

# Strengthening the national transparency system in Brazil under the Paris Agreement (DataClima+)

Review CEO Endorsement and Make a recommendation

## Basic project information

**GEF ID**

10932

**Countries**

Brazil

**Project Name**

Strengthening the national transparency system in Brazil under the Paris Agreement (DataClima+)

**Agencies**

UNEP

**Date received by PM**

4/24/2023

**Review completed by PM**

5/24/2023

**Program Manager**

Esteban Bermudez Forn

**Focal Area**

Climate Change

**Project Type**

FSP

**PIF**

**CEO Endorsement**

**Part I ? Project Information**

**Focal area elements**

**1. Does the project remain aligned with the relevant GEF focal area elements as presented in PIF (as indicated in table A)?**

Secretariat Comment at CEO Endorsement Request

EBF 6/5/2023: Yes. Cleared.

Agency Response

**Project description summary**

**2. Is the project structure/design appropriate to achieve the expected outcomes and outputs as in Table B and described in the project document?**

Secretariat Comment at CEO Endorsement Request EBF 6/5/2023: Yes. Cleared.

Agency Response

**3. If this is a non-grant instrument, has a reflow calendar been presented in Annex D?**

Secretariat Comment at CEO Endorsement Request N/A

Agency Response

**Co-financing**

**4. Are the confirmed expected amounts, sources and types of co-financing adequately documented, with supporting evidence and a description on how the breakdown of co-financing was identified and meets the definition of investment mobilized, and a description of any major changes from PIF, consistent with the requirements of the Co-Financing Policy and Guidelines?**

Secretariat Comment at CEO Endorsement Request EBF 6/5/2023: Yes, \$500,000 are provided by the Ministry of Science, Technology and Innovation of Brazil as in-kind co-finance to the project. Cleared.

Agency Response  
**GEF Resource Availability**

**5. Is the financing presented in Table D adequate and does the project demonstrate a cost-effective approach to meet the project objectives?**

Secretariat Comment at CEO Endorsement Request EBF 6/5/2023: Yes. Cleared.

Agency Response  
**Project Preparation Grant**

**6. Is the status and utilization of the PPG reported in Annex C in the document?**

Secretariat Comment at CEO Endorsement Request EBF 6/5/2023: Yes, \$50,000 were requested for PPG. To date, \$47,259 have been spent. The Agency specifies that the remaining \$2,841 will be used during the project's first year (counting since CEO Approval) to undertake activities aligned with GEF/C.59/Inf.03, Annex 2, table 1; any remaining funds will be duly returned to the GEF. Cleared.

Agency Response  
**Core indicators**

**7. Are there changes/adjustments made in the core indicator targets indicated in Table E? Do they remain realistic?**

Secretariat Comment at CEO Endorsement Request EBF 6/5/2023: The number of people benefiting from GEF financed investments (Indicator 11) remains the same as in the PIF stage. Cleared.

Agency Response

**Part II ? Project Justification**

**1. Is there a sufficient elaboration on how the global environmental/adaptation problems, including the root causes and barriers, are going to be addressed?**

Secretariat Comment at CEO Endorsement Request

EBF 6/5/2023: Yes, this section is well elaborated.

Agency Response

**2. Is there an elaboration on how the baseline scenario or any associated baseline projects were derived?**

Secretariat Comment at CEO Endorsement Request

EBF 7/13/2023:

1. Cleared
2. Cleared

EBF 6/5/2023: Please address the following comments:

1. Please reupload Figure 2 with a better resolution.
2. Considering that Brazil has an ongoing BTR1/BTR2/NC5/BUR5 enabling activity project, please review the paragraph before Figure 3 ("Arrangements for the preparation of...") since it omits making reference to Biennial Transparency Reports (BTRs).

Agency Response

1. Done.

2. Done.

**3. Is the proposed alternative scenario as described in PIF/PFD sound and adequate? Is there sufficient clarity on the expected outcomes and components of the project and a description on the project is aiming to achieve them?**

Secretariat Comment at PIF/Work Program Inclusion

EBF 7/13/2023: Thank you for the clarification. Cleared.

