

# Readiness and Preparatory Support Proposal Template

<b>Programme title:</b>	National framework for leapfrogging to Energy Efficient Appliances and Equipment in Eswatini (Refrigerators and Distribution Transformers) through regulatory and financing mechanism
<b>Country:</b>	Eswatini
<b>National designated authority:</b>	MINISTRY OF TOURISM AND ENVIRONMENTAL AFFAIRS
<b>Implementing Institution:</b>	UNEP – The Climate Technology Centre and Network (CTCN)
<b>Date of first submission:</b>	31 August 2019
<b>Date of current submission / version number</b>	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](mailto: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](mailto:countries@gcfund.org).
- You can also complete as much of this document as you can and then send it to [countries@gcfund.org](mailto: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](mailto:countries@gcfund.org)

**Please use the following naming convention for the file name:**

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

## List of Acronyms

<b>Acronym</b>	<b>Description</b>
BAT	Best Available Technologies
CTCN	Climate Technology Centre and Network
DSM	Demand-Side Management
DTs	Distribution Transformers
EE	Energy Efficiency
EE&C	Energy Efficiency and Conservation
EEC	Eswatini Electricity Company
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
PCBs	Polychlorinated Biphenyls
PWG	Policy Working Group
SADC	Southern Africa Development Community
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			
<b>Country submitting the proposal</b>	Country name:	Eswatini	
	Name of institution representing NDA or Focal Point:	<b>MINISTRY OF TOURISM AND ENVIRONMENTAL AFFAIRS</b>	
	Name of contact person:	Mr. Emmanuel D. Dlamini	
	Contact person's position:	Principal Secretary	
	Telephone number:	+268 2404 6162	
	Email:	ps_tourism@gov.sz	
	Full office address:	P.O. Box 2652, Mbabane, Eswatini	
	Additional email addresses that need to be copied on correspondences:		
<b>Date of initial submission</b>	31 August 2019		
<b>Last date of resubmission</b>	Click or tap to enter a date. (Please update for each resubmission.)	<b>Version number</b>	V.1
<b>Which institution will implement the Readiness and Preparatory Support project?</b>	<input type="checkbox"/> National designated authority <input type="checkbox"/> Accredited entity <input checked="" type="checkbox"/> 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:	<a href="mailto:ermira.fida@un.org">ermira.fida@un.org</a>	
Full office address:	<b>UN Environment</b> 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 , <a href="mailto:mwebaza@un.org">mwebaza@un.org</a> Rajiv Garg, <a href="mailto:gargr@un.org">gargr@un.org</a> Hemini Vrontamitis, <a href="mailto:Hemini.vrontamitis@un.org">Hemini.vrontamitis@un.org</a> Manfredi Caltagirone, <a href="mailto:manfredi.caltagirone@un.org">manfredi.caltagirone@un.org</a>	
<b>Title of the Readiness support proposal</b>	National framework for leapfrogging to Energy Efficient Appliances and Equipment in Eswatini (Refrigerators and Distribution Transformers) through regulatory and financing mechanism		

<p><b>Type of Readiness support sought</b></p>	<p>Please select the relevant GCF Readiness activity area below (click on the box):</p> <p><input type="checkbox"/> I. Country capacity for engagement with GCF</p> <p><input checked="" type="checkbox"/> II. Country programming process</p> <p><input type="checkbox"/> III. Direct access to climate finance</p> <p><input type="checkbox"/> IV. Climate finance accessed</p> <p><input type="checkbox"/> V. Formulation of national adaptation planning and/or other adaptation planning processes</p>		
<p><b>Brief summary of the request</b></p>	<p>This readiness proposal will result in Eswatini 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 Eswatini Bureau of Standards. Despite significant improvement over the past 20 years, electricity rate is still at a low 27% (2014, CIA World Factbook) in Eswatini. 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. The lack of information and awareness, lack of dedicated policies for energy efficient products and appliances including absence of minimum energy performance standards prevents Eswatini from inducing a sustainable market transformation in favor of higher efficiency products. With improvement of the economic situation, demand for domestic refrigerators is increasing rapidly, and may already account for over 30% of domestic electricity consumption. 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 EE&amp;C policy is in its final draft before adoption within 2019. 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. This project is therefore very timely as it will support the national EE&amp;C policy by developing actionable policy measures and adopting relevant standards for refrigerators and distribution transformers. The project will therefore reduce strain on the electricity grid and ability to extend the electricity grid, increase disposable income for households (reduced electricity bill), and reduce GHG emissions.</p>		
<p><b>Total requested amount and currency</b></p>	<p>USD 328,755</p>	<p><b>Anticipated duration</b></p>	<p>18 months</p>
<p><b>Has the country received or is expecting to receive other Readiness and Preparatory Support funding allocations (including adaptation planning) from GCF or other donors?</b></p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Eswatini received GCF readiness funding of USD 2,796,400 for adaptation planning in 2018 and USD 300,000 for NDA strengthening in 2018 with UNEP as delivery partner.</p>		

## 2. BACKGROUND

Eswatini (formerly known as Swaziland) is a small landlocked country, no larger than 200 km from north to south and 130 km east to west, located in the southern part of Africa. It is bordered by the Republic of Mozambique to the east (for 105km) and by the Republic of South Africa on three sides (for 430km).

