Readiness and Preparatory Support **Proposal Template**

Programme title:	National framework for leapfrogging to Energy Efficient Appliances and Equipment in Botswana (Refrigerators and Distribution Transformers) through regulatory and financing mechanism
Country:	Botswana
National designated authority:	Mr Boniface Mphetlhe Ministry of Finance and Economic Development
Implementing Institution:	UNEP – The Climate Technology Centre and Network (CTCN)
Date of first submission:	31 August 2019
Date of current submission / version number	Click or tap to enter a date. V.1

GREEN CLIMATE FUND

How to complete this document?

- Please visit the Empowering Countries page of the GCF website to download the Readiness Guidebook and learn how to access funding under the GCF Readiness and Preparatory Support Programme.
- 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 to countries@gcfund.org.
- 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.
- You can also complete as much of this document as you can and then send it to countries@gcfund.org, copying both the Readiness Delivery Partner and the relevant GCF Country Dialogue Specialist and Regional Advisor. Please refer to the Country Profiles page of the GCF website to identify the relevant GCF Country Dialogue Specialist and Regional Advisor.
- 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 submit the completed form to:

countries@gcfund.org

Please use the following naming convention for the file name:

“GCF Readiness Proposal-[Country]-[yymmdd]”

List of Acronyms

Acronym	**Description**
BAT	Best Available Technologies
CTCN	Climate Technology Centre and Network
DSM	Demand-Side Management
DTs	Distribution Transformers
EE	Energy Efficiency
GCF	Green Climate Fund
GHG	Greenhouse Gas
HEPS	Higher Energy Performance Standard
IEC	International Electro-technical Commission
MEPS	Minimum Energy Performance Standard
MV&E	Monitoring Verification and Enforcement
NDA	National Designated Authority
NDC	Nationally Determined Contributions
NDE	National Designated Entity
NEES	National Energy Efficiency Strategy
PCBs	Polychlorinated Biphenyls
PWG	Policy Working Group
SAPP	Southern African Power Pool
SSA	Sub-Saharan Africa
TC	Technical Committee
TC-DT	Technical Committee for DTs
TCO	Total Cost of Ownership
TC-Ref	Technical Committee for refrigerators
TORs	Terms of Reference
U4E	United for Efficiency
UNEP	United Nations Environment Programme

1. SUMMARY

Country submitting the proposal	Country name:	Botswana	
	Name of institution representing NDA or Focal Point:	Ministry of Finance and Economic Development	
	Name of contact person:	Boniface G. Mphetlhe; Gaanewe Mogotsi; Ms. Boineelo T. Sealetsa	
	Contact person's position:	Deputy Secretary	
	Telephone number:	+267 3950350	
	Email:	bmphetlhe@gov.bw btsealetsa@gov.bw gnmogotsi@gov.bw	
	Full office address:	Government Enclave, State Drive, P/Bag 008 Gaborone, Botswana	
	Additional email addresses that need to be copied on correspondences:	Penny Lesolle: PLesolle@bitri.co.bw	
Date of initial submission	31 August 2019		
Last date of resubmission	Click or tap to enter a date. (Please update for each resubmission.)	**Version number**	V.1
Which institution will implement the Readiness and Preparatory Support project?	☐ National designated authority ☐ Accredited entity ☒ Delivery partner Please provide contact information if the implementing partner is not the NDA/focal point		
	Name of institution:	United Nations Environment Programme (UNEP) on behalf of The Climate Technology Centre and Network (CTCN)	
	Name of official:	Ermira Fida	
	Position:	GCF AE Focal Point	
	Telephone number:	+254-20 76 23113	
	Email:	ermira.fida@un.org;	
	Full office address:	**UN Environment** United Nations Avenue, NFO Block 2-3 NW P.O. Box 30552-00100 Nairobi, Kenya	

	Additional email addresses that need to be copied on correspondences:	Rose Mwebaza, Director CTCN , mwebaza@un.org Rajiv Garg, gargr@un.org Hemini Vrontamitis, Hemini.vorntamitis@un.org Manfredi Caltagirone, manfredi.caltagirone@un.org
Title of the Readiness support proposal	National framework for leapfrogging to Energy Efficient Appliances and Equipment in Botswana (Refrigerators and Distribution Transformers) through regulatory and financing mechanism	
Type of Readiness support sought	Please select the relevant GCF Readiness activity area below (click on the box): ☐ I. Country capacity for engagement with GCF ☒ II. Country programming process ☐ III. Direct access to climate finance ☐ IV. Climate finance accessed ☐ V. Formulation of national adaptation planning and/or other adaptation planning processes	
Brief summary of the request	This readiness proposal will result in Botswana having a regulatory framework and an agreed MEPS and labelling scheme for Refrigerators and Distribution transformers. This would be legislated through a notification by the Ministry of Energy and the Botswana Energy Regulatory Authority. Electrification rate in Botswana is among the highest in sub-Saharan Africa with 66% of the population having access to electricity (77% in urban areas) (2016, CIA World Factbook). According to the National Energy Efficiency Strategy (NEES) published in January 2018, priorities include rural electrification and energy efficiency. Low efficient appliances and electricity-using equipment result in huge losses, which bring a heavy burden on the government's budget (electricity is subsidized) and hampers the country's electrification potential. In this regard, it is critical to address refrigerators which demand will significantly increase with economic development and contribute to baseload, and from the consumer side, a significant share of household incomes. Distribution transformers (DTs) are typically responsible for 30% of distribution losses, and with the government plans to increase electricity access, adopting higher efficiency DTs is critical, since their typical lifetime is over 30 years. The project will support the government's plan by addressing lack of information and awareness, lack of dedicated policies for energy efficient products and appliances including absence of minimum energy performance standards. Without the development of energy-efficient policies, inefficient products will continue to enter the market and remain strained on the grid for their useful life (approximately 10 years for refrigerators and 40 years for distribution transformers). The National Energy Efficiency Strategy (NEES) recently adopted (2018) provides a good framework for developing policies for market transformation. This readiness proposal through notification of MEPS and labelling scheme will create an enabling policy and regulatory environment for refrigerators and distribution transformers to support market transformation. The project will reduce strain on the electricity grid and ability to extend the electricity grid, increase disposable income for households (reduced electricity bill), and potentially reduce GHG emissions, since it is anticipated that the planned increase in grid connections and electrification would move Botswana towards the use of fossil fuels for electricity generation	

Total requested amount and currency	USD 360,519	**Anticipated duration**	18 months

Has the country received or is expecting to receive other Readiness and Preparatory Support funding allocations (including adaptation planning) from GCF or other donors?	☒ Yes ☐ No NDA Strengthening & Country Programming – March 2019 Through GIZ

2. BACKGROUND

The Republic of Botswana is a large, landlocked plateau in the centre of Southern Africa. South Africa borders it to the south and southeast, Namibia to the north and west, and Zimbabwe to the Northeast.
Botswana's energy capacity is thermal, mainly coal-fired, with some small diesel generators in rural areas. The bulk of domestic electricity production is generated by the Morupule coal-fired station; 20% is thermal while only 0,1% was from solar energy in 2016. Botswana has no hydro-electric power resources. A small Independent Power Producer/IPP (Bemco) supplies the town of Ghanzi in Western Botswana. Botswana imports up to an additional 150 MW of capacity from South Africa, and also has import agreements with power utilities in Mozambique, Zambia and Namibia. The 2010 version of the Draft Energy Policy targeted having biodiesel contributing 10% to energy mix by 2020 and for 25% peak electricity demand from renewable energy by 2030.
In Botswana, 66% of the population have access to electricity, making it one of only five countries in SSA with electrification rates in excess of 50% in rural areas. The high level of electrification of Botswana's households presents significant opportunities for ensuring that new uses of electricity are of the highest level of energy efficiency. Thus, while challenges remain associated with income levels and rural electrification, encouraging adoption of more energy efficient equipment and products amongst users is an important policy opportunity. Mitigating the potential for growth in demand will also help the country achieve its energy diversification goals while limiting the need for importing electricity to meet peak power demand.
Due to other competing highly prioritized agendas such as electrification, food, water, housing and other more pressing, energy efficiency is not seen as a primary priority in Botswana.
Botswana electric charges are subsidised by the government, which result in longer payback periods for energy savings projects or energy efficient technologies than if full utility costs were charged. This negatively impacts the sales of higher efficiency units, compared to their cheaper but less efficient competitors. Like several other countries in the region, Botswana has an energy policy in draft, but this is at a very broad level, does not address any technologies, does not have any specific regulations and provides no enforcement mandate. Despite the limitations noted, including low population density and low incomes, Botswana has much to gain by adopting energy efficient standards and technologies.
The preliminary market research, data collection and analysis conducted by CTCN has been able to provide insight into some of the primary energy-consuming appliances and equipment. (lighting, air conditioning, refrigerators, motors and transformers). The findings of this preliminary assessment was discussed with the major stakeholders from Botswana and looking at future trends and potential energy efficiency savings of the five leading energy consuming products the stakeholders prioritized refrigerators and distribution transformers as focus products for the development of national framework. Distribution transformers were selected considering the growth of the electrification rate in these countries, while refrigerators were selected due to the higher growth in the market compared to air conditioners.
Preliminary analysis the projected energy savings for Botswana when moving from the current state of technologies to Minimum Energy Performance Standards (MEPS) or to the Best Available Technologies (BAT) are shown below:

Botswana	**GWh savings (2025)**	**GWh savings (2030)**	**MUSD savings (2025)**	**MUSD savings (2030)**	**GHG savings in tons per year (2030)**
Projected MEPS					
Refrigeration	41	119	6	27	212
Transformers	39	71	6	17	126
Projected BAT					
Refrigeration	57	150	8	34	268
Transformers	61	146	9	35	261

Adoption of BAT would lead to savings of 529 tons of GHG emission per year.

In 2009 Botswana developed BEST plans. To date more than 820,000 CFL bulbs have been distributed to replace incandescent bulbs in 2010. In 2013 implementation of ripple control to remotely turn on and off domestic hot-water heaters was introduced. In December 2016, the Government of Botswana, through support from the World Bank, completed a National Energy Efficiency Strategy document with key short and medium-term initiatives required to achieve 10–15% energy savings. Botswana is also selling imported high-efficiency stoves through the BPC Lesedi programme. Botswana published a set of energy-efficient design guidelines for buildings in 2010 and has made progress improving energy efficiency in existing and new buildings. The country was also host to major donor-funded projects on energy efficiency in commercial and institutional buildings in 2010 and 2011 and has developed guidelines for energy-efficient design.

The MEPS and the labelling scheme framework established as a part of this readiness project, together with supporting policy measures (in the national policy roadmap to be developed) will provide the necessary means to Botswana to effectively implement this policy to induce a market transformation in favour of higher efficiency products.

