



**TRICIAGEF-7 REQUEST FOR Climate Change ENABLING ACTIVITY**  
**PROPOSAL FOR FUNDING UNDER THE GEF Trust Fund**  
**PROCESSING TYPE: Non-Expedited**

**PART I:**

**PROJECT INFORMATION**

Project Title:	Umbrella Programme for Preparation of Biennial Transparency Reports (BTRs) and National Communications (NCs) to the UN Framework Convention on Climate Change (UNFCCC)		
Country(ies):	Argentina; Bahamas; Bangladesh; Burkina Faso; Burundi; Cameroon; Central African Republic; Comoros; Cote d'Ivoire; DR Congo; Djibouti; Dominican Republic; Ecuador, Eswatini; Fiji; Gabon; Gambia; Ghana; Guinea Bissau; Iraq; Kenya; Kiribati; Kyrgyzstan; Lesotho; Mali; Madagascar; Mauritius; Moldova; Mongolia; Nepal; Niger; Pakistan; Rwanda; Saint Kitts and Nevis; Saint Lucia; Seychelles, Sierra Leone; Solomon Islands; South Africa; Tanzania; Uzbekistan; Vanuatu; Zimbabwe	GEF Project ID:	10973
GEF Agency(ies):	UNEP	GEF Agency Project ID:	018979
Project Executing Entity(s):	43 executing partners	Submission Date:	
GEF Focal Area (s):	Climate Change	Expected Implementation Start	April 2023
		Expected Completion Date	March 2028
Type of Report(s):	Biennial Transparency Report (BTR1)  UNFCCC National Communications (NC)/ Biennial Transparency Report (BTR2)	Expected Report Submission to Convention	Dec 2024  Dec 2026

**A. FOCAL/NON-FOCAL AREA ELEMENTS**

Programming Directions	Trust Fund	(in \$)	
		GEF Project Financing	Co-financing
CCM-EA	GEFTF	32,058,750	0
Total Project Cost		32,058,750	0

**B. PROJECT DESCRIPTION SUMMARY** (List the \$ by project component. Attach a detailed project budget table that supports all the project components in this table. Co-financing for enabling activity is encouraged but not required)

<b>Project Objective:</b> To support forty-three (43) developing countries to prepare and submit Biennial Transparency Reports (BTRs) and National Communications (NCs) that comply with the United Nations Framework Convention on Climate Change (UNFCCC)/Paris Agreement (PA) reporting requirements; and respond to their national development goals					
Project Component	Component Type	Project Outcomes	Project Outputs	(in \$)	
				GEF Project Financing	Confirmed Co-financing
1.0 Preparation of Biennial Transparency Reports (BTRs)	TA	1.1 Countries meet their BTR and NC reporting	1.1.1 Twelve (12) stand-alone BTRs prepared and submitted to the UNFCCC	6,545,460	0

and/or National Communications (NCs)		requirements under the UNFCCC.	1.1.2 Fourteen (14) combined BTR/NCs prepared and submitted to the UNFCCC	8,056,370	0
			1.1.3 Eleven (11) BTR/NC + BTR2 bundled reports prepared and submitted to the UNFCCC	12,330,010	0
			1.1.4 Six (6) BTRs prepared and submitted to the UNFCCC from ongoing NC/BUR projects using top-up financing	1,363,638	0
			1.1.5 Participating countries receive enhanced execution support services from UNEP	933,750	0
	Subtotal			29,229,228	0
	Project Management Cost (PMC)			2,829,522	0
	Total Project Cost			32,058,750	0

#### C. SOURCE OF CO-FINANCING FOR THE PROJECT BY NAME AND BY TYPE, IF ANY

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Investment Mobilized	Amount (\$)
<b>Total Co-financing</b>				0

Describe how any “Investment Mobilized” was identified.

#### D.GEF FINANCING RESOURCES REQUESTED BY AGENCY, COUNTRY AND PROGRAMMING OF FUNDS

GEF Agency	Trust Fund	Country/Regional/Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee (b) <sup>b)</sup>	Total (c)=a+b
UNEP	GEFTF	Argentina	Climate Change	CC-Set-Aside	1,233,000	110,970	1,343,970
UNEP	GEFTF	Bahamas	Climate Change	CC-Set-Aside	1,233,000	110,970	1,343,970
UNEP	GEFTF	Bangladesh	Climate Change	CC-Set-Aside	633,000	56,970	689,970
UNEP	GEFTF	Burkina Faso	Climate Change	CC-Set-Aside	1,233,000	110,970	1,343,970
UNEP	GEFTF	Burundi	Climate Change	CC-Set-Aside	600,000	54,000	654,000
UNEP	GEFTF	Cameroon	Climate Change	CC-Set-Aside	633,000	56,970	689,970
UNEP	GEFTF	Central African Republic	Climate Change	CC-Set-Aside	633,000	56,970	689,970
UNEP	GEFTF	Comoros	Climate Change	CC-Set-Aside	633,000	56,970	689,970
UNEP	GEFTF	Cote d'Ivoire	Climate Change	CC-Set-Aside	600,000	54,000	654,000
UNEP	GEFTF	Democratic Republic of Congo (DRC)	Climate Change	CC-Set-Aside	633,000	56,970	689,970

UNEP	GEFTF	Dominican Republic	Climate Change	CC-Set-Aside	633,000	56,970	689,970
UNEP	GEFTF	Djibouti	Climate Change	CC-Set-Aside	633,000	56,970	689,970
UNEP	GEFTF	Ecuador	Climate Change	CC-Set-Aside	633,000	56,970	689,970
UNEP	GEFTF	Eswatini	Climate Change	CC-Set-Aside	1,233,000	110,970	1,343,970
UNEP	GEFTF	Fiji	Climate Change	CC-Set-Aside	633,000	56,970	689,970
UNEP	GEFTF	Gabon	Climate Change	CC-Set-Aside	1,233,000	110,970	1,343,970
UNEP	GEFTF	Gambia	Climate Change	CC-Set-Aside	633,000	56,970	689,970
UNEP	GEFTF	Ghana	Climate Change	CC-Set-Aside	600,000	54,000	654,000
UNEP	GEFTF	Guinea Bissau	Climate Change	CC-Set-Aside	600,000	54,000	654,000
UNEP	GEFTF	Iraq	Climate Change	CC-Set-Aside	250,000	22,500	272,500
UNEP	GEFTF	Kenya	Climate Change	CC-Set-Aside	250,000	22,500	272,500
UNEP	GEFTF	Kiribati	Climate Change	CC-Set-Aside	633,000	56,970	689,970
UNEP	GEFTF	Kyrgyzstan	Climate Change	CC-Set-Aside	1,233,000	110,970	1,343,970
UNEP	GEFTF	Lesotho	Climate Change	CC-Set-Aside	633,000	56,970	689,970
UNEP	GEFTF	Madagascar	Climate Change	CC-Set-Aside	250,000	22,500	272,500
UNEP	GEFTF	Mali	Climate Change	CC-Set-Aside	600,000	54,000	654,000
UNEP	GEFTF	Mauritius	Climate Change	CC-Set-Aside	600,000	54,000	654,000
UNEP	GEFTF	Moldova	Climate Change	CC-Set-Aside	633,000	56,970	689,970
UNEP	GEFTF	Mongolia	Climate Change	CC-Set-Aside	1,233,000	110,970	1,343,970
UNEP	GEFTF	Nepal	Climate Change	CC-Set-Aside	250,000	22,500	272,500
UNEP	GEFTF	Niger	Climate Change	CC-Set-Aside	600,000	54,000	654,000
UNEP	GEFTF	Pakistan	Climate Change	CC-Set-Aside	600,000	54,000	654,000
UNEP	GEFTF	Rwanda	Climate Change	CC-Set-Aside	600,000	54,000	654,000
UNEP	GEFTF	Saint Kitts and Nevis	Climate Change	CC-Set-Aside	1,233,000	110,970	1,343,970
UNEP	GEFTF	Saint Lucia	Climate Change	CC-Set-Aside	600,000	54,000	654,000
UNEP	GEFTF	Seychelles	Climate Change	CC-Set-Aside	1,233,000	110,970	1,343,970
UNEP	GEFTF	Sierra Leone	Climate Change	CC-Set-Aside	600,000	54,000	654,000

UNEP	GEFTF	Solomon Islands	Climate Change	CC-Set-Aside	250,000	22,500	272,500
UNEP	GEFTF	South Africa	Climate Change	CC-Set-Aside	600,000	54,000	654,000
UNEP	GEFTF	Tanzania	Climate Change	CC-Set-Aside	250,000	22,500	272,500
UNEP	GEFTF	Uzbekistan	Climate Change	CC-Set-Aside	1,233,000	110,970	1,343,970
UNEP	GEFTF	Vanuatu	Climate Change	CC-Set-Aside	633,000	56,970	689,970
UNEP	GEFTF	Zimbabwe	Climate Change	CC-Set-Aside	1,233,000	110,970	1,343,970
UNEP	GEFTF	Global	Climate Change	CC-Set-Aside	933,750	84,038	1,017,788
<b>Total GEF Resources</b>					<b>32,058,750</b>	<b>2,885,288</b>	<b>34,944,038</b>

## SUMMARY OF CHANGES AT CEO ENDORSEMENT

The following table provides an overview of changes in the project between PIF approval and the submission of the CEO Endorsement. An overview of these changes and the corresponding implications for the funds requested are provided in the Agency Notification on Amended Project, which has been submitted separately.

Changes	PIF	CEO Endorsement Document
<b>Number of participating Countries</b>	<p>The following twenty-five (25) countries were included in the approved PIF:</p> <p>Burkina Faso; Burundi; Cameroon; Central African Republic; Comoros; Cote d'Ivoire; DR Congo; Ecuador, Eswatini; Fiji; Gabon; Gambia; Ghana; Guinea Bissau; Kyrgyzstan; Lesotho; Mauritius; Mongolia; Niger; Pakistan; Rwanda; Saint Kitts and Nevis; Saint Lucia; Sierra Leone; Zimbabwe</p>	<p>The CEO endorsement request comprises forty-three (43) countries.</p> <p>In addition to the 25 confirmed at PIF phase, the following eighteen (18) additional countries expressed their interest to join the umbrella programme after PIF approval in June 2022: - Argentina; Bahamas; Bangladesh; Djibouti; Dominican Republic; Iraq; Kenya; Kiribati; Mali; Madagascar; Moldova; Nepal; Seychelles, Solomon Islands; South Africa; Tanzania; Uzbekistan &amp; Vanuatu.</p> <p>The increase in participating countries was possible owing to some resources that had been earmarked for this purpose in the PIF, with the intension of expediting support to more developing countries to access BTR funding within this umbrella programme in a timely manner.</p>
<b>Types of Modalities</b>	<p>The PIF proposed two modalities for support:</p> <p>1) Support for stand-alone BTRs; and 2) Support for combined BTR/NCs</p>	<p>The current CEO Endorsement Request presents four BTR funding modalities options as informed by country needs and their submission status and/or closeness of completion of current NC and BUR to the UNFCCC.</p> <p>1) Support for stand-alone BTRs; 2) Support for combined BTR/NCs 3) BTR top-up support, for countries with ongoing climate change enabling activity projects 4) Bundled support for a combined NC/BTR and a BTR</p>
<b>Project Outcome &amp; Outputs</b>	<p>The project main outcome remains the same at the PIF and CEO endorsement phase. Which is, to support countries meet their BTR and NC reporting requirements under the UNFCCC.</p> <p><b>Outputs</b> The PIF proposed two outputs directly related to the modalities for the preparation of:</p>	<p><b>Outputs</b> The current CEO Endorsement Request presents the following four outputs to align to the different modalities considered:</p> <p>Output 1.1.1 stand-alone BTRs Output 1.1.2 A combined BTR/NCs Output 1.1.3 BTR top-up Output 1.1.4 Bundled BTR/NC + BTR reports</p>

	Output 1.1.1 stand-alone BTRs Output 1.1.2 A combined BTR/NCs																	
<b>Cost Structure of National Reports</b>	<p>The PIF proposed a cost structure for reports that reflected the BTR costing as approved by the 59<sup>th</sup> GEF Council<sup>1</sup> in November 2020.</p> <ul style="list-style-type: none"><li>▪ BTRs: US\$ 484,000 per report</li><li>▪ Combined BTR/NCs: US\$ 517,000 per report</li></ul>	<p>The CEO endorsement document has been updated to align to the revised BTR costing as approved by the 62<sup>nd</sup> GEF Council<sup>2</sup> in June 2022; to ensure that participating countries receive all necessary support to prepare good quality reports that respond to guidance provided in Decision -/CMA.3 Annexes IV and V.</p> <ul style="list-style-type: none"><li>▪ Stand-alone BTRs: US\$ 600,000</li><li>▪ Combined BTR/NCs: US\$ 633,000</li><li>▪ BTR top-ups: US\$ 250,000</li><li>▪ Bundled reports (one NC/BTR and one stand-alone BTR) for US\$ 1,233,000. i.e., US\$ 633,000 + US\$ 600,000</li></ul>																
<b>Total Project Cost</b>	<p>The proposed amendments in BTR/NC costing; modalities; and inclusion of additional countries in this umbrella brings the total project cost to US\$ 32,058,750 which is a slight reduction from the PIF approved amount of US\$ 32,131,880.00 by US\$73,130 as summarized below: -</p> <table><tr><td></td><td><b>Total Project Cost</b></td><td><b>IA Fee (9%)</b></td><td><b>Grant Total</b></td></tr><tr><td><b>PIF Approved (US\$)</b></td><td>32,131,880.00</td><td>2,891,896.00</td><td>35,023,749.00</td></tr><tr><td><b>CEO Request (US\$)</b></td><td>32,058,750.00</td><td>2,885,288.00</td><td>34,944,038.00</td></tr><tr><td><b>Difference (Balance)</b></td><td><b>73,130.00</b></td><td><b>6,582.00</b></td><td><b>79,712.00</b></td></tr></table>			<b>Total Project Cost</b>	<b>IA Fee (9%)</b>	<b>Grant Total</b>	<b>PIF Approved (US\$)</b>	32,131,880.00	2,891,896.00	35,023,749.00	<b>CEO Request (US\$)</b>	32,058,750.00	2,885,288.00	34,944,038.00	<b>Difference (Balance)</b>	<b>73,130.00</b>	<b>6,582.00</b>	<b>79,712.00</b>
	<b>Total Project Cost</b>	<b>IA Fee (9%)</b>	<b>Grant Total</b>															
<b>PIF Approved (US\$)</b>	32,131,880.00	2,891,896.00	35,023,749.00															
<b>CEO Request (US\$)</b>	32,058,750.00	2,885,288.00	34,944,038.00															
<b>Difference (Balance)</b>	<b>73,130.00</b>	<b>6,582.00</b>	<b>79,712.00</b>															

<sup>1</sup> <https://www.thegef.org/council-meeting-documents/gef-c-59-inf-19> . Information Note on the Financing of the Biennial Transparency Reports for Developing Country Parties to the Paris Agreement

<sup>2</sup> <https://www.thegef.org/council-meeting-documents/gef-c-62-inf-15> . Information Note on the Update to the Financing of Biennial Transparency Reports for the Developing Country Parties to the Paris Agreement

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## PART II: ENABLING ACTIVITY JUSTIFICATION

The United Nations Framework Convention on Climate Change (UNFCCC) was opened for signature in 1992 at the Rio Earth Summit and entered into force in 1994 to tackle human-induced climate change and address its adverse effects (e.g. temperature change and other climatic events) which are considered inevitable. The treaty established a reporting framework for all Parties to share updates through periodic reporting; and review of countries' relevant data and information. The periodic reporting requirement, however, posed a challenge with regard to the collection and management of reliable, transparent and comprehensive data on countries' greenhouse gas (GHG) emissions and removals by sinks, mitigation and adaptation actions and support. This encouraged Parties to continue working towards improving the reporting requirements further starting with the adoption of the revised guidelines for preparation of national communications (NC) at COP 8.

Additional measures seeking to significantly enhance transparency of action and support under the Convention were adopted as part of the Bali Action Plan at COP 13 and elaborated in decisions adopted at subsequent COPs. Parties at COP 16 decided to enhance the reporting in national communications, through preparation and submission of biennial update reports (BURs). The 17th session of the COP adopted the guidelines on the preparation of biennial reports by developed country Parties (the "UNFCCC biennial reporting guidelines for developed country Parties"); and those contained in annex III, for the preparation of biennial update reports (BURs) by developing countries.

At COP 21, Parties adopted the Paris Agreement (PA), a legally binding international treaty on climate change, with a goal to limit global warming to well below 2, preferably to 1.5, degrees Celsius, compared to pre-industrial levels. Countries established an enhanced transparency framework (ETF) as a central piece to the design, credibility and operation of the Paris Agreement. The ETF guides countries on reporting their greenhouse gas emissions, progress toward their NDCs, climate change impacts and adaptation, support provided and mobilized, and support needed and received. It also includes processes for technical experts to review reported information and a multilateral peer review where countries can ask questions of one another. The ETF applies to all countries but provides "built-in flexibility" for those developing countries that "need it in light of their capacities."

