(s) and other relevant interventions (parallel with 1.2.3).

Resources Required for Achieving the Expected Results

This three-year project is designed to be an umbrella project to be implemented with pooled resources from two sources of funding:

(1) A UNDP NDC Support Programme: Delivering Sustainability through Action on Climate Change (funded by the EU and the governments of Germany and Spain),

(2) A Swedish International Development Agency (SIDA)-supported Regional Project on 'Strengthening the Governance of Climate Change Finance to Enhance Gender Equality' through UNDP Asia Pacific Regional Centre, of which Thailand is one of the pilot countries.

The total indicative budget for the NDC Support project is USD 931,500 for the three-year project. The proposed funding amount is based on the funds allocated from the Regional Project on 'Strengthening the Governance of Climate Change Finance to Enhance Gender Equality' of USD 450,000 and UNDP NDC Support Programme of USD 481,500. An amount of USD 234,780 has been earmarked in Output 1 to incorporate gender equality into the governance of climate change finance in Thailand. For systematic engagement of the private sector and elaboration of a PCEIR on Energy Efficiency sector, the Project has allocated USD 291,200 to Output 2. Output 3 has been allocated at USD 60,447 for investment analysis and CCFF initiation. The total of project management cost inclusive of terminal evaluation is set at USD 345,073.

Partnerships and Stakeholder Engagement

The NDC Support project in Thailand will work closely with the Thai Government and will align with existing and new climate-related projects being/to be implemented by UNDP Thailand Office, UNDP Bangkok Regional Hub (BRH), and UNDP HQ. The project activities will be implemented through partnership with national/regional initiatives, including UN agencies (e.g., UN Women, UNCDF, UNEP); potential Thai think tanks on climate change, financing for development, and gender equality (e.g., Thailand Development Research Institute, Climate Change International Technical and Training Center, Environmental Research and Training Centre, Fiscal Policy Research Institute, King Prajadhipok's Institute); potential regional and Thai universities (e.g., Asian Institute of Technology, Thammasat University, Chulalongkorn university, Kasetsart University, National Institute of Development Administration); and key potential Thai CSOs and climate vulnerable groups (e.g., Women and SDG networks, We Move, Climate Watch Network, Rak Thai Foundation).

The Project supports Thailand to put in place inclusive processes to ensure that the key stakeholders are engaged throughout the Programme's duration. In this regard, climate-related stakeholders in both the public and private sectors in Thailand will be targeted to enhance the country's NDC implementation as summarized below.

- **Government entities** at national level and line ministries are essential to ensure national ownership and complementarity of NDC implementation with the national sustainable development agenda. Because this requires an inclusive "whole of government" approach, the initiative will target a range of key line ministries beyond the National Committee on Climate Change Policy (NCCCP), the Office of Natural Resources and Environmental Policy and Planning (ONEP), the Thailand Greenhouse Gas Management Organization (TGO), and the Department of Environmental Quality Promotion (DEQP) under the Ministry of Natural Resources and Environment (MoNRE) in charge of climate change. These include: the key sectoral ministries that will be implementing climate mitigation and adaptation targets and actions such as the Ministry of Agriculture and Cooperatives (MoAC), the Ministry of Energy (MoE), Ministry of Transport (MoT) and the Department of Disaster Prevention and Mitigation (DDPM) under the Ministry of Interior (MoI); the Bureau of the Budget (BB) under the Prime Minister's Office, for budgetary appropriations; the Ministry of Finance (MoF), for overseeing various matters concerning public finance, taxation, treasury, revenue- generating enterprise including those relating to climate change; the Office of National Economic and Social Development Board (NESDB), the National Commission of Women's Affairs (NCWA), the Gender Equality Promotion Committee (GEPC), as key coordination entities for sustainable development; the Department of Women's Affairs and Family Development (DWF), Ministry of Social Development and Human Security (MoSDHS), for ensuring inclusive and gender-responsive climate investment and financial flows; the Ministry of Foreign Affairs (MoFA), if leading climate change negotiations; and parliamentarians, who are responsible for ratifying legislation.
- **Women's groups and CSOs**: Thailand's NDC needs to recognize and support the role of women and vulnerable communities who are secondary stakeholders and central to the NDC implementation and the sustainable development solution as active agents in addressing and responding to climate change. Through an inclusive, gender-responsive framework, the project will support the government in addressing inclusive, gender-responsive consideration in NDC implementation through the budget proposal process. Key potential CSO counterparts for poverty-gender-climate linkages in Thailand include the Women and SDG networks, the EU-supported We Move initiative, the Climate Watch Network, the Rak Thai Foundation, the Sustainable Development Foundation (SDF), the NGO Coordinating Committee on Development (NGO-COD), the RECOFTC, the Human Rights Networks, and the NGO network on natural resources and environment.
- The **private sector** will be vital partners for implementing and financing climate mitigation and adaptation actions in Thailand. This includes both domestic actors, such as small and medium enterprises, energy companies, and business associations, as well as international actors seeking opportunities for larger-scale financial and technological investments, including through future market-based mechanisms.
- Other important **national actors** for defining a long-term vision for low-carbon, climate-resilient development, as well as the barriers to this vision, include finance providers and research and academic institutions. Financial institutions play an important role as an intermediary for capital mobilization and allocation of economic resources and as a provider of payment and settlement services. Well developed, efficient and stable financial institutions are thus the key to support NDC implementation and sustainable development. Depending on the activities to be designed during the project inception, potential financial institutions in Thailand that may be interested in climate change investment include commercial banks, Special Financial Institutions (SFIs), credit unions, mutual funds, insurance companies, provident funds, asset management companies, and securities companies. A number of research, academic, and training entities in Thailand have already actively engaged in NDC implementation support and climate change adaptation and mitigation efforts.

Risks and Assumptions

Key project risks and assumptions are identified and summarized in the table below.

Risks	Risk level (H/M/L)	Mitigating measures
Weak support by government counterparts and private sector stakeholders to NDC implementation.	M	• The project is designed to have interventions that would increase political buy-in, country ownership, and building institutional capacity to take forward climate policy and budget reforms. • Early engagement with key stakeholders to obtain strong buy-in to ensure sufficient and sufficiently-capable resources • Formal interagency platforms to be created to engage concerned ministries.
Lack of active participation of business associations, private sector and financial sector to finance, support and implement technically sound and financially viable mitigation and adaptation actions.	H	• Through the working group to be established under output 2, the business associations and private sector will be engaged since the prioritization process of mitigation and adaptation actions to secure buy-in as well as technical, social, and environmental review of options. • Through the platform to be established under output 2, continuous advocacy and information exchanges among public, private and financial sectors will be undertaken to overcome mistrust and increase common understanding of mutual benefits to the achievement of NDC targets and SDGs.
Implementation of gender responsive climate financing reforms are delayed due to new partnerships e.g. Department of Women's Affairs and Family Development (DWF) to be forged, and existing budget systems and processes cannot be easily modified.	M	• Formal interagency platform to be created to engage concerned ministries. • National think tanks, NGOs, andacademicians enjoying high credibility and reputation to be recruited to support the engagement process. • Increased advocacy materials and communication strategy. • Adaptive learning and training design approaches to be undertaken, informed by surveys results measuring relevance, utility, and satisfaction of participants in programme events (e.g. knowledge exchanges, media workshops etc.).
Lack of willingness of the Thai Government to implement ambitious NDCs and incorporate best practice examples.	S	• Mechanism will be set-up to ensure donor coordination supports and synergy among similar and parallel initiatives to demonstrate consolidated and tangible benefits of more ambitious NDC targets will accelerate development initiatives and processes (e.g. women's empowerment, youth employment, health improvements, etc.).
Assumptions		
Political support for NDCs and the Paris Agreement does not diminish. The Thai Government will endeavour to align the climate change and SDG agendas and be willing to engage a broad range of stakeholders to progress towards NDC implementation. The Government will be keen to showcase concrete success stories and co-benefits through the NDC Partnership and/or learn from examples that have been successfully implemented elsewhere to speed up the implementation process. Private sector will be increasingly aware of the relevance of the national climate action and development agendas for both business continuity and development, and will understand that early participation will deliver long-term security for a wide range of inter-locking business interests. Private sector will thus welcome the opportunity to participate in NDC implementation.		

Knowledge Sharing

In order to capture and codify key results and good practices, knowledge management and learning will be a core component of Thailand's NDC Support Project. The project will draw upon Thailand's experiences of the LECB Programme to define the most useful types of knowledge products. In addition to flagship knowledge products, it is proposed to use informal mechanisms such as blogs, newsletter updates and webinars to share learning, trends and good practices in "real time". The learning gained through the Project will be disseminated through partner networks and the UNDP NDC Help Desk as the internal knowledge platform. Where possible, knowledge products will be elaborated with key partners in the Thai Government and national stakeholders as well as UNDP Thailand Office and Bangkok Regional Hub (BRH), the IKI NDC Support Cluster[26], and the NDC Partnership to ensure the most efficient use of resources.

As part of the global project activities, South-South cooperation and triangular cooperation (SSC/TrC) are expected to play an important role in this project as complements to traditional North-South or multilateral cooperation for sharing experiences on NDC implementation. Thailand has played a role as a donor to surrounding and other developing/less developed counties, with strategic utilization of technical cooperation scheme such as South-South cooperation towards other developing countries particularly in ASEAN and Africa to address in sustainable development issues through the SEP. Based on active roles played in Thailand by various stakeholders including private companies, NGOs, universities and local administration, collaboration among these stakeholders and establishment of networks with Thai stakeholders will be further strengthened with a focus on mutual learning, capacity-building and technical knowledge-sharing and even innovative financial instruments for NDC implementation that have great potential to drive the transition towards a resilient economy in Thailand. Based on the global project initiatives, SSC/TrC best practices will be identified and applied to create a fostered and systematic approach to technical and political peer exchange learning between the Government, the private sector, academia and civil society. Knowledge and lessons learned will be proactively identified, analysed and disseminated through existing UNDP and partner networks.

Sustainability and Scaling Up

The NDC Support project has been designed to be country-driven and country-owned, with technical and institutional capacities developed through a learning-by-doing approach. The national government ownership of project implementation and achieved results is considered instrumental for ensuring that human, technical, and institutional capacities are built and sustained within partnering governments and other national champions. National and local capacities will be built via a coherent and strategic implementation of activities which will yield sustainable long term impact at national, sub-national, and sectoral levels.

The project specifically supports Thailand's sustainable development objectives to enhance planning, policy frameworks and institutional capacities to substantially reinforce action on climate change by supporting integrated governance and transparency systems. A focus on private sector engagement and sustainable financing mechanisms will support the government to scale up and sustain mitigation actions that support low-carbon development.

As a central element to the implementation strategy, strong emphasis will be provided to ensure replicability and sustainability of results beyond the project's scope and duration. Through strengthening of institutional capacities and policy mechanisms, Thailand will create an enabling environment that reduces investment risks, creates the conditions for reduced dependency on grant-funded initiatives by instead attracting private finance, and ensure inclusive, gender responsiveness of national climate action. Mainstreaming of mitigation and adaptation policies and NDC targets through improved institutional and policy frameworks will anchor the project's results in the broader national and local systems.

As noted earlier, to allow all Thailand counterparts to benefit, the project will use its access to relevant regional and global programmes of UNDP to access emerging best practices and relevant resources that can be shared with national stakeholders.

[26] Annex VII

IV. PROJECT MANAGEMENT

Cost Efficiency and Effectiveness

The NDC Support Project will apply a similar management approach as that used under the Thailand's Strengthening Thailand's Capacity to Link Climate Policy and Public Finance (Climate Finance – 2013-2017) and Low Emission Capacity Building (LECB - 2013-June 2018). A final evaluation found that the Climate Finance and LECB initiatives in Thailand were both efficient and generally effective, with recommendations for promoting more country ownerships and addressing private engagement and finance barriers. The project is also aligned to the work of UNDP BRH engaging at the regional level to promote networking and knowledge sharing to ensure that Thailand can learn from global and regional experience and replicate good practice and innovation in linking climate policy and public finance.

The global nature of the UNDP NDC Support Programme that Thailand project allows for extraction and sharing of best practices that assist Thailand in project implementation. Through the IKI NDC Support Cluster and the NDC Partnership at the global level, the Thailand NDC Support Project will be engaged in collaborative programming where possible to provide more effective and coordinated assistance to the country, including joint workshops and training and preparation of knowledge products.

