



**United Nations Development Programme
Country: Thailand**

Project Document (Annual Work Plan 2008)

- UNPAF Outcome(s):** Improved sustainable utilization and management of natural resources and the environment at national and community levels
- Expected CP Outcome(s):** Increased capacity of national focal points in addressing policy and removal of barriers in pursuing local sustainable management of natural resources and environment in selected ecosystems and promotion of area-based renewable energy application.
- Expected CPAP Output(s):** Output 2.1 Need analysis and Capacity strengthening of MEAs national focal points in efficient coordination, technical expertise and communication to public
Output 2.2 Demonstration of sustainable management in the applicable sustainable energy consumption and production.
Output 2.3 Evidence-based data for barriers removal and policy decision making
- Implementing partner:** Office of the Permanent Secretary, Ministry of Natural Resources and Environment (MONRE)
- Responsible parties:** MONRE -Office of Natural Resources and Environmental Policy and Planning (ONEP)
MONRE - Thailand Green House Gas Organization (TGO)
MONRE - Office of International Cooperation on Natural Resources and Environment (OIC)

Narrative

UNDP will work with the Office of Natural Resources and Environmental Policy and Planning (ONEP), which is the national focal point on climate change. The project aims to respond the government's need in activating its national climate change strategies. The activities include conducting policy studies, convening dialogues for new climate initiatives, and launch public campaigns on climate change mitigation and adaptation.

In enhancing access to carbon finance market, UNDP has launched the global programme called MDG Carbon Facility. UNDP will work with the newly established Thailand Greenhouse Gas Management Organization by providing technical support in CDM project development. Primary target will be local government waste management. Activities include providing information on CDM, assist Thai proponents on project development, and proceeding for approval.

With larger GEF portfolio including climate change related projects, the government GEF focal point needs to strengthen its programme monitoring mechanism to effectively manage GEF projects. UNDP will work with the Office of International Cooperation on Natural Resources and Environment (OIC) of MONRE to provide technical support in strengthening programme monitoring mechanism, training on GEF criteria and procedures, and project initiation.

Programme Period:	2007-2011
CPAP Programme Component:	Energy & Environment for Sustainable Development
Project Title:	Enhancing Thailand's policy advocacy and new initiatives on Climate Change
Atlas Award ID:	_____
Start date:	April, 2008
End Date:	December 31, 2008
Management Arrangement:	NEX with LOAs
PAC Meeting Date:	_____

Estimated annualized budget:	<u>150,000 US</u>
Total resources required	<u>150,000 US</u>
Total allocated resources:	
• Regular (TRAC)	<u>150,000 US</u>
• Other:	
○ Donor	_____
○ Donor	_____
○ Donor	_____
○ Government	<u>In-kind</u>
Unfunded budget:	_____
In-kind Contributions	_____

Agreed by (Implementing Partner):

Mr. Saksit Tridech
Permanent Secretary, Ministry of Natural Resources and Environment
Soi Phaholyothin 7, Bangkok 10400

Agreed by (UNDG Agency):

Ms. Gwi-Yeop Son
UN Resident Coordinator
UNDP Resident Representative
United Nations Development Programme, Thailand

I. Annual Work Plan Budget Sheet

Year 2008

Related CP Outcome Increased capacity of national focal points in addressing policy and removal of barriers in pursuing local sustain able management of natural resources and environment in selected ecosystems and promotion of area-based renewable energy application.

EXPECTED OUTPUTS <i>And baseline, associated indicators and annual targets</i>	PLANNED ACTIVITIES <i>List activity results and associated actions</i>	TIMEFRAME				RESPONSIBLE PARTY	PLANNED BUDGET		
		Q 1	Q 2	Q 3	Q 4		Fundin g Source	Budget Description	Amount (US \$)
<p><u>Output 1</u> Decision supported study and campaigns on carbon emission reduction are conducted.</p> <p><u>Baseline:</u> The National Climate Change Strategy has been announced. There are not yet economic measures to influence carbon emission reduction.</p> <p><u>Indicator</u> The recommended options are adopted by the government and publicly announced.</p> <p><u>Target:</u> By end of this year, Climate Change National Focal Point and UNDP have joint campaign on the options recommended by the study</p>	<p>1. The government adopt the study as primary data for new policy measures</p> <ul style="list-style-type: none"> - Invite international experts to share experiences on practical economic instruments in other countries - Brainstorm among experts and policy makers on possible economic instruments to Thailand - Conduct an in-depth study on the best possible measures (incentives and surcharge) in Reducing Greenhouse Gas Emissions in Thailand <p>2. Increasing public awareness on carbon emission reduction measures</p> <ul style="list-style-type: none"> - Advocacy and public consultation on measures recommended by the study, on carbon emission reduction, mitigation and adaptation. - Advocacy, campaigns and public consultation on new initiative with private sector's Corporate Social Responsibility in establishing Green Power market in Thailand. 	X				<p>ONEP - MONRE</p> <p><u>Other partners:</u></p> <ul style="list-style-type: none"> - Regional Environment Office - Federation of Thai Industries - Municipalities 	TRAC	Consultancy Workshop	25,000
			X						<p><u>Other partners:</u></p> <ul style="list-style-type: none"> - Energy for Environment Foundation - Ministry of Energy - Social Venture Network/ Business Council on Sustainable Development - TGO - local government institutions