.
However, the main barriers to achieve this are the lack of institutional capacity and regulatory frameworks. Financing is also a barrier to the deployment of energy efficient technologies. The project will address this by working with the government and utility to investigate the feasibility of fiscal measures (such as import duty reduction) and financing mechanisms (such as on-the-bill payment), but also provide support to liaise with international finance (potentially bulk procurement programs, loan for DT procurement, …).

The key deliverables from the project would be:

- Mandatory Minimum energy performance standards and labeling schemes for refrigerators and distribution transformers
- National policy roadmap and enabling environment for implementation of standards and label for refrigerators and distribution transformers
- Appropriate financing mechanisms to accelerate deployment of energy efficient refrigerators and distribution transformers.
- Strengthened national capacity to develop standards and labels for other appliances in future.

Key deliverables produced within the project duration of 18 months will strengthen the existing policies and regulatory frameworks through the adoption of national testing standards (testing method, to be adapted from the international IEC standards and translated into national standards) for refrigerators and DTs, the adoption of mandatory Minimum Energy Performance Standards (MEPS), as well as adoption of High Energy Performance Standards (HEPS) and labelling scheme, the design of consumer awareness campaigns, and capacity building on finance mechanisms. Tools and resources from other initiatives such as United for Efficiency (U4E)[1] initiative, Montreal protocol, Kigali Cooling Efficiency programme and Stockholm convention (for PCBs in transformers), will be used as a starting point for development of the policy framework at the national level. This includes: adapting the U4E Model Regulations for refrigerators and for distribution transformers to national specificities, and using the U4E complete policy guides for capacity building and guidance to develop the national policy roadmap, which have been developed with the inputs from a range of experts, including governments, international organizations, manufacturers and technical institutions.

Methodology:

Outcome 1: Country Programming process The project will contribute to improve the country programming process by:	
1. Conducting a comprehensive market analysis for higher efficiency refrigerators and distribution transformers (DTs) – output 1. This study	Sub Outcome 1: Appropriate climate technology solutions

[1] Accelerating the Global Adoption of ENERGY-EFFICIENT TRANSFORMERS Policy Guide series , https://united4efficiency.org/wp-content/uploads/2017/11/Transformers-Policy-Brief.pdf and Accelerating the Global Adoption of CLIMATE-FRIENDLY AND ENERGY-EFFICIENT , https://united4efficiency.org/wp-content/uploads/2017/11/U4E-RefrigerationGuide-201801-Final-R1-1.pdfREFRIGERATORS, MANUAL OF FINANCING MECHANISMS AND BUSINESS MODELS FOR ENERGY EFFICIENCY, https://united4efficiency.org/wp-content/uploads/2019/06/MANUAL-FINANCING-MECHANISMS_25-06-19_WEB.pdf

will include a gap and barriers analysis, as well as a detailed technico-economic analysis and evaluation of the impacts of adopting pro-active policies to promote higher efficiency equipment. This will properly inform decision-making by the Policy Working Group (PWG) and Technical Committees to determine the most appropriate standard to avoid or minimize impact on the market and maximize energy savings.	identified and prioritised in accordance with national strategies and plans for climate adaptation and mitigation
2. Assembling key stakeholders in the Policy Working Group (PWG) for the design and future implementation of the national policy roadmaps for the promotion of higher efficiency refrigerators and DTs – output 2. The regular meetings of the PWG will contribute to stakeholders' consultation as well as capacity building through technical assistance by international expert and learning-by-doing since the policy measures will be designed by the PWG (with assistance by the international expert).	Sub Outcome 2: Stakeholder engagement consultative processes
3. Enabling periodic review of the outcomes produced by the project through active stakeholders' engagement in the technical Committees, as well as public consultation – output 3. The PWG will be chaired by the Ministry of Energy and the TC by the Bureau of Standards. They will ensure alignment with the National Steering Committee on Climate Change. The development of the key deliverables (national testing standards, MEPS, MV&E framework) will be done by engaging all the strategic stakeholders (PWG and TC), and the national policy roadmap will undergo public consultation. The project will help the country review and adopt their national testing standard in a way acceptable to the country in terms of cost-effectiveness of measurement and market verification.	Sub outcome 3: Periodic participatory review and updating of the climate finance Country Programme
Note on PWG: it will assemble representatives from the Ministry of Energy, the Energy Regulatory Authority, Revenue Authority, Bureau of Standards, power distribution utility, local DT assemblers, consumer groups and distributors/importers of refrigerators, NGOs	

Multiplier effects: while the project will help Botswana develop and adopt its policy and regulatory framework for DTs and refrigerators, it will build the capacity of the policy makers and other stakeholders to adopt the same approach for the development of the same for other appliances and equipment, including ACs, lighting, industrial electric motors, etc. This will be made possible thanks to the approach adopted which builds on enabling local policy makers, standard-making bodies, and other key stakeholders through capacity building and international expert's assistance in developing national standards and policy measures. Their experience, gained during the project's implementation, will help them initiate a similar process for other technologies.

Outcome 2: Climate finance strategies and project pipeline strengthened. This will be achieved by:	
1. Developing national policy roadmaps for 1) refrigerators and 2) DTs. Such policy roadmaps will contain detailed, actionable and measurable policy measures for the promotion of higher efficiency appliances – outputs 4.1 and 4.2. Such roadmaps will include higher energy performance standards (HEPS) and labelling scheme, end-users awareness campaigns, MV&E framework, capacity building for local manufacturers, importers and distributors, fiscal and financial incentives	Sub Outcome 4: Market preparation and business planning for deployment and scale-up of prioritised climate technology solutions
2. Facilitating the design of financing mechanisms for the promotion of higher efficiency refrigerators and DTs through capacity building, sharing of experience and technical assistance from international finance expert – outputs 5.1 and 5.2	Sub Outcome 5: Climate finance strategy defines the potential use of a combination of funding options from public resources; tariffs, and international cooperation; financing instruments such as loans, bonds, equity and others; private investment; and or the blending of financial instruments

Multiplier effects: the national policy roadmaps will include: detailed action plan, budget and sources of finance, stakeholders' mapping and engagement strategy, tools, communications strategy and plan. Stakeholders to be engaged in the implementation of the policy measures will be associated in the design and development process, which will enable their active and effective engagement for the actual implementation of the policy measures. The consultation will include a focus on youth and the private sector experiences.

Similar proposals are being prepared for Eswatini, Lesotho, Malawi, Namibia, Tanzania, Zambia and Zimbabwe. The countries have shown willingness to adopt a common approach during the implementation of the project, which will result in having these countries adopt national policy roadmaps on Energy Efficiency (EE) for refrigerators and distribution transformers (DTs). In Botswana, this work will be aligned with the national Energy policy currently being developed.

CTCN is the implementation arm of the UNFCCC technology mechanism and has been mandated by the successive COP decisions to provide technical assistance to the developing countries on their request. The countries in the southern Africa region have requested CTCN to provide support in developing assessments to provide the financial, energy, and climate potential of accelerating a market transformation for each of the prioritized products (lighting, air conditioning, refrigerators, motors, transformers) The country assessments developed in the framework of CTCN technical assistance were discussed during a 3 day workshop attended by representatives of the ministry of energy and national utility companies as well as CTCN NDEs. Participating countries reviewed the use, future trends and energy efficiency savings of the five leading energy consuming products and prioritized refrigerators and distribution transformers as focus products for the development of policy framework. Distribution transformers were selected in light of the growth of the electrification rate in these countries, while refrigerators were selected due to the higher growth in the market compared to air conditioners. National stakeholder consultations were held in each of the target countries and thereafter the GCF readiness proposal were framed in consultations with the NDA, the NDE, Ministry of Energy and the respective electricity utility companies. The beneficiaries of this project include Department of energy, Utility companies, Standard formulation body, energy regulatory authority, local manufacturers private sector engaged in wholescale and retail of appliances and electricity consumers.

3. LOGICAL FRAMEWORK AND IMPLEMENTATION SCHEDULE

Outcomes		Baseline	Targets	Activities (brief description and deliverables)	Anticipated duration: 18 months Monthly implementation plan of activities																	
					1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Outcome 1 Country Programming process	Sub Outcome 1: Appropriate climate technology solutions identified and prioritised in accordance with national strategies and plans for climate adaptation and mitigation	1 Some appropriate climate technologies have been identified in accordance with national strategies and plans	2 The most appropriate climate technology solutions have been identified and prioritised in accordance with national strategies and plans, based on a comprehensive analysis of technology options to address specific climate impacts.	**Output 1: Comprehensive market analysis for higher efficiency refrigerators and distribution transformers (DTs) conducted** Activity 1: Conduct detailed market assessment for Refrigerators and Distribution Transformers (DTs) including current stock and future growth, energy saving potential, stakeholders mapping, standards gap analysis, financing gap analysis, policy gap analysis, impact of electricity losses and energy savings on government budget (since electricity is subsidized) Deliverable 1: Market assessment																	
	Sub Outcome 2: Stakeholder engagement consultative processes	0 Stakeholders are not engaged in decision making processes.	2 Stakeholders engaged in consultative processes (governments, private sector, associations, civil society, academia and others).	**Output 2: Policy Working Group assembling key stakeholders for the design and future implementation of the national policy roadmaps for the promotion of higher efficiency refrigerators and DTs formed and effective** Activity 2.1: Form Policy Working Group (PWG) with strategic stakeholders; the PWG will be co-chaired by the Ministry of Energy and the GCF National Designated Authority (NDA). The Secretariat will be handled by the CTCN's National Designated Entity (NDE). A kick-off meeting will be organized and the PWG will meet on a quarterly basis. As described in subsequent activities, the PWG will work on approving all the intermediate sub-outcomes and develop the national policy roadmaps.					X												