Programme Management

Thailand's components under the NDC Support Project will continue to have the same governance structure as in the LECB Project, with a Project Steering Committee (PSC) chaired by the Ministry of Natural Resources and Environment/Office of Natural Resources and Environmental Policy and Planning (ONEP) with strong engagement from both original (i.e., the Office of National Economics and Social Development Board, the Ministry of Finance, and the Bureau of the Budget) and expanded (i.e., Ministry of Agriculture and Cooperatives, Ministry of Energy, and Department of Disaster Prevention and Mitigation, Department of Women's Affairs and Family Development, Ministry of Social Development and Human Security) as well as other partners (i.e., UNDP Thailand, participating private investors and finance providers, CSOs, and academics). Throughout the project execution, which will be under the responsibility of a Project Management Unit (PMU) established under the ONEP, this steering committee will become a platform of policy dialogues on inclusive, gender-responsive NDC implementation and sustainable climate finance in Thailand.

UNDP Thailand Office will ensure the synergy and collaboration with the other relevant initiatives under UNDP support in Thailand. Implementation of the NDC Support Project in Thailand will also be reporting to the Outcome Board. The UNDP Thailand establish in the next Country Programme Document (2017-2021) to guide the works under the Policy-Finance Cluster on Integrated Financing Framework for SDGs. This outcome board will be chaired by NESDB, in its capacity as the focal point of the national SDG committee. This aims to be an avenue to bring the results of the climate finance project up to the policy and decision-making level, as well as to highlight that climate change issues are cross-cutting and integral to the other development priorities of Thailand and fundamental to the issues of gender disparity, inequality, and human rights.

V. RESULTS FRAMEWORK[27]

Intended Outcome as stated in the UNDAF/Country [or Global/Regional] Programme Results and Resource Framework: Promoting green and inclusive growth: Strategy 1: Creation of fairness, reducing inequality in the society; Strategy 4: Green growth for sustainable development
Outcome indicators as stated in the Country Programme [or Global/Regional] Results and Resources Framework, including baseline and targets: Outcome 1: Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded
Applicable Output(s) from the UNDP Strategic Plan: Output 6: Solutions developed at national and sub-national levels for sustainable management of natural resources
Project title and Atlas Project Number: NDC Support Project: Delivering Sustainability through Climate Finance Actions in Thailand (Award ID 00107139)

EXPECTED OUTPUTS	OUTPUT INDICATORS	DATA SOURCE	BASELINE		TARGETS (annual, by frequency of data collection)				RISKS
			Value	Year	2018	2019	2020	Final[28]	
Output 1 Strengthened public climate finance reforms to deliver NDC outcomes and enhance gender equality	1.1 Number of budget submissions that have integrated inclusive, gender-responsive Climate Change Benefit Analysis (CCBA)	Budget proposals submitted (operationalizing inclusive, gender-responsive CCBA). CCGBII assessments[29]	0	2017	0	2	0	2	*May be challenges to implementing an inclusive, gender-responsive agenda.*
	1.2 Number of public debates for inclusive, gender-responsive climate change related investments is enhanced through political engagement and advocacy	Documented policies and processes (reviewed annually) Reports and Media coverage	0	2017	TBD	TBD	TBD	TBD	*May be challenges to implementing an inclusive, gender-responsive agenda.*

[27] UNDP publishes its project information (indicators, baselines, targets and results) to meet the International Aid Transparency Initiative (IATI) standards. Make sure that indicators are S.M.A.R.T. (Specific, Measurable, Attainable, Relevant and Time-bound), provide accurate baselines and targets underpinned by reliable evidence and data, and avoid acronyms so that external audience clearly understand the results of the project.

[28] Cumulative target

[29] Climate Change Gender Budget Integration Index (CCGBII) is an indicative tool in tracking progress of budget integration of inclusive, gender-responsive climate change on policy, system, accountability, and development partners.

EXPECTED OUTPUTS	OUTPUT INDICATORS	DATA SOURCE	BASELINE		TARGETS (annual, by frequency of data collection)				RISKS
			Value	Year	2018	2019	2020	Final[28]	
Output 2 Public-private partnership strengthened and policy incentives to leverage private sector climate investment identified to deliver Thailand NDC commitments[30]	2.1 Number of technical reviews and recommendations endorsed by the PCEIR Working Group	PCEIR Working Group minutes Endorsed recommendations	1	2018	0	1	2	3	*Low risk. PCEIR working group was previously established under LECB project.*
	2.2 Number of PCEIR analysis conducted	PCEIR report	1[31]	2018	0	0	1	1	*Main challenge will be access to private sector data.*
	2.3 Number of exchange forums to engage private sector on NDC opportunities organised	Forum reports Media coverage	0	2017	1	2	1	4	*May be challenges in availability of media coverage*
Output 3 Capacities developed to design climate-friendly investment opportunities, address investor risks, and blend and catalyse climate finance[32]	3.1 Number of investment and financial flow analyses conducted with inclusive policy and financial instruments identified	I&FF report for selected sector(s) (e.g., transport)	0	2017	0	1	0	1	*May be challenges in obtaining data for the analysis.*
	3.2 Number of climate finance capacity development programmes conducted (with gender targets)	Training reports Participant lists Evaluations	0	2017	0	0	2	2	*May be challenges in meeting gender targets due to personnel availability*
	3.3 Number of report on recommendations to initiate the Climate Change Financing Framework (CCFF) developed and endorsed by the Project Steering Committee	Report on Recommendations Minutes of the meeting endorsing the recommendations	0	2017	0	0	1	1	*May be challenges from future legal and policy landscape with impending Climate Change Act*

[30] Maps to NDC Support Programme global output 5

[31] PCIER on Renewable Energy Sector Report

[32] Maps to NDC Support Programme global output 4

VI. MONITORING AND EVALUATION

In accordance with UNDP's programming policies and procedures, the project will be monitored through the following monitoring and evaluation plans:

Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
Track results progress	Progress data against the results indicators in the Results Framework will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	Quarterly, or in the frequency required for each indicator.	Slower than expected progress will be addressed by project management.	Project Steering Committee (PSC)	
Monitor and Manage Risk	Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.	Quarterly	Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.	PSC, Project Management Unit (PMU)	
Learn	Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	At least annually	Relevant lessons are captured by the project team and used to inform management decisions.	PMU IKI NDC support cluster	
Annual Project Quality Assurance	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.	PSC, PMU	
Review and Make Course Corrections	Internal review of data and evidence from all monitoring actions to inform decision making.	At least annually	Performance data, risks, lessons and quality will be discussed by the Project Board and used to make course corrections.	PSC	
Project Report	A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk log with mitigation measures, and any evaluation or review reports prepared over the period.	Annually, and at the end of the project (final report)		PSC, PMU, independent evaluation team	
Project Review (Project Board)	The project's governance mechanism (i.e., Project Board) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.	At least annually	Any quality concerns or slower than expected progress should be discussed by the Project Board and management actions agreed to address the issues identified.	PSC	

Evaluation Plan

Evaluation Title	Partners (if joint)	Related Strategic Plan Output	UNDAF/CPD Outcome	Planned Completion Date	Key Evaluation Stakeholders	Cost and Source of Funding
Final evaluation	N/A	1.4	Output 6	December 2020	National partners, UNDP Thailand Office, BRH, PSC, PMU	$9,082 (donor)

VII. MULTI-YEAR WORK PLAN [33] [34]

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year			RESPONSIBLE PARTY	PLANNED BUDGET		
		2018	2019	2020		Funding Source	Budget Description	Amount
Output 1: Strengthened public climate finance reforms to deliver NDC outcomes and enhance gender equality Gender marker: GEN2	1.1 Operationalized inclusive, gender-responsive Climate Change Benefit Analysis (CCBA) into selected line ministries	51,840	51,840	21,600	ONEP (BB/DWF/FPO/ NESDB/ TGO and related line agencies)	SIDA	Nat. Consultant	136,800
							Workshop	50,700
	1.2 Public debates for inclusive, gender-responsive climate change related investments enhanced through political engagement and advocacy	41,500	34,000	34,000			Publication	17,280
							PM	30,000
	Sub-Total for Output 1							**234,780**
Output 2: Public-private partnership strengthened and policy incentives to leverage private sector climate investment identified to deliver Thailand NDC commitments Gender marker: GEN1	2.1. Private sector systematically engaged on NDC mitigation investment opportunities	68,000	115,200	108,000	ONEP (BOI/DEDE/EPPO/ TGO and related line agencies)	SIDA IKI BMUB	Nat. Consultant/ Contractual Service	228,800
							Workshop	27,600
							Publication	4,800
							PM	30,000
	Sub-Total for Output 2							**291,200**
Output 3: Capacities developed to design climate-friendly investment opportunities, address investor risks, and blend and catalyze climate finance Gender marker: GEN1	3.1. Investment risks assessed and barriers addressed (in selected sector e.g. transport)	17,147	4,800	14,750	ONEP (BB/BOI/DEDE/ DWF/EPPO/FPO/ NESDB/OTP/TGO and related line agencies)	SIDA IKI BMUB	Inter. Consultant	16,000
							Nat. Consultant	19,500
	3.2. Climate Change Financing Framework initiated to scale up NDC mitigation actions and the contributions to SDGs	-	-	23,750			Publication	10,800
							Workshop	14,147
	Sub-Total for Output 3							**60,447**
Evaluation *(as relevant)*	Terminal Evaluation	-	-	9,082	UNDP	SIDA IKI BMUB	Nat. Consultant	9,082
Project Management		113,433	111,049	111,509	UNDP	SIDA IKI BMUB	Staff	233,904
							Office supplies	7,820
							Workshop	14,400
							Communications	15,000
							GMS	64,867
	Sub-Total for Project Management							**335,991**
TOTAL								**931,500**

[33] Cost definitions and classifications for programme and development effectiveness costs to be charged to the project are defined in the Executive Board decision DP/2010/32

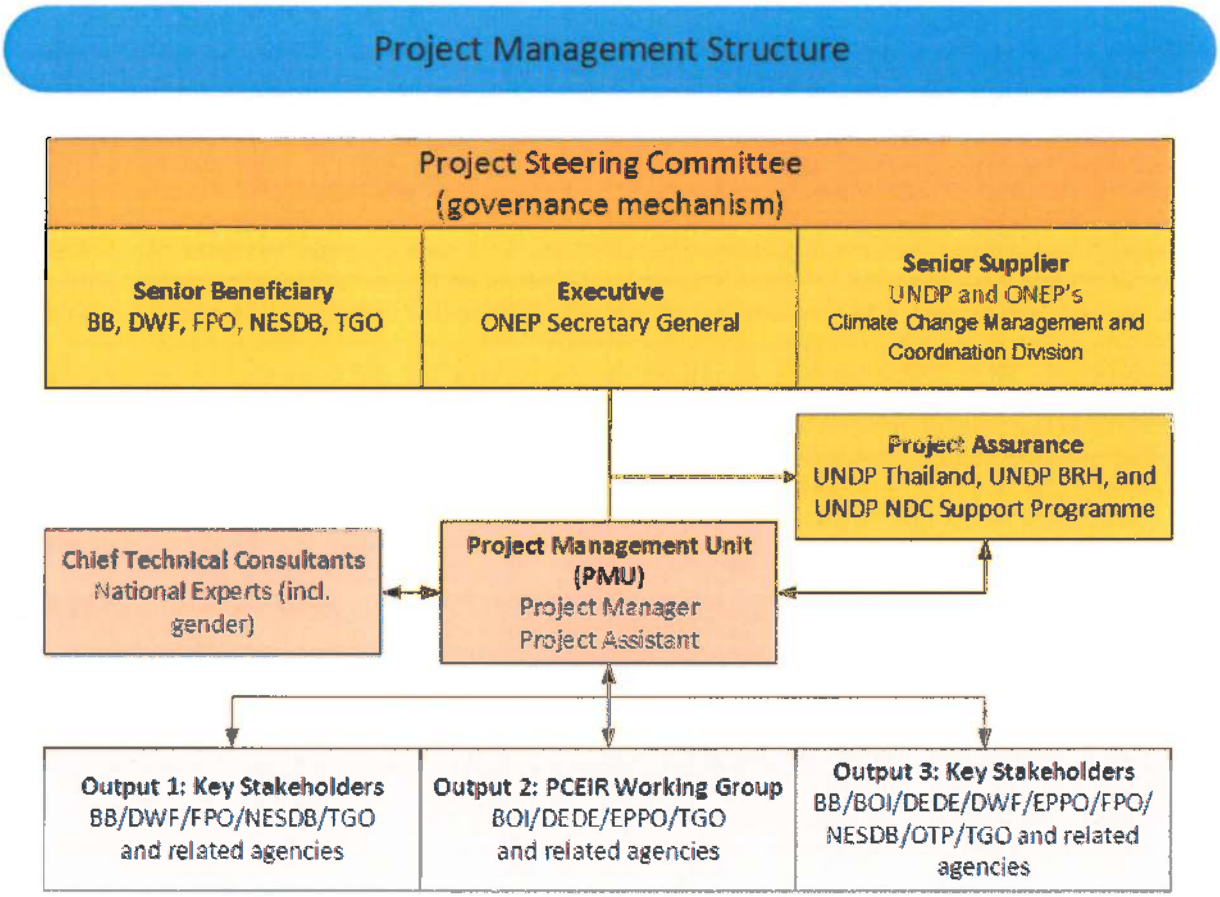
[34] Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs require a formal budget revision that must be signed by the Project Board. In other cases, the UNDP programme manager alone may sign the revision provided the other signatories have no objection. This procedure may be applied for example when the purpose of the revision is only to re-phase activities among years.

VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

The Thailand NDC Support project will be under the nationally implementing modality, with the Office of Natural Resources and Environmental Policy and Planning (ONEP) as the Implementing Partner. Key responsible parties will include the Bureau of Budget (BB), the Department of Women's Affairs and Family Development (DWF), the Fiscal Policy Office (FPO), the Office of National Economic and Social Development Board (NESDB), and the Thailand Greenhouse Gas Management Organization (Public Organization) (TGO). UNDP will provide support services to facilitate the project implementation through a Project Document and a Letter of Agreement (LoA) signed with ONEP.

The project's national governance and management arrangements, with regional technical backstopping services, are illustrated in (Figure 1).

Figure 1: Project governance and management arrangements



The Implementing Partner (IP): ONEP, as the Implementing Partner, shall be accountable for the disbursement of funds and the achievement of the project objective and outcomes, according to the approved work plan. In particular, ONEP will be responsible for the following functions: (i) coordinating activities to ensure the delivery of agreed outcomes and ensure the synergy with other national projects/activities on climate change; (ii) certifying expenditures in line with approved budgets and work-plans; (iii) facilitating, monitoring and reporting on the procurement of inputs and delivery of outputs; (iv) coordinating interventions financed by UNDP with other parallel interventions; (v) preparation of Terms of Reference for consultants and approval of tender documents for sub-contracted inputs; and (vi) reporting to UNDP on project delivery and impacts.

Project Steering Committee (PSC): shall be established at the project inception. It will be chaired by ONEP Secretary General. The proposed composition of PSC includes representatives from BB, DWF, FPO, NESDB, and TGO. Additional members of the committee could be added as deemed necessary and as the sectoral focus is identified within the course of the first year of implementation. The PSC shall meet at least once a

year, to approve the annual work plans and annual progress reports. It will provide overall guidance for the project throughout implementation. The PSC will be responsible for making management decisions for the project in particular when guidance is required by the Project Management Unit (PMU). The PSC plays a critical role in project monitoring and evaluation 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 PMU and any delegation of its Project Assurance responsibilities. Based on the approved Annual Work Plan, the PSC can also consider and approve the quarterly plans (if applicable) and also approve any essential deviations from the original plans. The PSC'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 Project Steering Committee's Chair.

Project Management Unit (PMU): will be in charge of overall project administration and coordination with relevant organizations, under the overall guidance of the PSC. The PMU will consist of a national Project Manager (PM) and a Project Assistant (PA). The unit is responsible for overall management, monitoring, and coordination of Project implementation according to UNDP rules on managing projects. Specifically, its responsibilities include: (i) ensuring professional and timely implementation of the activities and delivery of the reports and other outputs identified in the project document; (ii) coordination and supervision of the activities outlined in the project document; (iii) contracting of and contract administration for qualified local and international experts who meet the formal requirements of UNDP; (iv) management and responsibility of all financial administration to realize the targets envisioned ; (v) facilitating communication and networking among key stakeholders at the national level; (vi) organizing the meetings of the Project Steering Committee (PSC); (vii) review and approval of work and financial plans of implementing partners; (viii) monitor and support the activities of the implementing partners. The PMU can be based in UNDP Thailand.

Project Assurance function will be performed by UNDP Thailand, and supported by UNDP Bangkok Regional Hub (BRH) and the UNDP NDC Support Programme Global Support Unit (GSU), including the gender team. The function supports the PSC by carrying out objective and independent project oversight and monitoring functions. The role ensures appropriate project management milestones are managed and completed. Project Assurance has to be independent of the Project Manager; therefore, the PSC cannot delegate any of its assurance responsibilities to the Project Manager. UNDP will be responsible for project oversight, ensuring milestones are achieved. It will undertake financial and technical monitoring, as part of its oversight functions. In addition, UNDP will be responsible for: (i) coordinating with UN Country Team in Thailand with a view to mainstreaming in their interventions at the country level and funding as appropriate; (ii) establishing an effective networking between project stakeholders, specialized international organizations, and the donor community; (iii) facilitating networking among the country-wide stakeholders and, where relevant under the global project, south-south exchanges.

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 4 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).

The project document shall be the instrument envisaged and defined in the Supplemental Provisions to the Project Document, attached hereto and forming an integral part hereof, as "the Project Document".

This project will be implemented by [name of entity] ("Implementing Partner") in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

X. RISK MANAGEMENT

1. Consistent with the Article III of the SBAA *[or the Supplemental Provisions to the Project Document]*, 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. To this end, 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 project is being carried;
   b) assume all risks and liabilities related to the Implementing Partner's security, and the full implementation of the security plan.

2. 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 the Implementing Partner's obligations under this Project Document.

3. The Implementing Partner agrees to undertake all reasonable efforts to ensure that no UNDP funds received pursuant to the Project 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/sc/committees/1267/aq_sanctions_list.shtml.

4. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (http://www.undp.org/ses) and related Accountability Mechanism (http://www.undp.org/secu-srm).

5. The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.

6. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.

7. The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, responsible parties, subcontractors and sub-recipients in implementing the project or using UNDP funds. The Implementing Partner will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.

8. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to the Implementing Partner: (a) UNDP Policy on Fraud and other Corrupt Practices and

(b) UNDP Office of Audit and Investigations Investigation Guidelines. The Implementing Partner agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.

9. In the event that an investigation is required, UNDP has the obligation to conduct investigations relating to any aspect of UNDP projects and programmes. The Implementing Partner shall provide its full cooperation, including making available personnel, relevant documentation, and granting access to the Implementing Partner's (and its consultants', responsible parties', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with the Implementing Partner to find a solution.

10. The signatories to this Project Document will promptly inform one another in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

    Where the Implementing Partner becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, the Implementing Partner will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). The Implementing Partner shall provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

11. UNDP shall be entitled to a refund from the Implementing Partner of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Such amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail the Implementing Partner's obligations under this Project Document.

    Where such funds have not been refunded to UNDP, the Implementing Partner agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to the Implementing Partner for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

    Note: The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

12. Each contract issued by the Implementing Partner in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from the Implementing Partner shall cooperate with any and all investigations and post-payment audits.

13. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.

14. The Implementing Partner shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to each responsible party, subcontractor and sub-recipient and that all the clauses under this section entitled "Risk Management Standard Clauses" are included, *mutatis mutandis*, in all sub-contracts or sub-agreements entered into further to this Project Document.

XI. ANNEXES

I. **Project Quality Assurance Report**

II. **Social and Environmental Screening Assessment**

III. **Risk Analysis**

IV. **Project Board Terms of Reference and TORs of Key Management Positions**

V. **Local Project Appraisal Committee Meeting**

VI. **IKI NDC Support Cluster Functions**

VII. **Supplemental Provisions to the Project Document**

Annex I: Project Quality Assurance Report

PROJECT QA ASSESSMENT: DESIGN AND APPRAISAL

OVERALL PROJECT

EXEMPLARY (5) ●●●●●	HIGHLY SATISFACTORY (4) ●●●●○	SATISFACTORY (3) ●●●○○	NEEDS IMPROVEMENT (2) ●●○○○	INADEQUATE (1) ●○○○○
At least four criteria are rated Exemplary, and all criteria are rated High or Exemplary.	All criteria are rated Satisfactory or higher, and at least four criteria are rated High or Exemplary.	At least six criteria are rated Satisfactory or higher, and only one may be rated Needs Improvement. The SES criterion must be rated Satisfactory or above.	At least three criteria are rated Satisfactory or higher, and only four criteria may be rated Needs Improvement.	One or more criteria are rated Inadequate, or five or more criteria are rated Needs Improvement.

DECISION

- **APPROVE** – the project is of sufficient quality to continue as planned. Any management actions must be addressed in a timely manner.
- **APPROVE WITH QUALIFICATIONS** – the project has issues that must be addressed before the project document can be approved. Any management actions must be addressed in a timely manner.
- **DISAPPROVE** – the project has significant issues that should prevent the project from being approved as drafted.

RATING CRITERIA

STRATEGIC

1. **Does the project's Theory of Change specify how it will contribute to higher level change? (Select the option from 1-3 that best reflects the project):** • **3:** The project has a theory of change with explicit assumptions and clear change pathway describing how the project will contribute to outcome level change as specified in the programme/CPD, backed by credible evidence of what works effectively in this context. The project document clearly describes why the project's strategy is the best approach at this point in time. • **2:** The project has a theory of change. It has an explicit change pathway that explains how the project intends to contribute to outcome-level change and why the project strategy is the best approach at this point in time, but is backed by limited evidence. • **1:** The project does not have a theory of change, but the project document may describe in generic terms how the project will contribute to development results, without specifying the key assumptions. It does not make an explicit link to the programme/CPD's theory of change. *Note: Management Action or strong management justification must be given for a score of 1	3 2 1 **Evidence:** Project Document
2. **Is the project aligned with the thematic focus of the UNDP Strategic Plan? (select the option from 1-3 that best reflects the project):** • **3:** The project responds to one of the three areas of development work[35] as specified in the Strategic Plan; it addresses at least one of the proposed new and emerging areas[36]; an issues-based analysis has been incorporated into the project design; and the project's RRF includes all the relevant SP output indicators. *(all must be true to select this option)* • **2:** The project responds to one of the three areas of development work[1] as specified in the Strategic Plan. The project's RRF includes at least one SP output indicator, if relevant. *(both must be true to select this option)* • **1:** While the project may respond to one of the three areas of development work[1] as specified in the Strategic Plan, it is based on a sectoral approach without addressing the complexity of the development issue. None of the relevant SP indicators are included in the RRF. This answer is also selected if the project does not respond to any of the three areas of development work in the Strategic Plan.	3 2 1 **Evidence:** Project Document

[35] 1. Sustainable development pathways; 2. Inclusive and effective democratic governance; 3. Resilience building

[36] sustainable production technologies, access to modern energy services and energy efficiency, natural resources management, extractive industries, urbanization, citizen security, social protection, and risk management for resilience