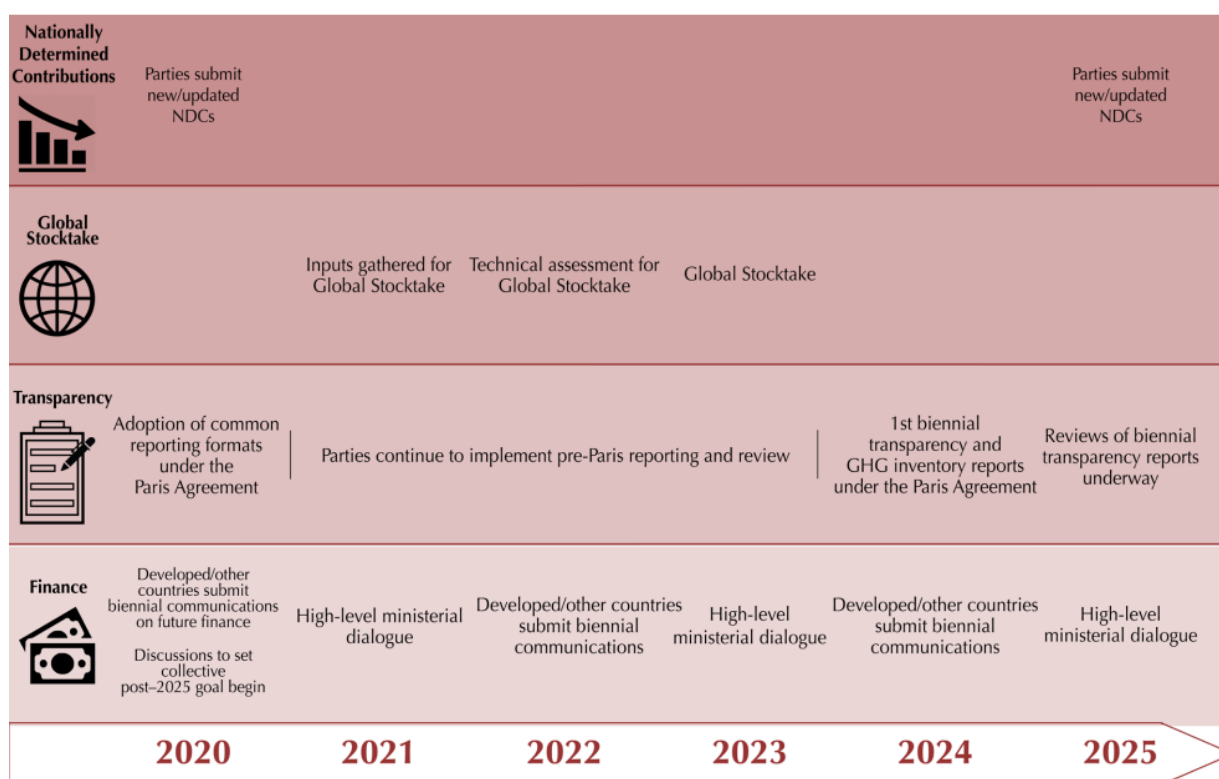
The Agreement requires all parties to submit a biennial transparency report (BTR) that contains the following information:

- National circumstances and institutional arrangements related to NDC tracking;
- Nationally Determined Contribution (NDC) under Article 4 of the Paris Agreement, including updates;
- Information necessary to track progress made in implementing and achieving its NDC under Article 4 of the Paris Agreement;
- Mitigation policies and measures, actions and plans, including those with mitigation co-benefits resulting from adaptation actions and economic diversification plans, related to implementing and achieving an NDC under Article 4 of the Paris Agreement;
- Greenhouse gas emissions and removals;
- Projections of greenhouse gas emissions and removals, as applicable;
- Other information relevant to tracking progress made in implementing and achieving its NDC under Article 4 of the Paris Agreement.

Parties will provide this required information in their initial BTRs by December 2024 except for LDCs and SIDS, which may submit it at their discretion. Resulting from the review of information presented in BTRs, the ETF helps to build mutual trust and confidence among countries in addition to providing a better understanding of current climate actions and levels of support needed and provided. Through this process, countries gain the opportunity to learn from each other by sharing achievements, best practices, and experiences.

At the global level, information presented in BTRs will support countries to update their NDCs every five years. Climate data and information consolidated from all NDCs will inform a "global stocktake," a process for taking stock of the implementation of the Paris Agreement towards meeting its goal (Article 14). The overarching framework linking BTRs, NDCs, the global stocktake, and the associated review process up to Year 2025 is summarized in Fig. 1.





**FIGURE 1: Paris Agreement Key Milestones<sup>3</sup>**

To ensure that this exercise is as robust and accurate as possible, Parties of the PA at COP 26 adopted, among other decisions: (i) outlines for the BTR & national inventory document (NID); (ii) the common reporting tables and common tabular formats for reporting GHG Inventory, NDC progress, financial, technology development and transfer and capacity-building support provided and mobilized, as well as support needed and received; (iii) technical expert review process and (iv) the training programme for technical experts participating in the technical expert review of BTRs (Decision -/CMA.3).

Another important aspect of the ETF is that it builds on the current, solid measurement, reporting and verification system under the UNFCCC, which for developed countries is the GHG inventories and the International Assessment and Review (IAR) and for developing countries is the International Consultation and Analysis (ICA). The implementation of the Modalities, Procedures and Guidelines (MPGs) implies the following:

- Reporting of the BTR supersedes reporting of biennial reports and biennial update reports under the Convention for PA Parties.
- Review of the biennial reports and Technical Analysis (TA) of the BUR under the Convention will be superseded by the technical expert review of BTRs for PA Parties.
- Multilateral Assessment (MA) and Facilitative Sharing of Views (FSV) under the Convention will be superseded by the facilitative multilateral consideration of progress (FMCP) for PA Parties with respect to their individual efforts under Article 9 of the PA and respective implementation and achievement of their NDCs.
- Parties to the Convention that are not Parties to the PA will continue with the current annual GHG inventory, IAR and ICA processes, as appropriate, even though they may use the MPGs of the ETF and supplemental chapters on research and systematic observation and on education, training and public awareness to enhance comparability of information with respect to national communications (see decision 1/CP.24, para. 44)

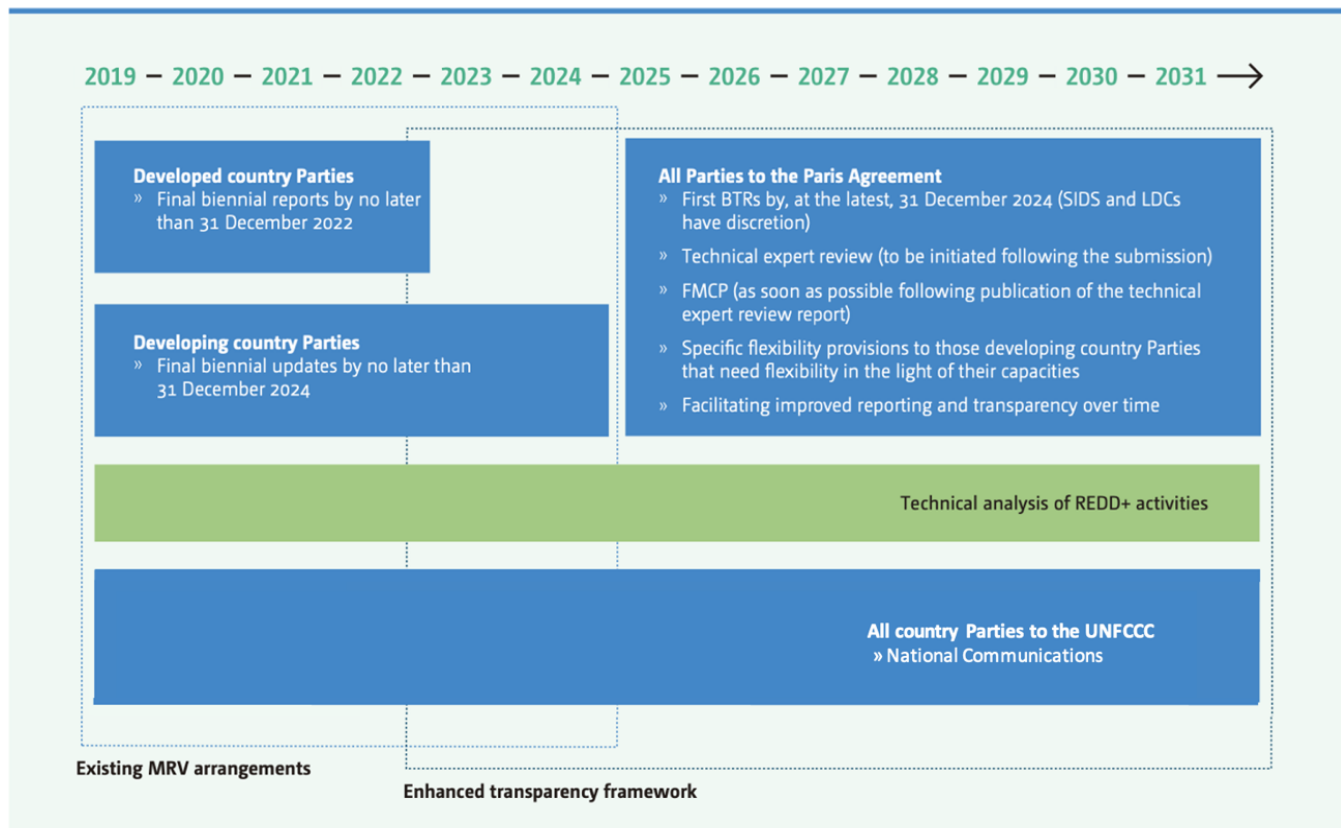
On the other hand, the following elements will continue to be reported under the Convention and will not be superseded by the MPGs, as shown in Figure 2:

- National Communications (NCs) must continue to be submitted by developed and developing countries.

<sup>3</sup> Source - from Figure 1, Pg. 3. A Brief Guide To The Paris Agreement and 'Rule Book' [paris-agreement-and-rulebook-guide.pdf](https://c2es.org/paris-agreement-and-rulebook-guide.pdf) (c2es.org). Accessed in Apr, 2022.

- Annual GHG inventories must continue to be submitted by developed countries. In the years in which a BTR is due, the GHG inventory can be submitted as a stand-alone report or as a section of the BTR (18/CMA.1, para. 3). If submitted as a stand-alone report, a summary of the Party's GHG emissions/removals must be included in the BTR (18/CMA.1, annex, para. 91).
- The proposed REDD+ forest reference emission level and/or forest reference level by developing country Parties, which may be submitted on a voluntary basis in accordance with decision 12/CP.17 (para. 13) and will be subject to a technical assessment as per decision 13/CP.19.
- The technical annex on REDD+ for those Parties seeking results-based payments is to be reported as an annex to the BTR and is technically analyzed during the review of the BTR (paras. 45-46 of 1/CP.24).

## Moving towards the enhanced transparency framework



**FIGURE 2:** Moving towards the Enhanced Transparency Framework<sup>4</sup>

Besides the global significance of sharing and tracking global data on countries' GHG emissions and removals, mitigation and adaptation actions and support; periodic report preparation and reviews complement national development agenda goals by bringing climate change-related information to the attention of national policy-makers, relevant institutions, the wider national audience as well as to multilateral and bilateral development partners. This presents unique opportunities for countries to integrate climate change into national development priorities through NDCs and long-term strategies (LTS). A robust national climate reporting and self-sustained Measurement, Reporting and Verification (MRV) system can bring a number of benefits, at the national level, including but not limited to:

- establishing national MRV institutional frameworks and coordination mechanisms
- providing coherent data for informed national policy- and decision-making on climate issues and other related matters, making it possible to analyze the efficiency and effectiveness of policy implementation, which is an element of good governance;

<sup>4</sup> Adapted from Figure A.1, *Reference Manual for the Enhanced Transparency Framework under the Paris Agreement*, UNFCCC 2020, p. 80.

- supporting the tracking of Sustainable Development Goals (SDGs), including the NDC target under SDG 13;
- enhancing national capacities by involving many stakeholders from various national institutions in the operationalization of the MRV system;
- contributing towards national reporting on environmental, climate and policy questions and communicating these to different target audiences, including the general public;
- increasing the involvement of the private sector in climate actions; and
- improving access to funding.

## Scope of the umbrella programme and its flexibilities

This proposal seeks to support developing countries to prepare and submit their BTRs and NCs as outlined in the ETF. It is expected that these reports will not only inform national prioritization and planning agenda related to climate change, but will also inform the global stock take to be undertaken in Yr. 2028. The programme is designed to support forty-three (43) countries to prepare and submit BTRs and combined BTR/NCs. Even though the international reporting requirements under the UNFCCC and PA provide for greater flexibility on reporting timelines for LDCs and SIDS, UNEP has noted an impressive trend from these countries to transition to the ETF sooner rather than later to enable them to start tracking their NDC targets.

Some flexibilities have been incorporated into this umbrella programme in response to requests made by Parties under the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement (CMA) during discussions relating to methodological issues relating to the enhanced transparency framework for action and support referred to in Article 13 of the Paris Agreement. The following presents a summary of flexibilities considered in this proposal:

- i. *In response to the request from the COP to the GEF and its implementing partners to expedite project funding to Parties*, this proposal has included countries that are ready to initiate their BTR1 preparation after having submitted previous NC/BURs to the UNFCCC, as well as those countries that have not yet submitted their NCs and BURs to the UNFCCC, with the understanding that GEF funds would only be disbursed to these countries after the reports have been submitted. Table 1 presents a distinction between the two categories based on status of their current reporting. This strategy is expected to shorten the funding gap between subsequent reports, as countries will be eligible to access funds from UNEP as soon as the reports are submitted.
- ii. *Flexibility to align the BTR and combined NC/BTR costing revision.* As outlined in the November 2020 information note, the GEF made available three modalities for supporting the preparation of the first BTRs and their indicative costing. These costs were revised at the 62nd GEF Council meeting (June, 2022), to ensure that participating countries receive the necessary financial support needed to prepare good quality reports that respond to guidance provided in Decision -/CMA.3 Annexes IV and V. These changes have been incorporated in this submission as follows:
  - an increase in BTR funding from US\$ 484,000 to US\$ 600,000 (**12 country projects**)
  - an increase in combined BTR/NC cost from US\$ 517,000 to US\$ 633,000 (**14 country projects**)
  - Inclusion of bundled projects – i.e., 2BTRs and an NC at US\$ 1,233,000 (**11 country projects**)
  - Inclusion of a BTR top-up project for US\$ 250,000 (**6 country projects**)
- iii. *Flexibility to increase the number of participating countries into the umbrella by the time of submission of CEO endorsement request document.* In addition to the twenty-five (25) participating countries confirmed at PIF stage, UNEP received eighteen (18) additional requests from countries wishing to join the BTR umbrella programme after the programme's inclusion into the June 2022 Council Work Programme. These countries have been included in the umbrella programme to utilize some funds that had been earmarked for this, to expedite support to more developing countries to access BTR funding in a timely manner.

These changes have been communicated to GEF Council members for consideration through an amendment notification.

## Summary of participating countries' BTR modality and an illustration of the phased approach of funds disbursement

The submission status and/or closeness of completion and submission of current NC and BUR to the UNFCCC helped identify the project that each country is eligible to receive GEF funding for, whether it be a combined BTR/NC or a stand-alone BTR. Countries that have recently started the preparation of a NC will receive funding for a stand-alone BTR, countries which have submitted the last NC and not yet started a new one will receive funding for a combined BTR/NC, countries that express interest in a bundled project will receive funding for a combined BTR/NC and a subsequent BTR2, and countries with an NC and/or BUR project underway can receive top-up funding for their initial BTR. This assessment has informed the type of BTR and/or NC funding requested for each country, which is depicted in Table 1.

In addition, the assessment on approximate dates of submission of reports to the UNFCCC will also inform UNEP's phased approach of funds disbursement to countries: disbursement will start with countries that have submitted reports and are therefore ready to initiate BTRs, while allowing more time for countries with ongoing NC/BURs to complete and submit those reports to the UNFCCC before funds are disbursed.

