



## **Umbrella Programme for Preparation of National Communications (NCs) and Biennial Update Reports (BURs) to the UN Framework Convention on Climate Change (UNFCCC)**

### **Part I: Project Information**

#### **GEF ID**

10167

#### **Project Type**

EA

#### **Type of Trust Fund**

GET

#### **CBIT**

CBIT

#### **Project Title**

Umbrella Programme for Preparation of National Communications (NCs) and Biennial Update Reports (BURs) to the UN Framework Convention on Climate Change (UNFCCC)

#### **Countries**

Global, Afghanistan, Azerbaijan, Benin, Dominica, Fiji, Gambia, Mauritania, Pakistan, Sao Tome and Principe, Senegal, Sierra Leone, Somalia, South Sudan, Suriname, Uganda, Viet Nam, Yemen, Burundi

#### **Agency(ies)**

UNEP

**Other Executing Partner(s):**

18 National Governments

**Executing Partner Type**

Government

**GEF Focal Area**

Climate Change

**Taxonomy**

Climate Change, Focal Areas, United Nations Framework Convention on Climate Change, Enabling Activities, Strengthen institutional capacity and decision-making, Influencing models, Civil Society, Stakeholders, Communications, Awareness Raising, Information Dissemination, Type of Engagement, Gender Equality, Capacity Development, Gender results areas, Participation and leadership, Knowledge Exchange, Capacity, Knowledge and Research, Knowledge Generation, Education, Consultation, Participation, Knowledge Generation and Exchange, South-South, Local Communities, Indigenous Peoples, Private Sector

**Rio Markers****Climate Change Mitigation**

Climate Change Mitigation 1

**Climate Change Adaptation**

Climate Change Adaptation 1

<b>Type of Reports</b>	<b>Submission Date</b>	<b>Expected Implementation Start</b>	<b>Expected Completion Date</b>	<b>Expected Report Submission to Convention</b>
UNFCCC National Communications (NC)	12/31/2024	6/1/2020		
UNFCCC Biennial Update Report (BUR)	12/31/2022	6/1/2020		

**Duration**

60In Months

**Agency Fee(\$)**

909,943

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

<b>Objectives/Programs</b>	<b>Trust Fund</b>	<b>GEF Amount(\$)</b>	<b>Co-Fin Amount(\$)</b>
CCM-EA	GET	10,110,480	1,000,000
		<b>Total Project Cost(\$)</b>	<b>1,000,000</b>

## B. Project description summary

### Project Objective

To support eighteen (18) developing countries prepare and submit National Communications (NCs) and Biennial Update Reports (BURs) that comply with the United Nations Framework Convention on Climate Change (UNFCCC) reporting requirements while responding to national development goals. Participating Countries at CEO Endorsement Phase are: - Afghanistan; Azerbaijan; Benin; Burundi; Guinea-Bissau; Kuwait; Mauritania; Pakistan; Rwanda, St. Vincent and the Grenadines; Sao Tome and Principe; Senegal; Sierra Leone; Somalia; Suriname; Uganda; Viet Nam; and Yemen

Project Component	Expected Outcomes	Expected Outputs	GEF Project Financing(\$)	Confirmed Co-Financing(\$)
1. Preparation of Project Implementation Plans (PIPs) for NCs and BURs	1.1 Increased human and institutional capacity for preparing NC and/or BUR	1.1.1 Project Implementation Plans for NC and BUR including stocktaking, institutional arrangements, stakeholders' plans, workplans and budget are completed	320,000	40,000
2. Preparation of NCs and BURs	2.1 Countries meet their NC and/or BUR reporting requirements under the UNFCCC.	2.1.1 Eight (8) BURs prepared and submitted to the UNFCCC 2.1.2 Fourteen (14) NCs prepared and submitted to the UNFCCC	9,336,000	900,000
3. National stakeholders' involvement and institutional arrangements for preparation of subsequent BUR and NC	3.1 Human and institutional capacities for preparation, of subsequent NCs and BURs sustained	3.1.1 Stocktaking assessment and institutional arrangements for preparation of subsequent NCs and BURs developed.	160,000	20,000
<b>Sub Total (\$)</b>			<b>9,816,000</b>	<b>960,000</b>

**Project Management Cost (PMC)**

	294,480	40,000
<b>Sub Total(\$)</b>	<b>294,480</b>	<b>40,000</b>
<b>Total Project Cost(\$)</b>	<b>10,110,480</b>	<b>1,000,000</b>