RELEVANT	
3. **Does the project have strategies to effectively identify, engage and ensure the meaningful participation of targeted groups/geographic areas with a priority focus on the excluded and marginalized? (select the option from 1-3 that best reflects this project):** • **3:** The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. Beneficiaries will be identified through a rigorous process based on evidence (if applicable.) The project has an explicit strategy to identify, engage and ensure the meaningful participation of specified target groups/geographic areas throughout the project, including through monitoring and decision-making (such as representation on the Project Board) *(all must be true to select this option)* • **2:** The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. The project document states how beneficiaries will be identified, engaged and how meaningful participation will be ensured throughout the project. *(both must be true to select this option)* • **1:** The target groups/geographic areas are not specified, or do not prioritize excluded and/or marginalised populations. The project does not have a written strategy to identify or engage or ensure the meaningful participation of the target groups/geographic areas throughout the project. *Note: Management Action must be taken for a score of 1, or select not applicable.	3 **2** 1 **Evidence:** Project Document
4. **Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design? (select the option from 1-3 that best reflects this project):** • **3:** Knowledge and lessons learned (gained e.g. through peer assist sessions) backed by credible evidence from evaluation, corporate policies/strategies, and monitoring have been explicitly used, with appropriate referencing, to develop the project's theory of change and justify the approach used by the project over alternatives. • **2:** The project design mentions knowledge and lessons learned backed by evidence/sources, which inform the project's theory of change but have not been used/are not sufficient to justify the approach selected over alternatives. • **1:** There is only scant or no mention of knowledge and lessons learned informing the project design. Any references that are made are not backed by evidence. *Note: Management Action or strong management justification must be given for a score of 1	3 **2** 1 **Evidence:** Project Document
5. **Does the project use gender analysis in the project design and does the project respond to this gender analysis with concrete measures to address gender inequities and empower women? (select the option from 1-3 that best reflects this project):** • **3:** A participatory gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men, and it is fully integrated into the project document. The project establishes concrete priorities to address gender inequalities in its strategy. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. *(all must be true to select this option)* • **2:** A gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men. Gender concerns are integrated in the development challenge and strategy sections of the project document. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. *(all must be true to select this option)* • **1:** The project design may or may not mention information and/or data on the differential impact of the project's development situation on gender relations, women and men, but the constraints have not been clearly identified and interventions have not been considered. *Note: Management Action or strong management justification must be given for a score of 1	3 **2** 1 **Evidence:** Project Document

6. Does UNDP have a clear advantage to engage in the role envisioned by the project vis-à-vis national partners, other development partners, and other actors? (select from options 1-3 that best reflects this project): • **3:** An analysis has been conducted on the role of other partners in the area where the project intends to work, and credible evidence supports the proposed engagement of UNDP and partners through the project. It is clear how results achieved by relevant partners will contribute to outcome level change complementing the project's intended results. If relevant, options for south-south and triangular cooperation have been considered, as appropriate. *(all must be true to select this option)* • **2:** Some analysis has been conducted on the role of other partners where the project intends to work, and relatively limited evidence supports the proposed engagement of and division of labour between UNDP and partners through the project. Options for south-south and triangular cooperation may not have not been fully developed during project design, even if relevant opportunities have been identified. • **1:** No clear analysis has been conducted on the role of other partners in the area that the project intends to work, and relatively limited evidence supports the proposed engagement of UNDP and partners through the project. There is risk that the project overlaps and/or does not coordinate with partners' interventions in this area. Options for south-south and triangular cooperation have not been considered, despite its potential relevance. *Note: Management Action or strong management justification must be given for a score of 1	**3** | 2 1 **Evidence:** The project document clearly mentions the role of partners and it meaningful role.

SOCIAL & ENVIRONMENTAL STANDARDS

7. Does the project seek to further the realization of human rights using a human rights based approach? (select from options 1-3 that best reflects this project): • **3:** Credible evidence that the project aims to further the realization of human rights, upholding the relevant international and national laws and standards in the area of the project. Any potential adverse impacts on enjoyment of human rights were rigorously identified and assessed as relevant, with appropriate mitigation and management measures incorporated into project design and budget. *(all must be true to select this option)* • **2:** Some evidence that the project aims to further the realization of human rights. Potential adverse impacts on enjoyment of human rights were identified and assessed as relevant, and appropriate mitigation and management measures incorporated into the project design and budget. • **1:** No evidence that the project aims to further the realization of human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered. *Note: Management action or strong management justification must be given for a score of 1	3 | **2** 1 **Evidence:** Project document mention about the role of UNDP to ensure realization of human rights in the project
8. Did the project consider potential environmental opportunities and adverse impacts, applying a precautionary approach? (select from options 1-3 that best reflects this project): • **3:** Credible evidence that opportunities to enhance environmental sustainability and integrate poverty-environment linkages were fully considered as relevant, and integrated in project strategy and design. Credible evidence that potential adverse environmental impacts have been identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. *(all must be true to select this option)*. • **2:** No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Credible evidence that potential adverse environmental impacts have been identified and assessed, if relevant, and appropriate management and mitigation measures incorporated into project design and budget. • **1:** No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Limited or no evidence that potential adverse environmental impacts were adequately considered. *Note: Management action or strong management justification must be given for a score of 1	3 | **2** 1 **Evidence:** Project document clearly mention to enhance sustainability
9. Has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks? The SESP is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of reports, coordination of events, trainings, workshops, meetings, conferences and/or communication materials and information dissemination. [if yes, upload the completed checklist. If SESP is not required, provide the reason for the exemption in the evidence section.]	**Yes** | No **Evidence:** Project Document

MANAGEMENT & MONITORING

10. Does the project have a strong results framework? (select from options 1-3 that best reflects this project): • **3:** The project's selection of outputs and activities are at an appropriate level and relate in a clear way to the project's theory of change. Outputs are accompanied by SMART, results-oriented indicators that measure all of the key expected changes identified in the theory of change, each with credible data sources, and populated baselines and targets, including gender sensitive, sex-disaggregated indicators where appropriate. *(all must be true to select this option)* • **2:** The project's selection of outputs and activities are at an appropriate level, but may not cover all aspects of the project's theory of change. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of gender sensitive, sex-disaggregated indicators, as appropriate. *(all must be true to select this option)* • **1:** The results framework does not meet all of the conditions specified in selection "2" above. This includes: the project's selection of outputs and activities are not at an appropriate level and do not relate in a clear way to the project's theory of change; outputs are not accompanied by SMART, results-oriented indicators that measure the expected change, and have not been populated with baselines and targets; data sources are not specified, and/or no gender sensitive, sex-disaggregation of indicators. *Note: Management Action or strong management justification must be given for a score of 1	**3**	2
	1	
	Evidence: Project document	
11. Is there a comprehensive and costed M&E plan in place with specified data collection sources and methods to support evidence-based management, monitoring and evaluation of the project?	**Yes (3)**	No (1)
12. Is the project's governance mechanism clearly defined in the project document, including planned composition of the Project Board? (select from options 1-3 that best reflects this project): • **3:** The project's governance mechanism is fully defined in the project composition. Individuals have been specified for each position in the governance mechanism (especially all members of the Project Board.) Project Board members have agreed on their roles and responsibilities as specified in the terms of reference. The ToR of the Project Board has been attached to the project document. *(all must be true to select this option).* • **2:** The project's governance mechanism is defined in the project document; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The ProDoc lists the most important responsibilities of the Project Board, project director/manager and quality assurance roles. *(all must be true to select this option)* • **1:** The project's governance mechanism is loosely defined in the project document, only mentioning key roles that will need to be filled at a later date. No information on the responsibilities of key positions in the governance mechanism is provided. *Note: Management Action or strong management justification must be given for a score of 1	**3**	2
	1	
	Evidence: Project document clearly identifies governance mechanism of the project	
13. Have the project risks been identified with clear plans stated to manage and mitigate each risks? (select from options 1-3 that best reflects this project): • **3:** Project risks related to the achievement of results are fully described in the project risk log, based on comprehensive analysis drawing on the theory of change, Social and Environmental Standards and screening, situation analysis, capacity assessments and other analysis. Clear and complete plan in place to manage and mitigate each risk. *(both must be true to select this option)* • **2:** Project risks related to the achievement of results identified in the initial project risk log with mitigation measures identified for each risk. • **1:** Some risks may be identified in the initial project risk log, but no evidence of analysis and no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified and no initial risk log is included with the project document. *Note: Management Action must be taken for a score of 1	**3**	2
	1	
	Evidence: The project has idenfied associated risk and mitigation plan	

EFFICIENT		
14. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design? This can include: i) using the theory of change analysis to explore different options of achieving the maximum results with the resources available; ii) using a portfolio management approach to improve cost effectiveness through synergies with other interventions; iii) through joint operations (e.g., monitoring or procurement) with other partners.	**Yes (3)**	No (1)
15. Are explicit plans in place to ensure the project links up with other relevant on-going projects and initiatives, whether led by UNDP, national or other partners, to achieve more efficient results (including, for example, through sharing resources or coordinating delivery?)	**Yes (3)**	No (1)
16. Is the budget justified and supported with valid estimates? • **3:** The project's budget is at the activity level with funding sources, and is specified for the duration of the project period in a multi-year budget. Costs are supported with valid estimates using benchmarks from similar projects or activities. Cost implications from inflation and foreign exchange exposure have been estimated and incorporated in the budget. • **2:** The project's budget is at the activity level with funding sources, when possible, and is specified for the duration of the project in a multi-year budget. Costs are supported with valid estimates based on prevailing rates. • **1:** The project's budget is not specified at the activity level, and/or may not be captured in a multi-year budget.	**3**	2 1 **Evidence:** Project document
17. Is the Country Office fully recovering the costs involved with project implementation? • **3:** The budget fully covers all project costs that are attributable to the project, including programme management and development effectiveness services related to strategic country programme planning, quality assurance, pipeline development, policy advocacy services, finance, procurement, human resources, administration, issuance of contracts, security, travel, assets, general services, information and communications based on full costing in accordance with prevailing UNDP policies (i.e., UPL, LPL.) • **2:** The budget covers significant project costs that are attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant. • **1:** The budget does not adequately cover project costs that are attributable to the project, and UNDP is cross-subsidizing the project. *Note: Management Action must be given for a score of 1. The budget must be revised to fully reflect the costs of implementation before the project commences.	**3**	2 1 **Evidence:** The expenditure will be fully recovered
EFFECTIVE		
18. Is the chosen implementation modality most appropriate? (select from options 1-3 that best reflects this project): • **3:** The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted, and there is evidence that options for implementation modalities have been thoroughly considered. There is a strong justification for choosing the selected modality, based on the development context. *(both must be true to select this option)* • **2:** The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted and the implementation modality chosen is consistent with the results of the assessments. • **1:** The required assessments have not been conducted, but there may be evidence that options for implementation modalities have been considered. *Note: Management Action or strong management justification must be given for a score of 1	3	**2** 1 **Evidence:** Project document

19. Have targeted groups, prioritizing marginalized and excluded populations that will be affected by the project, been engaged in the design of the project in a way that addresses any underlying causes of exclusion and discrimination? • 3: Credible evidence that all targeted groups, prioritising marginalized and excluded populations that will be involved in or affected by the project, have been actively engaged in the design of the project. Their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change which seeks to address any underlying causes of exclusion and discrimination and the selection of project interventions. • 2: Some evidence that key targeted groups, prioritising marginalized and excluded populations that will be involved in the project, have been engaged in the design of the project. Some evidence that their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change and the selection of project interventions. • 1: No evidence of engagement with marginalized and excluded populations that will be involved in the project during project design. No evidence that the views, rights and constraints of populations have been incorporated into the project.	3	2 1 **Evidence:** The project also pays attention to women group
20. Does the project conduct regular monitoring activities, have explicit plans for evaluation, and include other lesson learning (e.g. through After Action Reviews or Lessons Learned Workshops), timed to inform course corrections if needed during project implementation?	**Yes (3)**	No (1)
21. The gender marker for all project outputs are scored at GEN2 or GEN3, indicating that gender has been fully mainstreamed into all project outputs at a minimum. *Note: Management Action or strong management justification must be given for a score of "no"*	**Yes (3)**	No (1) **Evidence:** The project has an output with focus to women
22. Is there a realistic multi-year work plan and budget to ensure outputs are delivered on time and within alloted resources? (select from options 1-3 that best reflects this project): • 3: The project has a realistic work plan & budget covering the duration of the project *at the activity* level to ensure outputs are delivered on time and within the allotted resources. • 2: The project has a work plan & budget covering the duration of the project at the output level. 1: The project does not yet have a work plan & budget covering the duration of the project.	3	2 1 **Evidence:** Project document