**TABLE 1:** Status of NC and BUR Preparation in Participating Countries

PARTY	NC PREPARATION STATUS	BUR PREPARATION STATUS	REQUESTED FUNDING FOR <sup>5</sup> : -
<b>Phase I: Parties ready to initiate report preparation immediately following CEO endorsement</b>			
<i>Phase I.A: Parties ready due to submission timing</i>			
1. Argentina	NC1; NC2; NC3 submitted to UNFCCC	BUR1; BUR2; BUR3; BUR4 submitted to UNFCCC	BTR1/NC4 and BTR2
2. Burkina Faso	NC1; NC2; NC3 submitted to UNFCCC	BUR1 submitted to UNFCCC	BTR1/NC4 and BTR2
3. Burundi	NC1; NC2; NC3 submitted to the UNFCCC NC4 project implementation plan finalized and submitted to UNEP	BUR1 submitted to UNFCCC.	BTR1
4. Dominican Republic	NC1; NC2; NC3 submitted to the UNFCCC	BUR1 submitted to UNFCCC.	BTR1/NC4
5. Gabon	NC1; NC2; NC3 submitted to the UNFCCC	BUR1 submitted to the UNFCCC	BTR1/NC4 and BTR2
6. Guinea Bissau	NC1; NC2; NC3 submitted to the UNFCCC NC4 at inception phase	BUR1 Submitted to the UNFCCC	BTR1
7. Lesotho	NC1; NC2; NC3 submitted to the UNFCCC	BUR1 submitted to the UNFCCC	BTR1/NC4
8. Pakistan	NC1; NC2 submitted to the UNFCCC NC3 at inception phase	BUR1 submitted to the UNFCCC	BTR1
9. Rwanda	NC1; NC2; NC3 submitted to the UNFCCC NC4 at inception phase	BUR1 submitted to UNFCCC.	BTR1

<sup>5</sup> The actual sequence of the completion/submission of the BTR stand alone and combined NC/BTRs to the UNFCCC, for the bundled projects, will be determined after the project planning phase

10. St. Lucia	NC1; NC2; NC3 submitted to the UNFCCC NC4 project implementation plan under preparation	BUR1 submitted to UNFCCC.	BTR1
11. Uzbekistan	NC1; NC2; NC3 submitted to the UNFCCC NC4 under finalization	BUR1 submitted to UNFCCC.	BTR1/NC5 and BTR2
12. Vanuatu	NC1; NC2; NC3 submitted to the UNFCCC	BUR1 submitted to UNFCCC.	BTR1/NC4
13. Zimbabwe	NC1; NC2; NC3 submitted to the UNFCCC NC4 under finalization	BUR1 submitted to UNFCCC.	BTR1/NC5 and BTR2
<b>Phase I.B: Parties ready due to top-up arrangements</b>			
14. Iraq	NC1 submitted to UNFCCC NC2 under preparation	BUR1 under preparation	BTR1 top-up
15. Kenya	NC1; NC2 submitted to UNFCCC NC3 under internalization process	BUR1 under internalization process	BTR1 top-up
16. Nepal	NC1; NC2; NC3 submitted to UNFCCC	BUR1 under preparation	BTR1 top-up
17. Madagascar	NC1; NC2; NC3 submitted to UNFCCC NC4 under implementation	BUR1 under implementation	BTR1 top-up
18. Tanzania	NC1; NC2 submitted to UNFCCC NC3 at inception phase	BUR1 at inception phase	BTR1 top-up
19. Solomon Islands	NC1; NC2 submitted to UNFCCC NC3 under preparation	BUR1 under preparation	BTR1 top-up
<b>Phase II: Projects to be initiated as soon as reports have been submitted to the UNFCCC</b>			
20. Bahamas	NC1; NC2 submitted to UNFCCC NC3 under finalization	BUR1 under finalization	BTR1/NC4 and BTR 2
21. Bangladesh	NC1; NC2; NC3 submitted to UNFCCC	BUR1 under finalization	BTR1/NC4
22. Cameroon	NC1; NC2 submitted to UNFCCC NC3 under preparation	BUR1 under finalization	BTR1/NC4
23. Cote d' Ivoire	NC1; NC2; NC3 submitted to the UNFCCC NC4 under Preparation	BUR1 submitted to the UNFCCC BUR2 under preparation	BTR1
24. Central African Republic	NC1; NC2 submitted to the UNFCCC NC3 under finalization	BUR1 under finalization	BTR1/NC4
25. Comoros	NC1; NC2 submitted to the UNFCCC NC3 under preparation- Expected to be submitted to UNFCCC by Sep 2023.	BUR1 under preparation- Expected to be submitted to UNFCCC by Sep 2023.	BTR1/NC4
26. Djibouti	NC1; NC2; NC3 submitted to the UNFCCC	BUR1 under finalization	BTR1/NC4
27. DR Congo (DRC)	NC1; NC2; NC3 submitted to the UNFCCC	BUR1 under finalization	BTR1/NC5

	NC4 under finalization		
28. Ecuador	NC1; NC2; NC3 submitted to the UNFCCC NC4 under finalization	BUR1 submitted to the UNFCCC BUR2 under finalization	BTR1/NC5
29. Eswatini	NC1; NC2; NC3 submitted to the UNFCCC NC4 under finalization	BUR1 under finalization	BTR1 and BTR2/NC5
30. Fiji	NC1; NC2; NC3 submitted to the UNFCCC	BUR1 under preparation- Expected to be submitted to UNFCCC by Dec 2023	BTR1/NC4
31. Gambia	NC1; NC2; NC3 submitted to the UNFCCC	BUR1 under finalization	BTR1/NC4
32. Ghana	NC1; NC2; NC3; NC4 submitted to the UNFCCC NC5 at inception phase	BUR1; BUR2; BUR3 submitted to UNFCCC  BUR4 under preparation, expected submission to UNFCCC by June 2023	BTR1
33. Kiribati	NC1; NC2 submitted to the UNFCCC NC3 under finalization	BUR1 under finalization	BTR1/NC4
34. Kyrgyzstan	NC1; NC2; NC3 submitted to the UNFCCC NC4 under finalization	BUR1 under finalization	BTR1/NC5 and BTR2
35. Niger	NC1; NC2; NC3 submitted to UNFCCC NC4 under inception phase	BUR1 under finalization	BTR1
36. Mali	NC1; NC2; NC3 submitted to the UNFCCC NC4 under preparation	BUR1 under finalization	BTR1
37. Mauritius	NC1; NC2; NC3 submitted to the UNFCCC NC4 at inception phase	BUR1 submitted to UNFCCC. Party requested to delay BTR onset to mid-2023.	BTR1
38. Moldova	NC1; NC2; NC3; NC4 submitted to the UNFCCC NC5 under finalization	BUR1; BUR2; BUR3 submitted to UNFCCC BTR1 at inception phase	BTR2/NC6
39. Mongolia	NC1; NC2; NC3 submitted to UNFCCC NC4 under finalization	BUR1 submitted to the UNFCCC BUR2 under finalization	BTR1/NC5 and BTR2
40. Sierra Leone	NC1; NC2; NC3 submitted to UNFCCC NC4 at inception phase	BUR1 under finalization	BTR1
41. Seychelles	NC1; NC2 submitted to the UNFCCC NC3 under finalization	BUR1 under finalization	BTR1/NC4 and BTR 2
42. St. Kitts and Nevis	NC1; NC2; submitted to the UNFCCC NC3 under preparation- Expected to be submitted to UNFCCC by Dec 2024	BUR1 under preparation-- Expected to be submitted to UNFCCC by Oct 2023	BTR1/NC4 and BTR2
43. South Africa	NC1; NC2; NC3 submitted to the UNFCCC NC4 under preparation	BUR1; BUR2; BUR3; BUR4 submitted to UNFCCC BUR5 under preparation	BTR1

<b>Key:</b> NC1 – Initial National Communication NC2 – Second National Communication NC3 – Third National Communication NC4 – Fourth National Communication NC5 – Fifth National Communication NC6 – Sixth National Communication		BUR1 – Initial Biennial Update Report BUR2 – Second Biennial Update Report BUR3 – Third Biennial Update Report BUR4 –Fourth Biennial Update Report BUR5 – Fifth Biennial Update Report BTR1 – First Biennial Transparency Report BTR2 – Second Biennial Transparency Report	

This breakdown of requested funding is summarized in Table I.D of this template (GEF financing resources requested by Agency, Country and Programming of Funds).

In addition to assessing the status of UNFCCC reporting, an assessment was conducted on the status of PA ratification by countries and their NDC submissions. All countries with the LOEs under this umbrella have ratified the UNFCCC and PA, and most have updated their NDCs as shown in Table 2 below.

**TABLE 2:** Countries' Status on Transitioning towards the Paris Agreement

<b>Country</b>	<b>Paris Agreement Ratification</b>	<b>Date of NDC submission</b>	<b>Date of NDC update Submission</b>
1. Argentina	21 Sep 2016	11 Nov 2016	30 Dec 2020
2. Bahamas	22 Apr 2016	31 Oct 2016	07 Nov 2022
3. Bangladesh	22 Apr 2016	31 Dec 2020	26 Aug 2021
4. Burkina Faso	11 Nov 2016	11 Nov 2016	09 Oct 2021
5. Burundi	17 Jan 2018	17 Oct 2018	05 Oct 2021
6. Cameroon	29 Jul 2016	29 Jul 2016	11 Oct 2021
7. Central African Republic	11 Oct 2016	11 Oct 2016	24 Jan 2022
8. Comoros	23 Nov 2016	23 Nov 2016	05 Nov 2021
9. Côte d'Ivoire	25 Oct 2016	25 Nov 2016	09 May 2022
10. Democratic Republic of Congo (DRC)	13 Dec 2017	13 Dec 2017	28 Dec 2021
11. Djibouti	22 Apr 2016	11 Nov 2016	-
12. Dominican Republic	22 Apr 2016	27 Sep 2017	29 Dec 2020
13. Ecuador	20 Sep 2017	29 Mar 2019	-
14. Eswatini	21 Sep 2016	21 Sep 2016	12 Oct 2021
15. Fiji	22 Apr 2016	22 Apr 2016	21 Dec 2020
16. Gabon	2 Nov 2016	02 Nov 2016	06 Jul 2022
17. Gambia	27 Nov 2016	07 Nov 2016	12 Sep 2021
18. Ghana	21 Sep 2016	21 Sep 2016	-
19. Guinea Bissau	22 Oct 2018	22 Oct 2018	12 Oct 2021
20. Iraq	01 Nov 2021	15 Oct 2021	-
21. Kenya	22 Apr 2016	22 Apr 2016	28 Dec 2020
22. Kiribati	22 Apr 2016	21 Sep 2016	-
23. Kyrgyzstan	18 Feb 2020	18 Feb 2020	09 Oct 2021
24. Lesotho	20 Jan 2017	20 Jan 2017	22 Jun 2018
25. Madagascar	22 Apr 2016	21 Sep 2016	-
26. Mali	22 Apr 2016	23 Sep 2016	11 Oct 2021
27. Mauritius	22 Apr 2016	22 Apr 2016	05 Oct 2021
28. Moldova	21 Sep 2016	20 Jun 2017	04 Mar 2020
29. Mongolia	21 Sep 2016	21 Sep 2016	13 Oct 2020
30. Nepal	22 Apr 2016	02 Nov 2016	08 Dec 2020
31. Niger	21 Sep 2016	21 Sep 2016	13 Dec 2021
32. Pakistan	10 Nov 2016	10 Nov 2016	21 Oct 2021



Country	Paris Agreement Ratification	Date of NDC submission	Date of NDC update Submission
33. Rwanda	6 oct 2016	06 Oct 2016	20 May 2020
34. Saint Kitts and Nevis	22 Apr 2016	22 Apr 2016	25 Oct 2021
35. Saint Lucia	22 Apr 2016	22 Apr 2016	27 Jan 2021
36. Seychelles	25 Apr 2016	29 Apr 2016	30 Jul 2021
37. Sierra Leone	1 Nov 2016	01 Nov 2016	31 Jul 2021
38. Solomon Islands	21 Sep 2016	21 Sep 2016	19 Jul 2021
39. South Africa	22 Apr 2016	25 Sep 2016	27 Sep 2021
40. Tanzania	22 Apr 2016	18 May 2018	30 Jul 2021
41. Uzbekistan	19 Apr 2017	19 Apr 2017	30 Oct 2021
42. Vanuatu	22 Apr 2016	21 Sep 2016	09 Aug 2022
43. Zimbabwe	7 Aug 2017	7 Aug 2017	24 Sep 2021

**Consistency with National Priorities:** The programme aligns and is consistent with national strategies, plans, reports and assessments under the UNFCCC and other conventions. National teams will also be guided to strengthen linkages with initiatives such as, but not limited to, the following:

- *GEF-funded Capacity-building Initiative for Transparency (CBIT).* Twenty eight (28) countries in this umbrella have CBIT projects at different stages - ranging from concept approval to post-completion. Coordination with CBIT projects is outlined below in Table 3 below.

#### Overview of CBIT Country Engagement and Coordination

Objective	Relevant Countries	Means of Coordination
CBIT projects are designed to strengthen the institutional and technical capacities of countries to meet the enhanced transparency requirements defined in Article 13 of the Paris Agreement.	<p><i>Concept approved:</i> Burundi, Lesotho, Tanzania</p> <p><i>Project approved:</i> DRC, Ecuador, Fiji, Gambia, Mauritius, Nepal, Solomon Islands, Vanuatu</p> <p><i>Project under implementation:</i> Argentina, Bahamas, Bangladesh, Burkina Faso, Cameroon, Côte d'Ivoire, Dominican Republic, Eswatini, Ghana, Madagascar, Mongolia, Rwanda, Sierra Leone, South Africa, Uzbekistan, and Zimbabwe</p> <p><i>Project completed:</i> Kenya</p>	<ul style="list-style-type: none"> <li>• Countries will be guided to coordinate with / utilize CBIT project outputs related to strengthened GHG inventories, such as activity data collection arrangements, country-specific emission factors, and reporting templates.</li> <li>• Countries will be guided to coordinate with CBIT country-level projects on data management and reporting that is aligned with the institutional arrangements and transparency platforms that they develop.</li> <li>• All countries, <i>including those without a CBIT project</i>, will be guided to utilize the CBIT global coordination platform, guidance materials, and on-line information events.</li> </ul>

- The *NDC Partnership*, which consists of more than 115 countries and more than 80 institutions, was established to create and deliver on ambitious climate action to achieve the goals of the Paris Agreement and the SDGs. The partnership works in two steps with developing country parties: 1) It works with governments to identify NDC implementation priorities and support needs; and 2) It develops a tailored package of expertise, technical assistance, and funding to translate these priorities into actionable policies and programs. Information generated from the studies and assessments carried out under the NC/BTR processes can be used by countries to track progress of implementation of NDC targets, as well as refine targets to be included in their subsequent NDCs,

as guided by the global stocktake process. At present, 13 of the participating countries in this umbrella project have been or are currently involved in NDC Partnership activities.

- *Nationally Appropriate Mitigation Actions (NAMAs)*: Parties will be requested to make use of information obtained through the NAMA process, if funded, to complement and enrich data & information presented in the NC and BTR and viceversa. At present, 2 of the participating countries in this umbrella project have provided information on country-level activity in NAMAs.
- The Green Climate Fund (GCF) and the GEF support the formulation of *National Adaptation Plans (NAPs)* and other adaptation planning processes. This support is available to all developing countries as part of the GCF Readiness Programme and the GEF Least Developed Countries Fund (LDCF), respectively. The development of NAPs helps to establish and strengthen national capacities to implement climate change and development actions. At present, 17 of the participating countries in this umbrella project have received or are receiving funding for NAPs from the GCF or from the GEF.
- *UNFCCC Technology Needs Assessments (TNAs)*: These projects assist non-Annex I Parties to the UNFCCC with determining their technology priorities climate change mitigation and adaptation. At present, 29 of the participating countries in this umbrella project have reported undertaking a TNA as supported by the TNA Program funded by the GEF.

**Coordination at the regional and global level:** Participating countries will be guided to join sub-regional MRV networks that are being supported under the CBIT Phase IIB project (GEF ID 10088) for experience sharing, continuous capacity-building and technical backstopping, which will enhance quality, efficiency, and transparency of national climate change reports to the UNFCCC.

- *The Initiative for Climate Action Transparency (ICAT)*, which is supporting in-country capacity development programmes through training modules on MRV of policies and actions, and knowledge sharing of good practice and lessons learned. Countries that have joined or will join the initiative will be encouraged to coordinate MRV related activities in the BTR/NC projects with the capacity building activities in ICAT.
- The *Climate Promise* initiative, which is funded by bilateral and multilateral donors, forms the basis for UNDP's contribution to the NDC Partnership. The initiative brings together all UNDP projects and initiatives related to NDCs to strengthen climate action. Participating countries are encouraged to ensure complementarity in updating their climate data, building capacities of experts, and enhancing ownership in NCs, BTRs and updated NDCs along with their respective processes.
- Developing GHG inventories is an essential first step towards managing emissions. *LEDs Global Partnership (LEDs GP)* is hosting two complementary tools to help design, plan, assess, and operationalize more sustainable national greenhouse gas inventory systems: Developing a National Greenhouse Gas Inventory System Template Workbook; and the Greenhouse Gas Inventory Toolkit. This series of templates provides a comprehensive base for preparing a National Inventory System Report used for national greenhouse gas inventory development processes. A major component of the LEDs GP approach to building sustainable national greenhouse gas inventory management systems is starting with the pre-defined National Greenhouse Gas Inventory System Templates developed by the [United States Environmental Protection Agency](#) and [USAID](#). These tools are consistent with IPCC and UNFCCC guidelines for national greenhouse gas inventory development.
- Through the *One United Nations* process, the umbrella project will encourage participating countries to link the project results to priorities set in their One UN Strategic Partnership Cooperation Frameworks & SDG Target 13. These priorities range from climate change and disaster risk management; pollution, biodiversity & nature conservation, improving performance and responsiveness of targeted national and sub-national institutions; gender equality and addressing acute vulnerability and participation gaps.

Additional information on these initiatives' coordination at national, regional, and global levels (both planned and ongoing) is submitted as a separate addendum to the CEO endorsement request.

## B. ENABLING ACTIVITY GOALS, OBJECTIVES, AND ACTIVITIES

The objective of this project is to support forty-three (43) developing countries to prepare and submit BTRs and combined BTRs/NCs that comply with the UNFCCC/PA reporting requirements; and respond to their national development goals. The programme aims to support national governments fulfill essential communication requirements to the Convention and is in conformity with Objective 3 of the GEF-7 Climate Change Focal Area, which focuses on fostering enabling conditions for mainstreaming mitigation concerns into sustainable development strategies. The project will be implemented on an agreed full cost basis requiring only in-kind contribution by GEF-eligible countries, which will be communicated to UNEP during project implementation.

The project has been designed with one outcome, which is to support these countries meet their BTR and NC reporting requirements under the UNFCCC. This outcome will be realized through the following five outputs:

- 1.1.1 Twelve (12) stand-alone BTRs prepared and submitted to the UNFCCC
- 1.1.2 Fourteen (14) combined BTR/NCs prepared and submitted to the UNFCCC
- 1.1.3 Eleven (11) combined BTR/NC + BTR2 bundled reports prepared and submitted to the UNFCCC
- 1.1.4 Six (6) BTRs prepared and submitted to the UNFCCC from ongoing NC/BUR projects using top-up financing
- 1.1.5 Countries receive enhanced execution support services from UNEP

The output costing reflects the revised indicative costing as per the GEF's latest policy in Table 4 below. For additional financing or top-up (modality 3) the total indicative cost has been increased to \$250,000.