				Deliverable 2.1: TORs of the PWG, list of PWG members; 2-day kick-off meeting																	
				Activity 2.2: Organize quarterly meetings of the PWG Deliverable 2.2: Four (4) 2-day meetings of the PWG; minutes of meetings								X			X			X			X	
	Sub outcome 3: Periodic participatory review and updating of the climate finance Country Programme	0 No process established for periodic participatory review and updating established.	2 Process for periodic participatory review and updating are established and are being implemented	**Output 3.1: Technical Committee for refrigerators (TC-Ref) provides forum for effective adoption of the national testing standard and periodic participatory reviews** Activity 3.1.1: Form refrigerators technical committee (TC -Ref) with strategic stakeholders; the TC-Ref will be hosted by the Botswana Standards Institution and report to the PWG Deliverable 3.1.1: TORs of the TC-Ref, list of TC-Ref members					X													
				Activity 3.1.2: Organize three (3) meetings of the TC-Ref with support from technical expert. The technical expert will be sub-contracted and guide the work of the TC-Ref. A critical element of the work of the TC-Ref will be the analysis of international standard IEC62552:2015 and how it fits with the national conditions, including alignment with major origin of imports. Deliverable 3.1.2: Draft national standard ready for public consultation					X		X		X									
				Activity 3.1.3: Organize public consultation on the recommended draft national standard for refrigerators. This consultation will bring together representatives from the industry, importers, consumer groups, utility, and academia. The consultation will last three (3) months, including a national stakeholders consultation workshop Deliverable 3.1.3: National stakeholders consultation workshop and consultation report												X						
				Activity 3.1.4: Organize one (1) meeting of the TC-Ref to adopt the national standard. This meeting will be preceded by an expert analysis of the stakeholders' consultation outcomes; a report will be prepared and submitted to the TC prior to the meeting. Deliverable 3.1.4: National standard for refrigerators endorsed by the TC and														X				

				transmitted for approval and official publication and thereafter to declare the standard mandatory national standard																		
				Output 3.2: Technical Committee for DTs (TC-DTs) provides forum for effective adoption of the national testing standard and periodic participatory reviews The objective of the project is to develop a protocol and help adoption of testing standard which is technically solid, user friendly and adapted to the national context. This will be ensured through the technical consultations with stakeholders (local users and manufacturers of DTs, utility companies, standard making body, local testing lab) during the work and meetings of the TC. Activity 3.2.1: Form distribution transformers Technical Committee (TC-DT) with strategic stakeholders (Bureau of Standards, Ministry of Energy, power utility, testing laboratory, local DT manufacturers, NGOs, enforcement authorities); the TC-DT will be hosted by the Bureau of Standards and report to the PWG Deliverable 3.2.1: TORs of the TC-DT, list of TC-DT members					X												
				Activity 3.2.2: Organize three (3) meetings of the TC-DT with support from technical expert. The technical expert will be sub-contracted and guide the work of the TC-DT. A critical element of the work of the TC-DT will be the analysis of international standard IEC60078 and any other appropriate standards and how they fit with the national conditions, including alignment with major origin of imports. Deliverable 3.2.2: Draft national standard ready for public consultation					X		X		X								
				Activity 3.2.3: Organize public consultation on the recommended draft national standard for DTs. This consultation will bring together representatives from the national electric utility, non-utility market players, academia, and local manufacturers. The consultation will last three (3) months, including a national stakeholders consultation workshop Deliverable 3.2.3: National stakeholders consultation workshop and consultation report												X					

				Activity 3.2.4: Organize one (1) meeting of the TC-DT to adopt the national standard for DTs. This meeting will be preceded by an expert analysis of the stakeholders' consultation outcomes; a report will be prepared and submitted to the TC-DT prior to the meeting. Deliverable 3.2.4: National standard adopted and published															X				
Outcome 2 Climate finance strategies and project pipeline strengthened	Sub Outcome 4: Market preparation and business planning for deployment and scale-up of prioritised climate technology solutions	0 No purposeful efforts have been made to catalyse investment in the deployment and scale-up of prioritised technology solutions.	2 A comprehensive strategy has been developed and is being implemented to catalyse investment in the deployment and scale-up of prioritised climate technology solution, including market preparation and business planning	**Output 4.1: The national policy roadmap for the promotion of higher efficiency refrigerators, including MEPS-HEPS, labelling scheme, consumer awareness, capacity building for custom officials, and MV&E framework) adopted by the government** Activity 4.1.1: Develop minimum energy performance standards (MEPS) and highest energy performance standards (HEPS) for refrigerators based on the existing work under different initiatives. This work will be conducted by the PWG during its quarterly meetings (see activity 2.2) with support from an international policy expert and U4E. The policy expert will be sub-contracted and guide the work of the PWG. A critical element of the work of the PWG will be to determine the appropriate level of MEPS and HEPS in order to achieve the efficiency level objectives in line with local manufacturers ability to manufacture higher efficiency refrigerators at competitive price, as well as with the consumers' ability to purchase higher priced refrigerators. The policy expert will prepare the relevant preparatory studies and documents, and conduct training during the PWG meetings, as appropriate. In addition to the PWG quarterly meetings, provision is made to organize two (2) additional 2-day meetings if deemed necessary Deliverable 4.1.1: Draft MEPS for refrigerators ready for public consultation								X										
				Activity 4.1.2: Review labeling options (mandatory, voluntary; label design; adoption of South African label (option)) for refrigerators using recommendations under different initiatives like (e.g.) the U4E Model Regulation for Information requirements. The labeling scheme is critical for a successful promotion of higher efficiency refrigerators. The adoption of the South								X										

				African labeling scheme will be studied since most refrigerators are imported from South Africa. Deliverable 4.1.2: Draft national labeling scheme for refrigerators ready for public consultation																			
				Activity 4.1.3: Review experience of other countries. This will be supported by a report prepared by the policy expert with inputs drawn from U4E initiative on other similar country experiences. Deliverable 4.1.3: Report on international experience in consumer awareness campaigns for higher efficiency refrigerators									X								
				Activity 4.1.4: Design consumer awareness campaign for refrigerators. This work will be done by the PWG under guidance from the policy expert together with a local communication expert. Deliverable 4.1.4: Nnational consumer awareness campaign plan for refrigerators													X						
				Activity 4.1.5: Organize public consultation on the recommended national policy roadmap (including recommended levels of MEPS and HEPS, labeling scheme, and consumer awareness campaign) for refrigerators. This consultation will bring together representatives from the industry, importers, consumer groups, utility, and academia. The consultation will last three (3) months, including a national stakeholders consultation workshop Deliverable 4.1.5: National stakeholders consultation workshop and consultation report																X				
				Activity 4.1.6: Finalization of the national policy roadmap for refrigerators by the PWG. This will include the preparation of a report on the outcomes of the public consultation with recommendations for finalization of the roadmap. The finalization of the roadmap will be done by the PWG. Deliverable 4.1.6: National policy roadmap. Indicative content: 1)MEPS and HEPS levels, and schedule for increase over time; 2) Regulations on labelling; 3) consumer awareness plan; 4) communication plan; 5) MV&E framework and measures; 6) Overall action plan and budget																		X		

				Activity 4.1.7: Development of national MV&E plan for refrigerators. Initial consultation conducted during proposal preparation highlighted the following: the national MV&E framework shall be based on: capacity reinforcement of custom officials since most refrigerators are imported; design of non-compliance measures. This activity will be conducted through the work of the PWG during its regular meetings. It will be supported by the policy expert. Deliverable 4.1.7: National MV&E plan for refrigerators									X									
				Activity 4.1.8: Design training curriculum and materials on MEPS for refrigerators for custom officials. Control at the border will be central in the country's MV&E plan since most refrigerators are imported. The training curriculum will be developed through capacity building needs assessments. Deliverable 4.1.8: Training curriculum and training materials on MEPS for refrigerators for custom officials and retail market inspectors													X					
				Activity 4.1.9: Organize training of trainers. Local trainers will be selected and trained so they can deliver training of custom officials on a long-term basis. Deliverable 4.1.9: 15 local trainers trained on MEPS for refrigerators															X			
				Output 4.2: The national policy roadmap for the promotion of higher efficiency DTs, including MEPS-HEPS, end-users education, capacity building on TCO, and MV&E framework) adopted by the government Activity 4.2.1: Develop MEPS and HEPS for DTs. This work will be conducted by the PWG during its quarterly meetings with support from the international policy expert (see activity 2.2). The policy expert will be sub-contracted and guide the work of the PWG. A critical element of the work of the PWG will be to determine the appropriate level of MEPS and HEPS in order to achieve the efficiency level objectives in line with local manufacturer's ability to manufacture higher efficiency DTs at competitive price, as well as with the impact on the power development plan. The policy expert will									X									

				prepare the relevant preparatory studies and documents, and conduct training during the PWG meetings, as appropriate. In addition to the PWG quarterly meetings, provision is made to organize two (2) additional 2-day meetings if deemed necessary Deliverable 4.2.1: Draft MEPS for DTs ready for public consultation																	
				Activity 4.2.2: Conduct training workshop for procurement officers on Total Cost of Ownership (TCO). The procurement of higher efficiency DTs, which come at a higher initial cost, must take into consideration the total operating and maintenance cost of a DT, as well as the corresponding reduction in electricity losses (TCO). Training will be organized for procurement officers from the public electric utility as well as for non-utility market players. Deliverable 4.2.2: 2-day training workshop for procurement officers of TCO for DTs												X					
				Activity 4.2.3: Organize public consultation on the recommended national policy roadmap (including recommended levels of MEPS and HEPS). This consultation will bring together representatives from the consumer groups, public electric utility, non-utility market player, and academia. The consultation will last three (3) months, including a national stakeholders consultation workshop Deliverable 4.2.3: National stakeholders consultation workshop and consultation on national policy roadmap for DTs report														X			
				Activity 4.2.4: Finalization of the national policy roadmap by the PWG. This will include the preparation of a report on the outcomes of the public consultation with recommendations for finalization of the roadmap. The finalization of the roadmap will be done by the PWG. Deliverable 4.2.4: National policy roadmap for DTs. Indicative content: 1) MEPS and HEPS levels, and schedule for increase over time; 2) Regulations on labelling; 3) end-users awareness plan; 4) communication plan; 5) MV&E framework and measures; 6) Overall action plan and budget																X		

				Activity 4.2.5: Development of national MV&E plan for DTs. Initial consultation conducted during proposal preparation highlighted that DTs are purchased by a restricted number of players (mostly the public electric utility, and few energy-intensive customers). Non-utility market players must request the approval of the technical specifications from the public electric utility for the DTs they intend to purchase. The national MV&E framework will be designed through consultation with the relevant organizations and carried out under the supervision of the PWG. Deliverable 4.2.5: National MV&E plan for DTs									X								
	Sub Outcome 5: Climate finance strategy defines the potential use of a combination of funding options from public resources; tariffs, and international cooperation; financing instruments such as loans, bonds, equity and others; private investment; and or the blending of financial instruments	0 No climate finance strategy exists.	2 A climate finance strategy has been developed and is being used to define efforts to access a range of financing instruments for prioritized climate action.	**Output 5.1: Financing mechanisms and options identified and developed for the promotion of higher efficiency refrigerators** Activity 5.1.1: review international experience, analyze national conditions and prepare recommendations in terms of finance mechanisms, including fiscal incentives, utility take-back options, and utility financing schemes for refrigerators. This review will be conducted by the policy and finance experts. Deliverable 5.1.1: report on finance mechanisms							X										
				Activity 5.1.2: organize capacity building workshop on finance mechanisms and options for refrigerators. Based on the outcomes of the PWG meeting on finance mechanisms, a training workshop will be organized on the selected options. A capacity building needs analysis will be conducted and a training workshop organized to build the capacity of relevant stakeholders to equip them with the necessary skills and tools for the future design of finance mechanisms Deliverable 5.1.2: Training workshop on finance mechanisms and options for refrigerators										X								
				Activity 5.1.3: Preparation of recommendations for finance mechanisms and options for refrigerators. These recommendations will be based on the outcomes of activities 5.1.1 and 5.1.2 and prepared by policy and finance expert.												X						