EXPECTED OUTPUTS <i>And baseline, associated indicators and annual targets</i>	PLANNED ACTIVITIES <i>List activity results and associated actions</i>	TIMEFRAME				RESPONSIBLE PARTY	PLANNED BUDGET		
		Q 1	Q 2	Q 3	Q 4		Funding Source	Budget Description	Amount (US \$)
<p><u>Out put 2</u> CDM projects have been developed with selected municipalities as to implement global MDG Carbon Facility programme in Thailand</p> <p><u>Baseline</u> Only seven CDM projects endorsed since there is limited access to CDM market due to lack of information and public understanding.</p> <p><u>Indicator</u> Local government has better understanding on the MDG Carbon Programme</p> <p><u>Target</u> At least 3 new CDM projects have gone through phase I of due diligence.</p>	<p>1. Potential municipalities develop project ideas for UNDP consideration - Launching MDG Carbon Facility programme to municipalities in the 4 regions of Thailand</p>	X	X			<p>TGO - MONRE</p> <p><u>Other partners:</u> - Municipalities, - Energy for Environment Foundation</p>		Consultancy Workshop	25,000
	<p>2. UNDP has feasible projects developed with targeted municipalities</p> <p>- Provide consultancy services to potential partners in CDM project development.</p>		X	X	X			Consultancy	20,000

EXPECTED OUTPUTS <i>And baseline, associated indicators and annual targets</i>	PLANNED ACTIVITIES <i>List activity results and associated actions</i>	TIMEFRAME				RESPONSIBLE PARTY	PLANNED BUDGET		
		Q 1	Q 2	Q 3	Q 4		Funding Source	Budget Description	Amount (US \$)
<p><u>Output 3</u> GEF Programme monitoring and reporting mechanisms have been established and functioning in government GEF focal point and national focal points of international environment agreements in ONEP.</p> <p><u>Baseline:</u> There is no systematic GEF programming mechanism in MONRE. There is limited knowledge on GEF criteria of support and procedures.</p> <p><u>Indicator:</u> GEF Inter-agency committee, comprising national focal points of international environment agreements in ONEP, has been established to assist MONRE GEF Focal Point on GEF programme development and monitoring.</p> <p><u>Annual Target:</u> GEF resources allocated to Thailand on climate change and biodiversity are fulfilled with GEF project approval within submission timeline.</p>	<p>1. The audiences apply the knowledge on criteria of eligible projects in developing new project ideas and implementation of on-going projects.</p> <p>- Conduct GEF National Dialogue on GEF criteria of support, project review methodology and procedures for programme monitoring, and reporting</p>	X		X		<p>OIC- MONRE</p> <p><u>Other partners:</u> - National Focal Points of CBD, UNFCCC, UNCCD, POPs - Members of inter-agency committee on International Environment Cooperation</p>		Consultancy Conference Publication	10,000
	<p>2. GEF project identification and implementation have been delivered on time</p> <p>- Technical support on project initiation and implementation of MONRE multilateral environmental agreement with GEF funding</p>	X	X	X				Consultancy	30,000
	<p>3. Project monitoring mechanism in GEF national focal point and national focal points of international environment agreements in ONEP is strengthened</p> <p>- Training on project analysis, programme management and monitoring, including administrative requirement for on-going UNDP-GEF project owners</p>	X	X	X	X			Workshop Consultancy Field trips	20,000

II. Management Arrangements

Programme Level

A National Steering Committee (NSC) for UNDP-Thailand Country Programme Action Plan on Energy and Environment for Sustainable Development will be set up to provide overall guidance, supervise, monitor and evaluate all environment projects under the country programme. The NSC will be chaired by MONRE Permanent Secretary and comprise members of MONRE National Inter-agency Committee for International Environment Cooperation. The NSC will meet at least once, or as necessity.