**TABLE 3: BTR/NC Components and Indicative Costing as per the GEF's Latest Policy**

BTR	Cost (US\$)	Combined BTR/NC	Cost (US\$)
<b>i.</b> National inventory report of anthropogenic emissions by sources and removals by sinks of greenhouse gases	260,000	<b>i.</b> National inventory report of anthropogenic emissions by sources and removals by sinks of greenhouse gases	260,000
<b>ii.</b> Information necessary to track progress made in implementing and achieving nationally determined contributions under Article 4 of the Paris Agreement	125,455	<b>ii.</b> Information necessary to track progress made in implementing and achieving nationally determined contributions under Article 4 of the Paris Agreement	125,455
<b>iii.</b> Information related to climate change impacts and adaptation under Article 7 of the Paris Agreement	100,000	<b>iii.</b> Information related to climate change impacts and adaptation under Article 7 of the Paris Agreement	100,000
<b>iv.</b> Information on financial, technology development and transfer and capacity-building support needed and received under Articles 9–11 of the Paris Agreement	20,000	<b>iv.</b> Information on financial, technology development and transfer and capacity-building support needed and received under Articles 9–11 of the Paris Agreement	20,000
<b>v.</b> Other relevant information (e.g. gender awareness)	10,000	<b>v.</b> Other relevant information (including supplemental NC chapters (research and systemic observation; and education, training and public awareness)	40,000
<b>vi.</b> Publication and submission of report, and other project execution support	30,000	<b>vi.</b> Publication and submission of report, and project execution support	30,000
Subtotal	545,455	Subtotal	575,455
Project management cost	54,545	Project management cost	57,545
Total	600,000	Total	633,000

At the onset of drafting processes, the Executing Agency (EA) will be guided to engage services of qualified national experts from relevant line Ministries, academia and/or private sector to draft the various sections of reports and offer relevant training on the UNFCCC and PA reporting processes. The EA may also sub-contract other institutions to prepare chapters/sections of reports aligned to their mandate, upon the signing of Memorandum of Understanding (MoUs) or Legal Agreements. In addition, the EA may engage services of regional and/ or international experts/institutions to undertake specific tasks where their capacity is limited; and pass on this knowhow to national experts and institutions. The BTR and NC reports will be subjected to national consultation and review processes to ensure its endorsement and approval before submission to the UNFCCC.

As the report preparation approaches its finalization, a summary of activities and results achieved under the BTR or combined BTR/NC project will be prepared to ensure that the project design of the subsequent BTR or combined BTR/NC project is built upon what has been achieved so as to avoid duplication of work and propose strategies for increasing synergies with related programmes and institutions. This will enable the preparation of a GEF funding proposals for subsequent BTRs and/or combined BTR/NC. This will support EAs to initiate the request for GEF funding for subsequent BTRs and/or combined BTR/NC and ensure a seamless transition without extended funding gaps in these GEF climate change mitigation enabling activity (CCM-EA) projects. Countries will also be able to use BTR and/or BTR/NC resources for stocktaking. This will allow them to assemble information needed for preparation of their next reporting funding request. This continuity will safeguard continued interest and institutional mechanisms necessary for the preparation of such reports and/or any others required under the enhanced transparency framework of the Paris Agreement.

The following section provides a description of the outputs that will be prepared by participating countries, following the guidance from FCCC/PA/CMA/2021/L.21 on methodological issues relating to the enhanced transparency framework for action and support referred to in Article 13 of the Paris Agreement. This relates to the outlines for the BTR, national inventory document and technical expert review report pursuant to the annex to decision 18/CMA.1, as contained in Annexes IV, V and VI, respectively. Countries will be guided to use and benefit from training that will be available on the use of the common tabular formats presented in Annex II to decision 5/CMA.3 for the electronic reporting of the information necessary to track progress made in implementing and achieving nationally determined contributions under Article 4 of the Paris Agreement.

### **Output 1.1.1 Twelve (12) BTRs prepared and submitted to the UNFCCC**

Under this output, countries will be guided to prepare standalone BTRs with the following sections: -

- *National inventory report of anthropogenic emissions by sources and removals by sinks of greenhouse gases (paras. 17–58 of the MPGs)*  
Participating countries will be guided to refer to Annex V of FCCC/PA/CMA/2021/L.21 for National Inventory Reports (NIRs) preparation. The NIR will be prepared using good practice methodologies accepted by the IPCC and agreed upon by parties to the Paris Agreement. Parties will be guided to use the most recent IPCC guidelines and any subsequent versions adopted by parties. They will report a consistent annual time series starting from 1990, applying consistent methodologies for each reported year. Participating countries requiring flexibility may report the data it has for the reference year and period of its NDC and a consistent annual time series from 2020 onward. The NIR will present information on: -
  - National circumstances, institutional arrangements and cross-cutting information on GHG inventories and climate change (e.g. as it pertains to the national context)
  - Trends in greenhouse gas emissions and removals in energy, Industrial processes and product use, Agriculture, Land use, land-use change and forestry, Waste and any other applicable sector
  - Overview of source and sink category emission estimates and trends
  - Other information (e.g. indirect GHGs, precursor gases)
  - Key category analysis (flexibility provided to those developing country Parties that need it in the light of their capacities as per para. 25 of the MPGs)
  - Recalculations and improvements
  - Relevant annexes to the national inventory document

- *Information necessary to track progress made in implementing and achieving nationally determined contributions under Article 4 of the Paris Agreement (paras. 59– 103 of the MPGs)*

This section aims to provide a description of the country's national circumstances and information on institutional arrangement relevant to implementing and achieving NDC, GHG emissions and removals projections and any other information relevant to tracking progress made in implementing and achieving its NDC. The general guidance on information to be included in this section will include, but not limited to:

- National circumstances and institutional arrangements related to NDC tracking
- Description of a Party's nationally determined contribution under Article 4 of the Paris Agreement, including updates
- Information necessary to track progress made in implementing and achieving its nationally determined contribution under Article 4 of the Paris Agreement
- Mitigation policies and measures, actions and plans, including those with mitigation co-benefits resulting from adaptation actions and economic diversification plans, related to implementing and achieving a nationally determined contribution under Article 4 of the Paris Agreement
- Summary of greenhouse gas emissions and removals
- Projections of greenhouse gas emissions and removals, as applicable
- Other information relevant to tracking progress made in implementing and achieving its NDC under Article 4 of the Paris Agreement.

- *Information related to climate change impacts and adaptation under Article 7 of the Paris Agreement*

The general guidance on information to be included in this section include, but not limited to:

- National circumstances, institutional arrangements and legal frameworks related to adaptation.
- Impacts, risks and vulnerabilities, as appropriate
- Adaptation priorities and barriers
- Adaptation strategies, policies, plans, goals and actions to integrate adaptation into national policies and strategies
- Progress on implementation of adaptation
- Monitoring and evaluation of adaptation actions and processes
- Information related to averting, minimizing and addressing loss and damage associated with climate change impacts
- Cooperation, good practices, experience and lessons learned
- Any other information related to climate change impacts and adaptation under Article 7 of the Paris Agreement

- *Information on financial, technology development and transfer and capacity building support provided and mobilized under Articles 9–11 of the Paris Agreement*

The general guidance on information to be included in this section include, but not limited to:

- National circumstances, institutional arrangements and country-driven strategies
- Underlying assumptions, definitions and methodologies
- Information on financial support needed and received by developing country Parties under Article 9 of the Paris Agreement
- Information on technology development and transfer support needed and received by developing country Parties under Article 10 of the Paris Agreement
- Information on capacity-building support needed and received by developing country Parties under Article 11 of the Paris Agreement
- Information on support needed and received by developing country Parties for the implementation of Article 13 of the Paris Agreement and transparency-related activities, including for transparency-related capacity-building
- Other relevant information, including information on gender and climate change

- *Information on financial, technology development and transfer and capacity building support needed and received under Articles 9–11 of the Paris Agreement*

- National circumstances, institutional arrangements and country-driven strategies
- Underlying assumptions, definitions and methodologies
- Information on financial support needed by developing country Parties under Article 9 of the Paris Agreement

- Information on financial support received by developing country Parties under Article 9 of the Paris Agreement
- Information on technology development and transfer support needed by developing country Parties under Article 10 of the Paris Agreement
- Information on technology development and transfer support received by developing country Parties under Article 10 of the Paris Agreement
- Information on capacity-building support needed by developing country Parties under Article 11 of the Paris Agreement
- Information on capacity-building support received by developing country Parties under Article 11 of the Paris Agreement
- Information on support needed and received by developing country Parties for the implementation of Article 13 of the Paris Agreement and transparency-related activities, including for transparency-related capacity-building
- *Information on flexibility (Applicable only to developing country Parties that need flexibility in the light of their capacities.)*
  - Indication of (1) reporting provisions to which self-determined flexibility is applied, (2) capacity constraints in relation to the application of flexibility and (3) self-determined estimated time frames for improvements in relation to those capacity constraints (para. 6 of the MPGs)
- *Improvements in reporting over time (Parties may report information on areas of improvement in relation to their reporting, pursuant to chaps. III–VI of the MPGs, in this chapter and/or in chapters relevant to where specific areas of improvement have been identified.)*
  - Areas of improvement identified by the Party and technical expert review team in relation to Party's implementation of Article 13 of the Paris Agreement (para. 7(a) of the MPGs)
  - How the Party is addressing or intends to address areas of improvement as referred to in paragraph 7(a) of the MPGs (para. 7(b) of the MPGs)
  - Areas of improvement that are related to the flexibility provisions used<sup>16</sup> (para. 7(c) of the MPGs)
  - Reporting-related capacity-building support needs identified, including those referred to in chapter VI above and any progress made, including those previously identified as part of the technical expert review in chapter VII of the MPGs (para. 7(d) of the MPGs)
  - Parties' domestic plans and priorities with regard to improved reporting pursuant to paragraph 7 of the MPGs are not subject to technical expert review, but the information may inform discussions on areas of improvement and identification of capacity-building needs between the technical expert review team and the Party concerned (para. 8 of the MPGs)
- *Any other information the Party considers relevant to the achievement of the objective of the Paris Agreement, and suitable for inclusion in its biennial transparency report*

#### **Output 1.1.2 Fourteen (14) combined BTR/NCs prepared and submitted to the UNFCCC**

This output caters to countries that will submit their BTR and NC as a single report in accordance with the modalities, procedures and guidelines included in the annex to decision 18/CMA.1 for information also covered by the NC reporting guidelines contained in, as applicable, decisions 4/CP.5 and 17/CP.8.

In addition to the BTR components described under Output 1.1.1, these countries shall include in the report:

- Supplemental chapters on research and systematic observation and on education, training and public awareness, in accordance with the guidelines contained in, as applicable, decisions 4/CP.5 and 17/CP.8;
- For those Parties that have not reported under chapter IV of the annex to decision 18/CMA.1, an additional chapter on adaptation, in accordance with the relevant guidelines contained in, as applicable, decisions 4/CP.5 and 17/CP.8.

#### **Output 1.1.3 Eleven (11) combined BTR/NC + BTR2 bundled reports prepared and submitted to the UNFCCC**

This output will bundle support for the preparation of a combined BTR/NC (in accordance with the modalities, procedures and guidelines included in the annex to decision 18/CMA.1 for information also covered by the NC reporting

guidelines contained in, as applicable, decisions 4/CP.5 and 17/CP.8) with the subsequent preparation of a stand-alone BTR. The outputs will have the reporting outlines as described under outputs 1.1.1 for BTRs; and output 1.1.2 for a combined NC/BTR. The recipient countries will prepare a project implementation plan indicating the report that will be completed and submitted in Yr. 2024, and Yr. 2026 consecutively.

#### **Output 1.1.4 Six (6) BTRs prepared and submitted to the UNFCCC from ongoing NC/BUR projects using top-up financing**

UNEP will support the following six countries that have ongoing NC/BUR projects which are far from completion to initiate their BTRs in Year 2023: -

1. Iraq
2. Kenya
3. Nepal
4. Madagascar
5. Tanzania
6. Solomon Islands

This modality allows country teams which would have been delayed in commencing the BTR work, considering their status of NC/BUR processes, to draft and complete their NCs, BURs and BTRs concurrently. Hence, these countries will be encouraged to make use of the existing NC/BUR project structures to not only complete and submit NCs and/or BURs but also include the BTR1 process within the same project agreement. At UNEP's level, this modality will trigger an amendment to the existing project agreements between UNEP and the six executing partners to (i) include a BTR component as an output (ii) increase project cost by US\$ 250,000 and (iii) extend the project duration to include the BTR output. The minimum requirements for additional activities will depend on the existing report or reports that are in the process of being compiled.

In general, countries that are preparing a National Communication will: 1) Expand reporting on mitigation actions to report progress against Nationally Determined Contributions as per Article 4 of the Paris Agreement; 2) Expand existing reporting on programs containing measures to address climate change adaptation to address impacts and adaptation as per Article 7 of the Paris Agreement; and 3) Expand reporting on technology transfer and financial, technology, and capacity needs to address financial, technology, and capacity-building needs and support received as per Articles 9, 10, and 11 of the Paris Agreement.

Countries that are currently preparing a BUR will generally: 1) Expand reporting on mitigation actions to report progress against Nationally Determined Contributions as per Article 4 of the Paris Agreement; 2) Compile and report information impacts and adaptation as per Article 7 of the Paris Agreement; 3) Expand reporting on technology transfer and financial, technology, and capacity needs to report on financial, technology, and capacity-building support received as per Articles 9, 10, and 11 of the Paris Agreement.

For both types of top-up reporting, the relevant reporting requirements are described in detail under Output 1.1.1 above, and the format of the BTR will reflect those guidelines. In all cases, reporting will be informed by the ongoing processes of NCs/BURs. UNEP will seek flexible and country-specific approaches to supplementary reporting and will share good practice across the participating countries. Participating countries will be expected to submit an amended Project Implementation Plan to UNEP that reflects the additional activities that will be necessary to build upon existing research and analysis to complete the BTR.

For all BTR outputs stated, UNEP will communicate any new BTR/NC reporting requirement that may be agreed upon by the COP to countries. It will also advise participating countries on potential adjustments to project design and implementation, to reflect on the said changes, as appropriate. In addition, UNEP will inform the participating countries of available opportunities for training to improve their understanding of the reporting processes

### **Output 1.1.5 Countries receive enhanced execution support services from UNEP**

UNEP has continued to play an important role in supporting developing countries to meet their reporting obligations under the UNFCCC. It aligns to UNEP's Medium-Term Strategy document for tackling climate change, biodiversity and nature loss, and pollution and waste from 2022—2025; and is embedded under the climate action pillar to support state and non-state actors to adopt the enhanced transparency framework arrangements under the Paris Agreement.

A recent GEF report confirms that UNEP is currently supporting eighty-six (86) developing countries to prepare their NCs and BURs/BTRs. Over this time, UNEP has noted that these reports have not only assisted countries to meet their reporting requirements under the UNFCCC, but also helped countries to (i) establish subcommittees and sectoral working groups responsible for preparation of specific chapters of national reports as well as (ii) climate data generated to inform their national policies. The theory of change (Annex 1) for the umbrella project reflects a rationale that is consistent with the approaches of previous and ongoing UNEP-GEF climate change enabling activities. As national teams get better in applying the recommended NC and BUR/BTR guidelines, human and national institutional capacities become strengthened over time.

Having said that, UNEP also recognizes that there are prevailing capacity challenges associated with the preparation of these reports in many developing countries. Many countries report persisting capacity gaps of government staff and insufficient institutional capacities, including gaps related to inter-agency and cross-sectorial coordination. Furthermore, countries report capacity needs related to mainstreaming climate considerations into their national planning and budgeting. These challenges have also been reported in the UNFCCC synthesis reports and are currently being addressed through different donors and initiatives at national, regional and global levels. To address the persistent capacity issues and expedite report preparation and submission of high-quality reports, UNEP proposes to provide enhanced execution support to these Partners, which will comprise of the following range of support services, in addition to the IA services:

- a. Support EA teams to draft terms of references for consultants to be engaged in preparing the project implementation plans;
- b. Assisting national governments to identify qualified experts to undertake stocktaking exercise, stakeholder consultations and project implementation plan preparation;
- c. Provide advisory services during recruitment of project personnel and/or consultants to support the NC and BTR reporting process to ensure that the qualified candidates are selected to support project work;
- d. Provide training to country level project management teams on compliance with technical and financial reporting guidelines through the development of and dissemination of guidance notes to enable countries meet their reporting obligations to GEF and UNFCCC;
- e. Support national governments in identifying suitable national and sub-regional/ international climate change experts (by means of advertisements, website, and roster of experts) capable of carrying out the necessary thematic assessments in the areas of GHG Inventories, Mitigation Analysis and Vulnerability and Adaptation strategies;
- f. Assist country teams to organize national workshops for different NC/ BTR components, which includes support in identifying trainers; reviewing workshop agenda and supporting with access to existing materials;
- g. Support project partners in the identification of regional centres of excellence to enable countries' access to climate relevant data, information and appropriate analytical tools particularly in the areas of GHG inventories and mitigation actions.

### **Stakeholder Involvement**

In order to ensure a successful project outcome and enhance countries' ownership and uptake of NCs and BTRs findings, it is critical to engage stakeholders in the processes carried out for the elaboration of these reports. In previous projects, a diverse group of stakeholders have been involved in these processes, including Government Ministries, Research Institutions, Academia, Civil Society Organizations (CSOs) and indigenous peoples; Community Based Organizations



(CBOs), women groups, special groups, farmers, business and industry; trade unions, local authorities; indigenous peoples, ethics specialists, professional associations, media, etc.

A preliminary stakeholder mapping exercise has been undertaken by each executing agency to identify the roles of various actors in providing data and tracking actions related to the different sectors of the GHG inventory, tracking of NDC mitigation and adaptation activities as well as support needed and received; this information will be confirmed at Project inception. Stakeholders will be invited to participate in the BTR and NC project inception workshop, where they will have an opportunity to agree on proposed roles/responsibilities and representation in the different thematic working groups as illustrated in the project implementation structure in Figure 3 of this document. Civil society organizations and indigenous peoples will be amongst the stakeholders invited to participate and provide comments on various sectoral outputs. They will also be consulted at the end of the project to provide feedback and an assessment of the BTR and NC process, on how best they can be involved in subsequent and future report preparation.

Funding will be allocated for stakeholder engagement events, publication, dissemination and submission of reports held prior to the project inception/launch workshop. The deliverables expected under stakeholder engagement will comprise the following:

1. Consultations and workshops;
2. Trainings and in-depth reviews of reports;
3. Compilation, translation and executive summary;
4. Publication and dissemination of BTRs and/or other reports/materials.

