

# Readiness Proposal

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**with the Global Green Growth Institute (GGGI)  
for Lao People's Democratic Republic**

1 March 2023

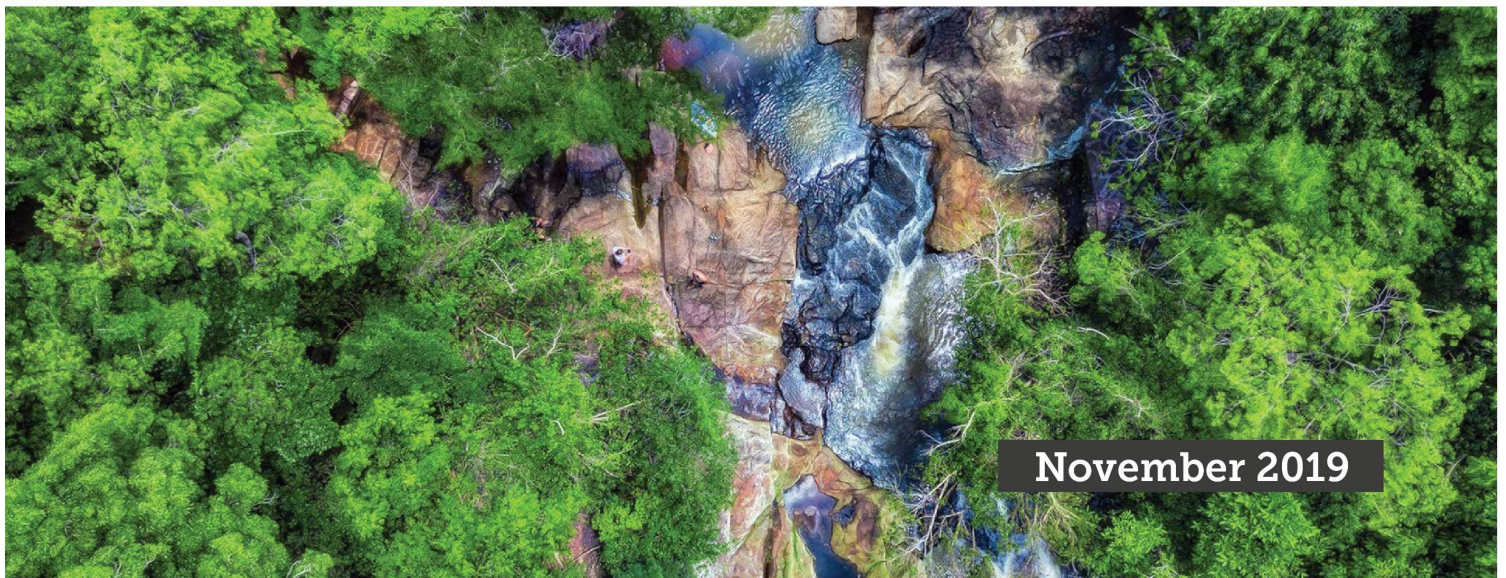


# READINESS & PREPARATORY SUPPORT

## PROPOSAL TEMPLATE



<b>Proposal title:</b>	Stage 1 Accreditation support of Direct Access Entities for on-lending and/or blending fiduciary functions
<b>Country:</b>	Lao People's Democratic Republic
<b>National designated authority:</b>	Ministry of Natural Resources and Environment
<b>Implementing Institution:</b>	Global Green Growth Institute
<b>Date of first submission:</b>	30 June 2022
<b>Date of current submission / version number</b>	7 December 2022 V.3



November 2019

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Download the guidebook:  
<https://g.cf/xxxxx>



#### **How to complete this document?**

This document should be completed by National Designated Authorities (NDA) or focal points with support from their Delivery Partners where relevant. Once completed, this document should be submitted to the GCF by the NDA or focal point via the [online submission system](#), accessible through the Country Portal of the GCF website.

Please be concise. If you need to include any additional information, please attach it to the proposal.

If the Delivery Partner implementing the Readiness support is not a GCF Accredited Entity for project Funding Proposals, please complete the Financial Management Capacity Assessment (FMCA) questionnaire and submit it prior to or with this Readiness proposal. The FMCA is available for download at the [Library](#) page of the GCF website.

#### **Where to get support?**

If you are not sure how to complete this document, or require support, please send an e-mail to [countries@gcfund.org](mailto:countries@gcfund.org).

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We will get back to you within five (5) working days to acknowledge receipt of your submission and discuss the way forward.

#### **Note: Environmental and Social Safeguards and Gender**

Throughout this document, when answering questions and providing details, please make sure to pay special attention to environmental, social and gender issues, particularly to the situation of vulnerable populations, including women and men. Please be specific about proposed actions to address these issues. Consult Annex IV of the Readiness Guidebook for more information.

**Please visit the Country Portal on the GCF website to submit this proposal via the [online system](#).**

When submitting the proposal, please name the file:  
GCF Readiness -[Country]-[yyymmdd]

**1. SUMMARY****1.1 Country submitting the proposal**

Country name: Lao People's Democratic Republic

Name of institution representing NDA or Focal Point: Ministry of Natural Resources and Environment

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**1.2 Date of initial submission**

30 June 2022

**1.3 Last date of resubmission**

30 June 2022

**Version number** V.2**1.4 Which institution will implement the Readiness and Preparatory Support project?**

- ☐ National designated authority
- ☐ Accredited entity
- ☒ Delivery partner

Name of institution: Global Green Growth Institute (GGGI)

Name of official: Gerard O'Donoghue

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<b>1.5 Title of the Readiness support proposal</b>	Stage 1 Accreditation support of Direct Access Entities for on-lending and/or blending fiduciary functions		
<b>1.6 Type of Readiness support sought</b>	<input checked="" type="checkbox"/> I. Capacity building <input type="checkbox"/> II. Strategic frameworks <input type="checkbox"/> III. Adaptation planning <input type="checkbox"/> IV. Pipeline development <input checked="" type="checkbox"/> V. Knowledge sharing and learning		
<b>1.7 Brief summary of the request</b>	<p>Lao PDR has revised its NDC and put forth more ambitious targets to be achieved by 2030. They include setting the course for Lao PDR to achieve net-zero emission by 2050 on the condition of additional support from international sources. According to the updated NDC (2021), the 60% GHG emission reduction by 2030 target compared to the baseline scenario at the national level demonstrates the enhanced contribution of the country to the Paris Agreement, considering the 34% GHG emissions reductions compared to the baseline scenario achieved in 2020. In order to implement Lao PDR's climate ambition, the country needs to strengthen its access to climate finance. The key challenges in enhancing Lao PDR's access to climate finance are:</p> <ul style="list-style-type: none"> <li>• The country has no national private accredited entity that can provide on-lending and/or blending fiduciary functions.</li> <li>• Limited knowledge of nominated direct access applicants and NDA in accreditation and scaling up climate change programmes/best practices.</li> </ul> <p>This Readiness grant aims to support the accreditation process and to build the capacity of two domestic financial institutions/banks, to meet and fulfill GCF's accreditation standards and requirements for on-lending instruments and blending fiduciary functions, as well as to strengthen the capacity of NDA and nominated DAEs on GCF accreditation. The expected outputs are:</p> <ul style="list-style-type: none"> <li>• Two nominated DAEs submitted stage 1 accreditation applications to the GCF.</li> <li>• Knowledge and capacity of the two nominated DAEs increased related to the overall accreditation process, as well as projects and pipeline development.</li> <li>• Knowledge, capacity and resources of the NDA and nominated DAEs related to 'best practices' and GCF accreditation enhanced.</li> </ul> <p>The beneficiaries of this Readiness grant include the Government of Lao PDR, the NDA – Ministry of Natural Resources and Environment (MoNRE), and potential accredited entities. The indirect beneficiaries include other key relevant agencies, national and subnational governments, non-state actors, private sectors, proponents submitting project concept notes, and local CSOs representing communities and vulnerable groups.</p>		
<b>1.8 Total requested amount and currency</b>	USD 250,000	<b>1.9 Implementation period</b>	18 months
<b>1.10 Is this request a multiple-year strategic Readiness implementation request?</b>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
<b>1.11 Complementarity and coherence of existing readiness support</b>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <b>Completed Readiness support:</b> <ol style="list-style-type: none"> <li>1. <b>GCF Readiness and Preparatory Support for Lao PDR (LAO-RS-001)</b> – Approved in June 2017 for</li> </ol>		



USD 300,000 with UNDP as Delivery Partner (DP). The 18-month grant supported: 1) NDA capacity building and associated protocols on GCF process, requirements, criteria and monitoring and evaluation; 2) establishment of the Climate Finance Steering Committee; 3) establishment of the No-Objection procedure; 4) development of the Country Programme. This Readiness proposal will complement the roles of the NDA in enhancing direct access to the GCF through the accreditation of national direct entities and further strengthen the capacity of NDA staff through knowledge sharing.

2. **Readiness support to enhance green finance in the areas of green cities in Lao PDR (LAO-RS-002)** – Approved in February 2019 for USD 476,485 with GGGI as DP. The 18-month grant supported the 1) establishment of a coordination mechanism between NDA and the stakeholders responsible for green cities; 2) engagement with key regional cities' platforms and the private sectors; 3) development of a framework for climate finance monitoring and reporting; 4) development and prioritization of programmatic concept notes; 5) crowding-in private sector investment. This Readiness proposal will complement the roles of the NDA in enhancing direct access to the GCF through the accreditation of national direct entities and further strengthen the capacity of NDA staff through knowledge sharing.
3. **Support for the Accreditation of the Lao PDR Environment Protection Fund (EPF) to the GCF** – Approved in April 2018 for EUR 393,625 with GIZ as DP. The grant supported the EPF to become GCF's National Accredited Entity through 1) capacity building on the GCF accreditation process, fiduciary standards and Environmental and Social Safeguards (ESS); 2) development of guidelines, tools and templates; 3) support for project identification and preparation. This Readiness proposal will be complimentary by supporting private institutions to become national accredited entities, in addition to EPF. Thus, the results and lessons learned will also be references for this Readiness proposal.
4. **Incentive Mechanisms for Private Sector Engagement under REDD+ in Lao PDR** – Approved in July 2018 for USD 348,975 with FAO as DP. The 18-month grant supported the 1) establishment of an effective coordination mechanism between NDA and line ministries; 2) formalize a process for monitoring and reporting; 3) the development of a GCF REDD+ Investment Plan; 4) private sector engagement and development of an incentive scheme to support zero-deforestation agriculture. This Readiness proposal will be complementary to the private sector engagement efforts and the capacity enhancement of NDA.
5. **Enhancing NDA Capacity and Access to the GCF in Lao PDR (LAO-RS-007)** – Approved in December 2019 for USD 239,368 with GGGI as DP.

The 18-month grant aims to 1) operationalize the institutional arrangements and build the awareness and capacity of the NDA to deliver on its mandate; 2) continue to refine the GCF Country Programme; 3) mobilize GCF investments and engage the private sector and banks to help deliver on the Lao PDR's climate change ambitions. This Readiness proposal will be complementary as it builds on the private sector engagement and mobilization efforts under LAO-RS-007 Readiness support.

**Ongoing Readiness support:**

6. **Development of an Action Plan for Designing and Implementing Standards and Labelling Programme in Lao PDR** – Approved in August 2019 at USD 344,556 with UN Environment as DP. The Readiness grant aims to support The Ministry of Energy and Mines in implementing minimum energy performance standards through investment plans, labelling, policy instruments and promotion. The Readiness grant focuses on energy efficiency, while this Readiness proposal will focus on the accreditation of potential financial institutions. Thus, both Readiness supports will not be overlapped.
7. **Urban climate change resilience in cities along the Greater Mekong Sub-region East-West Economic Corridor (EWEC) in Lao PDR** – Approved in October 2019 for USD 349,992 with UN-Habitat as DP. The 18-month grant supported a study in the Greater Mekong Subregion (GMS) and developed resilient settlements through 1) baseline knowledge of climate change and investment patterns; 2) capacity building for the local and national government on climate change and action plans for investments; 3) exploring public-private investment projects; 4) strengthening the mechanism for coordination between NDA and the private sector; 5) developing a comprehensive investment and financial flows assessment. This Readiness proposal will complement the engagement of NDA and private sectors through the accreditation of national direct entities.
8. **Market Preparation for Industrial Energy Efficiency in Lao PDR (LAO-RS-008)** – Approved in November 2020 at USD 299,457 with GGGI as DP. The grant aims to support the Government of Lao PDR to achieve energy consumption reduction by increasing the level of awareness about green industrial practices and catalyzing private investments in the deployment of energy efficiency measures in the industrial sector. This Readiness proposal will complement the engagement of NDA and country stakeholders toward the mobilization of investments through the accreditation of national direct entities.
9. **Completion of Accreditation of EPF as DAE for Lao PDR** – Approved in 2021 by EPF as DP for USD 399,805. The Readiness grant aims to develop the capacity of EPF to meet GCF's requirements in terms of financial, management, monitoring and

evaluation, environmental and social safeguards, gender policies as well as proposal preparation for micro-project. This Readiness proposal will be complimentary by supporting private institutions to become national accredited entities, in addition to EPF. Thus, the results and lessons learned will also be references for this Readiness proposal.