The electricity sector is dominated by the Swaziland Electricity Company (SEC), which undertakes power generation, importation, transmission, distribution and supply. There are a few other key players, which include co-generators from the sugar industry such Ubombo Sugar limited (USL) and the Royal Swaziland Sugar Corporation (RSSC) that use bagasse and wood chips as fuel. Eswatini along with Kenya, is among the Sub-Saharan African nations where the pace of electrification has grown significantly in recent years, especially between 2000 and 2016. Access to electricity has increased by more than 50% over the past 20 years. In 2015 the national electricity access rose to 75%. Subsidised (i.e. lower) tariffs result in longer payback periods for energy savings projects or energy efficient technologies. This negatively impacts the sales of energy efficient units, as compared to cheaper but less efficient 'competitors'. Unfortunately, the low

average income level in Eswatini effectively prevents the state-owned utility from increasing its tariffs to be cost reflective of generation, as many consumers would then not be able to afford electricity; which in turn provides a negative impact on both the economy and the uptake of electrification.

Eswatini has much to gain by adopting energy efficient standards and technologies. The preliminary market research, data collection and analysis conducted by CTCN1 has been able to provide insights 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 Eswatini 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 Eswatini, while refrigerators were selected due to their higher growth in the market compared to air conditioners.

Given the impetus by the government to increase access to electricity it is foreseen that the use of appliances and equipment will continue to increase in Eswatini. The use of inefficient appliances would lead to higher electricity demand. This demand can be suppressed by an increase in the efficiency of the appliances and the equipment used in Eswatini. Based on the preliminary analysis conducted by CTCN, the projected energy savings for Eswatini when moving from the current state of technologies to Minimum Energy Performance Standards (MEPS) or to the Best Available Technologies (BAT) are shown below (for the two products of focus in this project):

Eswatini	GWh savings (2025)	GWh savings (2030)	MUSD savings (2025)	MUSD savings (2030)	GHG savings in tons per year (2030)
<b>Projected MEPS</b>					
Refrigeration	11	32	2	8	20
Transformers	17	39	4	14	25
<b>Projected BAT</b>					
Refrigeration	16	40	2	10	26
Transformers	35	108	7	38	70

Adoption of BAT would lead to reduction of 96 tons of GHG emission per year from Eswatini.

The electricity supply industry in Eswatini has undergone changes from both a policy and regulatory point of view. Issues such as the changing global trends towards liberalised energy markets; security of supply; achieving efficiencies; affordability; and access to electricity, amongst others, have introduced a change in the policy trajectory with regards to how Eswatini views electricity supply. Overall, the electricity supply industry in Eswatini can be broadly defined as an industry in transition, informed both by policy imperatives and regulatory reform. The Ministry has established a programme for Energy efficiency in public buildings. Promoting procurement of efficient equipment and appliances in government institutions. The Ministry will work on a strategy to ensure that government utilises energy efficient equipment. A number of activities are already ongoing in line with the various policies and strategic plans in place, such as wind resource assessment, distribution of energy efficient woodstoves, co-generation in sugar mills, and utilisation of photovoltaics, but nothing on standards and labels for appliances. Like several other countries in the Southern Africa region, Eswatini's energy policy is at a very broad level and lacks details. It does not address or provide for any energy efficient technologies, have any specific energy efficiency regulations or provide a mandate to enable such regulations.

Given the impetus by the government to increase access to electricity it is foreseen that the use of appliances and equipment will continue to increase in Eswatini. The use of inefficient appliances would lead to higher electricity demand. This demand can be suppressed by an increase in the efficiency of the appliances and the equipment used in Eswatini. 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, ...).

<sup>1</sup> <https://www.ctc-n.org/technical-assistance/projects/development-regional-efficient-appliance-and-equipment-strategy>

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)<sup>2</sup> 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 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.	Sub Outcome 1: Appropriate climate technology solutions 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 Department of Energy Affairs 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 Department of Energy Affairs (Ministry of Natural Resources, Energy and Mining), Energy Regulatory Authority, Revenue Authority, Bureau of Standards, Electricity Supply Commission (ESCOM, power distribution utility), local DT assemblers, consumer groups and distributors/importers of refrigerators, NGOs	

<sup>2</sup> 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.pdf> REFRIGERATORS, 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](https://united4efficiency.org/wp-content/uploads/2019/06/MANUAL-FINANCING-MECHANISMS_25-06-19_WEB.pdf)

Multiplier effects: while the project will help Eswatini 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:

<p>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&amp;E framework, capacity building for local manufacturers, importers and distributors, fiscal and financial incentives</p>	<p>Sub Outcome 4: Market preparation and business planning for deployment and scale-up of prioritised climate technology solutions</p>
<p>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</p>	<p>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</p>

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.