				These recommendations will include detailed implementation plans and be forwarded to the relevant authorities (Ministry of Energy, Ministry of Finance, etc.). Deliverable 5.1.3: Detailed implementation plan for selected finance mechanisms and options for refrigerators																		
				Output 5.2: Financing mechanisms and options identified and developed for the promotion of higher efficiency DTs Activity 5.2.1: Review international experience, analyze national conditions and prepare recommendations in terms of finance mechanisms, including fiscal incentives, bulk procurement programs, and international finance for DTs. This review will be conducted by the policy expert. Deliverable 5.2.1: Report on finance mechanisms and options for DTs							X											
				Activity 5.2.2: organize capacity building workshop on finance mechanisms and options for DTs. Based on the outcomes of the PWG meeting on finance mechanisms, a training workshop will be organized on the selected options. A capacity building needs analysis will be conducted and a training workshop organized to build the capacity of relevant stakeholders to equip them with the necessary skills and tools for the future design of finance mechanisms Deliverable 5.2.2: Training workshop on finance mechanisms and options for DTs										X								
				Activity 5.2.3: preparation of recommendations for finance mechanisms and options for DTs. These recommendations will be based on the outcomes of activities 5.2.1 and 5.2.2 and prepared by policy and finance expert. These recommendations will include detailed implementation plans and be forwarded to the relevant authorities (ministry of energy, ministry of finance, public electric utility, etc.). Deliverable 5.2.3: Detailed implementation plan for selected finance mechanisms and options for DTs												X						
Outcome 3:	Sub outcome 6	1 Communication initiated	2 Agreements reached on coordination	**Output 6: Effective coordination between NDE and NDA for the implementation of the project and for future GCF projects**			X			X			X			X			X			X

Institutional capacity and coordination mechanism in place to govern and coordinate climate actions and finance	Effective coordination mechanism between NDA and NDE for the UNFCCC Technology Mechanism and other climate focal points	between NDA, NDE and other climate finance focal points to identify points of coordination	between NDA, NDE and other climate finance focal points.	Activity 6.1: Coordination by the NDE. The NDE will be responsible for national level coordination for implementation of the activities. It will do so by calling meetings and following up on the schedule of activities. Deliverable 6.1: Monitoring plan, quarterly reports															

4. ADDITIONAL INFORMATION (ONLY FOR ADAPTATION PLANNING SUPPORT)

Not applicable

5. BUDGET, PROCUREMENT, IMPLEMENTATION, AND DISBURSEMENT

5.1 Budget plan

Please complete the Budget Plan in Excel using the template available in the Library page of the GCF website.

See Excel file attached.

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		Detailed Budget (in US$) Budget Categories (choose from the drop-down list)	Unit	# of Unit	Unit Cost	Total Budget (per budget category)	Total Budget (per sub-outcome)	Total Budget (per outcome)	Disbursement Plan 3m	6m	09m	12m	15m	18m
Sub Outcome 1: Appropriate climate technology solutions identified and prioritised in accordance with national strategies and plans for climate adaptation and mitigation	1.1 Detailed market assessment including current stock and future growth, energy saving potential, stakeholders mapping, standards gap analysis, impact of electricity losses and energy savings on government budget (since electricity is subsidized)	Consultant - Individual - International	W/Day	20	500.00	10,000.00	29,550.00							
		Consultant - Individual - Local	W/Day	60	200.00	12,000.00								
		Travel – Local	Trip	5	150.00	750.00								
		Daily allowance - local consultants	Day	20	100.00	2,000.00								
		Travel - International	Trip	2	1,000.00	2,000.00								
		Per diem (for international expert)	Day	14	200.00	2,800.00								
Sub Outcome 2: Stakeholder engagement consultative processes	2.1 Relevant stakeholders and experts are assembled in the Policy Working Group (PWG)	PWG - TC meeting	Meeting	1	750.00	750.00	4,350.00							
		Daily allowance - workshop participants	Pers/day	60	60.00	3,600.00								
	2.2 The PWG supervises the project implementation and successfully develop and adopts the national policy roadmaps	PWG - TC meeting	Meeting	4	750.00	3,000.00	10,200.00							
		Daily allowance - workshop participants	Pers/day	120	60.00	7,200.00								
Sub outcome 3: Periodic participatory review and updating of the climate finance Country Programme	3.1 Development of the national standard for testing of the energy performance of refrigerators	PWG - TC meeting	Workshop	4	750.00	3,000.00	26,400.00	96,900.00	96,900.00					
		Daily allowance - workshop participants	Pers/day	60	60.00	3,600.00								
		Consultant - Individual - International	W/day	15	500.00	7,500.00								
		Travel - International	Trip	2	1,000.00	2,000.00								
		Per diem (for international expert)	Day	10	200.00	2,000.00								
		Consultant - Individual - Local	W/Day	20	200.00	4,000.00								
		Daily allowance - local consultants	Day	10	100.00	1,000.00								
		Workshop/Training	Workshop	1	1,500.00	1,500.00								
		Daily allowance - workshop participants	Pers/day	30	60.00	1,800.00								
	3.2 Development of the national standard for testing of the energy performance of Distribution Transformers	PWG - TC meeting	Workshop	4	750.00	3,000.00	26,400.00							
		Daily allowance - workshop participants	Pers/day	60	60.00	3,600.00								
		Consultant - Individual - International	W/day	15	500.00	7,500.00								
		Travel - International	Trip	2	1,000.00	2,000.00								
		Per diem (for international expert)	Day	10	200.00	2,000.00								
		Consultant - Individual - Local	W/Day	20	200.00	4,000.00								
		Daily allowance - local consultants	Day	10	100.00	1,000.00								
		Workshop/Training	Workshop	1	1,500.00	1,500.00								
		Daily allowance - workshop participants	Pers/day	30	60.00	1,800.00								
Sub Outcome 4: Market preparation and business planning for deployment and scale-up of prioritised climate technology solutions	4.1.1 Development of MEPS and HEPS for refrigerators	PWG - TC meeting	Meeting	2	750.00	1,500.00	19,800.00	167,100.00		130,300.00				
		Daily allowance - workshop participants	Pers/day	30	60.00	1,800.00								
		Consultant - Individual - International	W/Day	15	500.00	7,500.00								
		Travel - International	Trip	2	1,000.00	2,000.00								
		Per diem (for international expert)	Day	10	200.00	2,000.00								
		Consultant - Individual - Local	W/Day	20	200.00	4,000.00								
		Daily allowance - local consultants	Day	10	100.00	1,000.00								
	4.1.2 Development of labelling scheme for refrigerators	Consultant - Individual - International	W/Day	10	500.00	5,000.00	7,000.00							
		Consultant - Individual - Local	W/Day	10	200.00	2,000.00								
	4.1.3 & 4.1.4 Development of consumer awareness campaign for refrigerators	Consultant - Individual - International	W/Day	10	500.00	5,000.00	10,300.00							
		Consultant - Individual - Local	W/Day	20	200.00	4,000.00								
		Travel – Local	Trip	2	150.00	300.00								
		Daily allowance - local consultants	Day	10	100.00	1,000.00								
	4.1.5 Public consultation for the finalization of the national policy roadmap forrefrigerators	Workshop/Training	Workshop	1	2,000.00	2,000.00	10,900.00							
		Daily allowance - workshop participants	Pers/day	60	60.00	3,600.00								
		Consultant - Individual - Local	W/Day	20	200.00	4,000.00								
		Travel – Local	Trip	2	150.00	300.00								
		Daily allowance - local consultants	Day	10	100.00	1,000.00								
	4.1.6 Finalization of the national policy roadmap for the promotion of higher efficiency refrigerators	Consultant - Individual - International	W/Day	10	500.00	5,000.00	11,000.00							
		Travel - International	Trip	2	1,000.00	2,000.00								
		Per diem (for international expert)	Day	10	200.00	2,000.00								
		Consultant - Individual - Local	W/Day	10	200.00	2,000.00								
	4.1.7 Development of national MV&E plan for refrigerators -4.1.8 & 4.1.9 Training of custom officials on MEPS for refrigerators	Consultant - Individual - International	W/Day	10	500.00	5,000.00	8,650.00							
		Travel - International	Trip	1	1,000.00	1,000.00								
		Per diem (for international expert)	Day	5	200.00	1,000.00								
		PWG - TC meeting	Meeting	1	750.00	750.00								
		Daily allowance - workshop participants	Pers/day	15	60.00	900.00								
	4.2.1: Development of MEPS and HEPS for DTs	PWG - TC meeting	Meeting	2	750.00	1,500.00	19,800.00							
		Daily allowance - workshop participants	Pers/day	30	60.00	1,800.00								
		Consultant - Individual - International	W/Day	15	500.00	7,500.00								
		Travel - International	Trip	2	1,000.00	2,000.00								
		Per diem (for international expert)	Day	10	200.00	2,000.00								
		Consultant - Individual - Local	W/Day	20	200.00	4,000.00								
		Daily allowance - local consultants	Day	10	100.00	1,000.00								
	4.2.2: Capacity building on Total Cost of Ownership for DTs for procurement officers	Consultant - Individual - International	W/Day	10	500.00	5,000.00	12,300.00							
		Travel - International	Trip	1	1,000.00	1,000.00								
		Per diem (for international expert)	Day	5	200.00	1,000.00								
		Workshop/Training	Workshop	1	1,500.00	1,500.00								
		Daily allowance - workshop participants	Day	30	60.00	1,800.00								
		Consultant - Individual - Local	W/Day	10	200.00	2,000.00								
	4.2.3: Public consultation on the national policy roadmap for higher efficiency DTs	Workshop/Training	Workshop	1	2,000.00	2,000.00	10,900.00							
		Daily allowance - workshop participants	Pers/day	60	60.00	3,600.00								
		Consultant - Individual - Local	W/Day	20	200.00	4,000.00								
		Travel – Local	Trip	2	150.00	300.00								
		Daily allowance - local consultants	Day	10	100.00	1,000.00								
	4.2.4: Finalization of the national policy roadmap for the promotion of higher efficiency DTs	Consultant - Individual - International	W/Day	10	500.00	5,000.00	11,000.00							
		Travel - International	Trip	2	1,000.00	2,000.00								
		Per diem (for international expert)	Day	10	200.00	2,000.00								
		Consultant - Individual - Local	W/Day	10	200.00	2,000.00								
	4.2.5: Development of national MV&E plan for DTs	Consultant - Individual - International	W/Day	10	500.00	5,000.00	8,650.00							
		Travel - International	Trip	1	1,000.00	1,000.00								
		Per diem (for international expert)	Day	5	200.00	1,000.00								
		PWG - TC meeting	Meeting	1	750.00	750.00								
		Daily allowance - workshop participants	Pers/day	15	60.00	900.00								
Sub Outcome 5: Climate finance strategy defines the potential use of a combination of funding options from public resources; tariffs, and international cooperation; financing instruments such as loans, bonds, equity and others; private investment; and or the blending of financial instruments	5.1 Define options and mechanisms for national and international finance mechanisms for higher efficiency refrigerators	Consultant - Individual - International	W/Day	20	500.00	10,000.00	18,400.00							
		Travel - International	Trip	2	1,000.00	2,000.00								
		Per diem (for international expert)	Day	10	200.00	2,000.00								
		Workshop/Training	Workshop	1	2,000.00	2,000.00								
		Daily allowance - workshop participants	Pers/day	40	60.00	2,400.00								
	5.2 Define options and mechanisms for national and international finance mechanisms for higher efficiency DTs	Consultant - Individual - International	W/Day	20	500.00	10,000.00	18,400.00				68,300.00			
		Travel - International	Trip	2	1,000.00	2,000.00								
		Per diem (for international expert)	Day	10	200.00	2,000.00								
		Workshop/Training	Workshop	1	2,000.00	2,000.00								
		Daily allowance - workshop participants	Pers/day	40	60.00	2,400.00								
Sub outcome 6 Effective coordination mechanism between NDA and NDE for the UNFCCC Technology Mechanism and other climate focal points	6.1: Coordination by the NDE. The NDE will be responsible for national level coordination for implementation of the activities. It will do so by calling meetings and following up on the schedule of activities.	Travel – Local	Trip	10	150.00	1,500.00	31,500.00	31,500.00						
		Daily allowance - local consultants	Day	30	100.00	3,000.00								
		Audio Visual & Printing	Lumpsum	1	5,000.00	5,000.00								
		Office Supplies	Lumpsum	1	2,000.00	2,000.00								
		Consultant - Individual - Local	W/day	100	200.00	20,000.00								
Total Outcome Budget								**295,500.00**	96,900.00	130,300.00	**68,300.00**	-	-	-
Project Management Cost (PMC) Up to 7.5% of Total Activity Budget		Consultant - Individual - International	Days	37	500.00	18,500.00	Actual amount and % of PMC requested: do not change the formula	Maximum PMC that can be requested: do not change the formula						
		Travel - International	Lumpsum	1	1,000.00	1,000.00								
		Audit Fee	Lumpsum	1	2,500.00	2,500.00								
							22,000.00	**22,162.50**						
							7.45%	**7.50%**						