EBF 6/5/2023: Regarding Output 1.4, please explain how DataClima+ expects to cover the remaining 25% of its Master Plan, since it will not be supported by the CBIT project. Also reflect any changes, if needed, in Annex A.

#### Agency Response

The Data Master Plan in output 1.1 (see deliverable 1.1.4) will include a 5-year improvement plan to collect information that is currently unavailable, inaccurate, or not received on time. This will include a detailed workplan that clearly states the priorities for any missing improvements beyond the duration of this CBIT project. The data master plan will include a section on missing data, i.e. instructions for replacing any missing information with default values and/or any other unbiased estimation means deemed adequate for each case, as well as an assessment of the impact of replacing the missing information with estimated values. The DataClima+ operation plan (deliverable 1.2.7) will include identification of funding required and sources of funds for the execution of the system beyond the duration of the CBIT project. This will include estimates for any critical data missing in the Data Master Plan (aligned with deliverable 1.1.4).

Deliverable 1.1.4 and 1.2.7 have been revised to include these clarifications.

**4. Is there further elaboration on how the project is aligned with focal area/impact program strategies?**

#### Secretariat Comment at CEO Endorsement Request

EBF 6/5/2023: Yes, cleared.

#### Agency Response

**5. Is the incremental reasoning, contribution from the baseline, and co-financing clearly elaborated?**

#### Secretariat Comment at CEO Endorsement Request

EBF 6/5/2023: Yes, cleared.

#### Agency Response

**6. Is there further and better elaboration on the project's expected contribution to global environmental benefits or adaptation benefits?**

#### Secretariat Comment at CEO Endorsement Request

EBF 6/5/2023: Yes, cleared.

#### Agency Response

**7. Is there further and better elaboration to show that the project is innovative and sustainable including the potential for scaling up?**

#### Secretariat Comment at CEO Endorsement Request

EBF 6/5/2023: Yes, cleared.

Agency Response

**Project Map and Coordinates**

**Is there an accurate and confirmed geo-referenced information where the project intervention will take place?**

Secretariat Comment at CEO Endorsement Request

EBF 6/5/2023: Yes, cleared.

Agency Response

**Child Project**

**If this is a child project, is there an adequate reflection of how it contributes to the overall program impact?**

Secretariat Comment at CEO Endorsement Request

N/A

Agency Response

**Stakeholders**

**Does the project include detailed report on stakeholders engaged during the design phase? Is there an adequate stakeholder engagement plan or equivalent documentation for the implementation phase, with information on Stakeholders who will be engaged, the means of engagement, and dissemination of information?**

Secretariat Comment at CEO Endorsement Request

EBF 6/5/2023: Yes, cleared.

Agency Response

**Gender Equality and Women's Empowerment**

**Has the gender analysis been completed? Did the gender analysis identify any gender differences, gaps or opportunities linked to project/program objectives and activities? If so, does the project/program include gender-responsive activities, gender-sensitive indicators and expected results?**

Secretariat Comment at CEO Endorsement Request

EBF 7/13/2023: Cleared.

EBF 6/5/2023: Please reflect in the project description summary and project component table, the gender dimensions with respect to Components 2 and 3, as already noted in the Gender Action Plan.

Agency Response

The project description summary and project component table were revised to reflect the gender dimension.

**Private Sector Engagement**

**If there is a private sector engagement, is there an elaboration of its role as a financier and/or as a stakeholder?**

Secretariat Comment at CEO Endorsement Request

EBF 6/5/2023: Yes, cleared.

Agency Response

**Risks to Achieving Project Objectives**

**Has the project elaborated on indicated risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved? Were there proposed measures that address these risks at the time of project implementation?**

Secretariat Comment at CEO Endorsement Request

EBF 6/5/2023: Yes, cleared.

Agency Response

**Coordination**

**Is the institutional arrangement for project implementation fully described? Is there an elaboration on possible coordination with relevant GEF-financed projects and other bilateral/multilateral initiatives in the project area?**

Secretariat Comment at CEO Endorsement Request

EBF 7/13/2023: Cleared

EBF 6/5/2023: Under Section 6 ? Institutional arrangements, it is stated that the "local NGO Funbio will serve as the Executing Entity on behalf of the MCTI". Please correct the information section, Executing Partner name and type accordingly.