Similar readiness proposals are being prepared for Botswana, Malawi, Lesotho, Zambia, Namibia, Tanzania, Mozambique 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), ultimately leading to the harmonization of the standards at a sub-regional level. In Eswatini, this work will be aligned with the national EE&C policy currently being developed. The standards to be adopted will be in line with best practices in international standards to remove non-tariff barriers to trade and facilitate intra-regional trade.

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 wholesale and retail of appliances and electricity consumers.



















<p>Institutional capacity and coordination mechanism in place to govern and coordinate climate actions and finance</p>	<p>Effective coordination mechanism between NDA and NDE for the UNFCCC Technology Mechanism and other climate focal points</p>	<p>between NDA, NDE and other climate finance focal points to identify points of coordination</p>	<p>between NDA, NDE and other climate finance focal points.</p>	<p>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.</p> <p>Deliverable 6.1: Monitoring plan, quarterly reports</p>	18 empty green cells
--	--	---	---	--	----------------------



#### 4. ADDITIONAL INFORMATION (ONLY FOR ADAPTATION PLANNING SUPPORT)

Not applicable

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

### 5.1 Budget plan

See Excel file attached.

<b>Sub Outcome 4: Market preparation and business planning for deployment and scale-up of prioritized climate technology solutions</b>	4.1.2 Development of labelling scheme for refrigerators	Daily allowance – local consultants	Day	10	50.00	500.00	7,000.00	156,450.00
		Consultant – Individual – International	W/Day	10	500.00	5,000.00		
		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	9,800.00	
		Travel – Local	Trip	2	150.00	300.00		
		Daily allowance – local consultants	Day	10	50.00	500.00		
	4.1.5 Public consultation for the finalization of the national policy roadmap for refrigerators	Workshop/Training	Workshop	1	3,000.00	3,000.00	10,200.00	
		Daily allowance – workshop participants	Per/day	60	40.00	2,400.00		
		Consultant – Individual – Local	W/Day	20	200.00	4,000.00		
	4.1.6 Finalization of the national policy roadmap for the promotion of higher efficiency refrigerators	Travel – Local	Trip	2	150.00	300.00	10,500.00	
		Daily allowance – local consultants	Day	10	50.00	500.00		
		Consultant – Individual – International	W/Day	10	500.00	5,000.00		
	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	Travel – International	Trip	1	1,000.00	1,000.00	8,100.00	
		Per diem (for international expert)	Day	5	150.00	750.00		
		PwG – TC meeting	Meeting	1	750.00	750.00		
4.2.1. Development of MEPS and HEPS for DTs	Daily allowance – workshop participants	Per/day	15	40.00	600.00	18,200.00		
	PwG – TC meeting	Meeting	2	750.00	1,500.00			
	Daily allowance – workshop participants	Per/day	30	40.00	1,200.00			
4.2.2. Capacity building on Total Cost of Ownership for DTs for procurement officers	Consultant – Individual – International	W/Day	15	500.00	7,500.00	11,450.00		
	Travel – International	Trip	2	1,000.00	2,000.00			
	Per diem (for international expert)	Day	10	150.00	1,500.00			
4.2.3. Public consultation on the national policy roadmap for higher efficiency DTs	Consultant – Individual – Local	W/Day	20	200.00	4,000.00	10,200.00		
	Daily allowance – local consultants	Day	10	50.00	500.00			
	Travel – International	Trip	1	1,000.00	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	10,500.00	270,000.00
		Travel – International	Trip	2	1,000.00	2,000.00		
		Per diem (for international expert)	Day	10	150.00	1,500.00		
4.2.5. Development of national MV&E plan for DTs	Consultant – Individual – Local	W/Day	10	200.00	2,000.00	8,100.00		
	Consultant – Individual – International	W/Day	10	500.00	5,000.00			
	Travel – International	Trip	1	1,000.00	1,000.00			
<b>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</b>	5.1 Define options and mechanisms for national and international finance mechanisms for higher efficiency refrigerators	Per diem (for international expert)	Day	5	150.00	750.00	17,100.00	
		PwG – TC meeting	Meeting	1	750.00	750.00		
		Daily allowance – workshop participants	Per/day	15	40.00	600.00		
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	17,100.00		
	Travel – International	Trip	2	1,000.00	2,000.00			
	Per diem (for international expert)	Day	10	150.00	1,500.00			
<b>Sub outcome 6 Effective coordination mechanism between NDA and NDE for the UNFCCC Technology Mechanism and other climate focal points</b>	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.	Workshop/Training	Workshop	1	2,000.00	2,000.00	25,000.00	
		Daily allowance – workshop participants	Per/day	40	40.00	1,600.00		
		Travel – Local	Trip	10	150.00	1,500.00		
<b>Total Outcome Budget</b>	Travel – Local	Trip	30	50.00	1,500.00	25,000.00		
	Daily allowance – local consultants	Day	30	50.00	1,500.00			
	Audio Visual & Printing	Lumpsum	1	5,000.00	5,000.00			
<b>Project Management Cost (PMC)</b> Up to 15% of Total Activity Budget	Office Supplies	Lumpsum	1	2,000.00	2,000.00	25,000.00		
	Consultant – Individual – Local	W/Day	100	150.00	15,000.00			
	<b>Total Outcome Budget</b>						<b>270,000.00</b>	
	Consultant – Individual – International	Days	25	500.00	12,500.00			
	Travel – International	Lumpsum	2	1,000.00	2,000.00			
	Audit Fee	Lumpsum	2	2,500.00	5,000.00			
						<b>19,500.00</b>	<b>20,250.00</b>	
						<b>7.22%</b>	<b>7.50%</b>	