10. **Enhancing Lao PDR Health Sector Capacity in Managing Health Adaptation Plan and access to GCF** – approved in December 2021 by WHO for USD 300,762. The 18-month Readiness grant aims to ensure the enhanced capacity of early intervention of the target climate-sensitive diseases and knowledge sharing mechanism with stakeholders. The WHO-led Readiness focuses on health adaptation interventions, while this Readiness proposal will focus on accreditation of financial institutions, and thus will not be overlapped.
11. **Resilient COVID-19 recovery and transformational pipeline to boost climate actions in agriculture, land, and water sectors in Lao PDR** – approved in December 2021 by FAO for USD 550,000. The 18-month Readiness grant aims to strengthen the capacity of the new NDA office with a particular focus on (1) building new NDA capacity for GCF coordination, in synergy with GEF and Adaptation Fund (AF) programming and strengthening Monitoring, Reporting, and Verification (MRV) of climate finance; (2) developing resilient and green COVID-19 recovery investment plans for the agriculture, forest, and other land use (AFOLU) sectors; and (3) developing a transformational climate finance pipeline with project concept notes. This Readiness will contribute to the capacity building of the new Lao NDA, especially in the GCF accreditation processes. In addition, this Readiness grant will support the country's COVID-19 green recovery effort through the accreditation of DAEs that will improve the country's access to climate finance.
12. **Advancing Lao PDRs National Adaptation Plan (NAP) through Climate Change Vulnerability Assessments for Disaster Risk Management in Human Settlement** – approved in July 2022 by UN-Habitat Lao PDR for USD 1,998,870. The 36-month Readiness grant aims to strengthen climate change adaptation planning through the development of a tool to help improve disaster risk management and climate resilience in Lao human settlements. The UN-Habitat led Readiness focuses on adaptation interventions, while this Readiness will focus on accreditation of financial institutions, and thus will not be overlapped.

**Submitted Readiness proposals:**

13. **Agriculture sector readiness for enhanced climate finance and implementation of Koronivia**



**Joint Work on agriculture priorities in Southeast Asia (multi-country Readiness proposal)**

– submitted in 2021 by FAO as DP for USD 2,700,000. The 36-month multi-country Readiness proposal aims to enhance climate finance and implementation of Koronivia Joint Work on agriculture priorities in Southeast Asia, including Lao PDR, Thailand, Malaysia, Philippines, Cambodia, and Vietnam. The proposal will focus on green recovery, capacity building and strengthening NDA's capacity to access climate finance and improving investment programs in the agriculture sector. The accreditation of financial institutions under this Readiness proposal will complement the multi-country proposal activities in enhancing NDA's capacity and access to climate finance.

14. **Groundwork for e-mobility investments in Lao PDR** – submitted in 2021 by GGGI as DP for USD 300,000. The Readiness proposal aims to support Lao PDR's e-mobility transition that will generate green business opportunities and private sector investments through the pipeline and concept note development on e-mobility, best practice policy recommendations, national electric vehicles communication strategy and capacity building. This Readiness proposal will complement the engagement of NDA and in-country stakeholders toward the mobilization of investments through the accreditation of national direct entities.
15. **Support Mainstreaming Climate Change Adaptation into Sectoral Planning in Lao PDR** – submitted in 2021 by GGGI as DP for USD 1,000,000. The NAP Readiness will focus on adaptation interventions, while this Readiness proposal will focus on the accreditation of financial institutions, and thus will not be overlapped.

## 2. SITUATION ANALYSIS

### 2.1 National Context

Lao People's Democratic Republic (hereafter "Lao PDR") is a landlocked Least Developed Country (LDC) in Southeast Asia, with a population of 7.2 million people. Due to its geographic and geophysical characteristics, high reliance on natural resources and agriculture, as well as limited adaptive capacity partly owed to its LDC status, Lao PDR remains highly vulnerable to climate change. Lao PDR faces high disaster risk levels, including extreme weather events, which have been increasing in frequency and intensity, such as tropical storm damage, landslides and pests, as well as a shift in wet/dry seasons. Floods and drought frequently occur in Lao PDR and are likely to continue to occur and be more frequent and robust in the future. According to The University of Notre Dame Global Adaptation Initiative (ND-GAIN), Lao PDR is the 53<sup>rd</sup> most vulnerable country<sup>1</sup>. The communities face significant climate-related hazards exacerbated by poverty, malnourishment, and high exposure to poor and marginalized communities, of which more than two-thirds live in rural areas and depend on natural resources. According to the updated NDC (2021)<sup>2</sup>, in the baseline scenario, total GHG emissions levels in Lao PDR would be expected to reach around 82,000 ktCO<sub>2</sub>e in 2020 and 104,000 ktCO<sub>2</sub>e in 2030. The main sectors expected to contribute to emissions are LUFC, agriculture and energy, including the transport and power sectors.

### 2.2 Institutional Framework

<sup>1</sup> University of Notre Dame. Global Adaptation Initiative. <http://index.gain.org/ranking>

<sup>2</sup> [NDC 2020 of Lao PDR \(English\), 09 April 2021 \(1\).pdf \(unfccc.int\)](#)

The Decree on Climate Change issued on September 19th, 2019, by the Prime Minister's Office assigns the Ministry of Natural Resources and Environment (MoNRE) to lead national mitigation and adaptation efforts, and coordinate with relevant ministries, organizations and local authorities. The climate change management and monitoring organizations include the MoNRE, the Provincial Department of Natural Resources and Environment (PoNRE) and the District Office of Natural Resources and Environment. Local natural resources and environment sectors will report on the climate change situation of their respective localities to their higher authorities, in coordination with relevant departments, offices and parties concerned. In line with the Decree on Climate Change, The MoNRE shall be responsible for developing and maintaining data and information systems on climate change in a reliable, accurate and timely manner, in coordination with other relevant ministries and local authorities. Implementation arrangements of all measures shall be in line with applicable sectoral policies and strategies, and as per approved funding agreements or further defined as part of the financing mobilization process, which is to be coordinated by the Department of Climate Change (DCC) of the MoNRE. From 2016 to 2020, the DCC within the MoNRE carried out the roles and mandates of the NDA. In 2021, the Department of Planning and Finance (DPF) within MoNRE was appointed to fulfill the mandates of NDA with DCC as a technical advisor.

Since 1995, when Lao PDR joined the global community by ratifying the United Nations Framework Convention on Climate Change (UNFCCC), a series of legal and regulatory frameworks, institutional arrangements, and strategies were integrated into the national and sectoral policies and plans to further place climate change as a cross-cutting focus area to reduce the vulnerability of the country and population. Lao PDR's climate change challenges are recognized in key national development strategies and plans. Over the last decade, strategies, action plans, and legislation have been developed to guide and drive Lao PDR's response to climate change. The following table summarizes the policy and regulatory framework that have relevant links to this Readiness proposal.

Table 1. Relevant Key Policies and Regulations

Key strategic policy/ regulation	Objectives	Linkages to this Readiness activity
The First Intended Nationally Determined Contributions to Climate Change (INDC) (2015)  2021 Updated NDC <sup>3</sup>	The 2015 NDC sets out climate mitigation and adaptation actions to be implemented in key areas. Lao PDR updated its NDC to bring forward some existing targets from the 2015 NDC and extended the targets to new sectors to reflect ongoing development and potential areas for emission reductions. Unlike the first NDC, the 2020 NDC includes mitigation targets for both unconditional and conditional scenarios that could position the country on a net-zero emission pathway by 2050 (provided additional financial support is secured). In terms of adaptation, short-term targets are focused mainly on mainstreaming climate change adaptation into key sectors such as agriculture and forestry, water resources, urban development, and energy, and implementation of the health adaptation strategy.	The Readiness grant will contribute to the implementation of both mitigation and adaptation targets of identified priority sectors in the NDC. Financing needs are clearly identified in the NDC in order to achieve the set sectoral targets, especially in the conditional scenario. The support for setting up GCF Accreditation Entities in Laos will allow the country to access other significant financing source to achieve its targets. It will also increase innovative financial mechanisms, particularly for unlocking private sector investment in climate projects.
National Green Growth Strategy of the Lao PDR <sup>4</sup> till 2030	It seeks to promote economic growth that is efficient, clean, comprehensive, inclusive, fair and resilient to climate change and global economic uncertainties.	The Readiness grant will directly support one of the focused sectors identified in NGGS, which is the banking sector. The Readiness grant will contribute to "encouraging and promoting the formulation and implementation of the monetary policies that facilitate green growth focusing on providing enterprises and SMEs access to low-interest and long-term loans to expand the investment in areas/sectors related to green growth".

<sup>3</sup> [NDC 2020 of Lao PDR \(English\). 09 April 2021 \(1\).pdf \(unfccc.int\)](#)

<sup>4</sup> [final version of national green growth strategy english feb 2019 .pdf \(opendevelopmentmekong.net\)](#)

Climate Change Decree (2019) <sup>5</sup>	The Decree provides an overarching legal framework for climate change mitigation and adaptation, including legal mandates and reporting lines among different administrative bodies in relation to climate change. It states that climate change must be mainstreamed into the NSEDPs, and in sectoral and local strategies and plans.	This Readiness grant will contribute to the Decree on encouraging all individuals and the private sector to cooperate with the public sector to promote and implement works related to climate change.
The 9 <sup>th</sup> National Socioeconomic Development Plan <sup>6</sup> (NSEDP) 2021-2025	This Five-Year Plan sets out the fundamental direction for creating a new turning point in socio-economic development in the coming years, particularly ensuring the quality establishment of the political, ideological factors, the economic system and the material and technical basis; continuing to recognize economic development as the central task of the entire Party and all citizens, in conjunction with socio-cultural development, including the development of human resources, and strengthening of the existing structural elements such as public governance and administration, national defense, public security and foreign affairs.	The Readiness grant will contribute to the direction of the 9 <sup>th</sup> NSEDP by promoting a sustainable economy and implementing the country's National Green Growth Strategy. This Readiness grant will also support the identified priority activity to promote targeted green investment in line with the green and sustainable economic direction, especially for SMEs, and create incentives for both domestic and foreign private investment in priority sectors with green growth potential.
Lao PDR Green Climate Fund Country Programme <sup>7</sup> 2021 – 2023 2019 – 2021	The purpose of the updated 2021-2023 Country Programme is to engage and coordinate with various stakeholders to identify key areas of priority for accessing the GCF in Lao PDR.	This Readiness grant will be aligned with the updated priority of the GCF Lao Country Programme, which is private-sector engagement. Currently, there are no national direct access entities that provide on-lending instruments. Thus, the GCF Country Programme highlighted the need to support the Bank of Laos and other potential local private banks to be accredited to the GCF.

### 2.3 Readiness Needs and Gaps

Lao PDR has revised its NDC and put forth more ambitious targets to be achieved by 2030. They include setting the course for Lao PDR to achieve net-zero emission by 2050 on the condition of additional support. According to the updated NDC (2021), the 60% GHG emission reductions national level 2030 target demonstrates the enhanced contribution of the country to the Paris Agreement, considering the 34%GHG emission reductions compared to the baseline scenario achieved in 2020. Financing needs for the implementation of mitigation measures toward the 2030 conditional targets have been estimated for an amount of USD 4,762 Million in total. With increased levels of financial support from developed country parties, Lao PDR could achieve higher emission reductions.

Despite strong commitments, Lao PDR has faced a number of financial and technical barriers to effectively implementing the policies and strategies. Lao PDR was the second-fastest growing economy in ASEAN and

<sup>5</sup> [Decree on Climate Change \[Lao PDR, 2019\] - Decree on Climate Change \[Lao PDR, 2019\] OD Mekong Datahub \(opendevelopmentmekong.net\)](#)

<sup>6</sup> [9th Five - Year National Socio-Economic Development Plan \(2021-2025\) - Library records OD Mekong Datahub \(opendevelopmentmekong.net\)](#)

<sup>7</sup> [country-programme-lao-pdr.pdf \(greenclimate.fund\)](#)

among the world's 15 fastest-growing economies in the world until the COVID-19 pandemic hit in early 2020. The GDP per capita growth rate was 5.3% annually on average between 2000 and 2019. In 2020, the country's GDP increased by only 0.2%. The economic slowdown has caused the loss of 30% of the government's revenue, leading to a more severe budget deficit, thus hindering the government's ability to stimulate the economy and mitigate the impacts of the pandemic.

#### **2.4 Problem Statement**

In order to fully implement Lao PDR's climate ambitions in its updated NDC targets by 2030, Lao PDR needs to **strengthen its access to climate finance**. The NDA nominated the Environment Protection Fund (EPF) under MoNRE to receive support through the accreditation process in 2018 for the on-granting fiduciary function. The 1st phase was completed in December 2019 and identified main gaps and needs in monitoring and evaluation, project management, fiduciary standards, and gender, environmental and social standards as part of the accreditation process. Currently, EPF is in Phase 2 of completing the accreditation process to become the first DAE in Lao PDR. Hence, additional support for completing EPF accreditation was approved in 2021. In line with the mandate, EPF will provide on-granting fiduciary functions and manage micro-projects/proposals. Thus, the key barriers to enhancing Lao PDR's access to climate finance are:

**Barrier 1: The country lacks a national direct access accredited entity to the GCF that focuses on large-scale finance.** As outlined in GCF Country Programme for Lao PDR, mobilizing investment is one of the key pillars of NDC implementation. Thus, increased proactive engagement with the financing institutions is a priority for the ongoing development of the Country Programme. During the workshop organized in 2020, a structured dialogue with the private sector was conducted to identify and assess the needs that can be supported through the Readiness grants. One of the main challenges is the lack of engagement with the private sector. In addition, the Country Programme indicated that private sector engagement would be instrumental and private sector investment is required to address gaps in several priority sectors, such as energy, transport, agriculture and forestry; therefore, not having DAEs that can provide debt instruments is a major challenge to program implementation.