Project Level

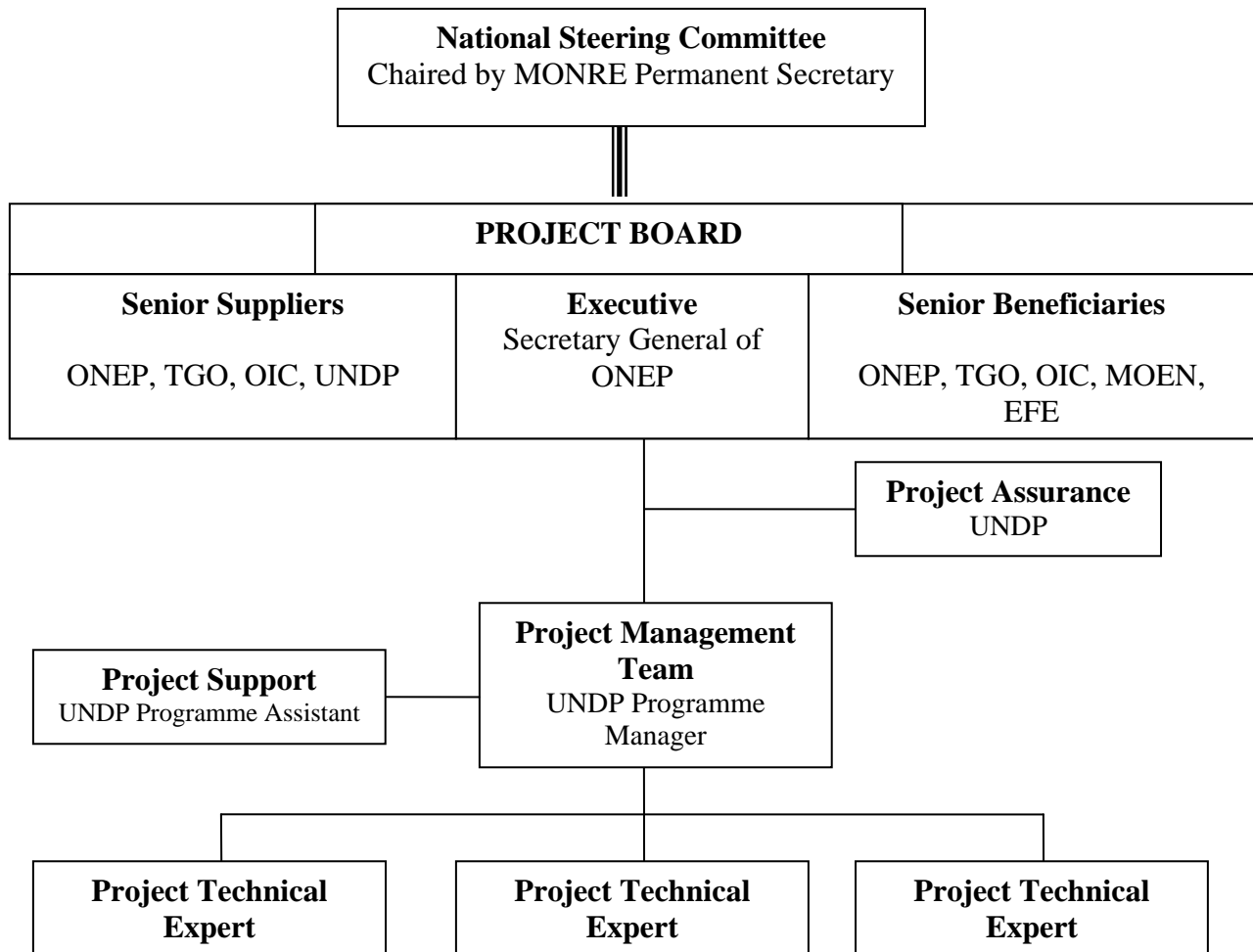
The Annual Work Plan (AWP) for “Enhancing Thailand’s policy advocacy and new initiatives on Climate Change” describes the specific results to be achieved in 2008 under the UNDP-Thailand Country Programme Action Plan (CPAP) 2007-2011, and will form the basic cooperation framework between UNDP and MONRE, as Implementing Partner, on the use of resources. The activities indicated in the AWP were discussed and endorsed by MONRE and responsible partners, through a series of consultations starting in late 2007, the launch of MDG Carbon Facility programme in September 2007, and the meetings with MONRE Permanent Secretary, as well as bilateral meetings with ONEP Secretary General, and TGO Executive Director.