**Implementing agency**

UNEP is the Implementing Agency (IA) for this project and will provide overall supervision and guidance in line with GEF and internal requirements. UNEP developed this project proposal considering its experiences, good practices and lessons learned in developing and implementing other CBIT projects. Currently, UNEP is implementing more than 30 CBIT projects, including 12 CBIT projects in Latin America and the Caribbean (LAC), as well as the CBIT Global Coordination Platform. In addition, UNEP has implemented the largest share of CBIT projects in LAC, with 12 CBIT projects. In this context, in acting as the implementing agency for this project it will ensure that the project builds on previous experiences and lessons learned in the implementation of CBIT projects and will ensure coordination with regional activities and with efforts lead through the Global Coordination Platform.

**Executing agency**

Local ONG Funbio will act as the Executing Entity on behalf of the MCTI. Daily project activities will be undertaken by a Project Base Team ("base team") consisting of a chief technical advisor (CTA), a junior officer, and a gender and communications expert; and a Project Technical Unit (PTU) comprising a transparency expert, a data expert and an IT system manager. The base team will work at the MCTI premises, also having space available in Funbio's premises. Project activities will be supported by a series of consultancies that can bring in international expertise, as needed. Whenever a specific partner has not been identified during the PPG phase, consultant(s) will be selected through a competitive procurement process lead by the executing agency. Terms of reference for staff and consultancies are available in Annex H.

The project workplan was built in a way that each deliverable from consultancies is supervised by a specific member in the base team, according to their profile. Members of the base team will also be responsible for the provision of specific deliverables (i.e. without external consultants), as well as for the integration of the deliverables into outputs and for their materialization into outcomes. In particular, the base team will make their best efforts to achieve all the targets set as goals in Annex A, which go beyond the deliverables described in each of the components. This way, each action and deliverable in the workplan has a specific responsible and no activities or deliverables are duplicated.

**Part I: Project Information** 

<b>GEF ID</b> 10932	<b>Project Type</b> FSP
<b>Type of Trust Fund</b> GET	<b>Project Title</b> ⓘ Strengthening the national transparency system in Brazil under the Paris Agreement (DataClima+)
<b>Countries</b> Brazil	<b>Agency(ies)</b> UNEP
<b>Other Executing Partner(s)</b> ⓘ Ministry of Science, Technology and Innovations (MCTI)	<b>Executing Partner Type</b> Government
<b>GEF Focal Area</b> ⓘ Climate Change	<b>Sector</b> ⓘ Mixed & Others

Agency Response  
The information section and portal entry were updated.?  
Consistency with National Priorities



**Has the project described the alignment of the project with identified national strategies and plans or reports and assessments under the relevant conventions?**

Secretariat Comment at CEO Endorsement Request

EBF 6/5/2023: Yes, cleared.

Agency Response

**Knowledge Management**

**Is the proposed Knowledge Management Approach for the project adequately elaborated with a timeline and a set of deliverables?**

Secretariat Comment at CEO Endorsement Request

EBF 6/5/2023: Yes, cleared.

Agency Response

**Environmental and Social Safeguard (ESS)**

**Are environmental and social risks, impacts and management measures adequately documented at this stage and consistent with requirements set out in SD/PL/03?**

Secretariat Comment at CEO Endorsement Request

EBF 6/5/2023: Yes, the ESS is Low. Cleared.

Agency Response

**Monitoring and Evaluation**

**Does the project include a budgeted M&E Plan that monitors and measures results with indicators and targets?**

Secretariat Comment at CEO Endorsement Request

EBF 7/31/2023: Cleared.

EBF 7/24/2023:

1. We note Table 13 now adds up to \$163,520 but Table B indicates a total of \$187,866 for M&E. Please fix it.

4. Monitoring and Evaluation	Technical Assistance	4. Project is effectively monitored and evaluated	4.1. Monitoring and evaluation products are delivered (see section 9).	GET	187,866.0
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2. Cleared

EBF 7/13/2023:

1. Although the total for Table 13 states USD 187,865, the sum (3,000+100,520+30,000+30,000+20,000) adds to USD 183,520. Please correct Table 13 as appropriate.
2. \$20,000 for laptops still appear in Table 13, see screenshot below. The project budget table does include laptops and software licenses charged to PMC and add up to USD 24,000. Please clarify or correct if needed.