In March 2022, GGGI and NDA conducted an introductory workshop, which was attended by both public and private financial institutions, on the GCF accreditation process and operating functions. Several financial institutions, including Bank of Lao PDR, Maruhan Japan Bank Lao and Banque Franco Lao (BFL), expressed interest in becoming accredited to the GCF. A series of discussions took place about on-lending fiduciary services with several other institutions, e.g., Lao Development Bank, whose mandates are well-aligned with GCF objectives. In the long run, the Government of Lao PDR is targeting up to three financial institutions to be accredited. However, this 18-month Readiness activity will focus on supporting two financial institutions. Currently, NDA is assessing the technical capabilities of several potential accredited applicants, while also exploring an opportunity to support other local financial institutions to apply for GCF accreditation for on-lending and blending fiduciary instruments. This Readiness grant will conduct an assessment of the identified potential accredited applicants and their potential sectoral coverage aligned with the priorities of Lao PDR Country Programme, how they will complement each other specifically to sectoral expertise, desired accreditation scope, fiduciary instruments and formulate a strategy to support Laos to bring forth projects and deliver projects identified in the pipeline for Lao PDR.

**Barrier 2: Limited knowledge of nominated direct access applicants and NDA in accreditation and scaling up climate change programmes/best practices.** The EPF will be the first accredited entity in Lao PDR only for on-granting, and this Readiness grant is expected to support accreditation for on-lending fiduciary functions in Lao PDR. Thus, the knowledge of domestic financing institutions and NDA is very limited in accreditation and scaling up climate change programmes/best practices. Both domestic financing institutions and NDA lack experience and knowledge on 1) supporting and undergoing accreditation and 2) assisting and developing project/program development, including but not limited to technical assistance and guidance in completing the entire accreditation process and addressing challenges, assessing the current condition of the potential DAEs, identifying project ideas, generating good project proposals, and the roles of both NDA and nominated DAEs in driving concept note development. Lessons learned will be internalized/disseminated to a broader group, including other potential accredited entities and the private sector, and will feed into an action plan. The learnings from the knowledge exchange will extract some lessons learned and recommendations and feed the information into an action plan on a strategic approach and key steps for both the NDA and nominated DAEs in Lao PDR to produce strong direct access modalities, such as 1) nominating and supporting accreditation process of national entities; 2) developing direct access project pipeline and generating good project proposals.

The selection of a host DAE to be visited and criteria for participants will be conducted in close consultation with NDA, GCF and nominated DAEs. The NDA and accreditation applicants will learn from the practical experience of GCF accreditation and the operation of its financial instruments from a DAE's perspective. Thus, preferably the host DAE to be selected is DAE with a relatively similar accreditation scope as the targeted nominees for accreditation. The potential host DAEs in the region are the Vietnam Development Bank, PT Sarana Multi Infrastruktur in Indonesia, Landbank of the Philippines or Development Bank of the Philippines. After the learning

exchange, a stakeholders' workshop will be organized to disseminate findings from the exchange to other potential financial institutions in Lao PDR. Lessons learned from this activity will strengthen the understanding of NDA and nominated DAEs on overall GCF accreditation processes and encourage other potential financial institutions in Lao PDR to become accredited entity/ies. In addition, this Readiness grant will support the NDA and identify nominee/s with resources to support the development of project ideas into concept notes. We aim to continue facilitating the accreditation process, shortlisting projects for concept notes and working with the new accredited entities to develop a project for GCF funding in the next phase of accreditation support. For that subsequent phase, the DP has held discussions with the NDA and GCF and, at the request of the NDA, intends to develop a multi-year Readiness support proposal.

## 2.5 Readiness Objectives and Interventions

This Readiness grant aims to support two nominated entities to submit Stage 1 accreditation to the GCF, strengthen their institutional and technical capacities, and improve and/or upgrade their policies, systems, standards and procedures in compliance with the GCF requirements and accreditation standards, which will be achieved through several workshops and technical assistance. The sectoral coverage of the two financial institutions will be determined and aligned with the priorities of the Lao PDR Country Programme. This Readiness grant will also increase the knowledge and capacity of national stakeholders, including the nominated DAEs and NDA, in the overall accreditation process, as well as climate projects and pipeline development for GCF submission (**Objective 1: Capacity Building**). GGGI has held discussions with the NDA and GCF and agreed that GGGI will prepare a second phase multi-year Readiness support proposal for continued accreditation support, which include the submission of Stage 2 applications, shortlisting projects for concept notes and working with the new accredited entities to develop a project for GCF funding.

Furthermore, this Readiness grant will enhance the capacity and knowledge of the nominated DAEs and NDA related to best practices and lessons learned, especially on direct access, on-lending and blending fiduciary functions and pipeline development, by means of a field visit to other successful DAEs in the Southeast Asia region. The host DAE to be selected is DAE with a relatively similar accreditation scope to the targeted nominees for accreditation, such as for example, Vietnam Development Bank, PT Sarana Multi Infrastruktur (Indonesia), Landbank of the Philippines, and Development Bank of the Philippines. By the end of this Readiness grant implementation, Lao PDR will have two nominated entities with strengthened capacity and systems as required for accreditation to GCF as well as capabilities of accessing multilateral climate finance (especially GCF) and integrated resources (i.e., an online knowledge hub) to support both nominated DAEs and NDA through 1) the accreditation process support and to meet the requirements (i.e., basic fiduciary standards, specialized services, gender and environmental and social safeguards standards); 2) the development of project ideas for considering the conversion into concept notes, which the identified nominee/s can utilize the integrated resources while they are undergoing the accreditation process. (**Objective 5: Knowledge Sharing**). The online knowledge hub will be integrated into the official MoNRE website ([monre.gov.la](http://monre.gov.la)), which is managed by the Cabinet Office (Permanent Secretary Office). Therefore, the NDA will work with the Cabinet Office's administrator to maintain the hub effectively and independently.

## 2.6 GCF Readiness Support and Complementarity

The following table summarizes the outcomes of the completed and ongoing Readiness supports funded by GCF and the complementarity of the Readiness proposal.

Table 2. GCF Readiness Support and Complementarity

No	Readiness Support	Readiness Objectives	Complementarity of the Readiness Proposal
<b>Completed Readiness Programme</b>			
1	<b>Title:</b> GCF Readiness and Preparatory Support for Laos (LAO-RS-001) <b>Delivery Partner:</b> UNDP <b>Year:</b> June 2017 <b>Amount:</b> USD 300,000	The 18-month grant supported the 1) NDA capacity building and associated protocols on GCF process, requirements, criteria and monitoring and evaluation; 2) establishment of the Climate Finance Steering Committee 3) establishment of the No-Objection procedure; 4) development of the Country Programme.	This Readiness proposal will complement the roles of the NDA in enhancing direct access to the GCF through the accreditation of national direct entities and further strengthen the capacity of NDA staff through knowledge sharing.
2	<b>Title:</b> Readiness Support to Enhance Green Finance in the Areas of Green Cities in Lao PDR (LAO-RS-002)	The 18-month grant supported the 1) establishment of a coordination mechanism between NDA and the stakeholders responsible for green	This Readiness proposal will complement the roles of the NDA in enhancing direct access to the GCF through

	<b>Delivery Partner:</b> GGGI <b>Year:</b> July 2018 <b>Amount:</b> USD 476,485	cities; 2) engagement with key regional cities platform and the private sectors; 3) development of a framework for climate finance monitoring and reporting; 4) development and prioritization of programmatic concept notes; 5) crowding-in private sector investment.	the accreditation of national direct entities and further strengthen the capacity of NDA staff through knowledge sharing.
3	<b>Title:</b> Support for the Accreditation of the Lao PDR Environment Protection Fund to the GCF <b>Delivery Partner:</b> GIZ <b>Year:</b> April 2018 <b>Amount:</b> EUR 393,625	The grant supported the EPF to become GCF's National Accredited Entity through 1) capacity building on the GCF accreditation process, fiduciary standards and Environmental and Social Safeguards (ESS); 2) development of guidelines, tools and templates; 3) support for project identification and preparation.	This Readiness proposal will be complimentary by supporting private institutions to become national accredited entities, in addition to EPF (under the Ministry of Natural Resource and Environment). Thus, the results and lessons learned will also be references for this Readiness proposal. Both Readiness activities will strengthen the country's direct access to climate finance.
4	<b>Title:</b> Incentive Mechanisms for Private Sector Engagement under REDD+ in Lao PDR <b>Delivery Partner:</b> FAO <b>Year:</b> July 2018 <b>Amount:</b> USD 348,975	The 18-month grant supported the 1) establishment of an effective coordination mechanism between NDA and line ministries; 2) formalize a process for monitoring and reporting; 3) the development of a GCF REDD+ Investment Plan; 4) private sector engagement and development of an incentive scheme to support zero-deforestation agriculture.	This Readiness proposal will be complementary to the private sector engagement efforts and the capacity enhancement of NDA.
5	<b>Title:</b> Enhancing NDA Capacity and Access to the GCF in Lao PDR <b>Delivery Partner:</b> GGGI <b>Year:</b> December 2019 <b>Amount:</b> USD 239,368	The 18-month grant aims to 1) operationalize the institutional arrangements and build the awareness and capacity of the NDA to deliver on its mandate; 2) continue to refine the GCF Country Programme; 3) mobilize GCF investments and engage the private sector and banks to help deliver on the Lao PDR's climate change ambitions.	This Readiness proposal will be complementary as it builds on the private sector engagement and mobilization efforts under LAO-RS-007 Readiness support.
<b>Ongoing Readiness Supports</b>			
6	<b>Title:</b> Development of Action Plan for Designing and Implementing Standards and Labelling Programme in Lao PDR <b>Delivery Partner:</b> UN Environment <b>Year:</b> August 2019 <b>Amount:</b> USD 344,556	The Readiness grant aims to support The Ministry of Energy and Mines in implementing minimum energy performance standards through investment plans, labelling, policy instruments and promotion.	The Readiness grant focuses on energy efficiency, while this Readiness proposal will focus on the accreditation of potential financial institutions. Thus, both Readiness supports will not be overlapped.
7	<b>Title:</b> Urban Climate Resilience in Cities along the Greater Mekong Sub-region	The 18-month grant supported a study of the towns in the Greater Mekong Subregion (GMS) in order to contribute to becoming better equipped in the development of resilient settlements	This Readiness proposal will complement the engagement of the NDA and private sector through the accreditation of national direct entities.



	<p>East-West Corridor (EWEC) in Lao PDR</p> <p><b>Delivery Partner:</b> UN Habitat</p> <p><b>Year:</b> October 2019</p> <p><b>Amount:</b> USD 348,992</p>	<p>through 1) the development of baseline knowledge of climate change and investment patterns, 2) capacity building for local and national government officers on climate change and action plans for investments in the EWEC; 3) exploring public-private investment projects; 4) strengthen the mechanism for coordination between NDA and the private sector for the EWEC; 5) developing a comprehensive investment and financial flows assessment.</p>	
8	<p><b>Title:</b> Market Preparation for Industrial Energy Efficiency in Lao PDR</p> <p><b>Delivery Partner:</b> GGGI</p> <p><b>Year:</b> November 2020</p> <p><b>Amount:</b> USD 299,457</p>	<p>The grant aims to support the Government of Lao PDR to achieve energy consumption reduction by increasing the level of awareness about green industrial practices and catalyzing private investments in the deployment of energy efficiency measures in the industrial sector.</p>	<p>This Readiness proposal will complement NDA and country stakeholders' engagement towards mobilizing investments through the accreditation of national direct entities.</p>
9	<p><b>Title:</b> Completion of Accreditation of EPF as DAE for Lao PDR</p> <p><b>Delivery Partner:</b> UN Environment</p> <p><b>Year:</b> 2021</p> <p><b>Amount:</b> USD 399,805</p>	<p>The Readiness grant aims to develop the capacity of EPF to meet GCF's requirements in terms of financial, management, monitoring and evaluation, environmental and social safeguards, gender policies as well as proposal preparation for micro-project.</p>	<p>This Readiness proposal will complement national institutions to become accredited entities for different fiduciary functions, in addition to EPF (under the Ministry of Natural Resource and Environment). Thus, the results and lessons learned will also be references for this Readiness proposal. Both Readiness activities will strengthen the country's direct access to climate finance.</p>
10	<p><b>Title:</b> Enhancing Lao PDR Health Sector Capacity in Managing Health Adaptation Plan and access to GCF</p> <p><b>Delivery Partner:</b> WHO</p> <p><b>Year:</b> December 2021</p> <p><b>Amount:</b> USD 300,762</p>	<p>The proposed grant aims to ensure the enhanced capacity of early intervention of the target climate-sensitive diseases and systematized knowledge-sharing mechanism with stakeholders and other relevant sectors.</p>	<p>The WHO-led Readiness grant will focus on health adaptation interventions, while this Readiness proposal will focus on the accreditation of financial institutions, and thus will not be overlapped.</p>
11	<p><b>Title:</b> Resilient COVID-19 recovery and transformational pipeline to boost climate actions in agriculture, land, and water sectors in Lao PDR</p> <p><b>Delivery Partner:</b> FAO</p> <p><b>Year:</b> December 2021</p> <p><b>Amount:</b> USD 550,000</p>	<p>The 18-month Readiness grant aims to strengthen the capacity of the new NDA office with a particular focus on (1) building new NDA capacity for GCF coordination, in synergy with GEF and Adaptation Fund (AF) programming and strengthening Monitoring, Reporting, and Verification (MRV) of climate finance; (2) developing resilient and green COVID-19 recovery investment plans for the agriculture, forest, and other land use (AFOLU) sectors; and (3) developing a transformational climate finance pipeline with project concept notes.</p>	<p>This Readiness grant will support the country's COVID-19 green recovery effort through the accreditation of DAEs that will improve the country's access to climate finance.</p>
12	<p><b>Title:</b> Advancing Lao PDRs National Adaptation Plan</p>	<p>The 36-month Readiness grant aims to strengthen climate change adaptation</p>	<p>The NAP Readiness will focus on adaptation</p>