The Project institutional set up, implementation and monitoring mechanism follows the universal standard of PRINCE 2 Project Management guidance.

A Project Board will be set up to supervise and monitor the project delivery according to the annual work plan. Project Board will comprise:

1. Executive to chair the Board
2. Senior Supplier to provide guidance regarding the technical and overall feasibility of the project
3. Senior Beneficiary to ensure the project benefits rationally reach the intended beneficiaries

The overall programme management of UNDP-Thailand on Energy and Environment for Sustainable Development is shown below:



The Project Board

By the signature of the AWP, MONRE agrees that ONEP Secretary-General will be the executive of the Project Board. The Project Board is responsible for making executive management decisions for the project, including approval of project revisions. The Project Board will also provide overall guidance and approve the activities under the AWP, including corresponding budget, technical feasibility of the project, and ensure the realization of project benefits to the project beneficiaries. The Project Board meetings shall be held quarterly or subject to necessity.

By the signature of the AWP, MONRE also agrees to have UNDP perform the role of Senior Supplier, together with ONEP, Thailand Greenhouse Gas Management Organization (TGO), and Office of International Cooperation on Natural Resources and Environment (OIC) to provide technical and procurement support and ensure the feasibility and delivery of the three outputs under the AWP. Three letters of agreement, signed separately for each output by ONEP, TGO, and OIC with UNDP, will provide a legal basis for UNDP to provide technical and procurement services. Under UNDP Procurement rules and procedures, recruitment of the project technical experts must be endorsed by the Project Executive, and approved by the Project Board.

Senior Beneficiaries comprise representatives from ONEP, relevant MONRE departments, Ministry of Energy (MOEN), and Energy for Environment Foundation (EFE). Relevant UN agencies such as UNEP and World Bank will be invited to join the Project Board Meetings.

Project Management team

As to perform the role of Senior Supplier with the three agencies under MONRE, UNDP will act as a project manager to monitor the project management and coordinate the preparation of semi-annual progress reports which are to be submitted to the members of the Project Board. UNDP Environment Unit manager will subsequently report to the Deputy Resident Representative. A quarterly meeting between UNDP and MONRE will be held to regularly monitor the planned activities and their corresponding budgets in the AWP.

The project manager runs the project on a day-to-day basis within the constraints laid down by the Project Board and consensus on decision making for the project. The project manager's prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost.

The Project Assurance

The Project Assurance supports the Project Board by carrying out objective and independent programme oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed.

In line with the United Nations reform principles, especially simplification and harmonization, the AWP will be operated with the harmonized common country programming instruments and tools, i.e. the UNPAF results matrix, M&E and the Harmonized Approach to Cash Transfer (HACT).

At the operational level, UNDP Programme Assistant will be responsible for project administration using ATLAS system for timely and efficient delivery of the activities and for effective financial monitoring under the AWP.

III. Monitoring Framework and Evaluation

In accordance with the programming policies and procedures outlined in the UNDP User Guide, the project will be monitored through the following:

Within the annual cycle

- On a quarterly basis, a quality assessment shall record progress towards the completion of key results, based on quality criteria and methods captured in the Quality Management table below.
- An Issue Log shall be activated in Atlas and updated by the Project Manager to facilitate tracking and resolution of potential problems or requests for change.
- Based on the initial risk analysis submitted (see annex 1), a risk log shall be activated in Atlas and regularly updated by reviewing the external environment that may affect the project implementation.
- Based on the above information recorded in Atlas, a Quarterly Progress Reports (QPR) shall be submitted by the Project Manager to the Project Board through Project Assurance, using the standard report format available in the Executive Snapshot.
- a project Lesson-learned log shall be activated and regularly updated to ensure on-going learning and adaptation within the organization, and to facilitate the preparation of the Lessons-learned Report at the end of the project
- a Monitoring Schedule Plan shall be activated in Atlas and updated to track key management actions/events

Annually

- **Annual Review Report.** An Annual Review Report shall be prepared by the Project Manager and shared with the Project Board and the Outcome Board. As minimum requirement, the Annual Review Report shall consist of the Atlas standard format for the QPR covering the whole year with updated information for each above element of the QPR as well as a summary of results achieved against pre-defined annual targets at the output level.
- **Annual Project Review.** Based on the above report, an annual project review shall be conducted during the fourth quarter of the year or soon after, to assess the performance of the project and appraise the Annual Work Plan (AWP) for the following year. In the last year, this review will be a final assessment. This review is driven by the Project Board and may involve other stakeholders as required. It shall focus on the extent to which progress is being made towards outputs, and that these remain aligned to appropriate outcomes.