## **Private Sector Engagement**

Engagement of the private sector is essential for mobilizing resources, knowledge and innovation to address climate change and promote low-carbon climate-resilient development. There have been several significant donor-supported climate funds, as well as a steady increase in policy and financial support for climate-friendly technologies over the recent years. The private sector plays a crucial role in translating climate policies into activities on the ground.

This project is expected to create awareness on climate reporting among the relevant stakeholders, including the private sector. Representatives of the private sector will be invited to project inception workshops to provide their comments on the project design and their potential role in the relevant priority sectors of the project. Private sector actors will also be asked to collaborate by providing information and data needed not only for NDC tracking but also for the elaboration of transparent, accurate, consistent, comparable and complete GHG inventories such as activity data for the IPPU sector, information on energy efficiency measures, reforestation, among others. Eighteen (18) of the participating countries have identified specific private sector actors to be involved in activity data collection as part of their preliminary stakeholder assessments.

The evolution of economic activities and the impacts of alternative low carbon development measures will be considered in MRV activities in order to take stock of emissions and potential reductions obtained in the implementation of NDC strategies. Moreover, businesses may benefit from information about potential climate risks relevant for their activities (e.g. for agriculture and forests).

## **Gender**

This project has been designed to conform to 2018 guidance from the GEF on Gender Equality<sup>6</sup> and UNEP's Policy and Strategy for Gender Equality and the Environment. It will aim to support the Gender Action Plan of the UNFCCC<sup>7</sup> in the following ways:

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<sup>6</sup> GEF (2018). *GEF Policy on Gender Equality*.

<sup>7</sup> Decision 3/CP.23 <https://unfccc.int/resource/docs/2017/cop23/eng/11a01.pdf#page=13> Accessed October 30, 2019.

National teams will be encouraged to refer to the *Gender Responsive National Communications Toolkit*, which was developed through the GEF-funded Global Support Programme (GSP). This toolkit is accessible at the GSP website<sup>8</sup>. Countries will also receive information on updated guidance on the integration of gender into national reporting when this guidance becomes available in early 2023 under the GEF project “[Global Capacity Building Initiative for Transparency \(CBIT\) Platform Phase II A: Unified Support Platform and Program for Article 13 of the Paris Agreement](#).”

Efforts will be made to have acceptable gender representation in project management structures as well as in capacity building activities, and women’s participation in the project will be documented. The executing agencies, in consultation with relevant entities, will identify a gender focal point in their working groups to track and itemize issues linked to their respective reporting sections - adaptation, mitigation and greenhouse gases, gender financing, capacity, technology needs, public awareness, education, constraints and gaps. A short summary or section under the itemized issues will be prepared and linked to the NCs and BTRs. A gender sensitive workshop/training for the Project Management Team, Thematic Working Groups, sector ministries, and selected environment and gender-based NGOs will be organized to support gender-equity measures in NC and BTR processes. Institutions to be consulted on gender issues at national level will include, but not limited to: Ministries in charge of gender, the gender focal point for the convention on climate change, civil society organizations working in the fields of gender and climate change as well as research institutions and development partners working on gender issues. Participating countries will also be encouraged to actively participate in the development of a synthesis report on the implementation of the gender action plan as adopted by COP 23.

At present, 22 of the participating countries have appointed a UNFCCC gender focal point. Countries have communicated anticipated activities related to gender mainstreaming and women’s meaningful participation in Project activities through country questionnaires. The most common gender-related actions proposed were undertaking activities to ensure equitable participation of women in the project structure and activities and gender-sensitive reporting, such as sex-disaggregated data and gender-sensitive indicators. The next most frequent activities involved stakeholder engagement, such as consultations, and outreach, such as training and capacity strengthening for women’s organizations. Information on national/sectoral gender-related policies and key stakeholders for participating countries is provided separately in individual country questionnaires.

Additional information on stakeholders’ involvement, private sector engagement, gender aspects to be considered by participating countries is available as a separate addendum to the CEO endorsement request.

## **RISKS**

While most countries have already established a reasonable technical and institutional basis to prepare and deliver their reports, the overall project risk is moderate. Project risks are related to (i) the existence of weak institutional arrangements; (ii) poor stakeholder consultation processes; (iii) the possibility that countries may produce reports that lack adequate depth and quality due to lack of data; and (iv) delays in report completion by countries. UNEP will assist country teams to work towards mitigating the anticipated risks as follows:

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<sup>8</sup> <http://www.un-gsp.org/news/gender-responsive-national-communications-toolkit> Accessed October 30, 2019.

**TABLE 4: Project Risks and Proposed Measures to Mitigate Risks during Project Implementation**

Risk	Level of Risk	Commentary and Mitigating Strategies and Actions
1. <i>Organizational risk (participating countries):</i> Limited consultations and weak participation process amongst stakeholders due to institutional rivalries or rigidities which hamper responsiveness of project outputs to national development needs as well as effective work delivery and quality of the outputs.	Moderate	<ul style="list-style-type: none"> <li>▪ UNEP will encourage peer support by linking-up country teams within regional networks, to exchange data and information, tools and methodologies, lessons learnt and good practices to enhance the quality and utility of national reports.</li> <li>▪ Teams will also refer to the various toolkits for assisting non-Annex I Parties in establishing and maintaining the most suitable national institutional arrangements to meet the enhanced reporting requirements for BTRs and NCs, e.g. a toolkit developed by the UNFCCC Secretariat.</li> </ul>
2. <i>Operational risk (Implementing Agency):</i> Superficial and/or delayed reporting/no cost extension	Moderate	<ul style="list-style-type: none"> <li>▪ UNEP will provide enhanced execution support to countries experiencing difficulties in drafting terms of references and identifying regional/international experts to facilitate training of local experts to understand the UNFCCC reporting guidelines and ensure effective and timely work delivery.</li> <li>▪ In cases where there are challenges in the project, UNEP team will undertake country missions where possible to discuss financial and technical matters, and any other factors that may be hindering project delivery.</li> </ul>
4. <i>Operational risk (Implementing Agency):</i> The possibility of most countries producing reports that lack adequate depth and quality	Moderate	<ul style="list-style-type: none"> <li>▪ UNEP will advise on access to methodologies and guidance notes for BTR and NC preparation, and recommend participation in capacity building initiative workshops, webinars organized by the CGE, IPCC, UNFCCC, CBIT and other organizations.</li> <li>▪ UNEP will raise the level of project supervision and work closely with the CBIT Phase II Project Implementation Unit to help countries identify regional centres of excellence in both Annex I and non-Annex I countries to help countries access climate relevant data, information and appropriate analytical tools particularly in the areas of vulnerability and adaptation. UNEP will also encourage south-south cooperation and peer support by linking up country teams to exchange data and information, tools and methodologies, lessons learnt and good practices – likely to be undertaken through the CBIT platform.</li> </ul>
5. <i>Political risks:</i> It is expected that political unrest/ instability in any of the Countries, will impede implementation of project activities and completion of the project within the stipulated time frame.	Moderate	<ul style="list-style-type: none"> <li>▪ UNEP will make use of its Regional Offices and/or other UN Offices to liaise with the national government to assess the situation and put measures in place to ensure that the project incurs minimum losses and that project activities resume once the national situation is favourable.</li> <li>▪ The institutional arrangements of these projects are designed to include a broad cross section of ministries/experts involved in addressing climate change and as such aim to maintain some continuity of personnel between administrations.</li> <li>▪ Within the government, national projects usually interact with technical staff, who are most likely to remain after elections as civil servants serving elected officials. As such, projects usually receive continued support from these technical staff between elections and advocate for the project under new political administrations.</li> </ul>
6. <i>Environmental risks/hazards:</i> Occurrences of extreme weather events – floods, hurricane, droughts etc. will slow/stop implementation of project activities and completion of the project within the stipulated time frame.	Low	<ul style="list-style-type: none"> <li>▪ National teams will be encouraged to create more awareness on climate change related hazards/disasters; enhance coordination of efforts between institutions for risk assessment, improve early warning systems to mitigate impacts and increase resilience to extreme events.</li> <li>▪ National teams will be encouraged to prioritize data storage and archiving processes, to prevent loss of data /information which would impact the timely completion of the project.</li> </ul>

**COVID-19:** While it is noted that the risks related to the COVID-19 global pandemic have abated substantially in recent months, the programme and national project teams will nonetheless take steps to minimize the risks related to pandemics and other threats noted under the UNEP Environmental and Social Sustainability Framework's Safeguard Standard 4: Community Health, Safety and Security, which recognizes that programme/project activities may increase community exposure to health hazards, which may include infectious disease. National teams will be encouraged to consider virtual/alternative means of consultation, training, reviews, and other activities when needed.

## **Knowledge Management**

At the national level, the BTR/NC preparation process is designed to enhance public participation and create awareness on climate change issues. The reporting process presents an opportunity to promote information sharing and networking amongst all relevant institutions and stakeholders at national and local levels. Parties will indicate, where applicable, national climate change communication strategies that have been put in place, or that are proposed, to enhance the general understanding of climate change issues and integration of the same in national development planning processes. Preferred channels for information sharing and dissemination will be identified and set up during the project implementation phase; this may include websites, e-libraries and climate change offices. Participating countries shall be required to identify and elaborate a plan of activities for raising awareness and education for different groups of people. This may include the use of publications, training workshops, and public meetings to disseminate project findings at different stages.

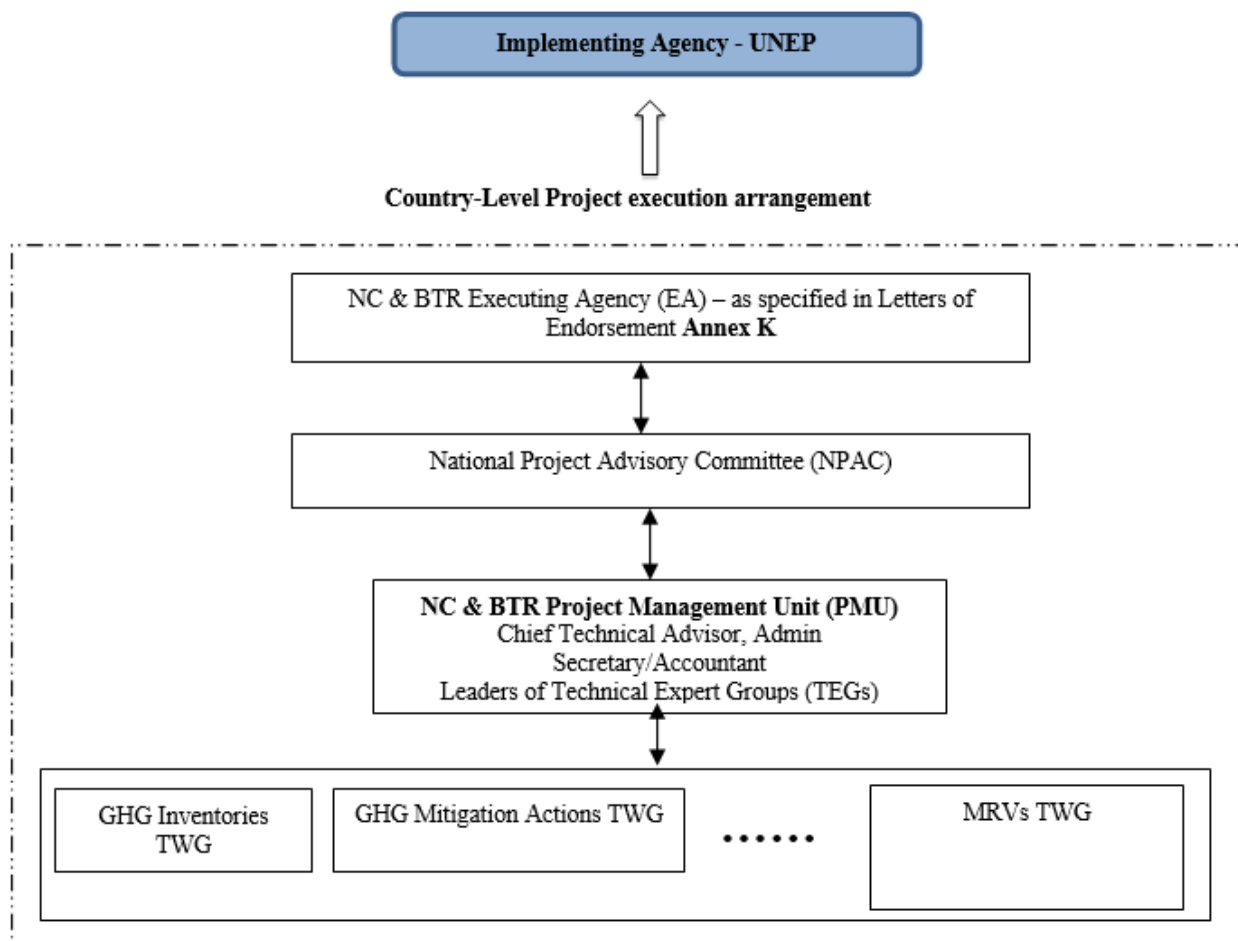
Once drafting and compiling BTR and/or combined BTR/NC information is complete, participating countries will be encouraged to produce a single document that includes an executive summary. The document may be presented as a hard copy and in electronic format. The executive summary, which should be no more than 10 pages long, will be used for the purpose of making the report and its key findings accessible to policymakers, the media, and the public.

At the regional & international levels, participating countries will be encouraged to join regional MRV networks to share their experiences and lessons learnt in national reporting. This support will be linked to regional network coordinators and international experts, who will provide guidance to countries as needs arise while enhancing south-south networking. Participating countries will also be requested to exchange data and information, tools and methodologies, lessons learnt, and good practices to enhance the quality and utility of their reports through a streamlined website that will merge two GEF-supported websites: the CBIT Global Platform website and the Global Support Programme (GSP) website. The merged GSP/CBIT website will provide information and materials, tools, relevant links, and country pages; and online learning modules and webinars. This support platform aims to provide streamlined support and capacity building at the country, regional, and global levels to enable Non-Annex I countries under the UNFCCC and developing countries under the Paris Agreements to better respond to reporting requirements and to catalyze increased ambition within country NDCs.

### C. DESCRIBE THE ENABLING ACTIVITY AND INSTITUTIONAL FRAMEWORK FOR PROJECT IMPLEMENTATION

The project will be implemented through the Economy Division of the United Nations Environment Programme and executed by national entities. The general national project execution arrangements involve the establishment of Project Management Units (PMU) within the EAs for the overall management of all aspects of the project implementation. The PMU will comprise of a Chief Technical Advisor (CTA) or Technical Advisor (TA) and a Project Administrative Secretary/Accountant. The CTA/ TA will provide technical support to the national Technical Expert Groups (TEGs). The TEGs will be constituted along different Thematic Working Groups (TWG) (e.g. GHG Inventories, GHG mitigation, domestic measurement reporting and verification arrangements, BTR/NC support needs) depending on the project type. EAs will be encouraged to identify gender focal points in all working groups to track and itemize issues linked to their respective reporting sections - adaptation, mitigation and greenhouse gases, gender financing, capacity, technology needs, public awareness, education, constraints and gaps. Any other relevant group will be established, based on decisions of the National Project Advisory Committee (NPAC) members.

**FIGURE 3:** Project Execution Arrangement



Out of the forty-three (43) countries that have confirmed their participation in this umbrella; the following have nominated executing partners as follows:-

1. Ministry of Environment and Sustainable Development (Argentina)
2. Department of Environmental Planning and Protection (Bahamas)
3. Department of Environment (Bangladesh)
4. Permanent Secretariat of the National Council for Sustainable Development (SP-CNDD) (Burkina Faso)
5. Burundian Office for Environment Protection (OBPE) (Burundi)
6. Ministry of Environment, Protection of Nature and Sustainable Development (MINEPDED) (Cameroon)
7. Ministry of Environment and Sustainable Development (Central African Republic)
8. Ministry of Agriculture, Fisheries, Environment, Tourism and Crafts (Comoros)
9. Ministry of Economy and Finance (Cote D'Ivoire)
10. Ministry of Environment and Sustainable Development (Democratic Republic of Congo)
11. Ministère de l'Environnement et du Développement Durable (Djibouti)
12. Ministry of Environment and Natural Resources (Dominican Republic)
13. Execution partner to be defined at project agreement signing phase (Ecuador)
14. Ministry of Tourism and Environmental Affairs (Eswatini)
15. Ministry of Economy (Fiji)
16. Minister of Water, Forests, Sea, of the Environment, in charge of the Climate Plan and Land Use Plan (Gabon)
17. National Environment Agency (Gambia)
18. Environmental Protection Agency (Ghana)
19. Ministry of Environment and Biodiversity (Guinea Bissau)
20. Ministry of Environment Lands and Agricultural Development (Kiribati)
21. Ministry of Natural Resources, Ecology and Technical Supervision (Krygystan)
22. Ministry of Tourism, Environment and Culture (Lesotho)
23. Agence de l'Environnement et du Développement Durable (Mali)
24. Ministry of Finance, Economic Planning and Development (Mauritius)
25. Environment Projects Implementation Unit (Moldova)
26. Ministry of Environment and Tourism of Mongolia (Mongolia)
27. Ministry of Planning (Niger)
28. Ministry of Climate Change (Pakistan)
29. Rwanda Environment Management Authority (Rwanda)
30. Ministry of Finance (Saint Kitts and Nevis)
31. Ministry of Education, Sustainable Development, Innovation, Science, Technology and Vocational Training, (Saint Lucia)
32. Ministry of Agriculture, Climate Change and Environment (Seychelles)
33. Environment Protection Agency Ministry of the Environment (Sierra Leone)
34. Department of Environment, Forestry and Fisheries (South Africa)
35. Centre of Hydrometeorological Service (Uzbekistan)
36. Climate Change Department (Vanuatu)
37. Ministry of Environment, Climate, Tourism and Hospitality Industry (Zimbabwe)

Country-specific information on the implementation arrangements to be used for the BTR/NC project, for the above projects is included as an Addendum to this CEO endorsement request. The remaining six (6) countries requesting resources through to up financing will make use of the existing structures, sectoral experts and consultants currently working on NCs and/or BURs to prepare their first BTR during the implementation of the current Project. This explains why there is no additional information provided for these countries in the Addendum.