SUSTAINABILITY & NATIONAL OWNERSHIP

23. Have national partners led, or proactively engaged in, the design of the project? (select from options 1-3 that best reflects this project): • 3: National partners have full ownership of the project and led the process of the development of the project jointly with UNDP. • 2: The project has been developed by UNDP in close consultation with national partners. • 1: The project has been developed by UNDP with limited or no engagement with national partners.	3	**2** 1 **Evidence:**
24. Are key institutions and systems identified, and is there a strategy for strengthening specific/ comprehensive capacities based on capacity assessments conducted? (select from options 0-4 that best reflects this project): • 3: The project has a comprehensive strategy for strengthening specific capacities of national institutions based on a systematic and detailed capacity assessment that has been completed. This strategy includes an approach to regularly monitor national capacities using clear indicators and rigorous methods of data collection, and adjust the strategy to strengthen national capacities accordingly. • 2.5: A capacity assessment has been completed. The project document has identified activities that will be undertaken to strengthen capacity of national institutions, but these activities are not part of a comprehensive strategy to monitor and strengthen national capacities. • 2: A capacity assessment is planned after the start of the project. There are plans to develop a strategy to strengthen specific capacities of national institutions based on the results of the capacity assessment. • 1.5: There is mention in the project document of capacities of national institutions to be strengthened through the project, but no capacity assessments or specific strategy development are planned. • 1: Capacity assessments have not been carried out and are not foreseen. There is no strategy for strengthening specific capacities of national institutions.	3 2	2.5 **1.5** 1 **Evidence:** Project document
25. Is there is a clear strategy embedded in the project specifying how the project will use national systems (i.e., procurement, monitoring, evaluations, etc.,) to the extent possible?	**Yes (3)**	No (1)
26. Is there a clear transition arrangement/ phase-out plan developed with key stakeholders in order to sustain or scale up results (including resource mobilisation strategy)?	**Yes (3)**	No (1)

Annex II: Social and Environmental Screening Assessment

Project Information

Project Information	
1. Project Title	NDC Support Project: Delivering Sustainability through Climate Finance Actions in Thailand
2. Project Number	00107139
3. Location (Global/Region/Country)	Thailand

Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?
Briefly describe in the space below how the Project mainstreams the human-rights based approach
The project acknowledges the need to support vulnerable communities as secondary stakeholders who can benefit from governments prioritizing climate change interventions that increase access to energy and increase resilience to climate change. All prioritization exercises related to implementation of Nationally Determined Contributions (NDCs) under the Project will be assessed through the lens of the Sustainable Development Goals to ensure that efforts are fully aligned with sustainable development planning. When national systems are designed to monitor implementation progress of NDCs, governments will be encouraged to disaggregate key data related to the SDGs and gender as good practice.
Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment
UNDP conducted a review in May 2016 to assess the degree to which intended NDCs submitted by governments to the UNFCCC recognized and/or integrated gender equality, which was supported by the project developer and the gender team. Of the 161 INDCs submitted at that time, only 40% (65 countries) made at least one reference to gender equality of women. The Project will directly address this issue in Thailand by supporting governments and other key stakeholders to comprehensively integrate gender considerations into NDC planning and implementation processes based upon national gender gap analyses
Briefly describe in the space below how the Project mainstreams environmental sustainability
The Project will support governments to make informed decisions about implementing climate change actions that lead to zero-carbon, climate-resilient pathways. All mitigation actions prioritised under the Project will be assessed against sustainable development benefits to identify those that can best address poverty and inequality while maintaining and enhancing natural capital. However, the Project focuses on the design/strengthening of mitigation and adaptation actions by undertaking financial and technical feasibility studies, rather than implementation of projects. The Implementing Partner in countries will be the Office of Natural Resources and Environmental Planning and Policy (ONEP), Ministry of Natural Resources and Environment.

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? *Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any "Yes" responses). If no risks have been identified in Attachment 1 then note "No Risks Identified" and skip to Question 4 and Select "Low Risk". Questions 5 and 6 not required for Low Risk Projects.*	QUESTION 3: What is the level of significance of the potential social and environmental risks? *Note: Respond to Questions 4 and 5 below before proceeding to Question 6*			QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?
Risk Description	***Impact and Probability (1-5)***	***Significance (Low, Moderate, High)***	***Comments***	***Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.***
No potential social and environmental risks were identified, see checklist.	N.A.	N.A.	N.A.	N.A. The Project primarily involves the preparation of technical analyses and design of strategies, projects, and funding mechanisms.

QUESTION 4: What is the overall Project risk categorization?		
Select one (see SESP for guidance)		**Comments**
Low Risk	x	Project focuses on policy and governance structures and technical analysis for design of mitigation and adaptation actions, as well as financing models and private sector engagement.
Moderate Risk	☐	
High Risk	☐	

QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?		
Check all that apply		**Comments**
Principle 1: Human Rights	☐	N.A.

	Principle 2: Gender Equality and Women's Empowerment	☐	N.A.
	1. Biodiversity Conservation and Natural Resource Management	☐	N.A.
	2. Climate Change Mitigation and Adaptation	☐	N.A.
	3. Community Health, Safety and Working Conditions	☐	N.A.
	4. Cultural Heritage	☐	N.A.
	5. Displacement and Resettlement	☐	N.A.
	6. Indigenous Peoples	☐	N.A.
	7. Pollution Prevention and Resource Efficiency	☐	N.A.

Final Sign Off

Signature	***Date***	***Description***
QA Assessor		UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.
QA Approver		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have "cleared" the SESP prior to submittal to the PAC.
PAC Chair		UNDP chair of the PAC. In some cases, PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		
Principles 1: Human Rights		Answer (Yes/No)
1.	Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
2.	Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? [37]	No
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	No
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	No
5.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	No
6.	Is there a risk that rights-holders do not have the capacity to claim their rights?	No
7.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
8.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	No
Principle 2: Gender Equality and Women's Empowerment		
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	No
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No
3.	Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	No
4.	Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? *For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being*	No
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystems services? *For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes*	No
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	No
1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	No
1.4	Would Project activities pose risks to endangered species?	No

[37] Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

1.5	Would the Project pose a risk of introducing invasive alien species?	No
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	No
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	No
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? *For example, construction of dams, reservoirs, river basin developments, groundwater extraction*	No
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	No
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? *For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.*	No
Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant[38] greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	No
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? *For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding*	No
Standard 3: Community Health, Safety and Working Conditions		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	No
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
Standard 4: Cultural Heritage		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No

[38] In regards to CO_2, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
Standard 5: Displacement and Resettlement		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	No
5.3	Is there a risk that the Project would lead to forced evictions?[39]	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No
Standard 6: Indigenous Peoples		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	No
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	No
6.3	Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? *If the answer to the screening question 6.3 is "yes" the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.*	No
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	No
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
Standard 7: Pollution Prevention and Resource Efficiency		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	No
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? *For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol*	No
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No

[39] Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

Annex III: Risk Analysis

Project Title: NDC Support Project: Delivering Sustainability through Climate Finance Actions on Climate Change in Thailand	Award ID: 00107139	Date: 31 December 2017

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
1	Change of administration and/or key management positions within the Implementing Partner reduce climate change ambitions and/or directions	31 December 2017	Political	Government might place lower importance on zero-carbon pathway P = 2 I = 4	Engage mid-management and working-level staff to create ownership. Regularly inform new institutional leaders about project results and engage stakeholders proactively	PMU Project manager	Project Developer		
2	Governments willing to engage a broad range of stakeholders through a whole of government approach and address gender issues raised	31 December 2017	Organizational	Countries will struggle to implement NDC without full engagement of key Ministries. P = 2 I = 3	Share good practices and demonstrate advantages to whole of government approach that is gender inclusive	PMU Project Manager Gender expert	Project Developer		
3	Constraints in coordination and participation among key stakeholders	31 December 2017	Organizational	Countries will struggle to implement NDC without full engagement of key Ministries. P = 2 I = 3	Encourage governments to use robust mechanisms for engaging whole of government, including the possibility of MOUs for participation with key stakeholders	PMU Project Manager	Project Developer		
4	Limited capacity building for line agencies to be effectively engaged in mitigation and adaptation actions	31 December 2017	Operational	Countries will struggle to implement NDC without full engagement of key Ministries. P = 2	Capacity will be developed through a learning by doing approach that empowers line ministries to take up	PMU Project Manager	Project Developer		

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
				I = 3	mitigation and adaptation actions				
5	Lack of data and information inhibits informed decision making and long-term forecasting	31 December 2017	Operational	Decision makers may be reluctant to roll out recommended mitigation actions and strategies. P = 2 I = 3	Capacity will be developed that empowers line ministries to address key data gaps and knowledge sharing of other countries' actions and strategies to strengthen data collection and analysis for decision making.	PMU Project Manager	Project Developer		
6	Risk that mitigation and adaptation actions prioritised by government may not be feasible.	31 December 2017	Financial	Unfeasible mitigation and adaptation actions won't attract financing, discouraging stakeholders from future initiatives. P = 2 I = 3	Engage financial and technical experts in prioritisation of mitigation and adaptation actions	PMU Project Manager	Project Developer		
7	Private sector actors may disengage from mitigation and adaptation actions if they perceive there are no realisable gains from their involvement.	31 December 2017	Financial Organisational	If private sector disengages, countries may be challenged to fund mitigation and adaptation actions. P = 2 I = 4	Continued engagement of private sector, targeted trainings, workshops and awareness raising.	PMU Project Manager	Project Developer		

Annex IV: Project Board Terms of Reference and TORs of Key Management Positions

Project Board

The Project Board (PB) will include the Implementing Partner, key government agencies, UNDP, and representatives from private sector and civil society. Its focus will be on strategic oversight, synergies, and visibility. The Board will be chaired by the Implementing Partner (ONEP). The Project Board will meet in person at least once a year. Board duties will include:

Overall Responsibilities

- Provide overall guidance and decision making throughout the duration of the Project;
- Monitor and evaluate Project progress during implementation;
- Serve as a platform for representatives from private sector and civil society to participate in Project governance;
- Serve as an informal venue for discussing relevant linkages with other relevant projects;
- Assess emerging priorities under government initiatives and the UNFCCC in the context of the Project;
- Provide guidance on substantive issues that may be brought up by the Project Management Unit (PMU) on project implementation.

Project-Level Responsibilities

- Monitor project progress via updates provided through the Project Management Unit;
- Review and provide feedback on individual project updates, reports, outputs, and outcomes;
- Ensure coordination among government agencies and Project Management Unit.

Outreach and Communication

- Provide guidance and approval on Project outreach and communication;
- Work to promote Project activities at international fora and within professional networks.

Indicative Membership[40]

The PB will comprise main stakeholders as follows:

- Secretary General of Office of Natural Resources and Environmental Policy and Planning (ONEP), Ministry of Natural Resources and Environment (MoNRE) (as the Chair);
- Bureau of the Budget (BB) under the Prime Minister's Office;
- Department of Alternative Energy Management and Efficiency (DEDE), Ministry of Energy (MoE);
- Department of Disaster Prevention and Mitigation (DDPM), Ministry of Interior (MoI);
- Department of Fisheries (DOF), Ministry of Agriculture and Cooperatives (MoAC);
- Department of Marine and Coastal Resources (DMCR), Ministry of Natural Resources and Environment (MoNRE);
- Department of Water Resources (DWR), Ministry of Natural Resources and Environment (MoNRE);
- Department of Women's Affairs and Family Development (DWF), Ministry of Social Development and Human Security (MoSDHS);
- Energy Policy and Planning Office (EPPO), Ministry of Energy (MoE);
- Fiscal Policy Office (FPO), Ministry of Finance (MoF);
- Office of Agricultural Economics (OAE), Ministry of Agriculture and Cooperatives (MoAC);
- Office of Joint Sectoral Committee on Commerce, Industry, and Banking (JSCCIB);
- Office of the National Human Rights Commission of Thailand (NHRCT);
- Office of Transport and Traffic Policy and Planning (OTP), Ministry of Transport (MoT);
- Royal Irrigation Department (RID), Ministry of Natural Resources and Environment (MoNRE);
- Sustainable Development Foundation
- Thailand Greenhouse Gas Management Organization (Public Organization) (TGO), Ministry of Natural Resources and Environment (MoNRE);
- Thai Meteorological Department (TMD), Ministry of Digital Economy and Society (MoDES);
- UNDP – Thailand.

Title: Project Director (NPD) – in-kind
Duty Station: Bangkok, Thailand

The National Project Director is appointed by the Project Board to oversee the implementation and progress of the NDC Support Project. The person will be an ONEP official and is holding a senior position in the government's system.