Overall monitoring of the project will be the responsibility of UNDP Project Assurance mechanism. For day-to-day and regular reporting, the project manager will ensure monitoring and coordination in the preparation of semi-annual progress reports, to be submitted to the members of the Project Board.

Review Meeting and Reporting

The project will be subject to current UNDP monitoring and evaluation rules and procedures. The Project Board will serve as a major monitoring and evaluation mechanism of the overall project. Project technical Expert should submit financial reports and progress reports on regular basis.

Over the course of the project, the mid-term review and the concluding meetings of the Project Board will be organized.

1. Mid-term Review meetings: To be organized in July 2008 to review their work plans and the current situation.
2. Concluding meeting: To be organized in February 2009 to review final reports and discuss any lessons learned.

When necessary, electrical correspondence will be used for the review process and meetings.

Quality Management for Project Activity Results

OUTPUT 1: Decision supported study and campaigns on carbon emission reduction are conducted.		
Activity Result 1 (Atlas Activity ID)	The government adopt the study as primary data for new policy measures	Start Date: End Date:
Purpose	To initiate new policy measures as to implement the National Climate Change Strategy.	
Description	Conduct a study on Policy Options for Viable Economic Instruments in Reducing Greenhouse Gas Emissions in Thailand	
Quality Criteria	Quality Method	Date of Assessment
The recommended options are adopted by the government and publicly announced.	Press and other types of medias Government Press Release, website Dialogues with the government	End of Q2
Activity Result 2 (Atlas Activity ID)	Increasing public awareness on carbon emission reduction	Start Date: End Date:
Purpose	To promote public awareness on economic measures which influence carbon emission reduction.	
Description	Advocacy and public campaigns on feasible options recommended by the study, on carbon emission reduction, mitigation and adaptation measures	
Quality Criteria	Quality Method	Date of Assessment
Public awareness and active participation in campaigning the options recommended by the study	Opinion poll Press and other types of medias Public forum hosted/co-hosted by the government and UNDP	End of Q2

OUTPUT 2: CDM projects have been developed with selected municipalities as to implement global MDG Carbon Facility programme in Thailand		
Activity Result 1 (Atlas Activity ID)	Potential municipalities develop project ideas for UNDP consideration	Start Date: End Date:
Purpose	To enhance local government's interest in accessing carbon market	
Description	Launching MDG Carbon Facility programme to municipalities in the 4 regions of Thailand	
Quality Criteria	Quality Method	Date of Assessment
Submission of feasible project ideas by the municipalities after the launch	Discussion with interested groups	End of Q2

Activity Result 2 (Atlas Activity ID)	UNDP has feasible projects developed with targeted municipalities	Start Date: End Date:
Purpose	To increase number of CDM projects proposed by the local government	
Description	Provide consultancy services to potential partners in CDM project development.	
Quality Criteria	Quality Method	Date of Assessment
At least 3 new qualified CDM projects have been developed	Due diligence process to make sure the proposal is in good quality Closed contact with clients	End of Q2

OUTPUT 3: GEF Programme monitoring and reporting mechanisms have been established and functioning in GEF national focal point and national focal points of international environment agreements in ONEP.		
Activity Result 1 (Atlas Activity ID)	The audiences apply the knowledge on criteria of eligible projects in developing new project ideas and implementation of the on-going projects.	Start Date: End Date:
Purpose	To enhance GEF national focal point, national focal points of international environment agreements in ONEP, and counterparts' understanding of GEF criteria and procedures	
Description	Conduct GEF National Dialogue on GEF criteria of support, and procedures for programme monitoring, and reporting	
Quality Criteria	Quality Method	Date of Assessment
GEF National focal point and national focal points of international environment agreements in ONEP are able to give advice to proponents in developing eligible projects.	Evaluation of the session Collaboration with GEF national focal point in new project development	End of Q2
Activity Result 2 (Atlas Activity ID)	GEF project identification and implementation have been delivered on time	Start Date: End Date:
Purpose	To respond needs of UNDP counterparts in new project identification and formulation.	
Description	Technical support on project initiation and implementation of MONRE multilateral environmental agreement with GEF funding	
Quality Criteria	Quality Method	Date of Assessment
New GEF projects have been developed with GEF approval within the submission timeline	Regular meetings with government focal points Regular follow-up with project proponents	End of Q2