These are:-

1. Execution partner to be defined at project agreement signing phase (Iraq)
2. Ministry of Environment and Forestry (Kenya)
3. Ministry of Environment and Sustainable Development (Madagascar)

4. Ministry of Forestry and Environment (Nepal)
5. Ministry of Environment, Climate Change, Disaster Management and Meteorology (Solomon Islands)
6. Vice-President's Office (Tanzania)

UNEP has previous experience working with the above EAs during the preparation of previous NCs and or BURs and will therefore continue to play a pivotal role in assisting these teams to strengthen their capacities in reporting. UNEP in its role of IA will:

- Lead in internalization, UNEP Project Agreement signing and first disbursement/sub-allotment to executing agency
- Technically assess and oversee quality of project outputs, products and deliverables
- Review of reporting, checking for consistency between execution activities and expenditures, ensuring that it respects GEF incrementality rules.
- Clearance of cash requests, and authorization of disbursements once reporting is found to be complete and accurate
- Approve budget revision, certify fund availability and transfer funds
- Create consensus to resolve inter-institutional and multi-country issues
- Manage relations with the GEF
- Umbrella programme oversight and feedback on demand to GEF Operational Focal Points
- Follow-up with Executing agency for progress, equipment, financial and audit reports
- Provide no-objection to main TORs and subcontracts of the project, including selection of project manager or equivalent
- Attend inception workshops, field visits where relevant,
- Assess project risks, and monitor and enforce a risk management plan
- Ensure that GEF quality standards are applied consistently to all projects

## **D. DESCRIBE, IF POSSIBLE, THE EXPECTED COST-EFFECTIVENESS OF THE PROJECT:**

The umbrella programme approach, in general, presents multiple benefits compared to preparing and submitting 43 single-country enabling activity proposal requests to the GEF for approval by the end of 2022 (for 25 NC/BTRs and 29 stand-alone BTRs). UNEP has put several measures in place to ensure that the proposal preparation and approval process will be realized within a very short time and that participating countries have access to the GEF resources to commence BTR/NC preparation in early 2023. Having stated that, UNEP also recognizes that the document is generic and that there is no such thing as “one size fits all.” This strategic document will help each country to identify their scope of work based on their circumstances, appropriate institutional arrangements and stakeholder engagement mechanisms over the period of NCs and BTRs drafting.

On supporting countries to meet their BTR submission timelines, UNEP, in consultation with the GEF Secretariat, agreed to support countries advance their BTR funding request, even before they have completed their current NCs and /or BURs. This is done with the aim to shorten the funding gap between projects, so that by the time their ongoing NCs and /or BURs are submitted to the UNFCCC, the participating countries move directly into negotiating a project agreement with UNEP for funds disbursement. To this end, UNEP has committed to support in expediting the funding request from the GEF but will only disburse BTR/NC funding under this project after the UNFCCC submission processes of current reports have been completed and confirmed. What this means is that:

- Countries that have completed and submitted their NCs and /or BURs to the UNFCCC by CEO endorsement approval time will be ready to embark on NC/BTR1 processes immediately the CEO endorsement and commitment letter have been received
- Countries with ongoing NCs and /or BUR projects will first be supported to complete and submit current reports to the UNFCCC before they receive funding from UNEP to initiate the BTR or combined BTR/NC projects.

This approach will lengthen the overall umbrella programme duration (i.e. administrative side for UNEP) as NC/BTR1 and BTR2 commencement dates will vary by country. However, it will ensure timely access to GEF funding to all participating countries as and when they are ready to initiate their subsequent report, saving time in accessing GEF funding – as listed in Table 2.

One technical note: Under the BTR review process, the MPGs provide the option to LDCs and SIDS of participating in a centralized review as a group (decision 18/CMA.1, para. 157). LDCs and SIDS may also choose to participate as a group during the subsequent working group phase of the facilitative multilateral consideration of progress (Decision 18/CMA.1, para. 194). This is an idea that the UNFCCC Secretariat may explore for this group of countries. The structure of the umbrella programme therefore allows for country flexibility as well as options for countries to share lessons learnt and undergo the review process jointly.

## DESCRIBE THE BUDGETED M&E PLAN:

The project will be monitored through the following activities:

- A Project Inception Workshop at the national level will be held within two months of the start of the project, following the establishment of the Project Management Unit. The workshop will involve all key stakeholders identified during the national consultation process. An Inception Workshop report will be prepared and shared with participants to formalize various agreements and plans decided during the meeting.
- BTR and NC technical progress will be monitored against expenditures: The CTA/TA will be responsible for preparation of quarterly progress reports and expenditure statements. Technical progress and financial reports shall be reviewed by the UNEP Task Manager and Fund Management Officer.
- An annual project audit and final financial audit will be undertaken to assess probity (i.e. correctness, integrity, etc.) of expenditures and transactions.
- Reports will be compiled and transmitted to the GEF and the COP of the UNFCCC. As part of annual reporting routine, UNEP will continue to prepare and submit to the GEF annual report on UNEPs support for the preparation of NCs and BURs/BTRs which will include the status of implementation of the BTRs and combined BTR/NC projects.
- Project Implementation Review (PIR) Reports on the BTR and combined BTR/NC project progress will be prepared annually.
- The Executing Agency shall maintain complete and accurate records of non-expendable equipment purchased with GEF project funds and shall provide UNEP with an Annual Inventory of Non-expendable Equipment as of 31 December, which is to be submitted within 2 months of that date.
- The UNEP Task Manager will conduct periodic monitoring through discussions with key partners. Monitoring of activities will be based on the agreed schedule in the Project Implementation Plan to assess the status of implementation of the project. The monitoring of project activities will identify areas of improvements and will make recommendations on how to address gaps in project implementation. At the end of the project, a customized final terminal report will be administered to all executing partners to assess the effectiveness of the project.
- A final closure template will be shared with all executing partners at the end of the project, as part of project closure, to assess project effectiveness and indicate potential areas for further improvements.

**TABLE 5: M&E Budget and Workplan**

Type of M&E activity	Responsible Parties	Time Frame
Project Inception Workshop (PIW)	National Project Management Unit, Technical Expert Groups and UNEP Task Manager to raise awareness, build stakeholder engagement and detailed work planning	Within 2 months of project start-up and establishment of the project management unit
Project Inception Report	CTA/TA& UNEP Task Manager	Not more than 1 month after the Project Inception Workshop



Type of M&E activity	Responsible Parties	Time Frame
Technical progress reports & expenditure statements	National Project Management Unit, Task Manager, Funds Management Officer	Half yearly expenditure and technical progress reports for any given year, submitted by January 31, and July 31 and at the end of project implementation
Report to the GEF and COP of UNFCCC	National Project Management Unit, Task Manager, Funds Management Officer	Annually, part of reporting routine
Project Implementation Review (PIR) report	UNEP Task Manager	Annually, part of reporting routine
Annual Inventory of Non-expendable equipment	National Project Management Unit, Task Manager, Funds Management Officer	Annually, as at 31 December of each year, to be submitted within 2 months
Project Monitoring	UNEP Task Manager	Continuous
Final closure	National Project Management Unit, Task Manager, FMO, Consultant(s)	Initiated no earlier than six months prior to the operational completion of project activities

## F. EXPLAIN THE DEVIATIONS FROM TYPICAL COST RANGES (WHERE APPLICABLE):

This project is submitted as an umbrella and is composed of forty-three (43) national projects, for which UNEP will draw separate legal agreements. Given that these projects will have to be managed using PMC resources and that each project is considered an ‘enabling activity’ at country level – which applies the 10% PMC allocation as per the most recent GEF costing of BTRs and NCs Policy document.<sup>9</sup> In this case, as a non-expedited enabling project, the project management cost is estimated at US\$ 2,829,522 as calculated in Table B. This is similar to the submission of the PFD, where the PMC rule is applied to each child project, hence the sum-up of the PMC is different than the recommended amount for a GEF full-sized project (FSP).

### Proposed Project Management Costs at the Umbrella Level

Single Country Project		Umbrella Level PMC proposed		
Project	10% PMC allocated/report	Number of BTRs/NCs	Umbrella cost	PMC as 10% of each country cost
BTR @ US\$ 600,000	US\$ 54,545	12 BTRs * US\$ 600,000	US\$ 7,200,000	US\$654,540
Combined BTR/NC @ US\$ 633,000	US\$ 57,545	14 Combined BTR/NCs * US\$ 633,000	US\$ 8,862,000	US\$805,630
Combined BTR/NC + BTR @ 1,233,000	US\$ 112,090	11 Combined BTR/NCs and BTRs * US\$ 1,233,000	US\$ 13,563,000	US\$1,232,990
Top-up BTR @ 250,000	US\$ 22,727	6 BTR top-ups *US\$ 250,000	US\$ 1,500,000	US\$136,362
<b>Total</b>			<b>US\$ 31,125,000</b>	<b>US\$ 2,829,522</b>

<sup>9</sup> Information Note on the Update of the Costing Structure for the Financing of Biennial Transparency Reports for the Developing Country Parties to the Paris Agreement (GEF/C.62/Inf.15 dated 02 June 2022).

### PART III: ENDORSEMENT/APPROVAL BY GEF OPERATIONAL FOCAL POINT(S) AND GEF AGENCY(IES)

1. **RECORD OF ENDORSEMENT OF GEF OPERATIONAL FOCAL POINT(S) ON BEHALF OF THE GOVERNMENT(S):**  
(Please attach the *Operational Focal Point endorsement letter(s)* with this template).

PARTY	NAME	POSITION	MINISTRY	DATE (mm/dd/yyyy)
1. Argentina	Mr. Martin Manuel Illescas	General Director of Projects with External Financing and International Cooperation	Ministry of Environment and Sustainable Development	09/28/2022
2. Bahamas	Dr. Rhianna Neely-Murphy	Director / GEF OFP	The Department of Environmental Planning and Protection	09/28/2022
3. Bangladesh	Dr. Farhina Ahmed	Secretary / GEF OFP	Ministry of Environment, Forest and Climate Change	10/19/2022
4. Burkina Faso	Mr. Somanegre Nana	Technical Coordinator/ GEF OFP	Ministry of Environment, Green Economy and Climate Change	09/21/2022
5. Burundi	Mr. Emmanuel Ndorimana	Permanent Secretary/GEF OFP	Ministry of Environment, Agriculture and Livestock	09/21/2022
6. Cameroon	Dr. Unusa Haman	Sub-Director for Environmental Planning/GEF OFP	Ministry of Environment, Protection of Nature and Sustainable Development (MINEPDED)	09/22/2022
7. Central African Republic	Mr. Lambert Gnapelet	Meteorological Engineer and Environment Manager /GEF OFP	Ministry of Environment and Sustainable Development	09/27/2022
8. Comoros	Mr. Youssouf Elamine Youssouf Mbechezi	Director General for Environment and Forests /GEF OFP	Ministry of Agriculture, Fishing, Environment and City Planning	10/17/2022
9. Cote d'Ivoire	Mrs. Alimata Kone	Permanent Secretary/GEF OFP	CNFEM (GEF NATIONAL COMMISSION)	09/22/2022
10. Democratic Republic of Congo (DRC)	Mr. Godefroid Ndaukila Muhinya	Director-Head of Service of the Sustainable Development Department /GEF OFP	Ministry of Environment and Sustainable Development	09/26/2022
11. Dominican Republic	Ms. Milagros De Camps	Vice Minister for Climate Change and Sustainability / GEF OFP	Ministry of Environment and Natural Resources	08/31/2022
12. Djibouti	Mr. Dini Abdallah Omar	Secretary General/GEF OFP	Ministry of Environment and Sustainable Development	09/21/2022

13. Ecuador	Jose Luis Naula	Director for International Cooperation	Ministry of Environment, Water and Ecological Transition	09/30/2022
14. Eswatini	Ms. Khangeziwe Glory Mabuza	Principal Secretary / GEF OFP	Ministry of Tourism and Environment Affairs	11/14/2022
15. Fiji	Mr. Joshua Wycliffe	Permanent Secretary/GEF OFP	Ministry of Waterways and Environment	10/06/2022
16. Gabon	Mr. Stanislas Stephen Mouba Olouna	Director General /GEF OFP	Directorate General for the Environment and Protection of Nature	10/20/2022
17. Gambia	Dr.Badgie Dawda	Executive Director/GEF OFP	National Environment Agency	09/26/2022
18. Ghana	Mr. Isaac Charles Acquah Jnr	Chief Programme Officer/GEF OFP	Environmental Protection Agency	09/26/2022
19. Guinea Bissau	Mr. Lourenco Antonio Vaz	GEF OFP	Ministry of Environment and Biodiversity	09/21/2022
20. Iraq	Dr. Jasim Abdulazeez Humadi	Deputy Minister	Ministry of Environment	10/09/2022
21. Kenya	Dr. Christopher Kiptoo	Principal Secretary/ GEF OFP	Ministry of Environment and Forestry	09/07/2022
22. Kiribati	Mrs. Nenenteiti Teariki Ruatu	Director, Environment and Conservation Division / GEF OFP	Ministry of Environment, Lands, and Agricultural Development	09/08/2022
23. Kyrgyzstan	Mrs. Dinara Kutmanova	Director/GEF OFP	The State Agency on Environment Protection and Forestry of the Kyrgyz Republic	11/23/2022
24. Lesotho	Mr. Stanely M. Damane	GEF OFP	Ministry of Tourism, Environment and Culture	09/26/2022
25. Madagascar	Dr. Hery A. Rakotondravony	GEF OFP	Ministry of Environment and Sustainable Development	09/26/2022
26. Mali	Mr. Amidou Goïta	GEF OFP	Agence de l'Environnement et du Développement Durable	09/08/2022
27. Mauritius	Mr. Dharam Dev Manraj	Financial Secretary/GEF OFP	Ministry of Finance, Economic Planning and Development	09/21/2022
28. Moldova	Mr. Petru Tataru	Head of Policy Analysis, Monitoring and Evaluation Dept. / GEF OFP	Ministry of Environment	09/09/2022
29. Mongolia	Mr. Shagdarsuren Tserendulam	Director General, Climate Change Department/GEF OFP	Ministry of Environment and Tourism	09/23/2022

30. Nepal	Mr. Ishwori Prasad Aryal	Joint Secretary/GEF OFP	Ministry of Finance	10/10/2022
31. Niger	Mr. Yakoubou Mahaman Sani	Director General/GEF OFP	Ministry of Planning	10/17/2022
32. Pakistan	Mr. Syed Mujtaba Hussain	GEF OFP	Government of Pakistan Ministry of Climate Change	09/26/2022
33. Rwanda	Juliet KABERA	Director General/ GEF OFP	Rwanda Environment Management Authority (REMA)	10/04/2022
34. Saint Kitts and Nevis	Ms. Lavern Queeley	Director General/ GEF OFP	Ministry of Finance	09/26/2022
35. Saint Lucia	Ms. Samantha Justin	Chief Technical Officer/GEF OFP	Ministry of Education, Sustainable, Development, Innovation, Science, Technology and Vocational Training	09/22/2022
36. Seychelles	Mr. Will Agricole	GEF OFP	Ministry of Agriculture, Climate Change and Environment	09/23/2022
37. Sierra Leone	Mr. Sheku Mark Kanneh	Director/ GEF OFP	Environment Protection Agency, Ministry of the Environment	09/29/2022
38. Solomon Islands	Mr. Chanel Iroi	Deputy Secretary Technical / GEF OFP	Ministry of Environment, Climate Change, Disaster Management and Hydrometeorology	10/17/2022
39. South Africa	Mr. Zaheer Fakir	Acting Deputy Director General/ GEF OFP	Department of Environment, Forestry, and Fisheries	09/03/2022
40. Tanzania	Dr. Andrew Komba	Director of Environment / GEF OFP	Vice-President's Office	09/15/2022
41. Uzbekistan	Jakhongir Talipov	GEF OFP	State Committee of the Republic of Uzbekistan for Ecology and Environmental Protection	25/10/2022
42. Vanuatu	Mrs. Esline Garaebiti	GEF OFP	Ministry of Climate Change, Adaptation, Meteorology, Geo-Hazards, Environment and Energy & NDMO	10/11/2022
43. Zimbabwe	Tanyaradzwa MUNDOGA (Mr.)	GEF OFP	Ministry of Environment, Tourism & Hospitality Industry	09/29/2022