**C. Source of Co-Financing for the Project by Name and by Type**

<b>Sources of Co-financing</b>	<b>Name of Co-financier</b>	<b>Type of Co-financing</b>	<b>Investment Mobilized</b>	<b>Amount(\$)</b>
Government	Eighteen(18) government ministries and departments responsible for climate change reporting	In-kind	Recurrent expenditures	960,000
GEF Agency	UN Environment	In-kind	Recurrent expenditures	40,000
			<b>Total Co-Financing(\$)</b>	<b>1,000,000</b>

**Describe how any "Investment Mobilized" was identified**

Not Applicable

**D. GEF Financing Resources Requested by Agency, Country and Programming of Funds**

<b>Agency</b>	<b>Trust Fund</b>	<b>Country</b>	<b>Focal Area</b>	<b>Programming of Funds</b>	<b>Amount(\$)</b>	<b>Fee(\$)</b>
UNEP	GET	Global	Climate Change	CC Set-Aside	10,110,480	909,943
<b>Total Gef Resources(\$)</b>					<b>10,110,480</b>	<b>909,943</b>

## **Part II. Enabling Activity Justification**

### **A. ENABLING ACTIVITY BACKGROUND AND CONTEXT**

Provide brief information about projects implemented since a country became party to the convention and results achieved

In 1992, countries joined an international treaty, the United Nations Framework Convention on Climate Change (UNFCCC), to cooperatively consider what they could do to limit average global temperature increases and the resulting climate change, and to cope with whatever impacts were, by then, inevitable. Reporting under the UNFCCC is implemented through national communications (NCs) and biennial update reports (BURs). NCs provide information on greenhouse gas (GHG) inventories, measures to mitigate and to facilitate adequate adaptation to climate change, and any other information that the Party considers relevant to the achievement of the objective of the Convention. NCs are submitted every four years. BURs provide an update of the information presented in NCs, on national GHG inventories, mitigation actions, constraints and gaps, including support needed and received. Whereas NCs are expected to be submitted every four years, BURs are to be submitted every two years, either as a summary of parts of their national communication in the year in which the national communication is submitted or as a stand-alone update report. Discretion on timing is granted to the Least Developed Countries (LDCs) and Small Island Developing States (SIDS). In addition to providing information to assess the progress of efforts to address climate change, national reports are useful documents in the national planning and development process as well as for policymakers.

Over time, the reporting requirements under the UNFCCC have evolved into a more comprehensive measurement, reporting and verification framework, starting with the adoption of the revised guidelines for preparation of national communications (NCs) 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.

The capacity of countries to report effectively on greenhouse gas emissions and on activities related to climate change has become even more important in recent years due to the reporting requirements introduced by the Paris Agreement. Parties adopted the Paris Agreement in 2015 during COP 21. Decision 1/CP.21, paragraph 98 of the Paris Agreement state that “the modalities, procedures and guidelines of this transparency framework shall build upon and eventually supersede the measurement, reporting and verification system established by decision 1/CP.16, paragraphs 40–47 and 60–64, and decision 2/CP.17, paragraphs 12–62, immediately following the submission of the final biennial reports and biennial update reports.” and elaborated at COP 24 pertaining to Article 13. Parties at COP 24 (in December 2018) emphasized the need to align the reporting under the

Convention to the enhanced transparency framework of the Paris Agreement. At COP 24, Parties reaffirmed decision 1/CP.21, paragraph 98, that, following the submission of the final biennial reports and biennial update reports, the modalities, procedures and guidelines contained in the annex to decision - /CMA.112 will supersede the measurement, reporting and verification system established by decision 1/CP.16, paragraphs 40–47 and 60–64, and decision 2/CP.17, paragraphs 12–62; 40.

Under the Paris Agreement, countries have submitted Nationally Determined Contributions (NDCs) with actions that they will report on in a Biennial Transparency Report (BTR). At the same time recent decisions have re-affirmed reporting obligations under Articles 4 and 12 of the UNFCCC. While reporting under the UNFCCC and the Paris Agreement will take different forms, there are a number of underlying common elements that are crucial to both reporting regimes, such as an inventory of greenhouse gases and sinks, a description of mitigation actions, and an overview of climate finance, technology transfer and capacity building. Strengthening these elements will benefit reporting under both the UNFCCC and the Paris Agreement, and it will also provide countries with the information they need to undertake more robust NDCs.