FOR GREEN CLIMATE FUND SECRETARIAT'S USE ONLY

Breakdown (per budget category)	Total (per budget category)
Audio Visual & Printing	5,000.00
Audit Fee	2,500.00
Consultant - Individual - International	113,500.00
Consultant - Individual - Local	68,000.00
Professional Services – Companies/Firm	-
IT Equipment	-
Office Supplies	2,000.00
Travel - International	22,000.00
Travel – Local	3,150.00
Workshop/Training	12,500.00
Per diem (for international expert)	21,800.00
Daily allowance - local consultants	12,000.00
Daily allowance - workshop participants	40,800.00
PWG - TC meeting	14,250.00
Total Outcome Budget + PMC	**317,500.00**

FOR GREEN CLIMATE FUND SECRETARIAT'S USE ONLY

Total Outcome Budget		**295,500.00**
Project Management Cost (PMC)	7.4% requested	**22,000.00**
Contingency	5% requested	**14,775.00**
Sub-Total (Total Outcome Budget + Contingency + PMC)		**332,275.00**
Delivery Partner Fee (DP) - Up to 8.5% of the Sub-Total		**28,243.38**
Total Project Budget (Total Activity Budget + Contingency + PMC + DP)		**$ 360,519.00**

CTCN will be selecting the executing agency through a competitive tender process, evaluating complete technical and financial offers for the execution of the technical assistance. Due to the tendering process, the total budget might be different compared to the one approved by the GCF, being the latter the upper limit.

Within CTCN technical assistance a minimum amount of 1% of total budget is dedicated to gender mainstreaming, assuring that the gender topic is properly embedded into the technical analysis.

5.2 Procurement plan

Please see Excel file attached.

5.2 Procurement Plan

For goods, services, and consultancies to be procured, please list the items, descriptions in relation to the activities in Section 3, 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.

Item	Item Description	Estimated Cost (US$)	Procurement Method	Thresholds (Min-Max monetary value for which indicated procurement method must be used)	Estimated Start Date	Projected Contracting Date
Goods and Non-Consulting Services						
Sub-Total (US$)		$ -				
Consultancy Services						
Contract of services to implement the technical assistance	Technical Assistance 'National framework for leapfrogging to Energy Efficient Appliances and Equipment in Botswana (Refrigerators and Distribution Transformers) through regulatory and financing mechanism'	298,000.00	* see notes	$298,000.00	01.09.2019	15.11.2019
Sub-Total (US$)		$ 298,000.00				

Estimated cost equivalent to total outcome budget + contingency + audit fee

Overall financial management and procurement of goods and services under this readiness and preparatory support proposal will be guided by UN regulations, rules, policies and procedures.

UNEP will be responsible for the implementation of the readiness activities and for procurement and contractual services, as well as reporting on the progress of this implementation in close coordination and strategic guidance from the NDA/FP. The procurement actions and the operational services will be carried forward in accordance with UN policies and procurement guidelines.

CTCN procedure for procurement: For a request that is eligible and prioritized, the Climate Technology Managers in charge of the respective request sources the appropriate expertise to develop the Terms of Reference of the assistance (called 'Response Plan' as per CTCN procedures). The response plan provides specific information on the technical assistance to be delivered, including activities, outputs, expected outcomes and impacts, timeline, indicators or measuring assistance progress and success, stakeholders to be involved, etc. The response plan, once finalized, is signed by the national focal point of the CTCN in the concerned country (National Designated Entity), the institution which originated the CTCN request for technical assistance and the CTCN Director and constitutes the basis of the assistance to be implemented and monitored upon the approval and in cooperation with the NDA. Once the response plan is signed, the contracting of the implementer starts.

Note in addition to the Procurement Plan in excel

Overall financial management and procurement of goods and services under this readiness and preparatory support proposal will be guided by UN regulations, rules, policies and procedures. Further, procurement of goods and services will follow the general principles stated under clause 7 of Framework Readiness and Preparatory Support Grant Agreement (Framework Agreement) between Green Climate Fund (GCF) and UN Environment. UN Environment will comply with its obligation under clause 7(a) of the Framework Agreement, which states “The procurement of Goods and Services for Approved Readiness Support Proposals, whether by the Delivery Partner or by a third party, shall be done in accordance with the rules, policies and procedures of the Delivery Partner.

UN Environment will be responsible for the implementation of the readiness activities and for procurement and contractual services, as well as reporting on the progress of this implementation in close coordination and strategic guidance from the NDA/FP. The procurement actions and the operational services will be carried forward in accordance with UN Environment policies and procurement guidelines as agreed under the Framework Readiness and Preparatory Support Grant Agreement (Framework Agreement) between Green Climate Fund (GCF) and the UN Environment.

The specific procedures for procurement through the CTCN are as follows:

For requests that are eligible and prioritized, the Climate Technology Managers in charge of the respective requests select one or several organizations from the CTCN Consortium to develop the Terms of Reference of the assistance (called 'Response Plan' as per CTCN procedures). The response plan provides specific information on the assistance to be conducted, including activities, outputs, expected outcomes and impacts, timeline, indicators or measuring assistance progress and success, stakeholders to be involved, etc.

The response plan, once finalized, is signed by the national focal point of the CTCN in the concerned country (National Designated Entity), the requesting organization and the CTCN Director, and constitutes the basis of the assistance to be implemented and monitored. Based on the needs and expertise required in the response plan, a Network Member will be selected to implement it. The selection of organizations from the Network is conducted through a procurement process, as per UN rules and regulations, in order to select the best proposals, based on expertise, experience and cost-effectiveness. For this, the following four principles shall be given due consideration when undertaking the procurement functions:

a) i. Best value for money principle;
b) ii. Fairness, accountability, integrity and transparency of the procurement process;
c) iii. Effective competition;
d) iv. The best interest of the CTCN.

5.3 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.

UNEP as the Delivery Partner for this Readiness and Preparatory Support Proposal will submit requests for disbursement for approved proposals to the GCF in accordance with the Framework Readiness and Preparatory Support Grant Agreement between the GCF and U. Disbursement requests will be signed by the authorised representative of the UNEP and will include details of the bank account into which the grant will be deposited. UNEP, the Delivery Partner for this R&P Support Proposal for Botswana, will administer the grant disbursed by the GCF in accordance with UNEP's regulations, rules, and procedures including maintenance of records of grant, disbursements and expenditure.

Please choose one option among the two below and delete the one that does not apply to you. Please fill in information under brackets:

☒ **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 Framework Readiness and Preparatory Support Grant Agreement entered into between GCF and Un Environment Programme on *11 October 2016*. And amended on 13 December 2017. The Delivery Partner is entitled to submit 2 request*(s)* for disbursement each year and is also entitled to request one interim request for disbursement within 30 days of notification of approval.

☐ **Readiness Proposal that requires a bilateral Grant Agreement to be signed with the GCF** (please add more disbursement as needed)

- The first disbursement *amounting* *[Choose Currency] [Type the amount]* will be transferred upon approval of the readiness request and effectiveness of the Grant Agreement;
- The second disbursement *amounting* *[Choose Currency] [Type the amount]* will be transferred upon submission of an interim progress report [and audited financial report][2], in form and substance acceptable to the Fund, [including an audited expenditure statement]; and
- The third disbursement *amounting* *[Choose Currency] [Type the amount]* will be made upon submission of a completion report and financial report, in form and substance acceptable to the Fund, including an audited expenditure statement.

Please include an indicative disbursement table showing the expected amounts to be requested and keep to multiples of USD 5,000.

[2] For second disbursement, audited financial report and audited expenditure statement are only required for readiness and preparatory support proposals expected to last over 12 months.