## B. CONVENTION PARTICIPATION

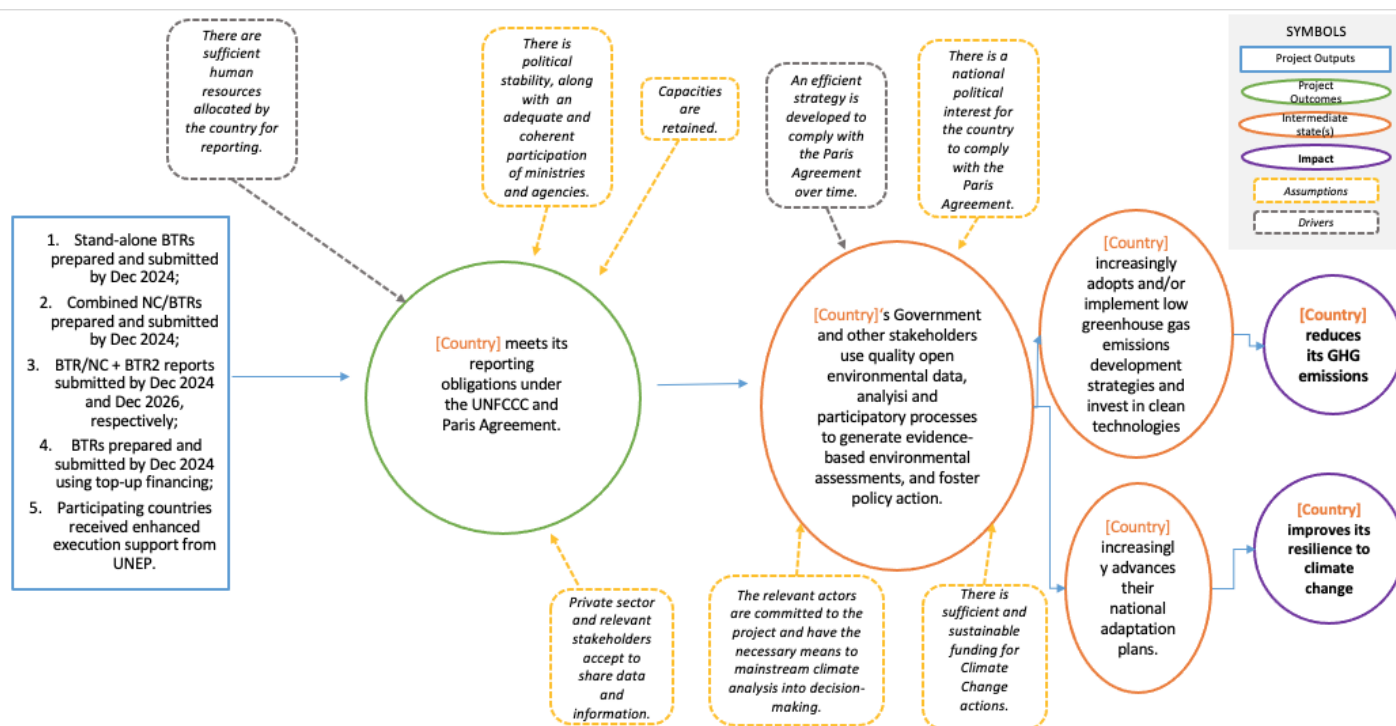
CONVENTION	COUNTRY	DATE OF RATIFICATION/ ACCESSION	NATIONAL FOCAL POINT
1. UN Framework Convention on Climate Change	Argentina	11 Mar 1994	Ms. Cecilia Nicolini
2. UN Framework Convention on Climate Change	Bahamas	29 Mar 1994	Mr. David Cates Ms. Rhianna Neely-Murphy Ms. Rochelle Newbold
3. UN Framework Convention on Climate Change	Bangladesh	15 Apr 1994	Ms. Farhina Ahmed
4. UN Framework Convention on Climate Change	Burkina Faso	2 Sep 1993	Mr. Do Etienne Traore
5. UN Framework Convention on Climate Change	Burundi	6 Jan 1997	Mr. Augustin Ngenzirabona
6. UN Framework Convention on Climate Change	Cameroon	19 Oct 1994	Mr. Témothée Kagonbé
7. UN Framework Convention on Climate Change	Central African Republic	10 Mar 1995	Mr. Igor Gildas Tola Kogadou
8. UN Framework Convention on Climate Change	Comoros	31 Oct 1994	Mr. Abdou Salami Mihidjay Mr. Mohamed Said Mkandzile Abd-El-Malik
9. UN Framework Convention on Climate Change	Cote d'Ivoire	29 Nov 1994	Mr. Abé Yapo Eric-Michel Assamoi
10. UN Framework Convention on Climate Change	Democratic Republic of Congo (DRC)	9 Jan 1995	Mr. Rémy Mangani Muzinga Ms. Martine Mbombo Badibanga Kamunga
11. UN Framework Convention on Climate Change	Djibouti	27 Aug 1995	Mr. Dini Abdallah Omar H.E. Mr. Mohamed Moussa Ibrahim
12. UN Framework Convention on Climate Change	Dominican Republic	7 Oct 1998	Mr. Max Puig Ms. Milagros Marina De Camps German S.E. Sr. Orlando Jorge Mera
13. UN Framework Convention on Climate Change	Ecuador	23 Feb 1993	Mr. Walter Schuldt Ms. Karina Barrera
14. UN Framework Convention on Climate Change	Eswatini	7 Oct 1996	Ms. Khangeziwe Mabuza
15. UN Framework Convention on Climate Change	Fiji	25 Feb 1993	Mr. Shiri Gounder
16. UN Framework Convention on Climate Change	Gabon	21 Jan 1998	Mr. Tanguy Gahouma-Bekale
17. UN Framework Convention on Climate Change	Gambia	10 Jun 1994	Mr. Alpha A.K. Jallow
18. UN Framework Convention on Climate Change	Ghana	6 Sep 1995	Mr. Daniel Tutu Benefoh

19. UN Framework Convention on Climate Change	Guinea Bissau	27 Oct 1995	Mr. Luis Soares Cassama Viriato
20. UN Framework Convention on Climate Change	Iraq	28 Jul 2009	Mr. Hadi Hamdi Mahdi Mahdi Mr. Abbas Abdulhussein M.Salih Mr. Jasim Hammadi Mr. Mustafa Mostafa Mr. Yousif Yousif
21. UN Framework Convention on Climate Change	Kenya	30 Aug 1994	Mr. Teriako Kobiko Ms. Pacifica Ogola
22. UN Framework Convention on Climate Change	Kiribati	7 Feb 1995	Mr. Tabutoa, Ruui
23. UN Framework Convention on Climate Change	Kyrgyzstan	25 May 2000 a	Mr. Dastan Abdyldaev Ms. Dinara Kutmanova
24. UN Framework Convention on Climate Change	Lesotho	7 Feb 1995	Mr. Mokoena France
25. UN Framework Convention on Climate Change	Madagascar	2 Jun 1999	Mr. Michel Omer Laivao
26. UN Framework Convention on Climate Change	Mali	28 Dec 1994	Mr. Drissa Doumbia
27. UN Framework Convention on Climate Change	Mauritius	4 Sep 1992	Ms. Moheenee Nathoo
28. UN Framework Convention on Climate Change	Moldova	9 Jun 1995	Ms. Iordanca-Rodica Iordanov
29. UN Framework Convention on Climate Change	Mongolia	30 Sep 1993	Mr. Batjargal Zamba
30. UN Framework Convention on Climate Change	Nepal	2 May 1994	Mr. Buddi Sagar-Poudel Mr. Pem Narayan Kandel
31. UN Framework Convention on Climate Change	Niger	25 Jul 1995	Mr. Kamaye Maazou
32. UN Framework Convention on Climate Change	Pakistan	1 Jun 1994	Mr. Usman Jadoon
33. UN Framework Convention on Climate Change	Rwanda	18 Aug 1998	Mr. Munyazikwiye Faustin
34. UN Framework Convention on Climate Change	Saint Kitts and Nevis	7 Jan 1993	Ms. June Hughes Mr. E. Alistair Edwards
35. UN Framework Convention on Climate Change	Saint Lucia	14 Jun 1993	Ms. Annette Rattigan-Leo Ms. Anita Montoute
36. UN Framework Convention on Climate Change	Seychelles	22 Sep 1992	Mr. Will Agricole
37. UN Framework Convention on Climate Change	Sierra Leone	22 Jun 1995	Mr. Gabriel Kpaka
38. UN Framework Convention on Climate Change	Solomon Islands	28 Dec 1994	Mr. Chanel Iroi

39. UN Framework Convention on Climate Change	South Africa	29 Aug 1997	Ms. Judith Maria Kombrink
40. UN Framework Convention on Climate Change	Tanzania	17 Apr 1996	Mr. Kanizio Fredrick Kahema Manyika
41. UN Framework Convention on Climate Change	Uzbekistan	20 Jun 1993	Mr. Sherzod Khabibullaev
42. UN Framework Convention on Climate Change	Vanuatu	25 Mar 1993	Mr. Mike Sam Waiwai Mr. Sanlan William Mr. Yvon Basil Ms. Florence Iautu Ms. Leana William
43. UN Framework Convention on Climate Change	Zimbabwe	3 Nov 1992	Mr. Washington Zhakata

## ANNEX 1: THEORY OF CHANGE

The theory of change for the umbrella project reflects a rationale that is consistent with the approaches of previous and ongoing UNEP-GEF climate change enabling activities. As national teams get better in applying the recommended NC and BTR/BUR guidelines, human and national institutional capacities become strengthened over time. Continuous preparation of these reports using established institutions and effective engagement of stakeholders at all levels will increase ownership and uptake of project findings at all levels. This will result in NCs and BTRs that are responsive to national development needs and inform national planning and climate policy formulation. At the international level, accurate, consistent and internationally comparable data on GHG emissions will inform the international community to take the most appropriate action to mitigate climate change, and ultimately to achieve the objective of the Convention. Information generated in this process is deliberated at intergovernmental climate change meetings, used to inform CoP decisions as well as support the development of other major international goals, such as the sustainable development goals. A schematic representation of the Theory of Change (ToC) of the umbrella project is presented below.





## ANNEX 2: GEF-7 TAXONOMY

Level 1	Level 2	Level 3	Level 4
<input checked="" type="checkbox"/> Influencing models			
	<input type="checkbox"/> Transform policy and regulatory environments		
	<input checked="" type="checkbox"/> Strengthen institutional capacity and decision-making		
	<input type="checkbox"/> Convene multi-stakeholder alliances		
	<input type="checkbox"/> Demonstrate innovative approaches		
	<input type="checkbox"/> Deploy innovative financial instruments		
<input checked="" type="checkbox"/> Stakeholders			
	<input type="checkbox"/> Indigenous Peoples		
	<input type="checkbox"/> Private Sector		
		<input type="checkbox"/> Capital providers	
		<input type="checkbox"/> Financial intermediaries and market facilitators	
		<input type="checkbox"/> Large corporations	
		<input type="checkbox"/> SMEs	
		<input type="checkbox"/> Individuals/Entrepreneurs	
		<input type="checkbox"/> Non-Grant Pilot	
		<input type="checkbox"/> Project Reflow	
	<input type="checkbox"/> Beneficiaries		
	<input type="checkbox"/> Local Communities		
	<input type="checkbox"/> Civil Society		
		<input type="checkbox"/> Community Based Organization	
		<input type="checkbox"/> Non-Governmental Organization	
		<input type="checkbox"/> Academia	
		<input type="checkbox"/> Trade Unions and Workers Unions	
	<input checked="" type="checkbox"/> Type of Engagement		
		<input checked="" type="checkbox"/> Information Dissemination	
		<input checked="" type="checkbox"/> Partnership	
		<input type="checkbox"/> Consultation	
		<input type="checkbox"/> Participation	
	<input type="checkbox"/> Communications		
		<input type="checkbox"/> Awareness Raising	
		<input type="checkbox"/> Education	
		<input type="checkbox"/> Public Campaigns	
		<input type="checkbox"/> Behavior Change	
<input checked="" type="checkbox"/> Capacity, Knowledge and Research			
	<input checked="" type="checkbox"/> Enabling Activities		
	<input type="checkbox"/> Capacity Development		
	<input type="checkbox"/> Knowledge Generation and Exchange		
	<input type="checkbox"/> Targeted Research		
	<input type="checkbox"/> Learning		
		<input type="checkbox"/> Theory of Change	
		<input type="checkbox"/> Adaptive Management	
		<input type="checkbox"/> Indicators to Measure Change	
	<input type="checkbox"/> Innovation		
	<input checked="" type="checkbox"/> Knowledge and Learning		
		<input checked="" type="checkbox"/> Knowledge Management	
		<input type="checkbox"/> Innovation	
		<input checked="" type="checkbox"/> Capacity Development	
		<input type="checkbox"/> Learning	
	<input type="checkbox"/> Stakeholder Engagement Plan		
<input checked="" type="checkbox"/> Gender Equality			
	<input type="checkbox"/> Gender Mainstreaming		
		<input type="checkbox"/> Beneficiaries	
		<input type="checkbox"/> Women groups	
		<input type="checkbox"/> Sex-disaggregated indicators	

Level 1	Level 2	Level 3	Level 4
	<input checked="" type="checkbox"/> Gender results areas	<input type="checkbox"/> Gender-sensitive indicators	
		<input type="checkbox"/> Access and control over natural resources	
		<input type="checkbox"/> Participation and leadership	
		<input type="checkbox"/> Access to benefits and services	
		<input checked="" type="checkbox"/> Capacity development	
		<input checked="" type="checkbox"/> Awareness raising	
		<input checked="" type="checkbox"/> Knowledge generation	
<input checked="" type="checkbox"/> Focal Areas/Theme			
	<input checked="" type="checkbox"/> Climate Change		
		<input type="checkbox"/> Climate Change Adaptation	
			<input type="checkbox"/> Climate Finance
			<input type="checkbox"/> Least Developed Countries
			<input type="checkbox"/> Small Island Developing States
			<input type="checkbox"/> Disaster Risk Management
			<input type="checkbox"/> Sea-level rise
			<input type="checkbox"/> Climate Resilience
			<input type="checkbox"/> Climate information
			<input type="checkbox"/> Ecosystem-based Adaptation
			<input type="checkbox"/> Adaptation Tech Transfer
			<input type="checkbox"/> National Adaptation Programme of Action
			<input type="checkbox"/> National Adaptation Plan
			<input type="checkbox"/> Mainstreaming Adaptation
			<input type="checkbox"/> Private Sector
			<input type="checkbox"/> Innovation
			<input type="checkbox"/> Complementarity
			<input type="checkbox"/> Community-based Adaptation
			<input type="checkbox"/> Livelihoods
		<input type="checkbox"/> Climate Change Mitigation	
			<input type="checkbox"/> Agriculture, Forestry, and other Land Use
			<input type="checkbox"/> Energy Efficiency
			<input type="checkbox"/> Sustainable Urban Systems and Transport
			<input type="checkbox"/> Technology Transfer
			<input type="checkbox"/> Renewable Energy
			<input type="checkbox"/> Financing
			<input checked="" type="checkbox"/> Enabling Activities
		<input type="checkbox"/> Technology Transfer	
			<input type="checkbox"/> Poznan Strategic Programme on Technology Transfer
			<input type="checkbox"/> Climate Technology Centre & Network (CTCN)
			<input type="checkbox"/> Endogenous technology
			<input type="checkbox"/> Technology Needs Assessment
			<input type="checkbox"/> Adaptation Tech Transfer
		<input checked="" type="checkbox"/> United Nations Framework on Climate Change	
			<input type="checkbox"/> Nationally Determined Contribution
			<input type="checkbox"/> Paris Agreement
			<input type="checkbox"/> Sustainable Development Goals
		<input checked="" type="checkbox"/> Climate Finance (Rio Markers)	
			<input type="checkbox"/> Climate Change Mitigation 1
			<input checked="" type="checkbox"/> Climate Change Mitigation 2
			<input checked="" type="checkbox"/> Climate Change Adaptation 1
			<input type="checkbox"/> Climate Change Adaptation 2

### ANNEX 3: SAFEGUARD RISK IDENTIFICATION FORM (SRIF)

Activities under the proposed project are expected to generate no or limited adverse environmental effects, since most activities of the project are considered to support preventive measures. The Project will, generally, have positive environmental and social impacts as the project targets to support LDCs and SIDS countries meet their reporting obligation under the UNFCCC, in addition to generating a wealth of climate change related data to guide in designing priority adaptation and mitigation policies and actions to inform development strategies and sector programs.

#### Safeguard Risk Identification Form (SRIF)

Identification	018979
Project Title	<b><i>Umbrella Programme for Preparation of Biennial Transparency Reports and National Communications to the UNFCCC</i></b>
Managing Division	<i>Economy Division</i>
Type/Location	<i>National</i>
Region	<i>Global</i>
List Countries	<i>Forty-three (43) countries: Argentina; Bahamas; Bangladesh; Burkina Faso; Burundi; Cameroon; Central African Republic; Comoros; Cote d'Ivoire; DR Congo; Djibouti; Dominican Republic; Ecuador, Eswatini; Fiji; Gabon; Gambia; Ghana; Guinea Bissau; Iraq; Kenya; Kiribati; Kyrgyzstan; Lesotho; Mali; Madagascar; Mauritius; Moldova; Mongolia; Nepal; Niger; Pakistan; Rwanda; Saint Kitts and Nevis; Saint Lucia; Seychelles, Sierra Leone; Solomon Islands; South Africa; Tanzania; Uzbekistan; Vanuatu; Zimbabwe</i>
Project Description	<p><i>The objective of this project is to support forty-three (43) developing countries to prepare and submit Biennial Transparency Reports and National Communications that comply with the United Nations Framework Convention on Climate Change/ Paris Agreement reporting requirements; and respond to their national development goals. The project has been designed with one outcome, which is to support these countries meet their BTR and NC reporting requirements under the UNFCCC. This outcome will be realized through the following five outputs:</i></p> <p><i>1.1.1 Twelve (12) stand-alone BTRs prepared and submitted to the UNFCCC</i>  <i>1.1.2 Fourteen (14) BTR/NCs prepared and submitted to the UNFCCC</i>  <i>1.1.3 Eleven (11) BTR/NC + BTR2 bundled reports prepared and submitted to the UNFCCC</i>  <i>1.1.4 Six (6) BTRs prepared and submitted to the UNFCCC from ongoing NC/BUR projects using top-up financing</i>  <i>1.1.5 Countries receive enhanced execution support services from UNEP</i></p> <p><i>It is expected that at the end of the project, 25 BTR/NCs and 29 BTRs will have been submitted to the UNFCCC Secretariat by the respective Parties being supported under this project. UNEP will provide extra administrative and technical support (enhanced execution support – output 1.1.5) to ensure that this group of countries expedites the preparation of these</i></p>

	<i>reports, in an effort to meet the Paris Agreement requirement for report submission by Dec. 2024 for non LDC and SIDS countries.</i>
<b>Relevant Subprogrammes</b>	<i>Climate Mitigation Unit, Economy Division</i>
<b>Estimated duration of project</b>	<i>60 months</i>
<b>Estimated cost of the project</b>	<i>US\$ 32,058,750</i>
<b>Name of the UNEP project manager responsible</b>	
<b>Funding Source(s)</b>	<i>Global Environment Facility (GEF)</i>
<b>Executing/Implementing partner(s)</b>	<i>43 National governments</i>
<b>SRIF submission version</b>	<i>If it is not the first time, mark the time of your previous submission Concept Review [ x ] During Project development [ x ] PRC [ ] Other _____</i>
<b>Safeguard-related reports prepared so far</b>  <i>(Please attach the documents or provide the hyperlinks)</i>	<ul style="list-style-type: none"> <li>• <i>Feasibility report [ ]</i></li> <li>• <i>Gender Action Plan [ ]</i></li> <li>• <i>Stakeholder Engagement Plan [ ]</i></li> <li>• <i>Safeguard risk assessment or impact assessment [ ]</i></li> <li>• <i>ES Management Plan or Framework [ ]</i></li> <li>• <i>Indigenous Peoples Plan [ ]</i></li> <li>• <i>Cultural Heritage Plan [ ]</i></li> <li>• <i>Others _____</i></li> </ul>

## A. Summary of the Safeguards Risk Triggered

<b>Safeguard Standards Triggered by the Project</b>	<b>Impact of Risk (1-5)</b>	<b>Probability of Risk (1-5)</b>	<b>Significance of Risk (L, M, H)</b>
SS 1: Biodiversity, Ecosystems and Sustainable Natural Resource Management	1	1	L
SS 2: Climate Change and Disaster Risks	1	1	L
SS 3: Pollution Prevention and Resource Efficiency	1	1	L
SS 4: Community Health, Safety and Security	1	1	L
SS 5: Cultural Heritage	1	1	L
SS 6: Displacement and Involuntary Resettlement	1	1	L
SS 7: Indigenous Peoples	1	1	L
SS 8: Labor and working conditions	1	1	L

## B. ESS Risk Level<sup>10</sup> -

5	H	H	H	H	H
4	M	M	H	H	H
3	L	M	M	M	M
2	L	L	M	M	M
1	L	L	L	L	L
#	1	2	3	4	5

## C.

Refer to the UNEP ESSF (Chapter IV) and the UNEP's ESSF Guidelines.