Non-Annex I Parties place a high priority on the preparation of National Communications and Biennial Update Reports. These reports are the main mechanism countries have in place to bring 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. National Communications and Biennial Update Report preparations present unique opportunities to countries to integrate climate change into national development priorities, through establishment of national institutional frameworks and coordination mechanisms. The process of preparing these reports has not only assisted countries to meet their reporting requirements under the UNFCCC; more importantly, it has led to establishing subcommittees and sectoral working groups responsible for specific chapters of national reports, in addition to linking scientific assessments of climate change to national policies aimed at contributing to reducing GHG emissions and promoting adequate adaptation to the adverse effects of climate change whilst ensuring sustainable development of their national economies.

Presently, there are 154 non-Annex I Parties to the Convention, out of which 49 are classified as least developed countries (LDCs) and are given special consideration under the Convention because of their limited capacity to respond to climate change and adapt to its adverse effects. Information provided by the Global Environment Facility on its activities relating to the preparation of national communications and biennial update reports [FCCC/SBI/2018/INF.9](#) and the UNFCCC updates on National Reports from non-Annex I Parties indicate that most non-Annex I Parties are finalizing their preparation of the Third National Communications (NC3) and Initial Biennial Reports (BUR1). The following presents the status of NCs and BURs submitted to the UNFCCC by non-Annex I Parties as of January 3, 2020:

Table II.(i): Number of National **Communications and Biennial Update Reports Submitted to the UNFCCC By Developing Country Parties (as of March 31, 2020)**

National Communications	Biennial Update Reports
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NC1	NC2	NC3	NC4	NC5	NC6	BUR1	BUR2	BUR3
154	141	71	8	2	1	56	31	10

<p><b>Key:</b></p> <p>NC1 – Initial National Communication</p> <p>NC2 – Second National Communication</p> <p>NC3 – Third National Communication</p> <p>NC4 – Fourth National Communication</p> <p>NC5 – Fifth National Communication</p> <p>NC6 – Sixth National Communication</p>	<p>BUR1 – Initial Biennial Update Report</p> <p>BUR2 – Second Biennial Update Report</p> <p>BUR3 –Third Biennial Update Report</p>
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This umbrella programme seeks to support the following eighteen (18) developing countries prepare and submit National Communications (NCs) and Biennial Update Reports (BURs): Afghanistan; Azerbaijan; Benin; Burundi; Guinea-Bissau; Kuwait; Mauritania; Pakistan; Rwanda, St. Vincent and the Grenadines; Sao Tome and Principe; Senegal; Sierra Leone; Somalia; Suriname; Uganda; Viet Nam; and Yemen. These countries have expressed their interest in joining the umbrella programme, as indicated in their letters of endorsement, for the following reasons:

- They have benefitted from UNEP’s support under previous NC/BUR umbrella programmes;
- All the above countries in the umbrella have submitted their current NCs/BURs to the UNFCCC;
- They have expressed their readiness to initiate the implementation of subsequent NCs/BURs in early 2020;
- Acknowledging their different circumstances, each country knows that they will get the opportunity to design a country-specific implementation strategy that will inform the approach they adopt during NC/BUR preparation under Component 1 of the Umbrella Programme.

**Summary of Changes Made:**

The following changes have been made relative to the project following the approval of the PIF:

*Changes in the list of Participating Countries:* the list of participating countries has been slightly revised as follows:

- The following three countries—**Dominica (NC4), Fiji (NC4), Gambia (NC4)** were excluded from this proposal because they have not completed and submitted their current reports to the UNFCCC. UNEP will continue offering the necessary support to these countries, to expedite the submission of these reports; and will provide the needed support for these countries to assess GEF funding as and when they will be ready to initiate their subsequent reports.
- South Sudan project has been excluded due to the ongoing discussions to close UNEP’s offices in Juba, South Sudan. Discussions have been initiated between UNEP and South Sudan Government representatives to agree on the way forward for this project.
- Four (4) new requests received from Kuwait (NC3/BUR2), Rwanda (NC4), Guinea Bissau (NC4) & St Vincent and the Grenadines (BUR1) have been included in this proposal.