6. IMPLEMENTATION ARRANGEMENTS AND OTHER INFORMATION

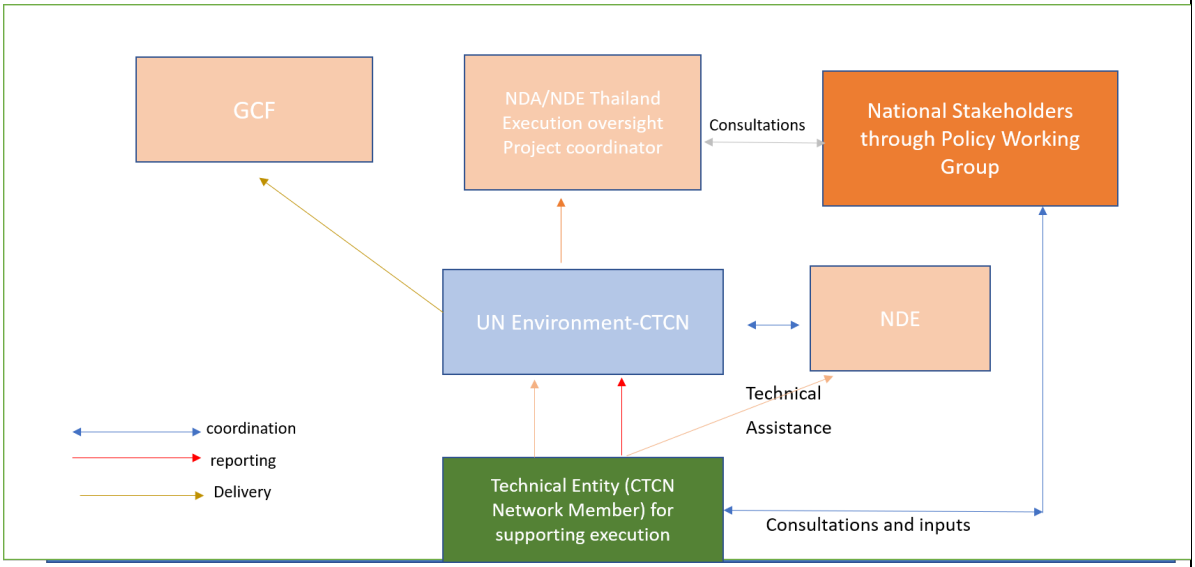
6.1 Implementation map

Please describe how funds will be managed by the NDA and/or the Readiness Delivery Partner.

UNEP will manage the funds for the activities under this readiness agreement. UNEP will agree on a plan with the NDA of Botswana to monitor the implementation of the activities using the grant proceeds. However, UNEP will be responsible for the implementation of the activities under this readiness and preparatory support proposal.

The selected implementer will report to CTCN as per their contractual arrangement and in line with UN rules and regulations. They will produce regular progress and financial reports and will submit deliverables to CTCN. Funds will only be released if and when the deliverables are satisfactory and cleared by CTCN. They will return any unspent funds within ninety days of expiry or notice of termination of the CTCN.

The UNFCCC country focal points for technology (NDE) and finance (NDA) will provide active support to the implementer in the execution of this technical assistance. Their roles as country focal points will include, but not be limited to: Ensuring the activities associated with the implementation of this technical assistance are aligned with national climate priorities; promote and engage with key stakeholders as identified by the implementer; promote and present this technical assistance in climate change-related events; and participate in CTCN events and in national workshops affiliated with this technical assistance, if required. They will also be expected to provide guidance and review any relevant documents produced and will be kept apprised of the progress of the technical assistance. The implementation map below summarizes the different interactions between the different parties involved in this technical assistance:



CTCN processes before the selection of the implementer (described in the implementation map)

The CTCN process for managing technical assistance is the following: Requests for technical assistance can be prepared by any applicant organization from a developing country, but all requests must be submitted by the CTCN NDE (national focal point in the concerned country). Once submitted, all requests submitted by developing countries are assessed as per eligibility, balancing and prioritization criteria approved by the CTCN Advisory Board. The three eligibility criteria are the following: 1) The support provided will contribute to increased resilience and/or mitigate emissions, and is aligned with national plans; 2) The support will enhance endogenous capacities; and; 3) Processes are in place in the requesting country to monitor and evaluate any support provided (that is, project accountability is ensured). Balancing criteria are looking at inter and intra-regional an geographical balance (with a preference for requests submitted by LDCs and other highly vulnerable and low capacity countries; balance between adaptation and mitigation objectives, and balance between various types of support spanning the technology cycle. Prioritization criteria consider a number of elements that demonstrate project strengthen and potential for success, including the promotion of endogenous capacities and appropriate technologies, potential for scale up, for South-South cooperation, for leveraging public and private financing, for creating social, economic and social benefits, promoting gender equality etc.

Once a request is deemed eligible and prioritized, the CTCN selects the best expertise among its consortium partners to develop a response plan. The criteria for selection are: Relevant technical expertise, Experience and

network in national context, Relevant language capacity, Response Planning track record, Representative use of the consortium partners in Response Planning and Feedback/ preference from the NDE.
Based on the discussion with the NDE, NDA and request proponent and feedback from the CTCN, the consortium partner develops the response plan. Once an advanced version is prepared, it is presented to CTCN's director NDE and NDA for signature. Once the response plan is signed, the contracting of the implementer starts.

Once a request is deemed eligible and prioritized, the CTCN selects the best expertise among its consortium partners to develop a response plan. The criteria for selection are: Relevant technical expertise, Experience and network in national context, relevant language capacity, Response Planning track record, Representative use of the consortium partners in Response Planning and Feedback/ preference from the NDE.
Based on the discussion with the NDE, NDA and request proponent and feedback from the CTCN, the consortium partner develops the response plan. Once an advanced version is prepared, it is presented to CTCN's director NDE and NDA for signature. Once the response plan is signed, the contracting of the implementer starts.

The request proponent of this project is the Ministry of Energy and Mining, Department of Energy Affairs. National stakeholder consultations were held in Botswana and in each of the other target countries and thereafter the GCF readiness proposal were framed in consultations with the NDA, the NDE, Ministry of Energy and the respective electricity utility companies.

The beneficiaries of this project include Department of energy, Utility companies, Standard formulation body, energy regulatory authority, local manufacturers private sector engaged in wholescale and retail of appliances and electricity consumers.

The CTCN (hosted by UNEP-UNIDO) is providing technical assistance to the Government of Botswana, as per its COP Mandate, and supporting Botswana to develop this readiness proposal. The CTCN Engagement with the Government of Botswana is mature with close co-operation between the NDA and NDE. The implementing partner will be procured through formal tendering procedures if the Readiness proposal is approved for implementation. The relevant COP decisions are provided below for easy reference:

Decision 14/CP.22: Linkages between the Technology Mechanism and the Financial Mechanism of the Convention
Para 4. Welcomes the increased engagement between the Green Climate Fund and the Climate Technology Centre and Network, particularly with respect to utilizing the Readiness and Preparatory Support Programme and the Project Preparation Facility of the fund, noting the potential of such engagement in supporting developing country Parties to build their capacity for implementing technology projects and programmes;
Para 6. Invites Green Climate Fund national designated authorities and focal points to use the support available to them under the Readiness and Preparatory Support Programme to, inter alia, conduct technology needs assessments and develop technology action plans;
Para 7. Also invites developing country Parties to develop and submit technology-related projects, including those resulting from technology needs assessments and from the technical assistance of the Climate Technology Centre and Network, to the operating entities of the Financial Mechanism for implementation, in accordance with their respective policies and processes;

Decision 15/CP.22: Enhancing climate technology development and transfer through the Technology Mechanism
Para 13. Underlines the importance of well-functioning and strengthened collaboration between the national designated authorities for the Green Climate Fund, the focal points for the Global Environment Facility and the national designated entities for technology development and transfer
Para 15. Welcomes the increased engagement between the Green Climate Fund and the Climate Technology Centre and Network, particularly with respect to utilizing the Readiness and Preparatory Support Programme and the Project Preparation Facility of the fund in order to respond to country-driven requests for technical assistance;
Para 16. Encourages the advancement of the engagement referred to in paragraph 15 above, including through the strengthening of collaboration between national designated authorities for the Green Climate Fund and national designated entities for technology development and transfer;
Para 17. Invites the Climate Technology Centre and Network to include the outcomes of the engagement referred to in paragraphs 15 and 16 above in its annual report to the Conference of the Parties at its twenty-third session."

6.2 Risks, monitoring and evaluation (M&E), and other relevant information

Risk	Rating for Likely hood of occurrence	Rating for Impact	Mitigation	Entity to manage Risk
Engagement risk: Lack of engagement from key stakeholders	*Low*	Low	The Policy Working Group (PWG) will be established to serve as the project's steering committee, and oversee the development of the national policy roadmaps on higher efficiency refrigerators and higher efficiency distribution transformers. It will comprise key stakeholders.	CTCN/ NDA; it's a country driven process and all stakeholders are on board
Delay risk: Delay in implementation of readiness programme	*Low*	Low	Project management procedures in place. UNEP actively engaged.	UNEP/CTCN
Recruitment risk: Delays due to inability to procure consultants	*Low*	Low	Dissemination of procurement process through CTCN network and channels which has undertaken similar work for more than 100 technical assistance	UNEP/CTCN
Involvement risk: Lack of interest by the public and private sector key stakeholders, resulting in limited interest of local players to scale up the results of this intervention	*Low*	Low	During project implementation a thorough consultative and participatory approach will be applied; key private sector and industry stakeholders have been identified and targeted.	CTCN/ NDA; it's a country driven process and all stakeholders are on board
Technical/Capacity risks: Lack of capacity by the national counterparts to use or implement the results and conclusions of this	*Low*	Low	The project is in line with national policies and the project will be executed in close coordination with the respective Ministry and authorities;	CTCN/NDA

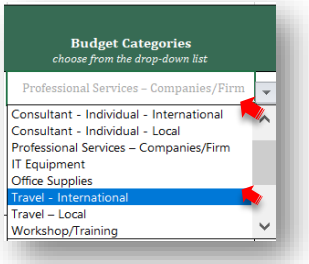
technical assistance.			PWG meetings and TC meetings are planned.	
Management Risk: Lack of effective coordination between various project partners	*Low*	Low	A proper coordination will be sought through the CTCN.	UNEP/CTCN
Ownership of the results: True ownership by the government and system operator to ensure results are used and up scaled accordingly	*Low*	Low	The ownership of the project has been secured by the Government given that it is in line with their national plans	
Access to data: Data accessibility, mainly from the Utility and other involved stakeholders	*Medium*	Medium	The sourcing of relevant data for the determination of the country baseline is critical to the success of the project. Inclusive engagement and consultation with national manufacturers and retailers will help obtain the necessary data quality. The representative of utility companies would be part of the PWG	CTCN/NDA/Utility company
Gender Risk: Resistance against or lack of interest in, the project activities from stakeholders, especially with regard to the active promotion of gender equality.	*Low*	Low	This Project will pursue thorough and gender responsive integration and ensure stakeholder involvement at all levels.	CTCN
Unethical Practices Opportunities for money laundering, terrorist financing, or other prohibited practices	*Low*	Low	The implementation body would be selected as per the UN procurement rules. There is no direct transfer of money to any private sector entity.	UNEP/CTCN