Co-financing report (including supporting evidence for in-kind co-finance)	CTA, JO	As part of CTA budget	Within 1 month of the PIR reporting period, i.e. on or before 31 July
Publication of Lessons Learnt and other project documents	Chief Technical Advisor (CTA), National Project Director	As part of CTA budget	Annually, part of half-yearly reports & Project Final Report
Laptops & software licenses for base team	CTA, JO	USD 20,000	Beginning of execution; software licenses renewed yearly during project execution
Total		USD 187,865	

EBF 6/5/2023: Please address the following comments:

1. The figures provided in Table 13 add up to \$183,520 but the total is \$281,000. Then, in Table B, the M&E budget is \$187,521. Please amend for consistency.
2. Also, Laptops and software license of \$20,000 charged to M&E under Section 9 can be charged to PMC instead.

Publication of Lessons Learnt and other project documents	Chief Technical Advisor (CTA), National Project Director	As part of CTA budget	Annually, part of half-yearly reports & Project Final Report
Laptops & software licenses for base team	CTA, JO	USD 20,000	Beginning of execution; software licenses renewed yearly during project execution
Total		USD 281,000	

## Agency Response

### **Response to comment from 7/24/2023:**

1. There was an error in one row in Table 13, hence the difference. Table 13 was updated to match Table B.

### **Responses to comments from 7/13/2023:**

1. There was an error updating Table 3 in the portal. Total corrected.  
2. It was an error in the table. Laptops and software licenses were charged to PMC, as requested.

### **Responses to comments from 6/5/2023:**

1. Table 13 has been corrected. The total now matches the total of Component 4 (M&E).  
2. Laptops and software licenses have been reallocated to PMC.

## **Benefits**

**Are the socioeconomic benefits at the national and local levels sufficiently described resulting from the project? Is there an elaboration on how these benefits translate in supporting the achievement of GEBs or adaptation benefits?**

## Secretariat Comment at CEO Endorsement Request

EBF 6/5/2023: Yes, cleared.

## Agency Response

### **Annexes**

**Are all the required annexes attached and adequately responded to?**

## Secretariat Comment at CEO Endorsement Request

EBF 7/24/2023: Thank you for the clarification. We note the Terms of Reference have been uploaded to the Portal. Cleared.

EBF 7/13/2023: The budget line "Procurement, HR, legal, record keeping and other operational support cos..." remains unspecific. Please indicate which are the positions that are expected to be hired under this budget line.

Furthermore, per paragraph 4, Annex 7 of the Guideline on the GEF Project and Program Cycle Policy, if project staff are charged to both PMC and project components (i.e., not only to PMC), clear Terms of Reference describing unique outputs linked to the respective components are required at the time of CEO Endorsement/Approval, for review by the Secretariat.

Please upload to the documents section of the project the Terms of Reference for Chief Technical Advisor and Junior Officer, describing the specific deliverables and the respective components from where their salary will be paid.

EBF 6/5/2023: While some expenditures (quite unspecific) such as ?Procurement, HR, Legal, record keeping, and other operational support costs? are covered by PMC, the Chief Technical Advisor and Junior officer are charged to project components and PMC, but these have to be fully charged to PMC. Please cover, as much as possible, these positions with the GEF and co-financing portion allocated to PMC.

Please attach a project budget table.