**FOR GREEN CLIMATE FUND SECRETARIAT'S USE ONLY**

Breakdown (per budget category)	Total (per budget category)
Audio Visual & Printing	5,000.00
Audit Fee	5,000.00
Consultant – Individual – International	107,500.00
Consultant – Individual – Local	63,000.00
Professional Services – Companies/Firm	-
IT Equipment	-
Office Supplies	2,000.00
Travel – International	23,000.00
Travel – Local	3,750.00
Workshop/Training	14,500.00
Per diem (for international expert)	16,350.00
Daily allowance – local consultants	6,000.00
Daily allowance – workshop participants	26,000.00
PwG – TC meeting	18,000.00
<b>Total Outcome Budget + PMC</b>	<b>289,500.00</b>

**FOR GREEN CLIMATE FUND SECRETARIAT'S USE ONLY**

<b>Total Outcome Budget</b>		<b>270,000.00</b>
<b>Project Management Cost (PMC)</b>	1.2% requested	<b>19,500.00</b>
<b>Contingency</b>	5% requested	<b>13,500.00</b>
<b>Sub-Total</b> (Total Outcome Budget + Contingency + PMC)		<b>303,000.00</b>
<b>Delivery Partner Fee (DP)</b> - Up to 8.5% of the Sub-Total		<b>25,755.00</b>
<b>Total Project Budget</b> (Total Activity Budget + Contingency + PMC + DP)		<b>\$ 328,755.00</b>