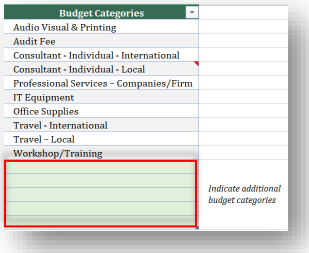
Readiness and Preparatory Support Budget and Procurement Plan

Readiness Grant Budget Preparation Guidelines

The following considerations are important when completing the budget:

1. Before preparing the Readiness and PPF budget, please read the full guidance on our website (https://www.greenclimate.fund/how-we-work/empowering-countries).
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. :





Project Management Cost:

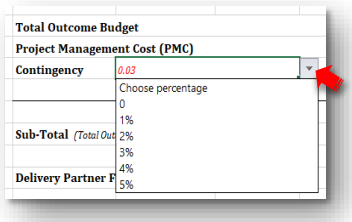
Project management costs (PMC) are the direct administrative costs incurred to execute a project. They should cover only incremental costs incurred due to the GCF contribution. In most cases, these costs are directly related to the support of a dedicated project management unit (PMU) which manages the 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 you get to the end of the project and you haven't spent Contingency, you can't increase the scope of the project or buy some more equipment to use it up.

6. The Budget Notes sheet should be used to record explanations, further details or cost breakdowns for individual lines

If you are unsure about how to complete the budget template, please send your query to: 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		Detailed Budget (in US$)						Total Budget (per outcome)	Disbursement Plan					
		Budget Categories (choose from the drop-down list)	Unit	# of Unit	Unit Cost	Total Budget (per budget category)	Total Budget (per sub-outcome)		3m	6m	09m	12m	15m	18m
Sub Outcome 1: Appropriate climate technology solutions identified and prioritised in accordance with national strategies and plans for climate adaptation and mitigation	1.1 Detailed market assessment including current stock and future growth, energy saving potential, stakeholders mapping, standards gap analysis, impact of electricity losses and energy savings on government budget (since electricity is subsidized)	Consultant - Individual - International	W/Day	20	500.00	10,000.00	29,550.00	96,900.00	**96,900.00**					
		Consultant - Individual - Local	W/Day	60	200.00	12,000.00								
		Travel – Local	Trip	5	150.00	750.00								
		Daily allowance - local consultants	Day	20	100.00	2,000.00								
		Travel - International	Trip	2	1,000.00	2,000.00								
		Per diem (for international expert)	Day	14	200.00	2,800.00								
Sub Outcome 2: Stakeholder engagement consultative processes	2.1 Relevant stakeholders and experts are assembled in the Policy Working Group (PWG)	PWG - TC meeting	Meeting	1	750.00	750.00	4,350.00							
		Daily allowance - workshop participants	Pers/day	60	60.00	3,600.00								
	2.2 The PWG supervises the project implementation and successfully develop and adopts the national policy roadmaps	PWG - TC meeting	Meeting	4	750.00	3,000.00	10,200.00							
		Daily allowance - workshop participants	Pers/day	120	60.00	7,200.00								
Sub outcome 3: Periodic participatory review and updating of the climate finance Country Programme	3.1 Development of the national standard for testing of the energy performance of refrigerators	PWG - TC meeting	Workshop	4	750.00	3,000.00	26,400.00							
		Daily allowance - workshop participants	Pers/day	60	60.00	3,600.00								
		Consultant - Individual - International	W/day	15	500.00	7,500.00								
		Travel - International	Trip	2	1,000.00	2,000.00								
		Per diem (for international expert)	Day	10	200.00	2,000.00								
		Consultant - Individual - Local	W/Day	20	200.00	4,000.00								
		Daily allowance - local consultants	Day	10	100.00	1,000.00								
		Workshop/Training	Workshop	1	1,500.00	1,500.00								
		Daily allowance - workshop participants	Pers/day	30	60.00	1,800.00								
	3.2 Development of the national standard for testing of the energy performance of Distribution Transformers	PWG - TC meeting	Workshop	4	750.00	3,000.00	26,400.00							
		Daily allowance - workshop participants	Pers/day	60	60.00	3,600.00								
		Consultant - Individual - International	W/day	15	500.00	7,500.00								
		Travel - International	Trip	2	1,000.00	2,000.00								
		Per diem (for international expert)	Day	10	200.00	2,000.00								
		Consultant - Individual - Local	W/Day	20	200.00	4,000.00								
		Daily allowance - local consultants	Day	10	100.00	1,000.00								
		Workshop/Training	Workshop	1	1,500.00	1,500.00								
		Daily allowance - workshop participants	Pers/day	30	60.00	1,800.00								
	4.1.1 Development of MEPS and HEPS for refrigerators	PWG - TC meeting	Meeting	2	750.00	1,500.00	19,800.00							
		Daily allowance - workshop participants	Pers/day	30	60.00	1,800.00								
		Consultant - Individual - International	W/Day	15	500.00	7,500.00								
		Travel - International	Trip	2	1,000.00	2,000.00								
		Per diem (for international expert)	Day	10	200.00	2,000.00								
		Consultant - Individual - Local	W/Day	20	200.00	4,000.00								
		Daily allowance - local consultants	Day	10	100.00	1,000.00								
	4.1.2 Development of labelling scheme for refrigerators	Consultant - Individual - International	W/Day	10	500.00	5,000.00	7,000.00							
		Consultant - Individual - Local	W/Day	10	200.00	2,000.00								
	4.1.3 & 4.1.4 Development of consumer awareness campaign for refrigerators	Consultant - Individual - International	W/Day	10	500.00	5,000.00	10,300.00							
		Consultant - Individual - Local	W/Day	20	200.00	4,000.00								
		Travel – Local	Trip	2	150.00	300.00								
		Daily allowance - local consultants	Day	10	100.00	1,000.00								
		Workshop/Training	Workshop	1	2,000.00	2,000.00								

Sub Outcome 4: **Market preparation and business planning for deployment and scale-up of prioritised climate technology solutions**	4.1.5 Public consultation for the finalization of the national policy roadmap forrefrigerators	Daily allowance - workshop participants	Pers/day	60	60.00	3,600.00	10,900.00	167,100.00	**130,300.00**
		Consultant - Individual - Local	W/Day	20	200.00	4,000.00			
		Travel – Local	Trip	2	150.00	300.00			
		Daily allowance - local consultants	Day	10	100.00	1,000.00			
	4.1.6 Finalization of the national policy roadmap for the promotion of higher efficiency refrigerators	Consultant - Individual - International	W/Day	10	500.00	5,000.00	11,000.00		
		Travel - International	Trip	2	1,000.00	2,000.00			
		Per diem (for international expert)	Day	10	200.00	2,000.00			
		Consultant - Individual - Local	W/Day	10	200.00	2,000.00			
	4.1.7 Development of national MV&E plan for refrigerators - 4.1.8 & 4.1.9 Training of custom officials on MEPS for refrigerators	Consultant - Individual - International	W/Day	10	500.00	5,000.00	8,650.00		
		Travel - International	Trip	1	1,000.00	1,000.00			
		Per diem (for international expert)	Day	5	200.00	1,000.00			
		PWG - TC meeting	Meeting	1	750.00	750.00			
		Daily allowance - workshop participants	Pers/day	15	60.00	900.00			
	4.2.1: Development of MEPS and HEPS for DTs	PWG - TC meeting	Meeting	2	750.00	1,500.00	19,800.00		
		Daily allowance - workshop participants	Pers/day	30	60.00	1,800.00			
		Consultant - Individual - International	W/Day	15	500.00	7,500.00			
		Travel - International	Trip	2	1,000.00	2,000.00			
		Per diem (for international expert)	Day	10	200.00	2,000.00			
		Consultant - Individual - Local	W/Day	20	200.00	4,000.00			
		Daily allowance - local consultants	Day	10	100.00	1,000.00			
	4.2.2: Capacity building on Total Cost of Ownership for DTs for procurement officers	Consultant - Individual - International	W/Day	10	500.00	5,000.00	12,300.00		
		Travel - International	Trip	1	1,000.00	1,000.00			
		Per diem (for international expert)	Day	5	200.00	1,000.00			
		Workshop/Training	Workshop	1	1,500.00	1,500.00			
		Daily allowance - workshop participants	Day	30	60.00	1,800.00			
		Consultant - Individual - Local	W/Day	10	200.00	2,000.00			
	4.2.3: Public consultation on the national policy roadmap for higher efficiency DTs	Workshop/Training	Workshop	1	2,000.00	2,000.00	10,900.00		
		Daily allowance - workshop participants	Pers/day	60	60.00	3,600.00			
		Consultant - Individual - Local	W/Day	20	200.00	4,000.00			
		Travel – Local	Trip	2	150.00	300.00			
		Daily allowance - local consultants	Day	10	100.00	1,000.00			
	4.2.4: Finalzation of the national policy roadmap for the promotion of higher efficiency DTs	Consultant - Individual - International	W/Day	10	500.00	5,000.00	11,000.00		
		Travel - International	Trip	2	1,000.00	2,000.00			
		Per diem (for international expert)	Day	10	200.00	2,000.00			
		Consultant - Individual - Local	W/Day	10	200.00	2,000.00			
	4.2.5: Development of national MV&E plan for DTs	Consultant - Individual - International	W/Day	10	500.00	5,000.00	8,650.00		
		Travel - International	Trip	1	1,000.00	1,000.00			
		Per diem (for international expert)	Day	5	200.00	1,000.00			
		PWG - TC meeting	Meeting	1	750.00	750.00			
		Daily allowance - workshop participants	Pers/day	15	60.00	900.00			
Sub Outcome 5: **Climate finance strategy defines the potential use of a combination of funding options from public resources; tariffs, and international cooperation; financing instruments such as loans, bonds, equity and others; private investment; and or the blending of financial instruments**	5.1 Define options and mechanisms for national and internaitonal finance mechanisms for higher efficiency refrigerators	Consultant - Individual - International	W/Day	20	500.00	10,000.00	18,400.00		68,300.00
		Travel - International	Trip	2	1,000.00	2,000.00			
		Per diem (for international expert)	Day	10	200.00	2,000.00			
		Workshop/Training	Workshop	1	2,000.00	2,000.00			
		Daily allowance - workshop participants	Pers/day	40	60.00	2,400.00			
	5.2 Define options and mechanisms for national and internaitonal finance mechanisms for higher efficiency DTs	Consultant - Individual - International	W/Day	20	500.00	10,000.00	18,400.00		
		Travel - International	Trip	2	1,000.00	2,000.00			
		Per diem (for international expert)	Day	10	200.00	2,000.00			
		Workshop/Training	Workshop	1	2,000.00	2,000.00			