[40] *Note:* Designation of the members of the Project Board will be finalized during the inception phase.

Duties and Responsibilities:

The National Project Director shall be tasked for:

- Ensuring that the project documents and project revisions requiring Government's approval are processed through the Government co-coordinating authority, in accordance with established procedures;
- Mobilizing national institutional mechanisms for smooth progress of projects;
- Providing formal project/deliverable sign-off and acceptance upon verification by appointed authorized agency/ies;
- Reviewing and recommending for endorsement project deliverables and reports;
- Providing direction and guidance on project-related issues;
- Providing advice and guidance to the project management unit (PMU);
- Reporting to the PB the progress of the projects and seek approval for any modifications/revisions to the project documents;
- Ensuring conformity of the project activities and objectives to the project documents;
- Providing overall guidance to the PMU for managing the project finances in line with UNDP guidelines and approve expenditure as provided for in the project budgets;
- Providing overall guidance to the PMU on the project execution;
- Approving annual project reports and other relevant reports and knowledge products for submission to the Project Board and UNDP;
- Approving payments according to the agreed deliverables.

Title: Project Manager
Duty Station: Bangkok, Thailand

Under the overall guidance and direct supervision of the Project Director, appointed by the Implementing Partner and the Programme Specialist of UNDP Thailand, the Project Manager (PM) will be in-charge of coordinating the day-to-day management and operations of the project, ensuring high quality, efficient and effective project delivery. The PM will lead the project management unit and report directly to the project director and UNDP Programme Specialist. He/she shall liaise with the Project Board and designated officials of the government of Thailand as deemed appropriate and necessary by the Project Management Unit. The budget and associated work plan will provide guidance on the day-to-day implementation of the approved Project Document. He/she shall be responsible for delivery of all substantive, managerial and financial reports from and on behalf of the Project.

Duties and Responsibilities:

The Project Manager shall be tasked for:

1) Ensuring the implementation of project strategies focusing on achieving results:
    - Design and formulate annual work and budget plans, strategic plans and risk management plans and ensure adherence to the Project Document;
    - Oversee the day-to-day project implementation and ensure achievement of targets as outlined in the project work plan;
    - Effectively apply Result Based Management (RBM) tools and establish management targets (BSC) for the achievement of project results;
    - Ensure effective implementation of advocacy plans through forums, workshops, seminars or policy dialogues relating to conservation and protection of endangered species and critical habitats.
2) Ensuring effective implementation and monitoring of the project and tracking use of financial resources:
    - Organize joint planning meetings involving UNDP, implementing agencies and other relevant parties to develop annual and quarterly work plans and corresponding budget plans with clearly stated milestones contributing to the achievement of target outputs defined in the Project Document and obtaining approval from the Project Board;
    - Ensure efficient use of resources and report it in a timely, transparent and accountable manner;
    - Monitor the project progress against annual and quarterly work plans and budget plans;
    - In coordination with UNDP, conduct financial and substantive monitoring of the activities under the project;
    - Provide inputs by analyzing project resource requirements if there is a need for budget adjustments and possible revisions in coordination with UNDP;
    - Liaise with UNDP on the conduct of the project audit and ensure access by auditors to project documentation, personnel and agencies involved in the project;
    - Ensure that the Implementing Partners and the Project Management Unit are complied with project regulations and audit recommendations.
3) Effective management of the project:

- Prepare Terms of Reference (ToRs) for required inputs (individual and institutional consultancy services, the procurement of goods, organization of training, seminars, etc.), with technical support as required;
- Lead regular coordination meetings and dialogues with relevant stakeholders;
- Ensure the coordination of activities carried out by project counterparts to achieve the project objectives;
- Manage critical issues and provide solutions to the overall processes of project implementation;
- Prepare project progress reports (quarterly and annual/financial and substantive) against set targets and indicators, with an analysis of evidence of progress towards planned outputs according to schedules, budgets and inputs provided by the project;
- Submit project progress reports to UNDP in a timely manner;
- Create a standard operating procedure, including monitoring and evaluation mechanism and quality standards of performance, as appropriate, to evaluate the achievement of project activities;
- Together with Implementing Partners and other stakeholders, constantly identify challenges and provide recommendations to mitigate project risks and ensure smooth project implementation.

4) Ensuring creation of strategic partnerships and support:
   - Create and coordinate partnerships with government institutions, private sector, communities, development partners, etc. in consultation with UNDP;
   - Maintain good working relationship and close collaboration with the relevant public and development partners, communities, and other principal counterparts for the project.
5) Ensuring facilitation of knowledge building and management in the project:
   - Ensure regular documentation of innovations, good practices, lessons learned and an effective knowledge building;
   - Facilitate regular knowledge sharing/transferring and dissemination of knowledge products;
   - Compile success stories that have resulted in lasting, large-scale transformational change, if applicable.

Title: Project Assistant
Duty Station: Bangkok, Thailand

The Project Assistant will support the Project Management Units to provide logistical support and administrative functions to ensure smooth implementation of the above-mentioned project. S/he will be responsible especially for payments, financial reporting on a quarterly and annual basis, and in case of needs, according to the government and UNDP requirements, for projects assigned to him/her.

Duties and Responsibilities:

The Project Assistant shall be tasked for:

1) Support for Planning Process through the following tasks and duties:
   - Assist Project Manager in collecting, analyzing, and presenting information for joint planning meeting, quarterly work plans, and budget work plans to support project implementation;
   - Prepare information for Project Manager for his/her advice to donor, Implementing Partners and UNDP;
   - Create project in Atlas, prepare budget revisions, revision of project status, determination of unutilized funds;
   - Prepare and regularly update the Annual Workplan and the project budget;
   - Undertake project operational and financial closure formalities including submission of terminal reports, transfer and disposal of equipment, processing of semi-final and final revision and support project manager in preparing the terminal assessment reports.
2) Support to Implementing and Managing Project through the following tasks and duties:
   - Provide administrative, operational and logistical supports for the achievement of the outcomes of both projects assigned to him/her in a timely manner;
   - Assist Project Manager in supporting national project implementation activities according to UNDP workflows (including IC process, organization of forums, workshops, travel, etc.);
   - Take all necessary steps for the contractual procedures for the procurement of the goods and services as well as Individual Contracts are taken place in line with UNDP's rules and regulations;
   - Provide inputs on the terms of references for the services and goods that will be required for the smooth implementation of the project when required;
   - Control the expenditures of the projects and ensure adequate management of the financial resources provided;
   - Create requisitions in ATLAS for development projects, register of goods receipts in ATLAS;
   - Issue the project-related payments and ensure that all payments are proceeded in a timely manner in line with the UNDP's financial rules and regulations;
   - Prepare financial reports to be submitted to project management and donor when required;
   - Participate workshops, meeting, missions in the projects' field when needed;
   - Prepare correspondences relating to the implementation of the projects;

- Make logistical arrangements for the missions of the project team, consultants and any other relevant actors to the projects' field;
- Make project-related translations when needed.

3) Support to Monitoring and Evaluation of the projects through the following tasks and duties:
   - Prepare information for Project Manager in finalizing project progress reports (quarterly and annual/financial and substantive) and final project reports;
   - Assist Project Manager in organizing project mid-term reviews and final evaluation meetings.
4) Reporting and Audit:
   - Establish and maintain a systematic filing system of key documents (in hard copy and soft copy) in line with audit requirements;
   - Assist Project Manager in closing projects operationally and financially in accordance of rules and regulations of UNDP and in close coordination with Implementing agencies;
   - Liaise with UNDP on the conduct of project audit and ensure access by auditors to project documentation, personnel and institutions involved in the project; and presentation of information for project audit.

Annex V: Local Project Appraisal Committee Meeting

Local Project Appraisal Committee Meeting Minutes
NDC Support Project: Delivering Sustainability through Climate Finance Actions in Thailand
Wednesday 06 December 2017, 13:30 -15:30 hrs.
Beta Meeting Room, Pullman King Power Hotel

Attendance:

Co-Chairman: Mr. Phirun Saiyasitpanich, Ph.D., Director of Climate Change Management and Coordination Division, Office of Natural Resources and Environmental Policy and Planning (ONEP), Ministry of Natural Resources and Environment

Co-Chairman: Mr. Martin Hart-Hansen, Deputy Resident Representative, United Nations Development Programme

32 participants who are the representatives from relevant line ministries and development partners. *(Participant List below)*

Agenda:

1. Welcome Remarks
2. Opening Remarks
3. Presentation on the project background, objectives, outcomes, budget, and management arrangement
4. Discussion
5. Conclusion and Recommendation

I. Remarks from the co-chairman of the meeting

The meeting started at 13:30 hrs.

Mr. Martin Hart-Hansen, Deputy Resident Representative of the United Nations Development Program (UNDP), Co-Chairman gave a welcome remark and thanked all participants for their interest and participation in this meeting. He addressed on the project, with the emphasis on the Climate Finance Project focusing on public finance management to support works on climate change in Thailand, and the Low Emission Capacity Building Project promoting essential cooperation from the private sector, combined into the NDC Support Project: Delivering Sustainability through Climate Finance Actions in Thailand. Mr. Martin Hart-Hansen also requested the meeting participants to give consideration, comments and suggestions towards making improvement on the project documentation.

Dr. Pirun Saiyasitpanich, Director of Climate Change Management and Coordination Division, Office of Natural Resources and Environment Policy and Planning, (ONEP) - Co-Chairman gave an opening remark. He addressed on the NDC Support Project: Delivering Sustainability through Action on Climate Change in Thailand. As parties in the United Nations Framework Convention on Climate Change (UNFCCC), Thailand submitted Intended Nationally Determined Contribution (INDC) in reducing GHG emission and the climate change adaptation.

The NDC Support Project: Delivering Sustainability through Climate Finance Actions in Thailand will be implemented from 2018 onwards, for the duration of 3 years. The budgets are 481,500 USD from the German Federal Environment Ministry (BMUB) and 450,000 USD from the Swedish International Development Agency (SIDA). Expected project outputs are:

1. Strengthened public climate finance reforms to deliver NDC outcomes and enhance gender equality
2. Policy framework strengthened to incentivize private sector climate investment and finance delivered in delivering Thailand NDC commitments
3. Capacity developed for assessing climate financial flows to deliver NDC implementation in sectorial programming

II. Presentation, Discussion and Recommendation

Dr. Pawin Talerngsri presented on the additional details of the project, and Mr. Krib Sitathani, Low Emission Capacity Building Project Manager presented on the project background, objectives, activities and work plan.

Then, the meeting participants expressed their views and provided suggestions.

Objective, goal, activities and project indicators

- The Bureau of the Budget proposed to use the best practices on climate change as case study and to apply at the project implementation. The Mae Jam model was cited as an example, a cooperation among the civil society, the people sector and the public sector on forest fire prevention.
- The Sustainable Development Foundation (SDF) addressed on the followings:
    1) The civil society should take part, especially on the monitoring and evaluation of the project. This is deemed highly beneficial as the civil society may view the issues differently from the public agencies. This will enable seeing problems or facts on grassroots level.
    2) The financial flow should cover the issues both on climate change adaptation and the GHG reduction (mitigation). The energy and transport sectors selected as the project's study goal may give a clear picture of the financial flow on the GHG reduction, but not much on the climate change adaptation. Moreover, the project document showed that during 2009-2011, 68% of the total public budget allocated to climate change was for adaptation actions. However, from the experiences working in the fields for many years, it was found that the agencies at provincial and local level have not yet integrated the issue on climate change into their works. Therefore, ways to allocate the budget and assignments to the provincial and local agencies need to be looked into.
    3) There should be consideration on policy coherence between the climate change policy and the policies of other sectors under the central government. This is to ensure that the policies and the budget utilization by sectors are corresponding to the climate change's goals and outcomes and will not have negative impacts on the vulnerability and capacity of local community.
    4) Thailand has the challenges on democratic process and corporate governance; therefore, it is unable to rely on the measures on environmental and social safeguard. In this context, it is of concern about roles of the private sector and its investment on climate change. If without careful review or check on the investment made by the private sector, the local community may be less immune to climate change.
- The Department of Marine and Coastal Resources agreed on bringing the energy and transport sectors as the project's study goal and questioned if there would be other sectors in addition of these two mentioned. There are various agencies, within the Ministry of Natural Resources and Environment and the Ministry of Agriculture and Cooperatives, which are concerned with the impacts on climate change. Besides, the laid-out framework only on the energy and transport sectors may not give the whole picture of the financial flow on the overall climate change picture of the country. Therefore, the main flow concerning the goal on GHG reduction should be studied, for it will bring the picture of the budge flow, including the effectiveness of the budget spending.
- The Department of fisheries proposed to have clearer indicators for the planned activities to achieve their goal.
- The Royal Irrigation Department shared the views of the Department of Fisheries on clear indicators and pointed out that there are not yet indicators on the Adaptation, while there are quite clear and measurable indicators on the Mitigation. Thus, more study is required in this regard, and this should be good for budget request planning. This would provide the Bureau of the Budget clearer goal and more ease on budget allocation.
- The Thailand Greenhouse Gas Management Organization (TGO) recommended to set clear goals and indicators so that results gained from the project are not simply study and fact finding. Importantly, Thailand's constitution stipulated on gender quality; therefore, the project's goal needs to be in line. Regarding the Climate change adaptation, what are the project's goal to study on gender equality, whether the budget is sufficient to efficiently managed. Those with the important role to drive the project should also study on the role of the Youth, to prepare into the future.