Low risk



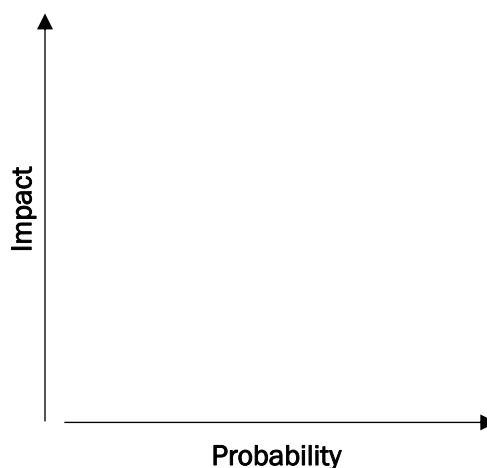
Moderate risk



High risk



Additional information required



## D. Development of ESS Review Note and Screening Decision

### Prepared by

Name: Suzanne Lekoyiet Date: 17 Oct 2022

### Screening review by

Name: Alexandra Mutungi  Date: 19 Oct 2022

<sup>10</sup> **Low risk:** Negative impacts minimal or negligible: no further study or impact management required.

**Moderate risk:** Potential negative impacts, but limited in scale, not unprecedented or irreversible and generally limited to programme/project area; impacts amenable to management using standard mitigation measures; limited environmental or social analysis may be required to develop a Environmental and Social Management Plan (ESMP). Straightforward application of good practice may be sufficient without additional study.

**High risk:** Potential for significant negative impacts (e.g., irreversible, unprecedented, cumulative, significant stakeholder concerns); Environmental and Social Impact Assessment (ESIA) (or Strategic Environmental and Social Assessment (SESA)) including a full impact assessment may be required, followed by an effective comprehensive safeguard management plan.

## E. Safeguard Review Summary (by the safeguard team)

This is a low-risk project. However, the UNEP ESSF guiding principles - human rights, accountability, resilience and sustainability and leave no one behind - are still applicable to this project.

## F. Safeguard Recommendations (by the safeguard team)

- No specific safeguard action required ☒
- Take Good Practice approach<sup>11</sup> ☐
- Carry out further assessments (e.g., site visits, experts' inputs, consult affected communities, etc.) ☐
- Carry out impact assessments (by relevant experts) in the risk areas and develop management framework/plan ☐
- Consult Safeguards Advisor early during the full project development phase ☐
- Other \_\_\_\_\_

Screening checklist	Y/N/ Maybe	Justification for the response (please provide answers to each question)
<b>Guiding Principles</b> (these questions should be considered during the project development phase)		
GP1 Has the project analyzed and stated those who are interested and may be affected positively or negatively around the project activities, approaches or results?	Y	Yes. Further collaboration with other stakeholders will take place in the design phase.
GP2 Has the project identified and engaged vulnerable, marginalized people, including disabled people, through the informed, inclusive, transparent and equal manner on potential positive or negative implication of the proposed approach and their roles in the project implementation?	Y	A description of the roles of the different groups has been provided at this Request for CEO Endorsement Request, and countries will provide additional information at the project inception phase.
GP3 Have local communities or individuals raised human rights or gender equality concerns regarding the project (e.g. during the stakeholder engagement process, grievance processes, public statements)?	N	This project is at the Request for CEO Endorsement stage, and countries have been consulted on stakeholder engagement. Further stakeholders' consultations will also be carried out during the planning/inception phase of the project, after approval.

<sup>11</sup> Good practice approach: For most low-moderate risk projects, good practice approach may be sufficient. In that case, no separate management plan is necessary. Instead, the project document demonstrates safeguard management approach in the project activities, budget, risks management, stakeholder engagement or/and monitoring segments of the project document to avoid or minimize the identified potential risks without preparing a separate safeguard management plan.

GP4Does the proposed project consider gender-balanced representation in the design and implementation?	Y	The project has been designed to conform to 2018 guidance from the GEF on gender equality and UNEP's Policy and Strategy for Gender Equality and the Environment
GP5Did the proposed project analyze relevant gender issues and develop a gender responsive project approach?	Y	The proposed project has outlined different roles and responsibilities of women and men in the reporting process throughout the project lifespan. Efforts will be made to have acceptable gender representation in project management structures (committees, institutional frameworks) and capacity building actions (trainings, workshops) under this project.
GP6Does the project include a project-specific grievance redress mechanism? If yes, state the specific location of such information.	N	This will be considered for inclusion during detailed project development.
GP7Will or did the project disclose project information, including the safeguard documents? If yes, please list all the webpages where the information is (or will be) disclosed.	N	Not applicable.
GP8Were the stakeholders (including affected communities) informed of the projects and grievance redress mechanism? If yes, describe how they were informed.	N	This project is in the Request for CEO Endorsement stage. Consultations will be held during the project inception phase
GP9Does the project consider potential negative impacts from short-term net gain to the local communities or countries at the risk of generating long-term social or economic burden?	N	This is a project focused on long-term gains. The National Communications and the BTRs will enable the different countries to meet their reporting requirements under the UNFCCC.
GP10 Does the project consider potential partial economic benefits while excluding marginalized or vulnerable groups, including women in poverty?	Y	The national reports that will result from this project will support/inform economic and socio policies on climate change
<b>Safeguard Standard 1: Biodiversity, Ecosystems and Sustainable Natural Resource Management</b>		
<i>Would the project potentially involve or lead to:</i>		
1.1conversion or degradation of habitats (including modified habitat, natural habitat and critical natural habitat), or losses and threats to biodiversity and/or ecosystems and ecosystem services?	N	Not applicable to the project interventions.
1.2adverse impacts specifically to habitats that are legally protected, officially proposed for protection, or recognized as protected by traditional local communities and/or authoritative sources (e.g. National Park, Nature Conservancy, Indigenous Community Conserved Area, (ICCA); etc.)?	N	Not applicable to the project interventions.
1.3conversion or degradation of habitats that are identified by authoritative sources for their high conservation and biodiversity value?	N	Not applicable to the project interventions.
1.4activities that are not legally permitted or are inconsistent with any officially recognized management plans for the area?	N	Not applicable to the project interventions.
1.5risks to endangered species (e.g. reduction, encroachment on habitat)?	N	Not applicable to the project interventions.
1.6activities that may result in soil erosion, deterioration and/or land degradation?	N	Not applicable to the project interventions.

1.7reduced quality or quantity of ground water or water in rivers, ponds, lakes, other wetlands?	N	Not applicable to the project interventions.
1.8reforestation, plantation development and/or forest harvesting?	N	Not applicable to the project interventions.
1.9support for agricultural production, animal/fish production and harvesting	N	Not applicable to the project interventions.
1.10introduction or utilization of any invasive alien species of flora and fauna, whether accidental or intentional?	N	Not applicable to the project interventions.
1.11handling or utilization of genetically modified organisms?	N	Not applicable to the project interventions.
1.12collection and utilization of genetic resources?	N	Not applicable to the project interventions.
<b>Safeguard Standard 2: Climate Change and Disaster Risks</b>		
<i>Would the project potentially involve or lead to:</i>		
2.1improving resilience against potential climate change impact beyond the project intervention period?	Y	This project is expected to improve resilience of the countries by generating necessary information on GHG Emission Reduction
2.2areas that are now or are projected to be subject to natural hazards such as extreme temperatures, earthquakes, extreme precipitation and flooding, landslides, droughts, severe winds, sea level rise, storm surges, tsunami or volcanic eruptions in the next 30 years?	N	the project will not have any impact on the areas, but will help map out such areas
2.3outputs and outcomes sensitive or vulnerable to potential impacts of climate change (e.g. changes in precipitation, temperature, salinity, extreme events)?	N	The project will support the generation of climate data and information
2.4 local communities vulnerable to the impacts of climate change and disaster risks (e.g. considering level of exposure and adaptive capacity)?	N	The project will support the generation of climate data and information, which will inform/prevent community vulnerabilities to climate impacts
2.5increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	N	To the contrary. The ultimate goal of the project is to address how the countries will lower their GHG emissions
2.6 Carbon sequestration and reduction of greenhouse emissions, resource-efficient and low carbon development, other measures for mitigating climate change	N	The ultimate goal of the project is to generate information that will support carbon sequestration and reduction of greenhouse emissions
<b>Safeguard Standard 3: Pollution Prevention and Resource Efficiency</b>		
<i>Would the project potentially involve or lead to:</i>		
3.1the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	N	Not applicable to the project interventions.
3.2 the generation of waste (both hazardous and non-hazardous)?	N	The proposed project will not involve generation of wastes.



3.3	the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	N	Not applicable to the project interventions.
3.4	the use of chemicals or materials subject to international bans or phase-outs? (e.g. DDT, PCBs and other chemicals listed in international conventions such as the <a href="#">Montreal Protocol</a> , <a href="#">Minamata Convention</a> , <a href="#">Basel Convention</a> , <a href="#">Rotterdam Convention</a> , <a href="#">Stockholm Convention</a> )	N	Not applicable to the project interventions.
3.5	the application of pesticides or fertilizers that may have a negative effect on the environment (including non-target species) or human health?	N	Not applicable to the project interventions.
3.6	significant consumption of energy, water, or other material inputs?	N	Not applicable to the project interventions.
<b>Safeguard Standard 4: Community Health, Safety and Security</b>			
<i>Would the project potentially involve or lead to:</i>			
4.1	the design, construction, operation and/or decommissioning of structural elements such as new buildings or structures (including those accessed by the public)?	N	The proposed project will not involve the design, construction, operation and/or decommissioning of structural elements such as new buildings or structures
4.2	air pollution, noise, vibration, traffic, physical hazards, water runoff?	N	Not applicable to the project interventions.
4.3	exposure to water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable or noncommunicable diseases?	N	Not applicable to the project interventions.
4.4	adverse impacts on natural resources and/or ecosystem services relevant to the communities' health and safety (e.g. food, surface water purification, natural buffers from flooding)?	N	Not applicable to the project interventions.
4.5	transport, storage use and/or disposal of hazardous or dangerous materials (e.g. fuel, explosives, other chemicals that may cause an emergency event)?	N	Not applicable to the project interventions.
4.6	engagement of security personnel to support project activities (e.g. protection of property or personnel, patrolling of protected areas)?	N	Not applicable to the project interventions.
4.7	an influx of workers to the project area or security personnel (e.g. police, military, other)?	N	Not applicable to the project interventions.
<b>Safeguard Standard 5: Cultural Heritage</b>			
<i>Would the project potentially involve or lead to:</i>			
5.1	activities adjacent to or within a Cultural Heritage site?	N	Not applicable to the project interventions.
5.2	adverse impacts to sites, structures or objects with historical, cultural, artistic, traditional or religious values or to intangible forms of cultural heritage (e.g. knowledge, innovations, practices)?	N	Not applicable to the project interventions.
5.3	utilization of Cultural Heritage for commercial or other purposes (e.g. use of objects, practices, traditional knowledge, tourism)?	N	Not applicable to the project interventions.

5.4	alterations to landscapes and natural features with cultural significance?	N	Not applicable to the project interventions.
5.5	significant land clearing, demolitions, excavations, flooding?	N	Not applicable to the project interventions.
<b>5.6 identification and protection of cultural heritage sites or intangible forms of cultural heritage</b>			
<b>Safeguard Standard 6: Displacement and Involuntary Resettlement</b>			
<i>Would the project potentially involve or lead to:</i>			
6.1	full or partial physical displacement or relocation of people (whether temporary or permanent)?	N	Not applicable to the project interventions.
6.2	economic displacement (e.g. loss of assets or access to assets affecting for example crops, businesses, income generation sources)?	N	Not applicable to the project interventions.
6.2	involuntary restrictions on land/water use that deny a community the use of resources to which they have traditional or recognizable use rights?	N	Not applicable to the project interventions.
6.3	risk of forced evictions?	N	Not applicable to the project interventions.
6.4	changes in land tenure arrangements, including communal and/or customary/traditional land tenure patterns (including temporary/permanent loss of land)?	N	Not applicable to the project interventions.
<b>Safeguard Standard 7: Indigenous Peoples</b>			
<i>Would the project potentially involve or lead to:</i>			
7.1	areas where indigenous peoples are present or uncontacted or isolated indigenous peoples inhabit or where it is believed these peoples may inhabit?	N	Not applicable to the project interventions.
7.2	activities located on lands and territories claimed by indigenous peoples?	N	Not applicable to the project interventions.
7.3	impacts to the human rights of indigenous peoples or to the lands, territories and resources claimed by them?	N	Not applicable to the project interventions.
7.4	the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	N	Not applicable to the project interventions.
7.5	adverse effects on the development priorities, decision making mechanisms, and forms of self-government of indigenous peoples as defined by them?	N	Not applicable to the project interventions.
7.6	risks to the traditional livelihoods, physical and cultural survival of indigenous peoples?	N	Not applicable to the project interventions.
7.7	impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	N	Not applicable to the project interventions.
<b>Safeguard Standard 8: Labor and working conditions</b>			
8.1	Will the proposed project involve hiring or contracting project staff?	Y	A project team and sectoral experts will be hired/contracted
<i>If the answer to 8.1 is yes, would the project potentially involve or lead to:</i>			

8.2	working conditions that do not meet national labour laws or international commitments (e.g. ILO conventions)?	N	All hiring will meet national Labour legislation.
8.3	the use of forced labor and child labor?	N	Not applicable to the project interventions.
8.4	occupational health and safety risks (including violence and harassment)?	N	Not applicable to the project interventions.
8.5	the increase of local or regional unemployment?	N	Not applicable to the project interventions.
8.6	suppliers of goods and services who may have high risk of significant safety issues related to their own workers?	N	Not applicable to the project interventions.
8.7	unequal working opportunities and conditions for women and men	N	Gender Action Plan and Gender monitoring activities will ensure gender balance opportunities

## ANNEX 4: ACRONYMS AND ABBREVIATIONS

BR	Biennial Report
BTR	Biennial Transparency Report
BUR	Biennial Update Report
CBIT	Capacity-Building Initiative for Transparency
CCM-EA	Climate Change Mitigation – Enabling Activities
CGE	Consultative Group of Experts
CMA	Conference of the Parties serving as the meeting of the Parties to the Paris Agreement
COP	Conference of the Parties
CSO	Civil Society Organization
EA	Executing Agency
ETF	Enhanced Transparency Framework
FMCP	Facilitative Multilateral Consideration of Progress
FSV	Facilitative Sharing of Views
GEF	Global Environment Facility
GEF-TF	Global Environment Facility -Trust Fund
GCF	Green Climate Fund
GHG	Greenhouse Gas
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
GSP	Global Support Programme
GST	Global Stocktaking
IA	Implementing Agency
IAR	International Assessment and Review
ICAT	Initiative for Climate Action Transparency
IPCC	Intergovernmental Panel on Climate Change
LDC	Least Developed Country
M&E	Monitoring and Evaluation
MA	Multilateral assessment
MPG	Modalities, Procedures and Guidelines
MRV	Measurement, Reporting and Verification
NAMA	Nationally Appropriate Mitigation Actions
NAPAs	National Adaptation Programmes of Action
NC	National Communication
NCSA	National Capacity Self-Assessment
NDC	Nationally Determined Contribution
NIPS	Stockholm National Implementation Plan
NPAC	National Project Advisory Committee
OFF	Operational Focal Point
PA	Paris Agreement
PCA	Project Cooperation Agreement
PMC	Project Management Cost
SB	Subsidiary Body
SBSTA	Subsidiary Body for Scientific and Technological Advice
SDGs	Sustainable Development Goals
SIDS	Small Island Developing States
TA	Technical Assistance
TNA	Technology Needs Assessment
TOC	Theory of Change
ToRs	Terms of Reference
UNDAF	UN Development Assistance Framework
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNSDCF	United Nations Sustainable Development Cooperation Framework