		Daily allowance - workshop participants	Pers/day	40	60.00	2,400.00								
Sub outcome 6 **Effective coordination mechanism between NDA and NDE for the UNFCCC Technology Mechanism and other climate focal points**	6.1: Coordination by the NDE. The NDE will be responsible for national level coordination for implementation of the activities. It will do so by calling meetings and following up on the schedule of activities.	Travel – Local	Trip	10	150.00	1,500.00	31,500.00	31,500.00						
		Daily allowance - local consultants	Day	30	100.00	3,000.00								
		Audio Visual & Printing	Lumpsum	1	5,000.00	5,000.00								
		Office Supplies	Lumpsum	1	2,000.00	2,000.00								
		Consultant - Individual - Local	W/day	100	200.00	20,000.00								
Total Outcome Budget								**295,500.00**	96,900.00	130,300.00	**68,300.00**	-	-	-
Project Management Cost (PMC) Up to 7.5% of Total Activity Budget		Consultant - Individual - International	Days	37	500.00	18,500.00	Actual amount and % of PMC requested: do not change the formula	Maximum PMC that can be requested: do not change the formula						
		Travel - International	Lumpsum	1	1,000.00	1,000.00								
		Audit Fee	Lumpsum	1	2,500.00	2,500.00								
							22,000.00	**22,162.50**						
						-	**7.45%**	**7.50%**						

FOR GREEN CLIMATE FUND SECRETARIAT'S USE ONLY

Breakdown (per budget category)	Total (per budget category)
Audio Visual & Printing	5,000.00
Audit Fee	2,500.00
Consultant - Individual - International	113,500.00
Consultant - Individual - Local	68,000.00
Professional Services – Companies/Firm	-
IT Equipment	-
Office Supplies	2,000.00
Travel - International	22,000.00
Travel – Local	3,150.00
Workshop/Training	12,500.00
Per diem (for international expert)	21,800.00
Daily allowance - local consultants	12,000.00
Daily allowance - workshop participants	40,800.00
PWG - TC meeting	14,250.00
Total Outcome Budget + PMC	**317,500.00**

FOR GREEN CLIMATE FUND SECRETARIAT'S USE ONLY

Total Outcome Budget			**295,500.00**
Project Management Cost (PMC)	7.4% requested		**22,000.00**
Contingency	5% requested		**14,775.00**
Sub-Total (Total Outcome Budget + Contingency + PMC)			**332,275.00**
Delivery Partner Fee (DP) - Up to 8.5% of the Sub-Total			**28,243.38**
Total Project Budget (Total Activity Budget + Contingency + PMC + DP)		**$**	**360,519.00**

295500
22000
14775

Budget Note	Detailed Description
	'Daily allowance - local consultant" are to cover local transportation, sometimes to other cities for stakeholders consultation.
	'Daily allowance - workshop participants" is provided to workshop aprtici[pants to cover their travel and accommodation cost
	An international consultant (policy expert) will lead this task. He/she will be supported by two to three local consultants to be hired for data collection and liaison with strategic stakeholders. Provision is made for 60 working days for the local consultants and 20 for the itnernational consultant. Provision is made for 2 international travels
	Kick-off meeting of the PWG, 2 days, 15 pers. 50 USD per person/day, so 1500 USD per workshop (meetign room, tea breaks, lunch, logistics)
	Quarterly meetings of the PWG, so 4 meetings in total. 2 days, 15 pers. 50 USD per person/day, so 1500 USD per workshop (meetign room, tea breaks, lunch, logistics)
	Four meetings of the Technical Committee. 1 day, 15 pers, 50 USD per pers, so 750USD per workshop (meetign room, tea breaks, lunch, logistics) One national consultation workshop. 1 day, 20 part. 50USD per pers/day so 2000 per workshop (meetign room, tea breaks, lunch, logistics) A international technical expert on refrigerator will support the work of the Technical Committee. Provision is made for 15 working days and 2 international trips. The itnernational technical expert will be supported by a local technical consultant on refrigerators. Provision is made for 20 working days.
	Work carried out by the PWG during its quarterly meetings. 2 additional PWG meetings will be organized for the specific purpose of developing MEPS/HEPS. Each meeting 1 day, 15 part, 50USD per part, so 750USD per meeting The international policy expert will support the work of the PWG, with an estimated 15 working days and 2 international trips. His/her work will be supported by a local policy expert, for whom a provision is amde for 20 working days.
	Work carried out by the PWG during its quarterly meetings, and supported by the international policy expert and local policy expert.
	Work carried out by the PWG during its quarterly meetings, and supported by the international policy expert and a local expert on communications.
	A national public consutlation workshop will be organized on the draft national policy roadmap. 2-day workshop, 30 parts, 50USD/pers/day, so 3000USD for the workshop (meetign room, tea breaks, lunch, logistics). The work will be supervised by the local policy expert.
	The international policy expert will work with the PWG and the local policy expert to finalize the national policy roadmap.
	An international finance expert will conduct this work. A analysis on suitable finance options will be carried and a report prepared. A training workshop will be organized for PWG members and strateigc stakeholders on suitable finance options. 2-day training workshop, 20 part, 50USD per pers/day, so 2000USD for the workshop (meetign room, tea breaks, lunch, logistics).
	Work carried out by the PWG during its quarterly meetings.The work will be supported by the international policy expert. One additional PWG meeting will be organized for this purpose. 1-day, 15 part, 50USD per pers/day, so 750USD for the meeting (meetign room, tea breaks, lunch, logistics).
	Four meetings of the Technical Committee. 1 day, 15 pers, 50 USD per pers, so 750USD per workshop (meetign room, tea breaks, lunch, logistics) One national consultation workshop. 1 day, 30 part. 50USD per pers/day so 1500 per workshop (meetign room, tea breaks, lunch, logistics) A international technical expert on DTs will support the work of the Technical Committee. Provision is made for 15 working days and 2 international trips. The international DT expert will be supported by a local technical consultant on DTs. Provision is made for 20 working days.
	Work carried out by the PWG during its quarterly meetings. 2 additional PWG meetings will be organized for the specific purpose of developing MEPS/HEPS. Each meeting 1 day, 15 part, 50USD per part, so 750USD per meeting The international policy expert will support the work of the PWG, with an estimated 15 working days and 2 international trips. His/her work will be supported by a local policy expert, for whom a provision is amde for 20 working days.

	Work carried out by the PWG during its quarterly meetings, and supported by the international DT expert and local DT expert. A 2-day training workshop for procurement officers (utility and non-utility) will also be organized, 15 pers, 50YSD/pers/day, so 1500USD for the workshop (meetign room, tea breaks, lunch, logistics).
	A national public consutlation workshop will be organized on the draft national policy roadmap. 2-day workshop, 30 parts, 50USD/pers/day, so 3000USD for the workshop (meetign room, tea breaks, lunch, logistics). The work will be supervised by the local policy expert.
	The international policy expert will work with the PWG and the local DT expert to finalize the national policy roadmap.
	The international finance expert will conduct this work. A analysis on suitable finance options will be carried and a report prepared. A training workshop will be organized for PWG members and strategic stakeholders on suitable finance options. 2-day training workshop, 20 part, 50USD per pers/day, so 2000USD for the workshop (meetign room, tea breaks, lunch, logistics).
	Work carried out by the PWG during its quarterly meetings.The work will be supported by the international policy expert. One additional PWG meeting will be organized for this purpose. 1-day, 15 part, 50USD per pers/day, so 750USD for the meeting (meetign room, tea breaks, lunch, logistics).
	The international DT expert will carry out technical site visit to assess technology improvement needs and capacity building needs. He/she will develop the training program. A training workshop will then be organized for local DT manufacturers (on-site).

Budget Categories
Audio Visual & Printing
Audit Fee
Consultant - Individual - International
Consultant - Individual - Local
Professional Services – Companies/Firm
IT Equipment
Office Supplies
Travel - International
Travel – Local
Workshop/Training
Per diem (for international expert)
Daily allowance - local consultants
Daily allowance - workshop participants
PWG - TC meeting

Indicate additional budget categories

5.2 Procurement Plan

For goods, services, and consultancies to be procured, please list the items, descriptions in relation to the activities in Section 3, 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.

Item	Item Description	Estimated Cost (US$)	Procurement Method	Thresholds (Min-Max monetary value for which indicated procurement method must be used)	Estimated Start Date	Projected Contracting Date
Goods and Non-Consulting Services						
Sub-Total (US$)		$ -				
Consultancy Services						
Contract of services to implement the technical assistance	Technical Assistance 'National framework for leapfrogging to Energy Efficient Appliances and Equipment in Botswana (Refrigerators and Distribution Transformers) through regulatory and financing mechanism'	298,000.00	* see notes	$298,000.00	01.09.2019	15.11.2019
Sub-Total (US$)		$ 298,000.00				

Estimated cost equivalent to total outcome budget + contingency + audit fee

Overall financial management and procurement of goods and services under this readiness and preparatory support proposal will be guided by UN regulations, rules, policies and procedures.

UNEP will be responsible for the implementation of the readiness activities and for procurement and contractual services, as well as reporting on the progress of this implementation in close coordination and strategic guidance from the NDA/FP. The procurement actions and the operational services will be carried forward in accordance with UN policies and procurement guidelines.

CTCN procedure for procurement: For a request that is eligible and prioritized, the Climate Technology Managers in charge of the respective request sources the appropriate expertise to develop the Terms of Reference of the assistance (called ‘Response Plan’ as per CTCN procedures). The response plan provides specific information on the technical assistance to be delivered, including activities, outputs, expected outcomes and impacts, timeline, indicators or measuring assistance progress and success, stakeholders to be involved, etc. The response plan, once finalized, is signed by the national focal point of the CTCN in the concerned country (National Designated Entity), the institution which originated the CTCN request for technical assistance and the CTCN Director and constitutes the basis of the assistance to be implemented and monitored upon the approval and in cooperation with the NDA. Once the response plan is signed, the contracting of the implementer starts.