Cooperation from related agencies

- The Budget Bureau proposed to invite the Office of the Public Sector Development Commission (OPDC) to become the responsible party, as the budgeting requires indicators. The view is that participating agencies should be from many sectors, not only agencies under the Ministry of Natural Resources and Environment and the Ministry of Agriculture and Cooperatives. Agencies such as those under the Ministry of Education to raise the awareness and educate the public, and the Department of Public Works and Town & Country Planning to design consideration criteria.
- The Bureau of the Budget and the Department of Women's Affairs and Family Development (DWF) suggested to invite the Department of Disaster Prevention and Mitigation into the project, as this Department' works are on disaster mitigation which gives much importance to gender, and with gender aspect in every step of the disaster prevention management.
- The United Nations Development Programme (UNDP) expressed the views that part of the project's goal is to study on the cooperation from the private sector, but having none participate in the meeting so far. Therefore, the private sector should be invited to the project committee, including the

Federation of Thai Industries, the Bank of Thailand and commercial banks. The banks can bring on the gender equality and climate change dimension into its involvement in the investment, in terms of the loan criteria for the private sector.

Other suggestions

- The Bureau of the Budget informed that there is no direct, integrated plan on climate change, but only some closely resembled plans. The representative suggested that related agencies could together prepare the strategic plan and send the plan along with the budget to the Bureau for consideration. Moreover, the Bureau can provide data on budget allocated to the government agencies, but data on local area budget may need to be coordinated and requested with the Ministry of Interior.
- The Department of Women's Affairs and Family Development (DWF) informed that DWF has pushed on gender responsive budgeting for every government agency. The manual is created and distributed to all, and there plans to be a checklist form to assist the Bureau of the Budget on consideration of budget with gender dimension. There is also the overall women development strategy. Although it is not specifically on climate change, it could be adapted to the project. DWF also provided additional information that Thailand complies to the Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW) and that the CEDAW Committee suggested Thailand guarantee that women will take part in the climate change and disaster risk reduction policy formulation and implementation, including the gender responsive budgeting work plan. DWF also suggested that the budget planning need not allocate a separate budget, but make planning and analyzing with gender dimension perspectives.
- The Sustainable Development Foundation (SDF) mentioned the research made by the Philippines University on the impact of the natural disaster on women in ASEAN that could be information for the project.
- The Thailand Greenhouse Gas Management Organization (TGO) said that although the important issues of the project are in the social aspect, these concern NDC and climate change which are of scientific aspect. When looking for the Project Advisor, the selection should not be for a person with only social perspective, but one who is able to use the social perspective to help support the scientific perspective.

The meeting adjourned at 15.30 hrs.

Additional comment

- After the meeting, the Department of Disaster Prevention and Mitigation added that disaster management is an operation on climate change adaptation. The Disaster Risk Management Plan/Operation plan is prepared to drive actions horizontally at ministerial level, and vertically at regional and local level, and aimed for disaster risk reduction that will subsequently reduce loss of lives and properties by looking into potential threats, vulnerability and coping capacity. The operation also gives importance to gender, age and disability.

Participant List

Office of Natural Resources and Environmental Policy and Planning (ONEP)

1. Mr. Phirun Saiyasitpanich, Ph.D. — Director of Climate Change Management and Coordination Division
2. Mr. Kittisak Prukkanone, Ph.D. — Director of Knowledge and Database Section
3. Mr. Parinya Changseetha — Environmentalist
4. Ms. Dares Kaewket — Environmentalist – Professional Level

Office of Agricultural Economics (OAE)

5. Mr. Napat Ouicharoen — Economist – Professional Level

Department of Fisheries (DOF)

6. Mr. Putth Songsangjinda — Senior Expert on Marine Shrimp Culture
7. Mr. Boonsong Sricharoendham — Senior Expert in Fisheries Ecology

Department of Water Resources (DWR)

8. Mr. Ukrit Yonthantham

Department of Marine and Coastal Resources (DMCR)

9. Mr. Somkiat Khokiattiwong — Senior Researcher

Thai Meteorological Department (TMD)

10. Mr. Porrames Amatayakul

Thailand Greenhouse Gas Management Organization (Public Organization)

11. Ms. Prasertsuk Chamornmarn — Executive Director
12. Mr. Supanat Chotiwittayatharakorn

Office of the National Human Rights Commission of Thailand (NHRCT)

13. Ms. Anichapat Sitthidamrong — Human Rights Officer

Department of Alternative Energy Development and Efficiency (DEDE)

14. Mr. Borwornpong Sunipasa	Plan and Policy Analyst – Professional Level
15. Mr. Thakorn Chaiviriyakul	Electrical Engineer – Professional Level
Department of Women's Affairs and Family Development (DWF)	
16. Ms. Natthita Vijittrakarnkul	Social Development Officer – Senior Professional Level
17. Ms. Thida Pongcharoenchai	Social Development Officer – Professional Level
Bureau of the Budget (BB)	
18. Ms. Buddima Trakarnvanich, Ph.D.	Budget Analyst – Senior Professional Level
19. Ms. Kannawee Suebsuk	Budget Analyst – Senior Professional Level
20. Ms. Janthakanya Wannawong	Budget Analyst – Professional Level
Department of Disaster Prevention and Mitigation (DDPM)	
21. Ms. Suthathip Dejchaisri	Plan and Policy Analyst
Royal Irrigation Department (RID)	
22. Ms. Thanakorn Jatawong	Senior Expert on Economic Analysis for Water Resources Development Project
23. Ms. Prapatsorn Kongkaew	
Sustainable Development Foundation	
24. Mr. Jonathan Shott	Program Officer
United Nations Development Programme	
25. Mr. Martin Hart-Hansen	Deputy Resident Representative
26. Mr. Pawin Talerngsri	Programme Analyst
27. Mr. Krib Sitathani	Project Manager, LECB
28. Mr. Kiatisak Agsornwong	Project Assistant
29. Ms. Hataitip Suparatnodom	Project Assistant
30. Mr. Kevork Baboyan	Governance and Public Finance Management Specialist
31. Ms. Nunlada Punyarat	Regional Programme Management Officer
32. Ms. Ampai Harakunarak	Lead consultant

Annex VI: IKI NDC Support Cluster Functions

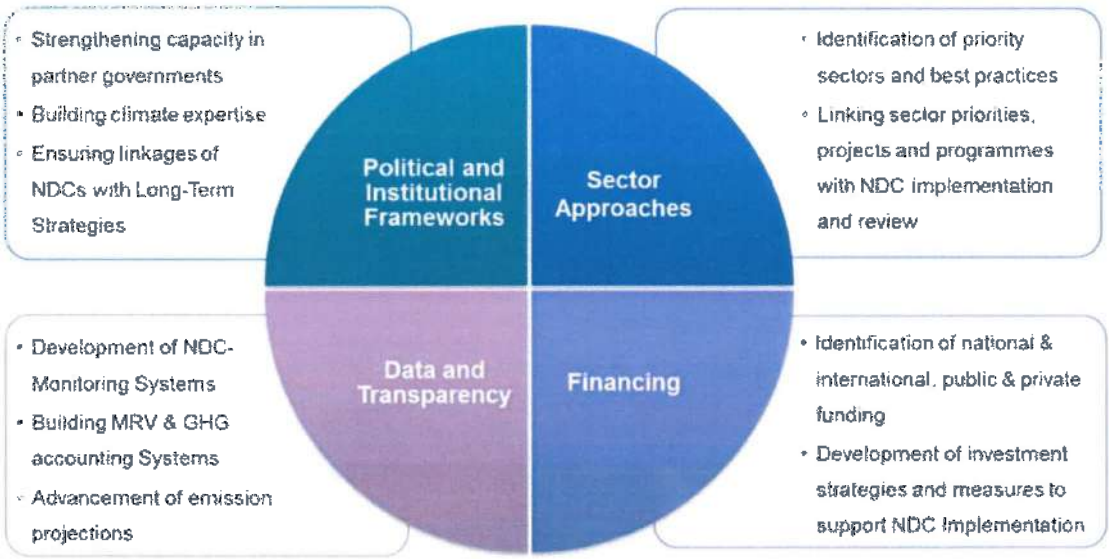
Since COP 21, dedicated NDC support by BMUB's "International Climate Initiative" (IKI) has been coordinated through the IKI NDC Support Cluster. Through five projects with a total funding volume of approximately EUR 32 million, eight climate and development implementing partners are coordinating their activities to allocate resources more effectively and efficiently in selected partner countries. The implementing partners are:

1. Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ)
2. Energy Research Centre of the Netherlands (ECN)
3. NewClimate Institute (NCI)
4. SouthSouthNorth (SSN)
5. Climate and Development Knowledge Network (CDKN)
6. Low Emission Development Strategies Global Partnership (LEDS GP)
7. United Nations Development Programme (UNDP)
8. World Resources Institute (WRI)

In total, 27 partner countries are receiving support of which IKI/BMUB has selected five as **focus countries** for closer collaboration between the implementing partners and with the political partners. The aim is to foster collaboration on the ground while bundling partner country contact and building on complementarity. In each of those countries one institution takes the lead in facilitating coordination while all institutions complement their expertise mutually:

1. **Colombia**: UNDP takes lead and provides support based on demand analysis with political partner, WRI complements on political and institutional frameworks, data and transparency.
2. **Ethiopia**: WRI takes lead and provides support on political and institutional frameworks, data and transparency, CDKN complements on financing.
3. **Kenya**: UNDP takes lead and provides support based on demand analysis with political partner, ECN/NCI complement on political and institutional frameworks, sector approaches, financing, CDKN on financing.
4. **Morocco**: GIZ takes lead; GIZ and UNDP provide support based on demand analysis with political partner.
5. **Peru**: GIZ takes lead, GIZ and UNDP provide support based on demand analysis with political partner, CDKN complements on financing.

All implementing partners pool their expertise and experience and aim for a coherent approach in **four thematic support areas**:



In each support area one institution takes the lead on in-cluster coordination and the conceptual progression of advisory (in parentheses): Political and institutional frameworks (UNDP); sector approaches (ECN/NCI); financing (SSN); data and transparency (WRI).

BMUB commissioned the GIZ implemented **Support Project for the Implementation of the Paris Agreement (SPA)** to facilitate coordination while ensuring lean cooperation processes. SPA facilitates cooperation within the cluster, exchange as well as pooling and sharing of knowledge. For BMUB the project acts as gateway to render content from the NDC support. At the core of the cluster approach lays close cooperation and regular interaction between the projects and implementing organizations, so as to **ensure**

coherence and efficiency. The work of the cluster builds on the experience and knowledge of the existing work within the IKI. It is designed to be flexibly adjusted in terms of geographical, thematic and institutional scope to accommodate partner country requests and working inclusively with other initiatives like the NDC Partnership.

A joint **NDC Helpdesk** for flexible support (in full cooperation with the NDC Partnership and LEDS Global Partnership), organization of implementing partners' tools for NDC implementation in a shared **NDC Cluster Toolbox**, and a "**Good Practice Database**" will complement the advisory services at the global level.