GEF budget category & detailed description	Component 1	Component 2	Component 3	Component 4	PMC		Responsible entity
	Outcome 1	Outcome 2	Outcome 3	Outcome 4	Subtotal	Total	
<b>02. Goods</b>	<b>448,343</b>			<b>16,000</b>	<b>464,343</b>	<b>748</b>	<b>465,091</b>
Laptops				16,000	16,000		16,000
Server architecture	448,343				448,343		448,343
Office supplies						748	748
<b>07. Contractual services (company)</b>	<b>1,062,980</b>	<b>892,118</b>	<b>248,479</b>	<b>8,000</b>	<b>2,211,577</b>	<b>135,406</b>	<b>2,346,983</b>
System design consultancy	383,000				383,000		383,000
Development, deployment & testing consultancy	128,370	840,240	198,390		1,167,000		1,167,000
Capacity building consultancy	287,000				287,000		287,000
Communication & engagement campaign	212,732				212,732		212,732
Audit						26,000	26,000
Technical supervision and coordination	51,878	51,878	50,089		153,846		153,846
Software licenses				8,000	8,000		8,000
<b>Procurement, HR, legal, record keeping and other operational support costs</b>						<b>109,406</b>	<b>109,406</b>
<b>08. Contractual services (individuals)</b>	<b>341,000</b>	<b>74,375</b>	<b>76,625</b>	<b>78,000</b>	<b>570,000</b>		<b>570,000</b>
Transparency expert	150,500				150,500		150,500
Data expert	52,500	42,875	9,625		105,000		105,000
IT System manager	31,500	31,500	7,000		70,000		70,000
Gender and communications expert	16,500			18,000	34,500		34,500
Legal expert	90,000		60,000		150,000		150,000
Mid-term & Terminal Evaluation				60,000	60,000		60,000
<b>11. Salary and benefits/Staff Costs</b>	<b>206,701</b>		<b>37,335</b>	<b>82,520</b>	<b>326,556</b>	<b>46,494</b>	<b>373,050</b>
Chief Technical Advisor	176,676		37,335	46,002	260,013	40,002	300,015
Junior officer	30,026			36,518	66,543	6,492	73,035
<b>12. Training, Workshops, Meetings</b>	<b>27,000</b>			<b>3,000</b>	<b>30,000</b>		<b>30,000</b>
Workshop venue and logistics	27,000			3,000	30,000		30,000
<b>13. Travel</b>	<b>28,991</b>	<b>17,200</b>	<b>4,300</b>		<b>50,491</b>		
International travel	4,300	17,200	4,300		25,800		25,800
Local travel	24,691				24,691		24,691
<b>Grand Total</b>	<b>2,115,015</b>	<b>983,693</b>	<b>366,739</b>	<b>187,520</b>	<b>3,652,968</b>	<b>182,648</b>	<b>3,835,616</b>

## Agency Response

### UNEP response to comment from 7/13/2023:

- This line indicates payments to Funbio the executing partner for providing project management and administrative services. This includes for paying the time of the following staff, with varying degrees of part-time dedication:
  - Procurement: Acquisitions & Logistics Coordinator, Contract Management Coordinator and Procurement Assistants.
  - Legal Counsel: Lawyers.
  - Finance: Project Financial Control Coordinator and Project Financial Control Assistants.
  - Accounting: Accounting Manager and Accounting Assistants.
  - HR: HR Manager and HR Assistants.
- Terms of reference uploaded in the portal.

### UNEP response to comment from 6/5/2023:

The project budget allocates fractions of the Chief Technical Advisor (CTA) and Junior Officer (JO)s total salaries in the technical components, M&E, and PMC, as they will undertake work related to all three categories. The distribution was done considering the time

that each professional will require for each task according to the project's workplan and as reflected in their terms of reference.

On technical work, the CTA plays a key role in the direct supervision and adoption (through the relevant legislative procedures) of the project's most essential deliverables that are to be provided by separate consultancies. These include, among others, key deliverables such as DataClima+'s adoption process (1.3.2 and 1.3.4), the subscription of data service agreements for the provision of information (1.4.3) and the use of the DataClima+ system as a planning instrument (3.2.1 and 3.2.2). The JO, as per their terms of reference, also has a minor technical function.

On M&E, the CTA and JO will perform monitoring and evaluation activities in accordance with 'Guidelines on the project and program cycle policy (2020 update)' (GEF/C.59/Inf.03), table C (p.53). A part of their salary is thus included under M&E in accordance with GEF guidelines.

On co-finance, the ministry will provide in-kind co-finance to cover the costs of the National Project Director and the National Coordinator, the hours of which will be covered entirely through co-finance. Co-financing is limited in CBIT projects (being optional) and for this project will focus on ensuring ministry ownership and leadership through co-financing the above two officers. Section 6 of the CEO endorsement document and figure 12 have been updated to make this clearer. The co-financing of these two ensures that the project is in accordance with GEF/C.59/Inf.03, annex 8, paragraph 5 states that 'The spirit of this decision is that the GEF trust funds should not bear a disproportionate burden of the total management costs for GEF-financed projects, when co-financing is included'.