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	Budget Categories (based on the functional list)	Detailed Budget (in US\$)				Total Budget (per sub-outcome)	Total Budget (per outcome)	Disbursement Plan									
		Unit	# of Unit	Unit Cost	Total Budget (per budget category)			3m	6m	9m	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 subsidised)	Consultant - Individual - International	W/Day	20	500.00	10,000.00	27,850.00										
	Consultant - Individual - Local	W/Day	60	200.00	12,000.00												
	Travel - Local	Trip	5	150.00	750.00												
Sub Outcome 2: Stakeholder engagement consultative processes	2.1 Relevant stakeholders and experts are assembled in the Policy Working Group (PWG)	Daily allowance - local consultants	Day	20	50.00	1,000.00	2,700.00										
	PWG - TC meeting	Meeting	1	1,500.00	1,500.00												
	Daily allowance - workshop participants	Per diem (for international expert)	Day	14	150.00	2,100.00											
Sub Outcome 3: Periodic participatory review and updating of the climate finance Country Programme	2.2 The PWG supervises the project implementation and successfully develop and adopts the national policy roadmaps	PWG - TC meeting	Meeting	4	1,500.00	6,000.00	10,800.00										
	Daily allowance - workshop participants	Per diem (for international expert)	Day	10	150.00	1,500.00											
	Daily allowance - workshop participants	Per diem (for international expert)	Day	10	150.00	1,500.00											
3.1 Development of the national standard for testing of the energy performance of refrigerators	PWG - TC meeting	Meeting	4	750.00	3,000.00	23,600.00	88,550.00	88,550.00									
	Daily allowance - workshop participants	Per diem (for international expert)	Day	60	40.00				2,400.00								
	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	150.00	1,500.00												
	Consultant - Individual - Local	W/Day	20	200.00	4,000.00												
	Daily allowance - local consultants	Day	10	50.00	500.00												
	Workshop/Training	Workshop	1	1,600.00	1,600.00												
	Daily allowance - workshop participants	Per diem (for international expert)	Day	30	40.00				1,200.00								
	PWG - TC meeting	Meeting	4	750.00	3,000.00												
	Daily allowance - workshop participants	Per diem (for international expert)	Day	60	40.00				2,400.00								
	3.2 Development of the national standard for testing of the energy performance of Distribution Transformers	Consultant - Individual - International	W/Day	15	500.00				7,500.00	23,600.00							
Travel - International		Trip	2	1,000.00	2,000.00												
Per diem (for international expert)		Day	10	150.00	1,500.00												
Consultant - Individual - Local		W/Day	20	200.00	4,000.00												
Daily allowance - local consultants		Day	10	50.00	500.00												
Workshop/Training		Workshop	1	1,600.00	1,600.00												
Daily allowance - workshop participants		Per diem (for international expert)	Day	30	40.00	1,200.00											
PWG - TC meeting		Meeting	4	750.00	3,000.00												
Daily allowance - workshop participants		Per diem (for international expert)	Day	60	40.00	2,400.00											
Consultant - Individual - International		W/Day	15	500.00	7,500.00												
Travel - International		Trip	2	1,000.00	2,000.00												
4.1.1 Development of MEPS and HEPS for refrigerators		Per diem (for international expert)	Day	10	150.00	1,500.00	18,200.00										
	Consultant - Individual - Local	W/Day	20	200.00	4,000.00												
	Daily allowance - local consultants	Day	10	50.00	500.00												
	Workshop/Training	Workshop	1	1,500.00	1,500.00												
	Daily allowance - workshop participants	Per diem (for international expert)	Day	30	40.00	1,200.00											
	PWG - TC meeting	Meeting	2	750.00	1,500.00												
	Daily allowance - workshop participants	Per diem (for international expert)	Day	30	40.00	1,200.00											
	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	150.00	1,500.00												
	Consultant - Individual - Local	W/Day	20	200.00	4,000.00												
	4.1.2 Development of labeling scheme for refrigerators	Daily allowance - local consultants	Day	10	50.00	500.00		7,000.00									
Workshop/Training		Workshop	1	3,000.00	3,000.00												
Daily allowance - workshop participants		Per diem (for international expert)	Day	60	40.00	2,400.00											
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	50.00	500.00												
Workshop/Training		Workshop	1	3,000.00	3,000.00												
Daily allowance - workshop participants		Per diem (for international expert)	Day	60	40.00	2,400.00											
Consultant - Individual - International		W/Day	10	500.00	5,000.00												
Travel - International		Trip	2	1,000.00	2,000.00												
Daily allowance - local consultants		Day	10	50.00	500.00												
4.1.3 & 4.1.4 Development of consumer awareness campaign for refrigerators		Consultant - Individual - Local	W/Day	20	200.00	4,000.00	9,800.00										
	Travel - Local	Trip	2	150.00	300.00												
	Daily allowance - local consultants	Day	10	50.00	500.00												
	Workshop/Training	Workshop	1	3,000.00	3,000.00												
	Daily allowance - workshop participants	Per diem (for international expert)	Day	60	40.00	2,400.00											
	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	50.00	500.00												
	Workshop/Training	Workshop	1	3,000.00	3,000.00												
	Daily allowance - workshop participants	Per diem (for international expert)	Day	60	40.00	2,400.00											
	Consultant - Individual - International	W/Day	10	500.00	5,000.00												
	Travel - International	Trip	2	1,000.00	2,000.00												
4.1.5 Public consultation for the finalization of the national policy roadmap for refrigerators	Daily allowance - local consultants	Day	10	50.00	500.00	10,200.00											
	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	50.00	500.00												
	Consultant - Individual - International	W/Day	10	500.00	5,000.00												
	Travel - International	Trip	2	1,000.00	2,000.00												
	Per diem (for international expert)	Day	10	150.00	1,500.00												
	Consultant - Individual - Local	W/Day	10	200.00	2,000.00												
	Consultant - Individual - International	W/Day	10	500.00	5,000.00												
	Travel - International	Trip	1	1,000.00	1,000.00												
	Per diem (for international expert)	Day	5	150.00	750.00												
	Sub Outcome 4: Market preparation and business planning for deployment and scale-up of prioritised climate technology solutions	PWG - TC meeting	Meeting	1	750.00		750.00	8,100.00									
Daily allowance - workshop participants		Per diem (for international expert)	Day	15	40.00	600.00											
PWG - TC meeting		Meeting	2	750.00	1,500.00												
Daily allowance - workshop participants		Per diem (for international expert)	Day	30	40.00	1,200.00											
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	150.00	1,500.00												
Consultant - Individual - Local		W/Day	20	200.00	4,000.00												
Daily allowance - local consultants		Day	10	50.00	500.00												
Workshop/Training		Workshop	1	3,000.00	3,000.00												
Daily allowance - workshop participants		Per diem (for international expert)	Day	60	40.00	2,400.00											
Consultant - Individual - Local		W/Day	20	200.00	4,000.00												
4.2.1: Development of MEPS and HEPS for DTs	Travel - Local	Trip	2	150.00	300.00	18,200.00											
	Daily allowance - local consultants	Day	10	50.00	500.00												
	Workshop/Training	Workshop	1	3,000.00	3,000.00												
	Daily allowance - workshop participants	Per diem (for international expert)	Day	60	40.00		2,400.00										
	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	50.00	500.00												
	Consultant - Individual - International	W/Day	10	500.00	5,000.00												
	Travel - International	Trip	2	1,000.00	2,000.00												
	Per diem (for international expert)	Day	10	150.00	1,500.00												
	Consultant - Individual - Local	W/Day	20	200.00	4,000.00												
	Daily allowance - local consultants	Day	10	50.00	500.00												
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	11,450.00											
	Travel - International	Trip	1	1,000.00	1,000.00												
	Per diem (for international expert)	Day	5	150.00	750.00												
	Workshop/Training	Workshop	1	1,500.00	1,500.00												
	Daily allowance - workshop participants	Per diem (for international expert)	Day	30	40.00		1,200.00										
	Consultant - Individual - Local	W/Day	10	200.00	2,000.00												
	Workshop/Training	Workshop	1	3,000.00	3,000.00												
	Daily allowance - workshop participants	Per diem (for international expert)	Day	60	40.00		2,400.00										
	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	50.00	500.00												
	Consultant - Individual - International	W/Day	10	500.00	5,000.00												
4.2.3: Public consultation on the national policy roadmap for higher efficiency DTs	Travel - International	Trip	2	1,000.00	2,000.00	10,200.00											
	Per diem (for international expert)	Day	10	150.00	1,500.00												
	Consultant - Individual - Local	W/Day	20	200.00	4,000.00												
	Daily allowance - local consultants	Day	10	50.00	500.00												
	Consultant - Individual - International	W/Day	10	500.00	5,000.00												
	Travel - International	Trip	2	1,000.00	2,000.00												
	Per diem (for international expert)	Day	10	150.00	1,500.00												
	Consultant - Individual - Local	W/Day	10	20													