- **NDC Helpdesk:** The NDC Helpdesk will offer tailored, short-term assistance on NDC implementation in the context of the IKI NDC Support Cluster. All cluster implementing partners have allocated resources in the IKI NDC Cluster projects for that purpose. It cooperates closely with the LEDS GP "Remote Expert Assistance on LEDS (REAL)" to maximize benefits for partner countries to receive assistance on NDC implementation. The NDC Helpdesk was launched in November 2016 at the NDC Cluster Side Event at COP22 in Marrakesh and is accessible on-line at https://mitigationpartnership.net/ndc-helpdesk.

- **NDC Cluster Toolbox:** The toolbox comprises only the most up-to-date and NDC implementation relevant tools, manuals, guides and publications by cluster implementing partners. It provides easy access to the tools following the cluster thematic working areas. The toolbox will be launched in April 2017.

- **Good Practice Database:** Since 2013, the BMUB funded International Partnership on Mitigation on MRV (now Int. Partnership on Transparency) and the UNDP LECB Programme (now the UNDP NDC Support Programme) have examined country cases that demonstrate how mitigation actions are effectively designed and implemented across a range of national contexts. The Good Practice Database to date comprises 40 good practice case studies from 34 countries. Taking into consideration that there are already a lot of documented good practice case studies, in 2016 the database was extended by 50 external case studies including 29 case studies from the Green Growth Best Practice Initiative and 21 case studies from the study "Pioneers for Change: 21 Good Practices for Sustainable Development in Developing Countries". It has been disseminated through the networks of the Transparency Partnership and the UNDP LECB Programme and received widespread attention. The database can be accessed online (www.mitigationpartnership.net/gpa).

Annex VII: Supplemental Provisions to the Project Document

Supplemental Provisions to the Project Document

The Legal Context

General responsibilities of the Government, UNDP and the executing agency

1. All phases and aspects of UNDP assistance to this project shall be governed by and carried out in accordance with the relevant and applicable resolutions and decisions of the competent United Nations organs and in accordance with UNDP's policies and procedures for such projects, and subject to the requirements of the UNDP Monitoring, Evaluation and Reporting System.

2. The Government shall remain responsible for this UNDP-assisted development project and the realization of its objectives as described in this Project Document.

3. Assistance under this Project Document being provided for the benefit of the Government and the people of (the particular country or territory), the Government shall bear all risks of operations in respect of this project.

4. The Government shall provide to the project the national counterpart personnel, training facilities, land, buildings, equipment and other required services and facilities. It shall designate the Government Co-operating Agency named in the cover page of this document (hereinafter referred to as the "Co-operating Agency"), which shall be directly responsible for the implementation of the Government contribution to the project.

5. The UNDP undertakes to complement and supplement the Government participation and will provide through the Executing Agency the required expert services, training, equipment and other services within the funds available to the project.

6. Upon commencement of the project the Executing Agency shall assume primary responsibility for project execution and shall have the status of an independent contractor for this purpose. However, that primary responsibility shall be exercised in consultation with UNDP and in agreement with the Co-operating Agency. Arrangements to this effect shall be stipulated in the Project Document as well as for the transfer of this responsibility to the Government or to an entity designated by the Government during the execution of the project.

7. Part of the Government's participation may take the form of a cash contribution to UNDP. In such cases, the Executing Agency will provide the related services and facilities and will account annually to the UNDP and to the Government for the expenditure incurred.

(a) Participation of the Government

1. The Government shall provide to the project the services, equipment and facilities in the quantities and at the time specified in the Project Document. Budgetary provision, either in kind or in cash, for the Government's participation so specified shall be set forth in the Project Budgets.

2. The Co-operating Agency shall, as appropriate and in consultation with the Executing Agency, assign a director for the project on a full-time basis. He shall carry out such responsibilities in the project as are assigned to him by the Co-operating Agency.

3. The estimated cost of items included in the Government contribution, as detailed in the Project Budget, shall be based on the best information available at the time of drafting the project proposal. It is understood that price fluctuations during the period of execution of the project may necessitate an adjustment of said contribution in monetary terms; the latter shall at all times be determined by the value of the services, equipment and facilities required for the proper execution of the project.

4. Within the given number of man-months of personnel services described in the Project Document, minor adjustments of individual assignments of project personnel provided by the Government may be made by the Government in consultation with the Executing Agency, if this is found to be in the best interest of the project. UNDP shall be so informed in all instances where such minor adjustments involve financial implications.

5. The Government shall continue to pay the local salaries and appropriate allowances of national counterpart personnel during the period of their absence from the project while on UNDP fellowships.

6. The Government shall defray any customs duties and other charges related to the clearance of project equipment, its transportation, handling, storage and related expenses within the country. It shall be responsible for its installation and maintenance, insurance, and replacement, if necessary, after delivery to the project site.

7. The Government shall make available to the project - subject to existing security provisions – any published and unpublished reports, maps, records and other data which are considered necessary to the implementation of the project.

8. Patent rights, copyright rights and other similar rights to any discoveries or work resulting from UNDP assistance in respect of this project shall belong to the UNDP. Unless otherwise agreed by the Parties in each case, however, the Government shall have the right to use any such discoveries or work within the country free of royalty and any charge of similar nature.

9. The Government shall assist all project personnel in finding suitable housing accommodation at reasonable rents.

10. The services and facilities specified in the Project Document which are to be provided to the project by the Government by means of a contribution in cash shall be set forth in the Project Budget. Payment of this amount shall be made to the UNDP in accordance with the Schedule of Payments by the Government.

11. Payment of the above-mentioned contribution to the UNDP on or before the dates specified in the Schedule of Payments by the Government is a prerequisite to commencement or continuation of project operations.

(b) Participation of the UNDP and the executing agency

1. The UNDP shall provide to the project through the Executing Agency the services, equipment and facilities described in the Project Document. Budgetary provision for the UNDP contribution as specified shall be set forth in the Project Budget.

2. The Executing Agency shall consult with the Government and UNDP on the candidature of the Project Manager a[41]/ who, under the direction of the Executing Agency, will be responsible in the country for the Executing Agency's participation in the project. The Project Manager shall supervise the experts and other agency personnel assigned to the project, and the on-the-job training of national counterpart personnel. He shall be responsible for the management and efficient utilization of all UNDP-financed inputs, including equipment provided to the project.

3. The Executing Agency, in consultation with the Government and UNDP, shall assign international staff and other personnel to the project as specified in the Project Document, select candidates for fellowships and determine standards for the training of national counterpart personnel.
4. Fellowships shall be administered in accordance with the fellowships regulations of the Executing Agency.

5. The Executing Agency may, in agreement with the Government and UNDP, execute part or all of the project by subcontract. The selection of subcontractors shall be made, after consultation with the Government and UNDP, in accordance with the Executing Agency's procedures.

6. All material, equipment and supplies which are purchased from UNDP resources will be used exclusively for the execution of the project, and will remain the property of the UNDP in whose name it will be held by the Executing Agency. Equipment supplied by the UNDP shall be marked with the insignia of the UNDP and of the Executing Agency.

7. Arrangements may be made, if necessary, for a temporary transfer of custody of equipment to local authorities during the life of the project, without prejudice to the final transfer.

8. Prior to completion of UNDP assistance to the project, the Government, the UNDP and the Executing Agency shall consult as to the disposition of all project equipment provided by the UNDP. Title to such equipment shall normally be transferred to the Government, or to an entity nominated by the Government,

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[41] May also be designated Project Co-ordinator or Chief Technical Adviser, as appropriate.

when it is required for continued operation of the project or for activities following directly therefrom. The UNDP may, however, at its discretion, retain title to part or all of such equipment.

9. At an agreed time after the completion of UNDP assistance to the project, the Government and the UNDP, and if necessary the Executing Agency, shall review the activities continuing from or consequent upon the project with a view to evaluating its results.

10. UNDP may release information relating to any investment oriented project to potential investors, unless and until the Government has requested the UNDP in writing to restrict the release of information relating to such project.

Rights, Facilities, Privileges and Immunities

1. In accordance with the Agreement concluded by the United Nations (UNDP) and the Government concerning the provision of assistance by UNDP, the personnel of UNDP and other United Nations organizations associated with the project shall be accorded rights, facilities, privileges and immunities specified in said Agreement.

2. The Government shall grant UN volunteers, if such services are requested by the Government, the same rights, facilities, privileges and immunities as are granted to the personnel of UNDP.

3. The Executing Agency's contractors and their personnel (except nationals of the host country employed locally) shall:

(a) Be immune from legal process in respect of all acts performed by them in their official capacity in the execution of the project;

(b) Be immune from national service obligations;

(c) Be immune together with their spouses and relatives dependent on them from immigration restrictions;

(d) Be accorded the privileges of bringing into the country reasonable amounts of foreign currency for the purposes of the project or for personal use of such personnel, and of withdrawing any such amounts brought into the country, or in accordance with the relevant foreign exchange regulations, such amounts as may be earned therein by such personnel in the execution of the project;

(e) Be accorded together with their spouses and relatives dependent on them the same repatriation facilities in the event of international crisis as diplomatic envoys.

4. All personnel of the Executing Agency's contractors shall enjoy inviolability for all papers and documents relating to the project.

5. The Government shall either exempt from or bear the cost of any taxes, duties, fees or levies which it may impose on any firm or organization which may be retained by the Executing Agency and on the personnel of any such firm or organization, except for nationals of the host country employed locally, in respect of:

(a) The salaries or wages earned by such personnel in the execution of the project;

(b) Any equipment, materials and supplies brought into the country for the purposes of the project or which, after having been brought into the country, may be subsequently withdrawn therefrom;

(c) Any substantial quantities of equipment, materials and supplies obtained locally for the execution of the project, such as, for example, petrol and spare parts for the operation and maintenance of equipment mentioned under (b), above, with the provision that the types and approximate quantities to be exempted and relevant procedures to be followed shall be agreed upon with the Government and, as appropriate, recorded in the Project Document; and

(d) As in the case of concessions currently granted to UNDP and Executing Agency's personnel, any property brought, including one privately owned automobile per employee, by the firm or organization or its personnel for their personal use or consumption or which after having been brought into the country, may subsequently be withdrawn therefrom upon departure of such personnel.

6. The Government shall ensure:

(a) Prompt clearance of experts and other persons performing services in respect of this project; and

(b) The prompt release from customs of:

(i) Equipment, materials and supplies required in connection with this project; and

(ii) Property belonging to and intended for the personal use or consumption of the personnel of the UNDP, its Executing Agencies, or other persons performing services on their behalf in respect of this project, except for locally recruited personnel.

7. The privileges and immunities referred to in the paragraphs above, to which such firm or organization and its personnel may be entitled, may be waived by the Executing Agency where, in its opinion or in the opinion of the UNDP, the immunity would impede the course of justice and can be waived without prejudice to the successful completion of the project or to the interest of the UNDP or the Executing Agency.

8. The Executing Agency shall provide the Government through the resident representative with the list of personnel to whom the privileges and immunities enumerated above shall apply.

9. Nothing in this Project Document or Annex shall be construed to limit the rights, facilities, privileges or immunities conferred in any other instrument upon any person, natural or juridical, referred to hereunder.

Suspension or termination of assistance

1. The UNDP may by written notice to the Government and to the Executing Agency concerned suspend its assistance to any project if in the judgement of the UNDP any circumstance arises which interferes with or threatens to interfere with the successful completion of the project or the accomplishment of its purposes. The UNDP may, in the same or a subsequent written notice, indicate the conditions under which it is prepared to resume its assistance to the project. Any such suspension shall continue until such time as such conditions are accepted by the Government and as the UNDP shall give written notice to the Government and the Executing Agency that it is prepared to resume its assistance.

2. If any situation referred to in paragraph 1, above, shall continue for a period of fourteen days after notice thereof and of suspension shall have been given by the UNDP to the Government and the Executing Agency, then at any time thereafter during the continuance thereof, the UNDP may by written notice to the Government and the Executing Agency terminate the project.

3. The provisions of this paragraph shall be without prejudice to any other rights or remedies the UNDP may have in the circumstances, whether under general principles of law or otherwise.