	<p>(NAP) through Climate Change Vulnerability Assessments for Disaster Risk Management</p> <p><b>Delivery Partner:</b> UN Habitat</p> <p><b>Year:</b> 2021</p> <p><b>Amount:</b> USD 1,998,870</p>	<p>planning through the development of a tool to help improve disaster risk management and climate resilience in Lao human settlements.</p>	<p>interventions, while this Readiness proposal will focus on the accreditation of financial institutions, and thus will not be overlapped.</p>
<b>Submitted Readiness proposals</b>			
<b>13</b>	<p><b>Title:</b> Agriculture sector readiness for enhanced climate finance and implementation of Koronivia Joint Work on agriculture priorities in Southeast Asia (multi-country Readiness proposal)</p> <p><b>Delivery Partner:</b> FAO</p> <p><b>Year:</b> Submitted in 2021</p> <p><b>Amount:</b> USD 2,700,000</p>	<p>The 36-month multi-country Readiness proposal aims to enhance climate finance and implementation of Koronivia Joint Work on agriculture priorities in Southeast Asia, including Lao PDR, Thailand, Malaysia, Philippines, Cambodia, and Vietnam. The proposal will focus on green recovery, capacity building and strengthening NDA's capacity to access climate finance and improve investment plans/programs in the agriculture sector.</p>	<p>The accreditation of financial institutions under this Readiness proposal will be complementary to the multi-country proposal activities in enhancing NDA's capacity and access to climate finance.</p>
<b>14</b>	<p><b>Title:</b> Groundwork for e-mobility investments in Lao PDR</p> <p><b>Delivery Partner:</b> GGGI</p> <p><b>Year:</b> Submitted in 2021</p> <p><b>Amount:</b> USD 300,000</p>	<p>The Readiness proposal aims to support Lao PDR's e-mobility transition that will generate green business opportunities and private sector investments through the pipeline and concept note development on e-mobility, best practice policy recommendations, national electric vehicles communication strategy and capacity building.</p>	<p>This Readiness proposal will complement NDA and country stakeholders' engagement towards mobilizing investments through the accreditation of national direct entities.</p>
<b>15</b>	<p><b>Title:</b> Support Mainstreaming Climate Change Adaptation into Sectoral Planning in Lao PDR</p> <p><b>Delivery Partner:</b> GGGI</p> <p><b>Year:</b> Submitted in 2021</p> <p><b>Amount:</b> USD 1,000,000</p>	<p>The 36-month Readiness grant aims to enhance climate resiliency in Lao PDR by integrating adaptation at the sector level by developing sectoral adaptation plans for key vulnerable sectors and concept notes for priority adaptation projects to access GCF funding.</p>	<p>GCF Concept Notes developed as part of the Readiness grant will be proposed to direct access entities supported under this proposed Readiness.</p>

### 3. LOGICAL FRAMEWORK

Outcomes	Baseline <sup>8</sup>	Targets	Outputs	Activities (brief description)	Deliverables <sup>9</sup>
<b>Outcome 1.2</b> Direct access applicants and accredited entities (DAEs) have established capacity to meet and maintain the GCF's accreditation standards; and accredited DAEs have the capacity to develop a pipeline of projects and effectively implement GCF-funded activities	, Environment Protection Fund is currently in Phase 2 of accreditation, focuses on on-granting fiduciary function and manages micro-projects/proposals. However, the country lacks national entities that can provide on-lending and blending fiduciary functions.	Two financial institutions focusing on on-lending and blending fiduciary functions have established the capacity to meet the GCF's standards and requirements for accreditation, have submitted Stage 1 application for accreditation to the GCF and have the capacity to develop a pipeline of projects and effectively implement GCF-funded activities.	<b>Output 1.2.1</b> Two nominated DAEs submitted accreditation applications to the GCF (Stage 1).	<b>Activity 1.2.1.1</b> Identify and nominate two potential DAEs and their sectoral coverage aligned with the Lao PDR Country Programme. The process includes the following: <ul style="list-style-type: none"> <li>- identifying potential DAEs and following the introductory workshop and expression of interest letters received.</li> <li>- conducting a preliminary review of the qualifications of the identified accredited applicants based on GCF's requirements and its sectoral coverage aligned with the priorities of the Lao PDR Country Programme.</li> <li>- conducting bilateral meetings with potential DAEs.</li> <li>- formulate a rationale for the final selection.</li> </ul> Follow-up bilateral meetings will be held with nominated DAEs, each with ~5 participants, and targeting 50% women participants.	<b>Deliverable 1.2.1.1a.</b> Official nomination letters provided by NDA and submitted to GCF.  <b>Deliverable 1.2.1.1b.</b> 1 report outlining the results of the preliminary review, bilateral meetings and rationale for final selection.

<sup>8</sup> Please briefly elaborate on current baselines on which the proposed activities can be built on, processes that are in place that the current Readiness proposal can strengthen, or any gaps that the proposed activities would fill in. If more space is needed, please elaborate this in Section 4.

<sup>9</sup> Please include tangible and specific deliverables for each activity proposed, Please note that during implementation all deliverables should be included within the implementation reports for GCF consideration.

Outcomes	Baseline <sup>8</sup>	Targets	Outputs	Activities (brief description)	Deliverables <sup>9</sup>
				<b>Activity 1.2.1.2</b> Conduct institutional gap analysis and capacity needs assessment for two nominated DAEs against the GCF policies and standards (i.e., basic fiduciary standards, specialized services, ESS, gender policy, and monitoring, reporting and evaluation).	<b>Deliverable 1.2.1.2</b> 1 assessment report for each financial institution with the main gaps and needs, including recommendations and work plan and timeframe to address the gaps.
				<b>Activity 1.2.1.3</b> Conduct 2 capacity-building workshops informing about GCF policies and standards (i.e., basic fiduciary standards, specialized services, ESS, gender policy, and monitoring, reporting and evaluation), each with ~30 participants from nominated DAEs and targeting 50% women participation.	<b>Deliverable 1.2.1.3</b> 2 capacity building workshop reports, with the results of assessment and workplan, pre- and post-survey, and list of participants disaggregated by gender.
				<b>Activity 1.2.1.4</b> Technical assistance to the 2 nominated DAEs to address gaps based on Deliverable 1.2.1.2 (e.g., on basic fiduciary standards, specialized services, gender and environmental and social safeguard standards), including the design/update of internal policies and processes, in line with GCF requirements.	<b>Deliverable 1.2.1.4</b> 4 quarterly reports on capacity and technical gaps and support/assistance provided to 2 nominated DAEs, including the design/update of internal policies/processes.
				<b>Activity 1.2.1.5</b> Support 2 nominated DAEs in the preparation and assessment of all the documents for submission of the GCF accreditation application.	<b>Deliverable 1.2.1.5</b> Complete DAE accreditation applications (Stage 1) submitted to the GCF through the Digital Accreditation Platform.

Outcomes	Baseline <sup>8</sup>	Targets	Outputs	Activities (brief description)	Deliverables <sup>9</sup>
			<b>Output 1.2.2</b> Nominated DAEs increased capacity and knowledge on the overall accreditation process, and climate projects pipeline development for GCF submission.	<b>Activity 1.2.2.1</b> Organize a multi-stakeholder workshop, inviting representatives from line Ministries, NDA, nominated entities, other financial institutions and development partners to disseminate the visit report and share learnings from the knowledge exchange/ international learning visit (Activity 5.1.1.1), including best practices and lessons learned on the overall accreditation process and how the identified entities for nomination will work with stakeholders.  The workshop will target ~30 participants from nominated DAEs, NDA, other potential accredited applicants, government institutions, private sectors, and non-state actors, targeting 50% women participation.	<b>Deliverable 1.2.2.1</b> 1 workshop report prepared with agenda, learning visit report, highlights of the discussion, action plans, list of participants disaggregated by gender, pre- and post-survey.
				<b>Activity 1.2.2.2</b> Conduct 2 capacity-building workshops for nominated DAEs and NDA on how to identify a pipeline of projects from the Country Programme.  Each workshop will target ~10 participants from NDA and nominated DAEs, targeting 50% women participants.  These are preliminary workshops to introduce the overall process of pipeline development, project ideas and concept note development. We aim to continue facilitating the accreditation process, shortlisting projects for concept notes and working with the new accredited entities to develop a project for GCF funding in the next phase. GGGI has held discussions with the NDA	<b>Deliverable 1.2.2.2</b> 2 workshop reports, agenda, materials, highlights of the discussion, and list of participants disaggregated by gender and pre- and post-survey.

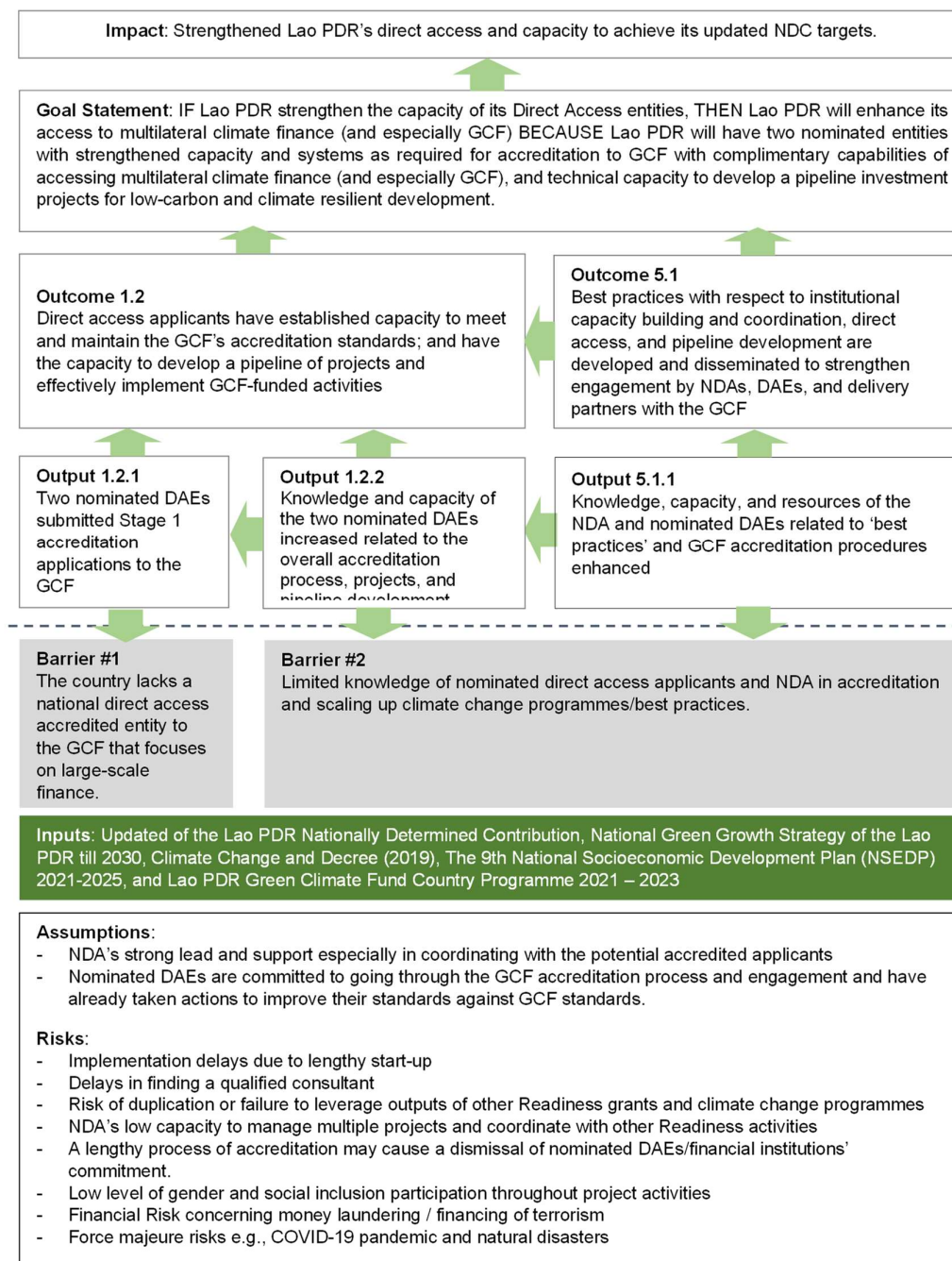
Outcomes	Baseline <sup>8</sup>	Targets	Outputs	Activities (brief description)	Deliverables <sup>9</sup>
				and GCF on this topic, and, at the request of the NDA, GGGI will prepare a second phase multi-year Readiness support proposal for continued accreditation support.	
<b>Outcome 5.1</b> Best practices with respect to institutional capacity building and coordination, direct access, and pipeline development are developed and disseminated to strengthen engagement by NDAs, DAEs, and delivery partners with the GCF	The country lacks knowledge and capacity, especially related to accreditation process, and scaling up climate change programmes / best practices.	The capacity of NDA and nominated accredited entities is strengthened through knowledge sharing from other countries/ recipients/ providers of Readiness support.	<b>Output 5.1.1</b> Knowledge, capacity, and resources of the NDA and nominated DAEs related to 'best practices' and GCF accreditation procedures enhanced.	<b>Activity 5.1.1.1</b> Identify the host country and institution(s) that have successfully implemented Readiness support with respect to institutional capacity building and coordination, direct access and pipeline development.  The criteria for selecting the participants will be agreed upon in consultation with NDA, GCF and nominated DAEs.	<b>Deliverable 5.1.1.1</b> A proposal/ToR identifying the host country in the Southeast region and institutions/DAEs and indicating agreement from the country to host the learning exchange.
				<b>Activity 5.1.1.2</b> Organize an international learning visit for 6 people (2 participants from NDA, 3 participants from nominated DAEs and 1 facilitator from DP), targeting 50% women participants.  The learnings from the knowledge exchange will extract some lessons learned and recommendations and feed the information into an action plan on a strategic approach and key steps for both the NDA and nominated DAEs in Lao PDR to produce strong direct access modalities, such as 1) nominating and supporting accreditation process of national entities; 2) developing direct access project pipeline and generating good project proposals.	<b>Deliverable 5.1.1.2</b> 1 report of the outcomes of learning visits, including an action plan to internalize the knowledge/skills gained, agenda and materials, list of participants disaggregated by gender, and pre- and post-learning survey.