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

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 UNEP. 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 Eswatini, 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]<sup>3</sup>, 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.

<sup>3</sup> 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.





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.

The request proponent of this project is the Ministry of Natural Resources, Energy and Mining, Department of Energy Affairs. National stakeholder consultations were held in Eswatini 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 wholesale and retail of appliances and electricity consumers.

The CTCN (hosted by UNEP-UNIDO) is providing technical assistance to the Government of Eswatini, as per its COP Mandate, and supporting Eswatini to develop this readiness proposal. The CTCN Engagement with the Government of Eswatini 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 Likelihood of occurrence	Rating for Impact	Mitigation	Entity to manage Risk
<p><b>Engagement risk:</b> Lack of engagement from key stakeholders</p>	<p><i>Low</i></p>	<p>Low</p>	<p>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.</p>	<p>CTCN/ NDA; it's a country driven process and all stakeholders are on board</p>
<p><b>Delay risk:</b> Delay in implementation of readiness programme</p>	<p><i>Low</i></p>	<p>Low</p>	<p>Project management procedures in place. UNEP actively engaged.</p>	<p>UNEP/CTCN</p>
<p><b>Recruitment risk:</b> Delays due to inability to procure consultants</p>	<p><i>Low</i></p>	<p>Low</p>	<p>Dissemination of procurement process through CTCN network and channels which has undertaken similar work for more than 100 technical assistance</p>	<p>UNEP/CTCN</p>
<p><b>Involvement risk:</b> 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</p>	<p><i>Low</i></p>	<p>Low</p>	<p>During project implementation a thorough consultative and participatory approach will be applied; key private sector and industry stakeholders have been identified and targeted.</p>	<p>CTCN/ NDA; it's a country driven process and all stakeholders are on board</p>



<p><b>Technical/Capacity risks:</b> Lack of capacity by the national counterparts to use or implement the results and conclusions of this technical assistance.</p>	<p><i>Low</i></p>	<p>Low</p>	<p>The project is in line with national policies and the project will be executed in close coordination with the respective Ministry and authorities; PWG meetings and TC meetings are planned.</p>	<p>CTCN/NDA</p>
<p><b>Management Risk:</b> Lack of effective coordination between various project partners</p>	<p><i>Low</i></p>	<p>Low</p>	<p>A proper coordination will be sought through the CTCN.</p>	<p>UNEP/CTCN</p>
<p><b>Ownership of the results:</b> True ownership by the government and system operator to ensure results are used and up scaled accordingly</p>	<p><i>Low</i></p>	<p>Low</p>	<p>The ownership of the project has been secured by the Government given that it is in line with their national plans</p>	
<p><b>Access to data:</b> Data accessibility, mainly from the Utility and other involved stakeholders</p>	<p><i>Medium</i></p>	<p>Medium</p>	<p>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</p>	<p>CTCN/NDA/Utility company</p>
<p><b>Gender Risk:</b> Resistance against or lack of interest</p>	<p><i>Low</i></p>	<p>Low</p>	<p>This Project will pursue thorough and gender</p>	<p>CTCN</p>