Activity Result 3 (Atlas Activity ID)	Project monitoring mechanism in GEF national focal point and national focal points of international environment agreements in ONEP is strengthened	Start Date: End Date:
Purpose	To equip government GEF focal point, national focal points of international environment agreements in ONEP and UNDP counterparts with project management skills	
Description	Training on programme management and monitoring, including administrative requirement for on-going UNDP-GEF projects	
Quality Criteria	Quality Method	Date of Assessment
GEF Inter-agency committee, comprising national focal points of international environment agreements in ONEP, has been established to assist MONRE GEF Focal Point on GEF programme development and monitoring.	Evaluation of the session Interview/ discussion with trainees & counterparts	End of Q2

IV. Legal Context

Pending the finalization of the Standard Basic Assistance Agreement (SBAA) between UNDP and the Royal Thai Government, the Agreement between the United Nations Special Fund, signed between the Royal Thai Government and the United Nations Special Fund on 4 June 1960, will govern the technical assistance provided by UNDP Thailand under the Country Programme Action Plan (CPAP). The AWP, which forms part of the CPAP, constitutes together a project document as referred to in the Agreement between the United Nations Special Fund and the Royal Thai Government.

This document together with the CPAP signed by the Government and UNDP which is incorporated by reference constitute together the instrument envisaged in the [Supplemental Provisions](#) to the Project Document, attached hereto.

Consistent with the above Supplemental Provisions, 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.

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.

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

The implementing partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the 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/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

Annex 1: Risk Analysis

RISK LOG



Project Title: Enhancing Thailand's policy advocacy and new initiatives on Climate Change | **Award ID:** | **Date:**

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
1.	<p><u>Project delivery and assurance of project results</u></p> <p>The project is not business as usual; additional staff on project management is required. Due to limited staff of ONEP despite increasing challenges and international commitment, the project delivery is at risk. ONEP may not be able to provide full time staff responsible for the project.</p>	Date of AWP signature	Operational & Programmatic Organizational	<p>The project outputs will not be delivered as planned.</p> <p>P = 3 (medium) I = 4</p>	UNDP performs the project assurance role in coordination with project executive UNDP also perform the role of senior supplier in order to provide technical and procurement services to ensure project delivery within timeframe.	UNDP Program Manager	UNDP Program Manager	NA The project has not started yet.	NA The project has not started yet.
2.	<p><u>Check and Balance of the project</u></p> <p>Transparency and accountability of the senior supplier might be in question. UNDP is performing the role of Project's Senior Supplier with ONEP..</p>	Date of AWP signature	Operational & Programmatic Organizational	<p>Disagreement in project implementation and delay.</p> <p>P = 1 I = 3</p>	In addition to MONRE Permanent Secretary agreement with his signature to the AWP, responsible parties have signed LOAs to delegate UNDP to provide technical and procurement. Moreover, the Project Board members must approve project work plan and budget. The Project Board shall evaluate and have the full right in restraining the actions in questions.	The Project Board	UNDP Program Manager	NA The project has not started yet.	NA The project has not started yet.
3.	<p><u>Assurance of multi-stakeholder partnership</u></p> <p>In order for the project to deliver results as planned, the collaboration from ONEP officials and project beneficiaries is crucial on government policy measures.</p>	Date of AWP signature	Operational & Programmatic Organizational	<p>Limited access to information and misunderstanding, duplication of actions in the same areas.</p> <p>P = 2 I = 3</p>	Since ONEP, whose Secretary-General will be designated by MONRE Permanent Secretary to be chair of the Project Board, has an extensive network and experience of working closely with the key government agencies and expand its cooperation with NGO/CBOs including partners in private sector, it is anticipated that the above-mentioned risks can be mitigated. The project has public consultation activities to provide substantial information and public participation.	The Project Board	UNDP Program Manager	NA The project has not started yet.	NA The project has not started yet.