We hope the above helps to explain how the CTA and JO positions have been covered, as much as possible, with the GEF and co-financing portion allocated to PMC.

#### **Project Results Framework**

#### Secretariat Comment at CEO Endorsement Request

EBF 7/13/2023: Cleared.

EBF 6/5/2023: Indicator 2, related to Outcome 1, omits Biennial Transparency Reports (BTR1 and BTR2). Is there a specific reason to omit team, considering that developing countries (except SIDS and LDCs) should submit these reports every 2 years. Please explain and/or amend

#### Agency Response

Reference to BTRs was mistakenly omitted. This has been revised in the CEO ED (see Annex A, indicator 2, changes highlighted in green).

#### **GEF Secretariat comments**

#### Secretariat Comment at CEO Endorsement Request N/A

#### Agency Response

#### **Council comments**

Secretariat Comment at CEO Endorsement Request EBF 6/5/2023: Comments from Germany and the United Kingdom are addressed and reflected in the project proposal.

Agency Response

**STAP comments**

Secretariat Comment at CEO Endorsement Request N/A

Agency Response

**Convention Secretariat comments**

Secretariat Comment at CEO Endorsement Request N/A

Agency Response

**Other Agencies comments**

Secretariat Comment at CEO Endorsement Request N/A

Agency Response

**CSOs comments**

Secretariat Comment at CEO Endorsement Request N/A

Agency Response

**Status of PPG utilization**

Secretariat Comment at CEO Endorsement Request EBF 6/5/2023: Yes, \$50,000 were requested for PPG. To date, \$47,259 have been spent. The Agency specifies that the remaining \$2,841 will be used during the project's first year (counting since CEO Approval) to undertake activities aligned with GEF/C.59/Inf.03, Annex 2, table 1; any remaining funds will be duly returned to the GEF. Cleared.

Agency Response

**Project maps and coordinates**

Secretariat Comment at CEO Endorsement Request EBF 6/5/2023: Yes. Cleared.

Agency Response

**Does the termsheet in Annex F provide finalized financial terms and conditions? Does the termsheet and financial structure address concerns raised at PIF stage and that were pending to be resolved ahead of CEO endorsement? (For NGI Only)**

Secretariat Comment at CEO Endorsement Request

N/A

Agency Response

**Do the Reflow Table Annex G and the Trustee Excel Sheet for reflows provide accurate reflow expectations of the project submitted? Assumptions for Reflows can be submitted to explain expected reflows. (For NGI Only)**

Secretariat Comment at CEO Endorsement Request N/A

Agency Response

**Did the agency Annex H provided with information to assess the Agency Capacity to generate and manage reflows? (For NGI Only)**

Secretariat Comment at CEO Endorsement Request N/A

Agency Response

**GEFSEC DECISION**

**RECOMMENDATION**

**Is CEO endorsement recommended? (applies only to projects and child projects)**

Secretariat Comment at CEO Endorsement Request

EBF 7/31/2023: The PM recommends the clearance for CEO Endorsement.

EBF 7/24/2023: Please address the comment related to the M&E budget.

EBF 7/13/2023: Please address the comments above.

\*\* Please highlight in yellow the changes made on the portal version of the CEO approval document for ease of reference. \*\*

EBF 6/5/2023: Please address the comments above.

\*\* Please highlight in green the changes made on the portal version of the CEO approval document for ease of reference. \*\*

**Review Dates**

	<b>Secretariat Comment at CEO Endorsement</b>	<b>Response to Secretariat comments</b>
<b>First Review</b>	<b>6/5/2023</b>	
<b>Additional Review (as necessary)</b>	<b>7/13/2023</b>	
<b>Additional Review (as necessary)</b>	<b>7/24/2023</b>	
<b>Additional Review (as necessary)</b>	<b>7/31/2023</b>	
<b>Additional Review (as necessary)</b>		

**CEO Recommendation**

**Brief reasoning for CEO Recommendations**