Outcomes	Baseline <sup>8</sup>	Targets	Outputs	Activities (brief description)	Deliverables <sup>9</sup>
				<p><b>Activity 5.1.1.3</b></p> <p>Develop an online knowledge hub featuring relevant resources to support NDA, nominated DAEs and other potential institutions on accreditation preparation and application submission, as well as concept notes development.</p> <p>The online knowledge hub will be integrated into the official MoNRE website (<a href="http://monre.gov.la">ໜ້າຫຼັກ (monre.gov.la)</a>), which is managed by the Cabinet Office (Permanent Secretary Office). Therefore, the NDA will work with the Cabinet Office's administrator to maintain the hub effectively and independently.</p>	<p><b>Deliverable 5.1.1.3</b></p> <p>An online knowledge hub, with relevant resources on accreditation preparation and application submission, as well as concept notes development is available and accessible by NDA, nominated DAEs and other potential institutions.</p>

## 4. THEORY OF CHANGE

Figure 1. Theory of Change



The updated NDC builds upon several national climate and development policy initiatives, including the National Green Growth Strategy of the Lao PDR till 2030, Climate Change and Decree (2019), The 9th National Socioeconomic Development Plan (NSED) 2021-2025, and Lao PDR Green Climate Fund Country Programme 2021 – 2023. To fully implement the updated NDC target, Lao PDR will need additional financing to close the gap for climate action. This Readiness grant aims to strengthen Lao PDR's direct access and capacity to achieve its updated NDC target. IF Lao PDR strengthens the capacity of its Direct Access entities, THEN Lao PDR will enhance its access to multilateral climate finance (and especially GCF) BECAUSE Lao PDR will have two nominated entities with strengthened capacity and systems as required for accreditation that meet GCF accreditation standards, with complimentary capabilities of accessing multilateral climate finance (and especially GCF), and technical capacity to develop a pipeline investment projects for low-carbon and climate resilient development through the accreditation process support and the development of project ideas for considering the conversion into concept notes.

Toward this goal, this Readiness grant will support Lao PDR in establishing the capacity to meet and maintain the GCF's accreditation standards; and accredited DAEs have the capacity to develop a pipeline of projects and effectively implement GCF-funded activities (**Objective 1: Capacity Building/Outcome 1.2**) and to further enhance the capacity of nominated DAEs and NDA related to best practices with respect to institutional capacity building and coordination, direct access and pipeline development, from other countries in the Southeast Asia region (**Objective 5: Knowledge Sharing/Outcome 5.1**).

### Objective 1. Capacity building

**Output 1.2.1 Two nominated DAEs submitted accreditation applications to the GCF (Stage 1).** This Readiness grant will start with identifying the potential DAEs following the introductory workshop and expression of interest letters received. A preliminary review will be conducted to assess the qualifications of the identified accredited applicants based on GCF's requirements and their sectoral coverage aligned with the priorities of the Lao PDR Country Programme. Several workshops and technical assistance will be conducted on the GCF policies and standards (i.e., basic fiduciary standards, specialized services, ESS, gender policy, and monitoring, reporting and evaluation) to address the gaps based on the institutional gaps assessment in addition to the design or update the policies/operational guidelines to strengthen the internal policies and process, to meet and fulfill GCF's accreditation standards and requirements and submit the Stage 1 accreditation application.

**Output 1.2.2 Nominated DAEs increased capacity and knowledge on the overall accreditation process, and climate projects pipeline development for GCF submission.** Following the submission of the Stage 1 accreditation application, this Readiness grant will further increase the capacity and knowledge of the nominated DAEs in climate projects and pipeline development, in line with the GCF Country Programme and other national strategic plans and priorities. By the delivery of both **Output 1.2.1 and 1.2.2**, this Readiness grant will strengthen the capacity of nominated DAEs, which will then improve Lao PDR's access to GCF in terms of climate finance landscape, and address **Barrier 1. The country lacks a national direct access accredited entity to the GCF that focuses on large-scale finance.**

### Objective 5. Knowledge Sharing

**Output 5.1.1 Knowledge, capacity, and resources of the NDA and nominated DAEs related to 'best practices' and GCF accreditation procedures enhanced.** In addition to Output 1.2.2, the knowledge sharing/learning exchange that will be conducted with countries more advanced with GCF procedures will enable NDA and nominated DAEs to learn best practices that will be contextualized and adapted to local circumstances. Thus, preferably the host DAE to be selected is DAE with a relatively similar accreditation scope as the targeted nominees for accreditation. Such lessons will accelerate Lao PDR's ongoing efforts to enhance its climate access and scale up best practices. Knowledge sharing will enable NDA and nominated DAEs to catalyze the pipeline of projects, i.e., to identify, scale up, and replicate transformational projects and programmes informed by the national vision and address **Barrier 2. Limited knowledge of nominated direct access applicants and NDA in accreditation and scaling up climate change programmes/best practices.** An international learning visit for nominated DAEs and NDA will be conducted to enhance their knowledge and capacity related to 'best practices' and GCF accreditation procedures. At the initial stage, the Readiness grant will identify the host country and institution(s) that have successfully implemented Readiness projects with respect to institutional capacity building and coordination, direct access and pipeline development.

In order to share the learning exchange outcomes with wider in-country key stakeholders, a multi-stakeholder workshop will be conducted to disseminate the report and to help internalize best practices/learning results to a broader group (e.g., NDA, nominated DAEs, other potential accredited applicants, government institutions, private sectors, non-state actors). In addition, this Readiness will extract some lessons learned and recommendations and feed the information into an action plan on a strategic approach and key steps for both the NDA and nominated DAEs in Lao PDR to produce strong direct access modalities, such as 1) nominating and supporting accreditation process of national entities; 2) developing direct access project pipeline and generating

good project proposals (**Output 1.2.2**) and an online knowledge hub, featuring relevant resources to support NDA, nominated DAEs and other potential institutions on accreditation preparation and application submission, as well as concept notes development (**Output 5.1.1**).

The assumptions made for the smooth implementation and delivery of outputs are NDA's strong lead and support, especially in coordinating with the potential accredited applicants; nominated DAEs are committed to going through the GCF accreditation process and engagement and have already taken actions to improve its standards against GCF standards. The risks identified that might affect grant implementation include 1) implementation delays due to lengthy start-up; 2) delays in finding a qualified consultant; 3) risk of duplication or failure to leverage outputs of other Readiness grants and climate change programmes; 4) NDA's low capacity to manage multiple projects and coordinate with other Readiness activities; 5) a lengthy process of accreditation may cause a dismissal of nominated DAEs/financial institutions' commitment; 6) low level of gender and social inclusion integration, financial risks and; 7) force majeure risks, e.g., the COVID-19 pandemic and natural disasters.

## 5. BUDGET, PROCUREMENT, IMPLEMENTATION AND DISBURSEMENT PLAN

### 5.1 Budget plan

Please complete the Budget Plan in Excel using the template available in the [Library](#) page of the GCF website.

### 5.2 Procurement plan

Please complete the Procurement Plan in Excel using the template available in the [Library](#) page of the GCF website. For goods, services, and consultancies to be procured, please list the items, descriptions in relation to the activities in section 2, estimated cost, procurement method, relevant threshold, and the estimated dates. Please include the procurement plan for at least the first tranche of disbursement requested below and provide a full procurement plan for the entire duration of the implementation period if available at this stage.

### 5.3 Implementation Plan

Please complete the Implementation Plan in Excel using the template available in the [Library](#) page of the GCF website.

### 5.4 Disbursement schedule

Please specify the proposed schedule for requesting disbursements from the GCF. For periodicity, specify whether it's quarterly, bi-annually or annually only.

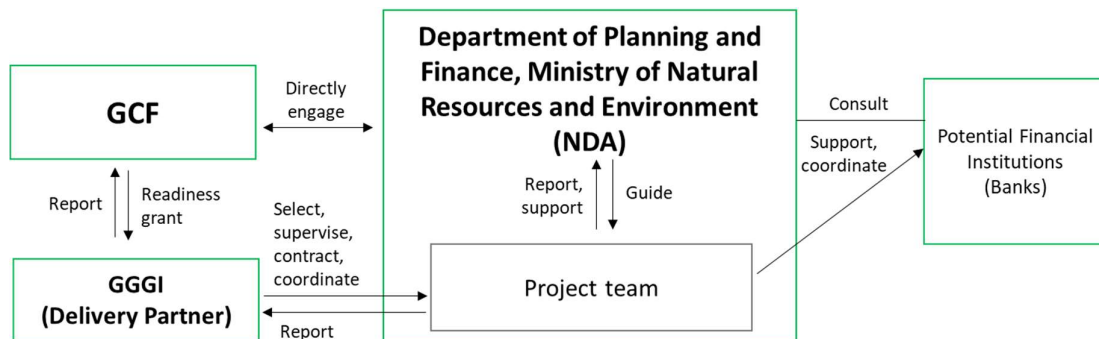
☒ **Readiness Proposal that falls within a Framework Agreement with the GCF**

Disbursements will be made in accordance to Clause 4 "*Disbursement of Grants*" and Clause 5 "*Use of Grant Proceeds by the Delivery Partner*" of the Second Amended and Restated Agreement Framework Readiness and Preparatory Support Grant Agreement entered into between GCF and Global Green Growth Institute on 12 May 2021 (Framework Agreement).

## 6. IMPLEMENTATION ARRANGEMENTS AND OTHER INFORMATION

### 6.1 Implementation arrangements

Figure 2. Implementation arrangements



The Ministry of Natural Resources and Environment, as the NDA, will provide strategic oversight for the implementation of the readiness project and will be responsible for the institutional coordination of activities, project stakeholders and the Readiness Delivery Partner. NDA will provide advice and guidance to GGGI and be tailored to the project to meet in-country needs and expectations. The NDA will also liaise closely with beneficiaries of this Readiness grant to align activities, and share experiences, knowledge, and information. Moreover, the NDA will observe the accreditation process of nominated DAEs. This will allow the NDA to support future DAE candidates and enable the NDA to identify gaps, if any.

GGGI, the DP, will be responsible for the implementation of the readiness support and will carry out all fiduciary and financial management, procurement of goods and services, monitoring and reporting activities under this proposal in compliance with GGGI's policies and procedures and with the Second Amended and Restated Framework Readiness and Preparatory Support Grant Agreement entered into between GCF and the Global Green Growth Institute on 12 May 2021. GGGI will coordinate closely with the NDA and other relevant parties through periodic meetings. All day-to-day activities will be closely coordinated and communicated between GGGI and NDA, including the development and delivery of the annual budget, work plan, and fund disbursement. This will allow the NDA to build its capacity to work with international standards and processes. The NDA/ministries will only provide support for implementation to GGGI, and no transfer funding/obligations of GGGI will take place to them.

The beneficiaries of this Readiness grant include the Government of Lao PDR, the NDA – Ministry of Natural Resources and Environment (MoNRE), and the potential accredited applicants, which will play key roles as the following:

- Participate in project activities, including events/ training workshops.
- Provide inputs/documentation to support the institutional gap analysis and capacity needs assessment.
- Closely engage with the project team on Stage 1 GCF accreditation processes.
- Involve in formalizing the project ideas into GCF Concept Note.

The indirect beneficiaries include other key relevant agencies, national and subnational governments, non-state actors, the private sector, proponents submitting project concept notes, and local civil society organizations representing communities and vulnerable groups.

#### Summary of roles and responsibilities:

Ministry of Natural Resources and Environment: NDA

GCF: Funding entity

GGGI: Delivery Partner

Financial institutions: potential/nominated accredited applicants.