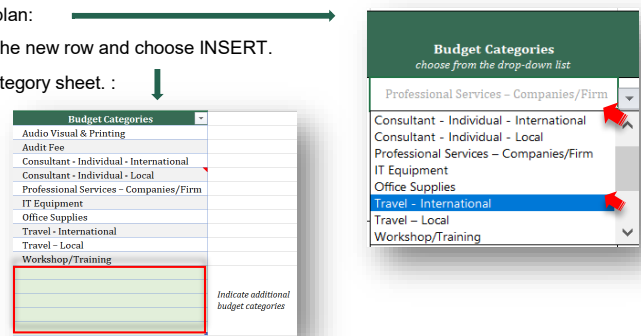
<p>in, the project activities from stakeholders, especially with regard to the active promotion of gender equality.</p>			<p>responsive integration and ensure stakeholder involvement at all levels.</p>	
<p><b>Unethical Practices</b> Opportunities for money laundering, terrorist financing, or other prohibited practices</p>	<p><i>Low</i></p>	<p>Low</p>	<p>The implementation body would be selected as per the UN procurement rules. There is no direct transfer of money to any private sector entity.</p>	<p>UNEP/CTCN</p>

# 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:

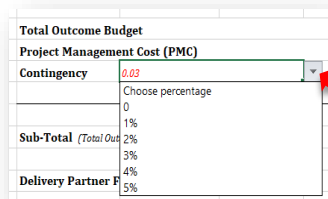
Project management costs (PMC) are the direct administrative costs incurred to execute a project. They should cover only incremental costs incurred due to the GCF contribution. In most cases, these costs are directly related to the support of a dedicated project management unit (PMU) which manages the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



Sub Outcome 4: Market preparation and business planning for deployment and scale-up of prioritised climate technology solutions	4.1.6 Finalization of the national policy roadmap for the promotion of higher efficiency refrigerators	Daily allowance - local consultants	Day	10	50.00	500.00	10,500.00	156,450.00
		Consultant - Individual - International	W/Day	10	500.00	5,000.00		
		Travel - International	Trip	2	1,000.00	2,000.00		
		Per diem (for international expert)	Day	10	150.00	1,500.00		
		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	8,100.00	
		Travel - International	Trip	1	1,000.00	1,000.00		
		Per diem (for international expert)	Day	5	150.00	750.00		
		PWG - TC meeting	Meeting	1	750.00	750.00		
		Daily allowance - workshop participants	Pers/day	15	40.00	600.00		
	4.2.1: Development of MEPS and HEPS for DTs	PWG - TC meeting	Meeting	2	750.00	1,500.00	18,200.00	
		Daily allowance - workshop participants	Pers/day	30	40.00	1,200.00		
		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	150.00	1,500.00		
		Consultant - Individual - Local	W/Day	20	200.00	4,000.00		
		Daily allowance - local consultants	Day	10	50.00	500.00		
	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	11,450.00	
		Travel - International	Trip	1	1,000.00	1,000.00		
		Per diem (for international expert)	Day	5	150.00	750.00		
		Workshop/Training	Workshop	1	1,500.00	1,500.00		
		Daily allowance - workshop participants	Day	30	40.00	1,200.00		
	4.2.3: Public consultation on the national policy roadmap for higher efficiency DTs	Consultant - Individual - Local	W/Day	10	200.00	2,000.00	10,200.00	
		Workshop/Training	Workshop	1	3,000.00	3,000.00		
		Daily allowance - workshop participants	Pers/day	60	40.00	2,400.00		
		Consultant - Individual - Local	W/Day	20	200.00	4,000.00		
Travel - Local		Trip	2	150.00	300.00			
4.2.4: Finalization of the national policy roadmap for the promotion of higher efficiency DTs	Daily allowance - local consultants	Day	10	50.00	500.00	10,500.00		
	Consultant - Individual - International	W/Day	10	500.00	5,000.00			
	Travel - International	Trip	2	1,000.00	2,000.00			
	Per diem (for international expert)	Day	10	150.00	1,500.00			
	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	8,100.00		
	Travel - International	Trip	1	1,000.00	1,000.00			
	Per diem (for international expert)	Day	5	150.00	750.00			
	PWG - TC meeting	Meeting	1	750.00	750.00			
	Daily allowance - workshop participants	Pers/day	15	40.00	600.00			
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	Consultant - Individual - International	W/Day	20	500.00	10,000.00	17,100.00		
	Travel - International	Trip	2	1,000.00	2,000.00			
	Per diem (for international expert)	Day	10	150.00	1,500.00			
	Workshop/Training	Workshop	1	2,000.00	2,000.00			
	Daily allowance - workshop participants	Pers/day	40	40.00	1,600.00			
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	17,100.00		
	Travel - International	Trip	2	1,000.00	2,000.00			
	Per diem (for international expert)	Day	10	150.00	1,500.00			
	Workshop/Training	Workshop	1	2,000.00	2,000.00			
	Daily allowance - workshop participants	Pers/day	40	40.00	1,600.00			
Sub outcome 6 Effective coordination mechanism between NDA and NDE for the UNFCCC Technology Mechanism and other climate focal points	Travel - Local	Trip	10	150.00	1,500.00	25,000.00	25,000.00	
	Daily allowance - local consultants	Day	30	50.00	1,500.00			
	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	150.00	15,000.00			
<b>122,250.00</b>								