List of 18 participating Countries at <b>PIF Stage</b>	Afghanistan; Azerbaijan; Benin; Burundi, <b>Dominica; Fiji; Gambia;</b> Mauritania; Pakistan; Sao Tome and Principe; Senegal; Sierra Leone; Somalia; <b>South Sudan;</b> Suriname, Uganda, Viet Nam and Yemen  <i>Reports to the UNFCCC: 15 NCs; 6 BURs</i>
Revised list of 18 participating countries at <b>CEO Endorsement Phase</b>	Afghanistan; Azerbaijan; Benin; Burundi; <b>Guinea-Bissau; Kuwait;</b> Mauritania; Pakistan; <b>Rwanda, St. Vincent and the Grenadines;</b> Sao Tome and Principe; Senegal; Sierra Leone; Somalia; Suriname; Uganda; Viet Nam; and Yemen  <i>Reports to the UNFCCC: 14 NCs &amp; 8 BURs</i>

*Project Budget:* The total project budget approved at PIF phase was US\$ 9,900,360; while the CEO Endorsement budget is US\$ 10,110,480. This represents an increase of US\$ 210,120 or 2.12% of the original proposed budget, which is considered a minor amendment

*Expected co-financing:* The in-kind co-financing contribution has been increased to US\$ 1,000,000 from the initial amount of US\$ 960,000 proposed at the PIF stage. The 18 participating countries will be expected to contribute US\$ 960,000 towards total projected co-financing, while UNEP contributes US\$ 40,000, as stated in the co-finance letter attached in Annex L.

*Table II.(ii):* Status of the Preparation of National Communications and Biennial Update Reports in the participating Countries:

The following Table summarizes: -	Symbol
- Reports that have been submitted to the UNFCCC	√
- Reports for which GEF financing is requested	

PARTY	National Communications (NCs)					Biennial Update Reports (BUR)			GEF Grant Request	Amount
	NC1	NC2	NC3	NC4	NC5	BUR1	BUR2	BUR3	Project	
1. Afghanistan	√	√					√		NC3/BUR2	852,000
2. Azerbaijan			√				√	√	BUR3	352,000
3. Benin	√	√	√				√		NC4/BUR2	852,000
4. Burundi	√	√	√						NC4	500,000
5. Guinea-Bissau	√	√	√				√		NC4	500,000
6. Kuwait	√	√					√		NC3/BUR2	852,000
7. Mauritania	√	√	√	√					NC5	500,000
8. Pakistan	√	√							NC3	500,000
9. Rwanda	√	√	√						NC4	500,000
10. St. Vincent and the Grenadines	√	√							BUR1	352,000
11. Sao Tome and Principe	√	√	√						NC4	500,000
12. Senegal	√	√	√						NC4	500,000
13. Sierra Leone	√	√	√						NC4	500,000
14. Somalia	√								NC2	500,000
15. Suriname	√	√							BUR1	352,000
16. Uganda	√	√					√		BUR2	352,000
17. Viet Nam	√	√	√						NC4	500,000

18. Yemen	√	√	√				√		NC4/BUR2	852,000
<b>NCs &amp; BURs</b>		<b>1</b>	<b>3</b>	<b>9</b>	<b>1</b>	<b>2</b>	<b>5</b>	<b>1</b>	<b>14 NCs; 8 BURs</b>	

*Enhanced Execution Support:* The following 14 LDCs and SIDS are included in this umbrella programme.

- Ten (10) are LDCs: Afghanistan; Benin; Burundi; Mauritania; Rwanda; Senegal; Sierra Leone; Somalia; Uganda; and Yemen
- Two (2) are LDC/SIDS: Guinea Bissau and Sao Tome and Principe; while
- Two (2) are SIDS: St. Vincent and the Grenadines and Suriname

These countries are given special consideration under the Convention because of their limited capacity to respond to climate change and adapt to its adverse effects. UNEP will, therefore, request for GEF funding (3% of project cost) to provide enhanced administrative and technical support to LDCs and SIDS to enable these countries to meet their reporting obligations.