Staff and consultants: technical and implementation support for GCF Readiness activities.

### 6.2 Implementation and execution roles and responsibilities



The Readiness implementation team entails 3 GGGI technical staff (2 existing GGGI staff and 1 GGGI staff to be recruited), 2 existing GGGI staff for administrative and communication tasks, and 1 consultant. 4 positions are existing and in-country, which will significantly save mobilization time and cost. GGGI will allocate staff time and cost to each appropriate output per project through GGGI's timesheet system. GGGI staff have strong knowledge of the local context and experience in Readiness programmes in Lao PDR. All activities will be under the supervision of the Project Lead (Deputy Country Representative of the GGGI Lao Country Program). The expected tasks are in the following table.

Table 3. Brief ToR for the staff of the delivery partner

Position Title	Brief ToR and Alignment with Readiness Activities
<b>DAE Readiness Project Lead</b> (National, part-time, based in Lao PDR) 215 days	<p>This is a new GGGI Lao national staff position who will dedicate 70% of total time over 18 months to this Readiness program to plan and implement project activities in close coordination with NDA, and other relevant stakeholders. The Project Lead will have expertise in climate finance, especially in GCF process. Main tasks include:</p> <ul style="list-style-type: none"> <li>Take the lead on activities 1.2.1.1, 1.2.1.2, 1.2.1.3, 1.2.1.4, 1.2.1.5, 1.2.2.1, 1.2.2.2, 5.1.1.1, 5.1.1.2, 5.1.1.3 under this Readiness proposal</li> <li>Technical support, draft ToRs and guidance to the external consultant</li> <li>Deliver technical presentations as part of the different workshops under this Readiness proposal.</li> <li>Readiness grant management, reporting and documentation.</li> </ul> <p>Qualifications:</p> <ul style="list-style-type: none"> <li>Master's degree in finance, environmental sciences or equivalent</li> <li>5+ years' work experience in managing climate projects in Lao PDR</li> <li>Track record of team leadership</li> <li>Work experience with Lao Government</li> </ul>
<b>GGGI Program Lead, Lao PDR</b> (International, part-time, based in Lao PDR) 36 days	<p>This is an existing GGGI international staff holding the position of GGGI Deputy Country Representative based full-time in Lao PDR. The Program Lead will work part-time on this readiness program. This role is critical considering the limited availability in-country climate change expertise. Main tasks include:</p> <ul style="list-style-type: none"> <li>Technical inputs and quality control on activities 1.2.1.1, 1.2.1.2, 1.2.1.3, 1.2.1.4, 1.2.1.5, 1.2.2.1, 1.2.2.2, 5.1.1.1, 5.1.1.2, 5.1.1.3, including all assessments, reports, training modules, and deliverables produced under this proposal.</li> <li>Support the recruitment of external consultant.</li> <li>Co-chair all workshops and meetings with Lao Government under this proposal</li> <li>Ensure high quality reporting prior to GCF submission.</li> </ul> <p>Qualifications:</p> <ul style="list-style-type: none"> <li>Master's degree in environmental sciences</li> <li>15+ years' work experience in managing climate projects in developing country context.</li> <li>Track record of team leadership</li> <li>Extensive knowledge and network with Lao Government</li> </ul>
<b>Senior Project Assistant</b> (National, part-time, based in Lao PDR)	<p>The Program Assistant is an existing GGGI national staff based full time in Lao PDR for the duration of the project. The assistant will work part-time on this program and will work with and report directly to the Project Lead in close coordination with the NDA, and candidate DAEs. Main tasks include:</p>

110 days	<ul style="list-style-type: none"> <li>Support and facilitate delivery of the project technical outputs for activities 1.2.1.1, 1.2.1.2, 1.2.1.3, 1.2.1.4, 1.2.1.5, 1.2.2.1, 1.2.2.2, 5.1.1.1, 5.1.1.2, 5.1.1.3.</li> <li>Support stakeholder consultation processes.</li> <li>Liaise with the NDA and potential DAEs.</li> <li>Support recruitment of consultant.</li> <li>Support the preparation and organization of workshop and events.</li> </ul> <p>Qualifications:</p> <ul style="list-style-type: none"> <li>Bachelor's degree in related field.</li> <li>2+ years' work experience in sustainable development in Lao PDR.</li> <li>Previous experience supporting projects in the public sector.</li> </ul>
<b>Senior Assistant, Administration and Procurement</b> (National, part-time, based in Lao PDR) 10 days	<u>PMC</u> Support project administration, procurement, and overall project implementation.
<b>Communication Assistant</b> (National, part-time, based in Lao PDR) 13 days	The <b>Communication Assistant</b> will support mainly the activities under: Output 5.1.1 Knowledge, capacity, and resources of the NDA and nominated DAEs related to 'best practices' and GCF accreditation procedures enhanced.
<b>Accreditation Consultant Firm</b> (international firm, 100 days, lumpsum and deliverable-based)	The <b>Accreditation Consulting Firm</b> to be contracted for 100 working days under Output 1.2.1; budget estimated at \$600/day for following tasks: <ul style="list-style-type: none"> <li>Activity 1.2.1.2 Conduct institutional gap analysis and capacity needs assessment for two nominated DAEs against the GCF policies and standards (basic fiduciary standards, specialized services, ESS, gender policy, and monitoring, reporting and evaluation).</li> <li>Activity 1.2.1.3 Conduct 2 capacity-building workshops concerning the GCF policies and standards (basic fiduciary standards, specialized services, ESS, gender policy, and monitoring, reporting and evaluation), each with ~30 participants from two nominated DAEs and targeting 50% women.</li> <li>Activity 1.2.1.4 Technical assistance to 2 financial institutions to address gaps based on the deliverable 1.2.1.2 (e.g., on basic fiduciary standards, specialized services, gender and environmental and social safeguard standards), including the design/update of internal policies and processes, in line with GCF requirements.</li> </ul>
<b>Knowledge Hub Consulting Firm</b> (local firm, 20 days, lumpsum and deliverable-based)	The <b>Knowledge Hub Consulting Firm</b> to be contracted for 20 working days under Output 1.2.1; budget estimated at \$500/day for following tasks: <ul style="list-style-type: none"> <li>Activity 5.1.1.3 Develop an online knowledge hub, featuring relevant resources to support NDA, nominated DAEs and other potential institutions on accreditation preparation and application submission, as well as concept notes development.</li> </ul>

## 6.3 Risks and mitigation measures

Risk category	Specific risk(s) / Risk(s) description	Probability of occurrence (low, medium, high)	Impact level (low, medium, high)	Mitigation action(s)	Entity(ies) responsible to manage the risk(s)
Operational	Implementation delays due to lengthy start-up such as in project agreement with Government, procurement, and other processes.	Low	Medium	GGGI Lao PDR has several years' experience in the implementation of GCF Readiness grants. Team will use lessons learnt to proactively arrange recruitment of external firms and coordinate with government entities	NDA and DP
Procurement	Delays in finding a qualified consultant or consulting firm	Low	Low	GGGI in close coordination with NDA will prepare clear TORs, publish widely, and utilize NDA and GGGI's extensive network. GGGI will reach out to the NDA and its own network in Lao PDR to identify qualified candidates and solicit their application in advance. The NDA-DP proposed risk mitigation measure are increasing consultants charge out rates to be able to attract international consultants, in a case where we are unable to identify suitable local candidates; and utilizing contingency budget to cover for relocation costs of international consultants to the duty station.	DP
Management	Risk of duplication or failure to leverage outputs and outcomes of other Readiness grants and climate change programmes	Low	Medium	The program has been designed in close cooperation with NDA and affiliated agencies based on needs and considering any potential risk of duplication.	NDA and GGGI
Management	NDA low capacity to manage multiple project and poor coordination with other Readiness activities	Low	Low	The projects are managed by different teams and organizations, and the oversight management of the NDA will help in better coordination. Further, the NDA will work closely with DP and facilitate coordination amongst them especially on related and complementarity of activities	NDA and GGGI

Risk category	Specific risk(s) / Risk(s) description	Probability of occurrence (low, medium, high)	Impact level (low, medium, high)	Mitigation action(s)	Entity(ies) responsible to manage the risk(s)
				and their timing during implementation.	
Implementation	A lengthy process of accreditation may cause a dismissal of nominated DAEs/financial institutions' commitment.	Low	Low	The screening process was conducted by NDA and DP, a series of discussions and a nomination letter will be provided prior to the accreditation process. GGGI, together with the NDA, will initiate discussions with potential AEs as early as possible (i.e., when the draft Information Memorandum is ready and before drafting the concept notes) to facilitate the AE's involvement and expedite the preparation of a funding proposal.	NDA and GGGI
Implementation	Low level of gender and social inclusion integration in the grant implementation	Medium	Medium	Gender Equality and Social Inclusion, and Environmental and Social Safeguards are fully integrated into GGGI's Project Cycle Management. All staff have signed GGGI's Code of Conduct and have been trained in GGGI's GESI policies. GGGI has recently increased its GESI ambition in alignment with GGGI's GESI Strategy for 2021 – 2025 <sup>10</sup> , which includes the implementation Gender Equality and Poverty Reduction Policy Markers on all projects and the implementation of an Environmental, Social and Governance toolkit providing guidance to mainstream environmental, social, and governance considerations in all workstreams. At the local level, socialization and participation mechanisms will target participation of vulnerable/indigenous communities as both a precondition (e.g., participation of these stakeholders) and an indicator (e.g., co-benefits generate by concept notes).	GGGI

<sup>10</sup> [GGGI Gender Strat Layout](#)

Risk category	Specific risk(s) / Risk(s) description	Probability of occurrence (low, medium, high)	Impact level (low, medium, high)	Mitigation action(s)	Entity(ies) responsible to manage the risk(s)
Financial	Risks concerning Money Laundering/ Financing of Terrorism	Low	High	GGGI has established <a href="#">Rules on Integrity Due Diligence</a> that will require due diligence review of third parties prior to their engagement with GGGI. A basic due diligence will review issues related to money laundering, terrorism, organized crime, sanctions imposed by international and national bodies, human rights violations, modern slavery, or any other serious wrongdoing. A high-risk indicator would result in non-engagement with the third party while a medium risk indicator will result in any further enhanced due diligence. GGGI will engage with a third party with a low-risk indicator. GGGI will continue to follow and implement its AML and CTF policy throughout the Readiness grant implementation. GGGI will conduct a due diligence review of local financial institutions that may become involved in the Readiness grant activities through the Dow Jones Risk & Compliance database.	GGGI
External	COVID-19 pandemic and natural disasters may cause delay in project activities such as consultation, validation, and engagement workshops.	High	Medium	GCF will be informed and updated. GGGI will explore implementation options, in close consultation with the NDA. Any changes in the approved proposal will be timely communicated with GCF for the needed adjustments and prior approval. GGGI and NDA will organize events and conduct activities virtually when in-person is not possible. GGGI has established a Crisis Management Unit responsible for reviewing the evolution of the COVID pandemic across all its countries of operations and providing advice. GGGI staff are covered by insurance covering COVID-related medical needs and medical evacuation.	GGGI and NDA

## 6.4 Monitoring

GGGI undertakes monthly and annual project reporting to provide a mechanism for regular collection of information on progress to support oversight and adaptive management and external reporting to GGGI members/donors. The project progress is reported against the log frame and budget. GGGI and the NDA will agree on a detailed work plan and reporting on a quarterly basis. Both GGGI and NDA will review the previous quarter, and a work plan will be prepared for the subsequent quarter for the duration of the programme. The log frame will be used to assess progress towards achieving the agreed deliverables. GGGI recognizes that learning is a key component of project monitoring and implementation. GGGI will regularly request feedback from project stakeholders and adjust implementation as required throughout the life of the project. Moreover, GGGI regularly organizes internal learning sessions, and thus the implementation team would be able to learn from other programmes and feed such learning into the implementation process. GGGI has a robust document management system. Through this approach, results of the monitoring process will be regularly fed back into the implementation of the Readiness support, and into future similar projects. A summary of evaluation results will be made available online.

A monitoring plan and matrix will be developed to guide the monitoring activities. With the support of GGGI's monitoring tools and mechanism, GGGI will ensure the quality of deliverables (i.e., a specific pre- and post-survey will be conducted to measure the improvement of capacity as a result of the training). GGGI and the NDA will discuss the results of monitoring on a quarterly basis. In addition to the quarterly monitoring, GGGI and the NDA will discuss on a case-by-case basis if there are specific issues that affect (or are expected to affect) project delivery and implementation, including the risks and assumptions that were identified. GGGI and the NDA will formulate mitigation measures and include them in the report and workplan for the following quarter. The monitoring and evaluation plan includes the following:

1. Review of indicators and finalization of data collection plan with roles and responsibilities for GGGI and NDA staff by month 2 of the project. M&E activities will be integrated into the quarterly work plan.
2. Quarterly progress reviews and planning with the Readiness team and NDA, including reporting on log frame and budget – this will be an opportunity to check in on changes in the external context that will affect the implementation of the project.
3. Mid-year and annual reports and audited financial statements.
4. Final report

GGGI is a results-focused organization committed to meet its accountability, transparency, learning and continuous improvement needs. A key priority of results-based management is to deliver more for less and maximize impact by harnessing credible evidence to scale up successes and address areas for improvement. Therefore, it is important to measure the performance against the GGGI Corporate Results Framework (CRF)<sup>11</sup>, which is a management tool that enables GGGI to monitor, report and improve its results and performance to achieve the goals and corporate targets set out in Strategy 2030.