<b>Total Outcome Budget</b>						<b>270,000.00</b>	88,550.00	122,250.00	<b>59,200.00</b>	-	-	-
<b>Project Management Cost (PMC)</b> Up to 7.5% of Total Activity Budget	Consultant - Individual - International	Days	32	500.00	16,000.00	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							
					-			✓ <b>19,500.00</b>	<b>20,250.00</b>			
						✓ <b>7.22%</b>	<b>7.50%</b>					

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	111,000.00
Consultant - Individual - Local	63,000.00
Professional Services – Companies/Firm	-
IT Equipment	-
Office Supplies	2,000.00
Travel - International	22,000.00
Travel – Local	3,150.00
Workshop/Training	14,500.00
Per diem (for international expert)	16,350.00
Daily allowance - local consultants	6,000.00
Daily allowance - workshop participants	26,000.00
PWG - TC meeting	18,000.00
<b>Total Outcome Budget + PMC</b>	<b>289,500.00</b>

FOR GREEN CLIMATE FUND SECRETARIAT'S USE ONLY

<b>Total Outcome Budget</b>		<b>270,000.00</b>
<b>Project Management Cost (PMC)</b>	7.2% requested	<b>19,500.00</b>
<b>Contingency</b>	5% requested	<b>13,500.00</b>
<hr/>		
<b>Sub-Total</b> (Total Outcome Budget + Contingency + PMC)		<b>303,000.00</b>
<b>Delivery Partner Fee (DP)</b> - Up to 8.5% of the Sub-Total		<b>25,755.00</b>
<hr/>		
<b>Total Project Budget</b> (Total Activity Budget + Contingency + PMC + DP)		<b>\$ 328,755.00</b>

270000

19500

13500

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 participants to cover their travel and accommodation cost
1.1	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 international consultant. Provision is made for 2 international travels
2.1	Kick-off meeting of the PWG, 2 days, 15 pers. 50 USD per person/day, so 1500 USD per workshop (meeting room, tea breaks, lunch, logistics)
2.2	Quarterly meetings of the PWG, so 4 meetings in total. 2 days, 15 pers. 50 USD per person/day, so 1500 USD per workshop (meeting room, tea breaks, lunch, logistics)
3.1	Four meetings of the Technical Committee. 1 day, 15 pers, 50 USD per pers, so 750USD per workshop (meeting room, tea breaks, lunch, logistics) One national consultation workshop. 1 day, 30 part. 50USD per pers/day so 1500 per workshop (meeting 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 international technical expert will be supported by a local technical consultant on refrigerators. Provision is made for 20 working days.
3.2	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 made for 20 working days.
3.3	Work carried out by the PWG during its quarterly meetings, and supported by the international policy expert and local policy expert.
3.4	Work carried out by the PWG during its quarterly meetings, and supported by the international policy expert and a local expert on communications.
3.5	A national public consultation workshop will be organized on the draft national policy roadmap. 2-day workshop, 30 parts, 50USD/pers/day, so 3000USD for the workshop (meeting room, tea breaks, lunch, logistics). The work will be supervised by the local policy expert.
3.6	The international policy expert will work with the PWG and the local policy expert to finalize the national policy roadmap.
3.7	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 strategic stakeholders on suitable finance options. 2-day training workshop, 20 part, 50USD per pers/day, so 2000USD for the workshop (meeting room, tea breaks, lunch, logistics).
3.8	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 (meeting room, tea breaks, lunch, logistics).
4.1	Four meetings of the Technical Committee. 1 day, 15 pers, 50 USD per pers, so 750USD per workshop (meeting room, tea breaks, lunch, logistics) One national consultation workshop. 1 day, 30 part. 50USD per pers/day so 1500 per workshop (meeting 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.
4.2	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 made for 20 working days.

4.3	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, 50USD/pers/day, so 1500USD for the workshop (meetign room, tea breaks, lunch, logistics).
4.4	A national public consultation 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.
4.5	The international policy expert will work with the PWG and the local DT expert to finalize the national policy roadmap.
4.6	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).
4.7	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).
4.8	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
<b>Goods and Non-Consulting Services</b>						
<b>Sub-Total (US\$)</b>		\$	-			
<b>Consultancy Services</b>						
Contract of services to implement the technical assistance	Technical Assistance 'National framework for leapfrogging to Energy Efficient Appliances and Equipment in Eswatini (Refrigerators and Distribution Transformers) through regulatory and financing mechanism'	272,500.00	* see notes	\$272,500.00	01.09.2019	15.11.2019
<b>Sub-Total (US\$)</b>		\$	272,500.00			

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.