In line with the Second Amended and Restated Framework Readiness and Preparatory Support Grant Agreement entered into between GCF and the Global Green Growth Institute on 12 May 2021, progress and completion reports using the GCF template and audited financial statements at the portfolio level at the end of each year will be submitted. Disbursement requests can be submitted with the progress report or separately as required milestones are reached. GGGI will prepare periodic revisions to reflect changes in six monthly and annual expense category budgets, monitor and review project expenditure reports and communicate and share with the NDA and GCF Secretariat, if required.

## 6.5 Other Relevant Information

<sup>11</sup> [Corporate Results Framework 2021-2025 \(gggi.org\)](https://www.gggi.org/crf)



### GGGI in Lao PDR and Cooperation with NDA

Lao PDR became the 28<sup>th</sup> member country of the GGGI in 2017. Lao PDR and GGGI have been working in partnership to formulate green growth policies and implement projects in various green growth areas such as National Green Growth Strategy (NGGS), which will provide policy direction on the mainstreaming of green growth into national, sub-national, and sector strategies and policies. In Lao PDR, GGGI is collaborating with five key ministries and one national research institute: the Ministry of Planning and Investment (MPI), the National Institute for Economic Research (NIER), the Ministry of Public Works and Transport (MPWT), the Ministry of Natural Resources and Environment (MONRE), the Ministry of Energy and Mines (MEM), and the Ministry of Industry and Commerce (MOIC).

Over the next five years, GGGI's support to the Government of Lao PDR (GoL) will focus on developing policies to create an enabling environment for green investments and preparing projects to directly mobilize investments. The efforts on policy development and investment mobilization will be in line with the national priorities of Lao PDR by supporting the implementation of the NGGS, the updated NDC and the GCF Country Programme. Moreover, GGGI will contribute to establishing and improving essential sustainable waste management services under an urban setting to accommodate the rapidly expanding urban growth in Lao PDR. As stated in the GGGI Country Planning Framework of Lao PDR<sup>12</sup> for 2021-2025. The priority programmatic solutions of GGGI and the GoL include:

1. **Green Investment:** In partnership with the GoL and private sector players in Lao PDR, GGGI will prepare bankable and financing mechanisms to increase the penetration of green growth projects.
2. **Climate Action:** In collaboration with the Ministry of Planning and Investment and Ministry of Natural Resources and Environment, GGGI will continue to support the mainstreaming of the NGGS by operationalizing the Green Growth Promotion Center and implementing the updated NDC as well as the GCF Country Programme.
3. **Waste Management:** In continuation of existing projects funded by the Korea International Cooperation Agency that are focused on waste management in Vientiane Capital and Pakse City, GGGI will develop national and sub-national policies, implement strategies, and pilot demonstration projects in Vientiane Capital and Pakse. Once GGGI reviews the success of the pilot projects, selected projects will be scaled-up and replicated throughout the cities in Lao PDR.
4. **Sustainable Mobility:** GGGI will support the Ministry of Public Works and Transport and private sector players to create an enabling environment and prepare bankable projects to attract investments in the sustainable mobility sector.
5. **Green Buildings and Green Industries:** In order to establish and jump-start the market, GGGI will conduct energy audits in public and commercial buildings to identify the potential of the energy efficiency market for Lao PDR and support the development of energy service companies in the industry sector. In addition, GGGI will collaborate with the Ministry of Industry and Commerce to develop a green industry policy.

Ultimately, GGGI expects to contribute to the adoption of the 9th NSEDP, and development of the low emission development strategy and sectoral adaptation plans. When adopted, these policies and strategies will indirectly impact all six strategic outcomes in the GGGI Strategy 2030. Over the past three years, GGGI collaborated with MoNRE (as NDA) on the implementation of LAO-RS-007 Readiness grant, which supported the institutional arrangements, GCF Country Programme and mobilized investments to help deliver on the Lao PDR's climate change ambitions. In addition, GGGI collaborated with MoNRE on the implementation of LAO-RS-008 Readiness grant, which supported on measurement, reporting and verification in the energy sector, enhanced the capacity of the NDA on green and resilient cities and revision of NDC.

### GGGI Track Record as a Deliver Partner

The Global Green Growth Institute (GGGI) has become one of GCF's major Readiness delivery partners since the signing of the GCF-GGGI Framework Agreement in 2017. Currently, 30 countries have requested GGGI as Readiness Delivery Partner and received approval to implement readiness projects in 26 countries i.e., Burkina Faso, Cambodia, Colombia, Cote d'Ivoire, Dominica Republic, Ethiopia, Fiji, Guyana, Indonesia, Jordan, Lao PDR, Mexico, Morocco, Mongolia, Mozambique, Myanmar, Papua New Guinea, Paraguay, Philippines, Rwanda, Saint Lucia, Sri Lanka, Thailand, Togo, Uganda, and Vanuatu. Our teams on the ground have completed readiness support in 15 countries, i.e., Vanuatu, Mongolia, Thailand, Rwanda, Lao PDR, Guyana, Papua New Guinea, Indonesia, Burkina Faso, Cote d'Ivoire, Cambodia, Ethiopia, Jordan, Mexico, and Uganda. While GGGI is not an accredited entity, we have been working with our partner governments to develop funding proposals for submission to the GCF. The goal of the readiness work is for countries to access GCF's climate

<sup>12</sup> [GGGI-Laos CPF 2021-2025 web.pdf](#)

finance, and GGGI is very pleased to have helped develop 8 funding proposals, 5 of which have already been approved (for Ethiopia, Rwanda, Fiji, Indonesia and Mongolia) worth over USD 246 million. GGGI has done this through institutional support to national DAEs, technical support for concept development, and feasibility studies. Four of five funding proposals approved by GCF were developed with national DAEs.

### **Sustainability and Exit Strategy**

The Readiness implementation will be fully overseen by the NDA, given the envisaged robust participatory process. The Readiness grant is expected to lead to financial institutions' accreditation to the GCF. GGGI has held discussions with the NDA and GCF on this topic, and, at the request of the NDA, GGGI will prepare a second phase multi-year Readiness support proposal for continued accreditation support. The NDA and DP aim to continue facilitating the accreditation process (Stage 2), the shortlisting project for concept notes and working together with the new accredited entities to develop a project for GCF funding in the next phase. This is to increase the motivation and success rate of the new accredited entities to get the project funded by the GCF. This would, in the medium-term, help mobilize private sector financing for such projects at scale. This Readiness will continue to support NDA in enhancing country ownership. GGGI will pursue sustained Readiness activities by involving NDA staff in implementing the project to build long-term national capacity. This will also guarantee an efficient transfer of knowledge and skills to build the capacity of the NDA to effectively fulfill its role and follow through on activities moving forward. The Readiness project aims to create champions within the NDA who continue to promote climate change action and drive engagement with the GCF and stakeholders. Thus, GGGI will continue to work closely with staff from the NDA and other relevant stakeholders to transfer knowledge and develop relevant knowledge and skills through workshops and consultations. Furthermore, knowledge gained from these projects will be synthesized and published as a report.

### **Project Assets and Knowledge Generated**

All reports, products, processes, documents and other materials generated during the implementation of this project using GCF resources shall be with the NDA to be freely shared with stakeholders (including the nominated DAEs, the public and private sectors, and other non-state actors) to update, manage and use these intellectual assets beyond the project life. The Readiness implementation team, in close coordination with the NDA, will facilitate knowledge transfer and retain knowledge in-country, while also building the capacity of the nominated DAEs. This will enable the NDA to facilitate the accreditation of other DAEs. The established process and guidelines will be consistently applied by the nominated DAEs, which will help ensure the sustainability of project outcomes. In addition, all documents produced through this Readiness project will be submitted to NDA and documented to ensure NDA and stakeholders can validate project results but also replicate processes key to accessing GCF and other climate finance sources.

### **Start Date**

Start date and implementation period will be in accordance with the Second Amended and Restated Framework Readiness and Preparatory Support Grant Agreement entered into between GCF and the Global Green Growth Institute on 12 May 2021.

### **Anti-Money Laundering/Counter-Terrorist Financing**

GGGI has established Rules on Integrity Due Diligence that will require due diligence review of third parties prior to their engagement with GGGI ([http://gggi.org/site/assets/uploads/2019/06/Rules-on-Integrity-Due-Diligence\\_16-June-2019.pdf](http://gggi.org/site/assets/uploads/2019/06/Rules-on-Integrity-Due-Diligence_16-June-2019.pdf)). A basic due diligence will review issues related to money laundering, terrorism, organized crime, sanctions imposed by international and national bodies, human rights violations, modern slavery, or any other serious wrongdoing. A high-risk indicator would result in non-engagement with the third party while a medium risk indicator will result in any further enhanced due diligence. GGGI will engage with a third party with a low-risk indicator. The risk assessment has been conducted and no red flags were identified concerning the third parties and other counterparts. GGGI will continue following and implementing its AML and CTF policy throughout the Readiness implementation process. GGGI will conduct a due diligence review of local financial institutions that may become involved in the Readiness grant activities through the Dow Jones Risk & Compliance database.

### **Whistleblower Protection Program**

GGGI has a [Whistleblower Policy](#) which aims to create an environment where staff members and external persons feel safe to report any misconduct or activities that work against the best interests of GGGI or violate the [Anti-Corruption Policy](#) without the fear of retaliation. This policy is supported by the [Guidelines for GGGI](#)

[Anti-Corruption Policy and Whistleblower Policy](#) which provide for procedures for reporting and investigation of instances of misconduct, retaliation or integrity violation, including violation of the Anti-Corruption Policy.

**United Nations Security Council**

At the time of submission of the proposed Readiness Grant, there are no United Nations Security Council (UNSC) restrictive measures in force within Lao PDR. There are no entities or individuals who are the subject to of affected by United Nations Security Council sanctions regimes, including the UN Consolidated Sanctions list, will be involved in these Readiness activities, either as counterparts or as implementer or as beneficiaries.

# READINESS & PREPARATORY SUPPORT

## BUDGET, PROCUREMENT & IMPLEMENTATION PLAN



### Readiness Grant Budget Preparation Guidelines

This file contains three specific planning tools to complete the supplementary information required when submitting a proposal for Readiness Programme support (including for NAP/adaptation planning):

- Budget plan and accompany Budget notes
- Procurement plan
- Implementation plan

#### The following considerations are important when completing the budget:

1. Before preparing the Readiness and budget, procurement, and implementation plans, please read the full guidance contained in the Readiness Programme Guidebook, specifically Part III Section 5
2. You can select the appropriate budget categories from the dropdown list in the budget plan:
3. To insert additional rows, right click on the row number below where you wish to insert the new row and choose INSERT.
4. Additional budget categories may be added by manually typing them on the Budget Category sheet :
5. The Budget Notes sheet should be used to record explanations, further details or cost breakdowns for individual lines

#### Project Management Cost:

Project management costs (PMC) are the direct administrative costs incurred to execute a project. They should cover only incremental costs incurred due to the GCF contribution. In most cases, these costs are directly related to the support of a dedicated project management unit which manages the day to day execution related activities of the project.

#### General Principles for PMC costs:

1. The percentage of PMC financed by GCF should not be more than the percentage share of the overall budget financed by GCF
2. PMC budget thresholds: Up to 7.5 per cent of total activity budget.
  - > PMC exceeding 7.5 per cent for the readiness (including NAPs) proposals, and PPF proposals, up to \$ 3 million will require detailed documentation and justification supporting the entire PMC budget.
  - > The PMC should be shown as a separate component in the project budget. A detailed breakdown of PMC should be provided by budget category.
  - > Indicative list of eligible project management costs:
    - > **Project staffing and consultants:** Project manager, Project Assistant, Procurement personnel, Finance personnel & Support/admin. Personnel
    - > **Other direct costs:** Office equipment, Mission related travel cost of the PMU, Project management systems and information technology, Office supplies, Audit cost

#### Contingency :

1. Select the appropriate % of Contingency Budget from the dropdown list :
2. Contingency budget for unforeseen costs arising during the project implementation should not be included in the outcome budget separately.
3. Contingency budget must be used for any unforeseen programme (output level) cost that is unrelated to implementation/service fee.
4. Any use of contingency must be reported to and agreed by the GCF Secretariat in writing in advance provided with justifications that are acceptable to the GCF
5. If by the end of the grant implementation period, you have not spent Contingency, you may not increase the scope of the project or make any other expenditures using the Contingency.

If you are unsure about how to complete the budget template, please send your query to: [countries@gcfund.org](mailto:countries@gcfund.org)

5.1 Budget Plan

Please add rows for Outcomes, Outputs and Cost Categories as required. Additional budget categories may be added by manually typing them on the Budget Category sheet.

Outcomes / Outputs		Budget Categories <small>choose from the drop-down list</small>	Detailed Budget (in US\$)				Total Budget <small>(per budget category)</small>	Total Budget <small>(per sub-outcome)</small>	Total Budget <small>(per outcome)</small>	Expenditure Plan						Budget notes		
			Unit	# of Unit	Unit Cost					6m	12m	18m	24m	30m	36m			
Outcome 1.2: Direct access applicants and accredited entities (DAEs) have established capacity to meet and maintain the GCF's accreditation standards; and accredited DAEs have the capacity to develop a pipeline of projects and effectively implement GCF-funded activities	Output 1.2.1 Two nominated DAEs submitted accreditation applications to the GCF (Stage 1).	GGGI Staff	W/day	5	800	4,000	23,090.00	142,450.00	1,333.33	1,333.33	1,333.33				A1			
		GGGI Staff	W/day	40	283	11,320			3,773.33	3,773.33	3,773.33				A2			
		GGGI Staff	W/day	20	141	2,820			940.00	940.00	940.00				A3			
		Workshop/Training	Event	2	2,200	4,400			2,200.00	2,200.00					A6			
		Audio Visual & Printing	Lumpsum	1	100	100			33.33	33.33	33.33				A5			
		Translation	Lumpsum	1	450	450				225.00	225.00				A7			
	Output 1.2.2 Nominated DAEs increased capacity and knowledge on the overall accreditation process, and climate projects pipeline development for GCF submission.	Professional Services – Companies/Firm	W/day	100	600	60,000	119,360.00		20,000.00	20,000.00	20,000.00				A4			
		GGGI Staff	W/day	50	141	7,050			2,350.00	2,350.00	2,350.00				A3			
		GGGI Staff	W/day	120	283	33,960			11,320.00	11,320.00	11,320.00				A2			
		GGGI Staff	W/day	14	800	11,200			3,733.33	3,733.33	3,733.33				A1			
		Audio Visual & Printing	Lumpsum	1	100	100			33.33	33.33	33.33				A5			
		Translation	Lumpsum	1	450	450				225.00	225.00				A7			
		Workshop/Training	Event	3	2,200	6,600			2,200.00	4,400.00					A6			
		Outcome 5.1 Best practices with respect to institutional capacity building and coordination, direct access, and pipeline development are developed and disseminated to strengthen engagement by NDAs, DAEs, and delivery partners with the GCF	Output 5.1.1 Knowledge, capacity, and resources of the NDA and nominated DAEs related to 'best practices' and GCF accreditation procedures enhanced.	GGGI Staff	W/day	15			800	12,000	66,583.00	66,583.00	6,000.00	6,000.00				A1
		GGGI Staff		W/day	55	283			15,565	7,782.50			7,782.50					A2
		GGGI Staff		W/day	40	141			5,640	2,820.00			2,820.00					A3
GGGI Staff	W/day	13		106	1,378	689.00	689.00								C3			
Travel - International	Trip	1		22,000	22,000		22,000.00								B1			
Professional Services – Companies/Firm	W/day	20		500	10,000					10,000.00						B2		
Total Outcome Budget								209,033.00	65,208.17	89,858.17	53,966.67	-	-	-				
Project Management Cost (PMC) Up to 7.5% of Total Activity Budget		Audit Fee	Lumpsum	2	2,000	4,000	Actual amount and % of PMC requested:	Maximum PMC that can be requested:							C1			
		GGGI Staff	W/day	2	800	1,600									A1			
		GGGI Staff	W/day	10	141	1,410									C2			
		Travel – Local	Lumpsum	1	1,000	1,000									C4			
		IT Equipment	Lumpsum	1	1,700	1,700									C5			
		Misc. expense	Monthly	18	100	1,800									C6			
		Office Supplies	Monthly	18	100	1,800									C7			
		Communication	Monthly	18	100	1,800									C8			

FOR GREEN CLIMATE FUND SECRETARIAT'S USE ONLY

Breakdown (per budget category)	Total (per budget category)
Audio Visual & Printing	200.00
Audit Fee	4,000.00
Consultant - Individual - International	-
Consultant - Individual - Local	-
Professional Services – Companies/Firm	70,000.00
IT Equipment	1,700.00
Office Supplies	1,800.00
Travel - International	22,000.00
Travel – Local	1,000.00
Workshop/Training	11,000.00
GGGI Staff	107,943.00
Translation	900.00
Communication	1,800.00
Misc. expense	1,800.00
0	-
Total Outcome Budget + PMC	224,143.00

FOR GREEN CLIMATE FUND SECRETARIAT'S USE ONLY

Total Outcome Budget		209,033.00
Project Management Cost (PMC)	7.2% requested	15,110.00
Contingency	3% requested	6,270.99
Sub-Total (Total Outcome Budget + Contingency + PMC)		230,413.99
Delivery Partner Fee (DP) - Up to 8.5% of the Sub-Total		19,585.19
Total Project Budget (Total Activity Budget + Contingency + PMC + DP)	\$	250,000.00

Budget Note	Detailed Description
A1	<p>This is an existing GGGI international staff holding the position of GGGI Deputy Country Representative based full-time in Lao PDR. The <b>GGGI Program Lead, Lao PDR</b> will work part-time on this readiness program. This role is critical considering the limited availability in-country climate change expertise. Main tasks include:</p> <ul style="list-style-type: none"> <li>•Technical inputs and quality control on activities 1.2.1.1, 1.2.1.2, 1.2.1.3, 1.2.1.4, 1.2.1.5, 1.2.2.1, 1.2.2.2, 5.1.1.1, 5.1.1.2, 5.1.1.3, including all assessments, reports, training modules, and deliverables produced under this proposal</li> <li>•Support the recruitment of external consultant</li> <li>•Co-chair all workshops and meetings with Lao Government under this proposal</li> <li>•Ensure high quality reporting prior to GCF submission</li> </ul>
A2	<p>This is a new GGGI Lao national staff position who will dedicate 70% of total time over 18 months to this readiness program to plan and implement project activities in close coordination with NDA, and other relevant stakeholders. The <b>DAE Readiness Project Lead</b> will have expertise in climate finance, especially in GCF process. Main tasks include:</p> <ul style="list-style-type: none"> <li>•Take the lead on activities 1.2.1.1, 1.2.1.2, 1.2.1.3, 1.2.1.4, 1.2.1.5, 1.2.2.1, 1.2.2.2, 5.1.1.1, 5.1.1.2, 5.1.1.3 under this Readiness proposal</li> <li>•Technical support, draft ToRs and guidance to the external consultant</li> <li>•Deliver technical presentations as part of the different workshops under this Readiness proposal</li> <li>•Readiness grant management, reporting and documentation</li> </ul>
A3	<p>The <b>Senior Project Assistant</b> is an existing GGGI national staff based full time in Lao PDR for the duration of the project. The assistant will work part-time on this program and will work with and report directly to the Project Lead in close coordination with the NDA, and candidate DAEs. Main tasks include:</p> <ul style="list-style-type: none"> <li>•Support and facilitate delivery of the project technical outputs for activities 1.2.1.1, 1.2.1.2, 1.2.1.3, 1.2.1.4, 1.2.1.5, 1.2.2.1, 1.2.2.2, 5.1.1.1, 5.1.1.2, 5.1.1.3.</li> <li>•Support stakeholder consultation processes</li> <li>•Liaise with the NDA and potential DAEs</li> <li>•Support recruitment of consultant</li> <li>•Support the preparation and organization of workshop and events</li> </ul>
A4	<p><b>International Consulting Firm</b> to be contracted for 100 working days under Output 1.2.1; budget estimated at \$600/day for following tasks:</p> <ul style="list-style-type: none"> <li>- Activity 1.2.1.2 Conduct institutional gap analysis and capacity needs assessment for two nominated DAEs against the GCF policies and standards (basic fiduciary standards, specialized services, ESS, gender policy, and monitoring, reporting and evaluation).</li> <li>- Activity 1.2.1.3 Conduct 2 capacity-building workshops concerning the GCF policies and standards (basic fiduciary standards, specialized services, ESS, gender policy, and monitoring, reporting and evaluation), each with ~30 participants from three nominated DAEs and targeting 50% women.</li> <li>- Activity 1.2.1.4 Technical assistance to 2 financial institutions to address gaps based on the deliverable 1.2.1.2 (e.g., on basic fiduciary standards, specialized services, gender and environmental and social safeguard standards), including the design/update of internal policies and processes, in line with GCF requirements.</li> </ul>
A5	<b>Audio Visual and printing</b> - estimated cost for printing the material @ \$100 for each output; for activities under Output 1.2.1 and 1.2.2
A6	<b>Workshop/Training</b> - Estimated budget for 5 training workshops at \$2,200 per workshop; ~30 participants per workshop, under Activities 1.2.1.3 *2, 1.2.2.1 *1 and 1.2.2.2 *2
A7	<b>Translations</b> - Estimated costs for English - Lao Translation of Assessment Reports and training materials at \$450 for each output; for activities under Output 1.2.1 and Output 1.2.2
B1	Estimated <b>international travel costs</b> for ~6 people (2 participants from NDA, 3 participants from nominated DAEs and 1 facilitator from GGGI) as total \$22,000 under Activity 5.1.1.2
B2	<b>Knowledge hub consulting firm</b> - Local consulting firm to help develop the online knowledge hub estimated at \$10,000
C1	<b>Audit fee</b> - Estimated costs for external annual audit fee at \$2,000 per year
C2	<b>Senior Assistant, Administration and Procurement</b> (an existing GGGI national staff based in Lao PDR) will work on the Readiness activities on a part-time basis and support on administration and procurement. Estimated budget for 10 working days at \$141/day under PMC.
C3	<b>Communications Assistant</b> (an existing GGGI national staff based in Lao PDR) will work on the Readiness activities on a part-time basis and support the development of knowledge online hub, in close coordination with the knowledge hub consulting firm. Estimated budget for 13 working days at \$106/day under Output 5.1.1
C4	Estimated <b>local travel cost</b> for undertaking assessment, consultations, meetings for the Readiness implementation team at \$1,000 in total.
C5	Estimated costs @ \$ 1,700 for <b>IT equipments</b> for government officials (NDA Team) to support the project implementation
C6	Estimated budget for <b>misc. expense</b> such as forex losses and bank fees at \$100/month
C7	Estimated cost of <b>office supplies</b> for government official (NDA Team) at \$100/month
C8	Estimated budget for <b>communications/mobile</b> and internet costs at \$100/month under PMC

## 5.2 Procurement Plan

Item	Item Description	Estimated Cost (US\$)	Procurement Method	Thresholds (Min-Max monetary value for which indicated)	Estimated Start Date	Projected Contracting Date
Goods and Non-Consulting Services						
IT Equipment	Estimated costs @ \$1,700 for IT equipments for government officials (ND	1,700.00	Direct Procurement	\$10,000 and below	Q1	Q1
Workshop/Training	5 training workshops @\$2,200 per workshop for ~30 participants	11,000.00	Direct Procurement	\$10,000 and below	Q1	Q1
Translation	Estimated costs for English - Lao Translation of Assessment Reports and	900.00	Direct Procurement	\$10,000 and below	Q3	Q3
Travel - International	Estimated international travel costs for ~6 people (2 participants from ND	22,000.00	Direct Procurement	Above \$10,000	Q1	Q3
Travel – Local	Local travel for stakeholder consultations and PMC @1,000 in total	1,000.00	Direct Procurement	\$10,000 and below	Q1	Q1
Communication	Estimated budget for communications/mobile and internet costs at \$100/r	1,800.00	Direct Procurement	\$10,000 and below	Q1	Q1
Office Supplies	Monthly supplies for NDA team @\$100 per month	1,800.00	Direct Procurement	\$10,000 and below	Q1	Q1
Audio Visual & Printing	Estimated cost for printing the material @ \$600 for activities under Output	200.00	Direct Procurement	\$10,000 and below	Q1	Q1
Misc Expense	Estimated budget for misc. expense such as forex losses and bank fees &	1,800.00	Direct Procurement	\$10,000 and below	Q1	Q1
Audit Fee	Annual external audit fee @\$2,000 per audit	4,000.00	Direct Procurement	\$10,000 and below	Q4	Q4
Sub-Total (US\$)		\$ 46,200.00				
Consultancy Services						
Professional Services – Companies/Firm	Accreditation Consultant Firm	60,000.00	Open tender	Above \$10,000	Q1	Q1
Professional Services – Companies/Firm	Knowledge Hub Consulting Firm	10,000.00	Open tender	\$10,000 and below	Q4	Q6
Sub-Total (US\$)		\$ 70,000.00				
Staff						
GGGI Staff	Program Lead, Lao PDR	28,800.00	Recruited	Above \$10,000	Q1	Q1
GGGI Staff	Senior Project Assistant	15,510.00	Recruited	Above \$10,000	Q1	Q1
GGGI Staff	Senior Assistant, Administration and Procurement	1,410.00	Recruited	\$10,000 and below	Q1	Q1
GGGI Staff	Communication Assistant	1,378.00	Recruited	\$10,000 and below	Q1	Q1
GGGI Staff	DAE Readiness Project Lead	60,845.00	Competitive recruitment	Above \$10,000	Q4	Q6
Sub-Total (US\$)		\$ 107,943.00				

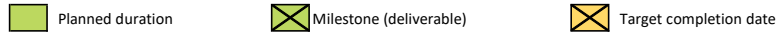


### 5.3 Implementation Plan

Please list all the deliverables (e.g. D.1.1.1a) per activity (e.g. A1.1.1) with the identifier and mark the planned duration as shown in the example. Please also indicate milestones for any deliverables to be completed during the implementation period of the activity in question.

Make sure the identifier number of each activity and deliverable matches with the proposal as this table does not require its name or description. Please refrain from adding descriptions.

For more guidance on how to fill out this tables, please see Part III Section 5 of the Readiness Guidebook

[illegible]