**Requested GEF funds:** This umbrella programme will result in preparation of fourteen NCs and eight BURs to be submitted to the UNFCCC as follows:

- One NC2 report from Somalia
- Three NC3 reports from Afghanistan, Kuwait and Pakistan
- Nine NC4 reports from Benin, Burundi, Guinea-Bissau, Rwanda, Sao Tome and Principe, Senegal, Sierra Leone; Viet Nam and Yemen
- One NC5 report from Mauritania
- Two BUR1 reports from St. Vincent and the Grenadines and Suriname
- Five BUR2 reports from Afghanistan, Kuwait, Benin, Uganda and Yemen
- One BUR3 from Azerbaijan

These 18 country projects have been placed into three categories based on the type of reports to be submitted to the GEF:

- Ten (10) countries each requesting US\$ 500,000 for National Communications report preparation; i.e., Burundi, Guinea-Bissau, Mauritania, Pakistan, Rwanda, Sao Tome and Principe, Senegal, Sierra Leone, Somalia and Vietnam
- Four (4) countries each requesting GEF funds of US\$ 352,000 for biennial update report preparation; i.e., Azerbaijan, St. Vincent and the Grenadines, Suriname, and Uganda
- Four (4) countries (Afghanistan, Kuwait, Benin and Yemen) requesting funds for preparation of both the NC and BUR report – for a total cost per country of US\$ 852,000.

Detailed information for each country on the expected institutional arrangements, consistency with national priorities, stakeholders, and coordination with other initiatives is provided in **Annex K**. To address the diversity within this group, the preparation of the Project Implementation Plans under Component 1 will present country-specific needs and inform the approach that each country will adopt during NC/BUR preparation. For instance, the SIDs are more likely to focus on the adaptation as priority sectors, whereas countries such as Azerbaijan will focus on improving their domestic MRV systems for GHG/Mitigation. The PIP document will be reviewed and approved by UNEP before the start of Component 2.

Considering that most of these countries have prepared their Initial and Second National Communications, country teams will be encouraged use the teams/structures established in previous projects to continue strengthening the existing information/database and human/institutional capacities. This approach will provide an opportunity for EA teams to build on lessons learnt and good practices from previous NCs and BUR. Teams will also be encouraged to make use of the methodologies recommended by the UNFCCC, the Intergovernmental Panel on Climate Change (IPCC), the Conference of Parties (COP), and the Consultative Group of Experts (CGE) in preparation of these reports. Training materials developed by the CGE to facilitate the preparation of NCs (decision 17/CP.8) and BURs (decision 2/CP.17, annex III) in accordance with the guidelines of the Convention are available at the UNFCCC website.[1]<sup>1</sup>

In the absence of the project, once countries complete their current NC and BUR preparation, the teams and structures created on the basis of the project may be lost. The timely availability of funds through this project will contribute to enhancing and maintaining the capacity of national experts in the preparation of subsequent national reports. As national teams get better in applying the recommended NC and BUR guidelines, human and national institutional capacities become strengthened in due course. Continuous preparation of these reports using established institutions, pools of experts and stakeholders that are actively involved at all levels will increase country ownership and the uptake of project findings at all levels. Results obtained from various studies conducted under these projects will not only result in preparation of reports that inform national climate policy formulation but will also support the alignment with priority actions in nationally determined contributions (NDCs) under the Paris Agreement. Better reports and enhanced capacities of Non-Annex 1 countries lead to more robust implementation the UNFCCC and its associated agreements.

#### **Consistency with National Priorities:**

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The project is consistent with national strategies, plans, reports and assessments under the UNFCCC and other Conventions. To this end, national teams will be guided to link their reporting to these processes, and where appropriate, strengthen linkages with other equally relevant initiatives, such as:

- The Capacity-building Initiative for Transparency (CBIT): Projects designed to strengthen the institutional and technical capacities of Non-Annex I countries to meet the enhanced transparency requirements defined in Article 13 of the Paris Agreement. For the eleven countries in the project that are developing CBIT concepts (Afghanistan, Azerbaijan, Benin, Burundi, Mauritania, Rwanda, Senegal, Sierra Leone Somalia, Uganda and Vietnam), this project will ensure that the Project Implementation Plans (PIPs) produced under Component 1 works closely with the planned CBIT projects, once approved by the GEF.
- Intended Nationally Determined Contributions (I)NDCs): These reports outline the post-2020 voluntary national climate targets, including mitigation and adaptation, which countries committed to and which become a binding Nationally Determined Contributions (NDC) when a country ratifies the Paris Agreement. NDCs are at the heart of the Paris Agreement and the achievement of these long-term goals. The Agreement sets a ‘formal’ starting date of the NDC Cycle (2020); and requests. Parties to submit their NDC for each cycle at least 9 to 12 months in advance; which would be around the time that most of the participating countries in this project will be initiating their NC/BUR processes; as shown in the project workplan (see **Annex H**). Most of the participating countries are updating or have completed updating their 1<sup>st</sup> NDCs. Information generated from the studies and assessments carried out under the NC/BUR processes will be used by the participating countries to track the implementation of their 1<sup>st</sup> INDC targets, as well as refine targets to be included in their subsequent NDC, as guided by the Global Stocktake process.
- Nationally Appropriate Mitigation Actions (NAMAs), which outline a set of policies and actions to be undertaken by a country as part of a commitment to reduce greenhouse gas emissions. The following countries have submitted NAMAs and are seeking further support for NAMA preparation i.e. Azerbaijan, Sierra Leone, Pakistan & Uganda. The proposed NAMAs, which are at the conceptual phase describe the activities, estimates cost, identifies support needs, assesses potential GHG emission reductions, and provides a time frame for the actions. 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 BUR and vice versa.
- The international consultation and analysis (ICA) process of the BUR: Country teams who have been through the ICA process will be guided on how to incorporate the recommendations of the ICA process into the BUR/NC reporting processes, during the preparation of the 1<sup>st</sup> component of this project.
- The Technology Needs Assessment (TNA) project assists developing country Parties to the UNFCCC determine their technology priorities for the mitigation of greenhouse gas emissions and adaptation to climate change.
- National Capacity Self-Assessment (NCSA): Teams will be encouraged to address the identified capacity gaps in the NCSA to strengthen the capacity of stakeholders at all levels
- Poverty Reduction Strategy Papers (PRSPs)
- National Implementation Plans under the Stockholm Convention (NIPs)
- National Adaptation Programmes of Action (NAPAs)



Countries	CBIT concepts	INDCs	NCSAs	PRSPs	NIPs	NAPAs	NAMA	TNAs[2] <sup>2</sup>
14. Somalia	√	√	√	-	√	√	-	-
15. Suriname		√	√	-	√	-	-	-
16. Uganda	√	√	√	√	√	√	√	Round 1
17. Viet Nam	√	√	√	√	√	-	√	Round 2
18. Yemen		√	√	√	√	√	-	-

#### Coordination with other initiatives:

At the national level, project teams will ensure coordination with Technology Needs Assessments, Nationally Appropriate Mitigation Actions (NAMAs), the Poverty-Environment Initiative (PEI), and the UN Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries (UN-REDD), as shown above. This coordination will avoid the duplication of work and help countries to make necessary adjustments and integrate the findings from these other initiatives where needed. Participating countries will be encouraged to establish linkages and coordinate with other institutional arrangements established under the Convention. These institutions range from the National Designated Authority (NDA) or focal point designated under the Green Climate Fund (GCF), National Designated Entities (NDEs), under the Climate Technology Centre & Network (CTCN), and the institutions that will be charged to coordinate NDC implementation.

In view of the discussions on the Paris Agreement rulebook, participating countries will be encouraged to build their capacity to meet the enhanced reporting requirement by participating in the CBIT activities at global and national levels. Countries with national GEF CBIT projects will be encouraged to specify the CBIT area of intervention and how these facilitate improved reporting over time, including the eventual preparation of biennial transparency reports (BTRs). Specific activities/indicators that target enhanced synergies between NC/BUR-CBIT alignment will be included during the PIP preparation process (Component 1).

At the global/regional level, countries with and without national CBIT projects will be encouraged to utilize the resources that will be provided under the proposed GEF-funded project CBIT Phase IIA (GEF ID 10128), which will support a streamlined website combine the resources of the CBIT Global Coordination Platform and the website of the Global Support Programme,[3]<sup>3</sup> which is described below. Countries will be able to access information resources on transparency frameworks, including good practices and

lessons learnt. Finally, all countries will be encouraged to access the updated guidance on integrating gender into national reporting on climate change that will be produced under the CBIT Phase IIA project.

The *Global Support Programme (GSP)* (2015 - 2020) jointly managed by UNEP and UNDP. This programme aims to improve the quality of National Communications (NCs) and Biennial Update Reports (BURs) submitted by Non-Annex I Parties. Although, the program will come to an end before the implementation start date of this project, UNEP and UNDP submitted a full-sized proposal for a *CBIT Phase IIB* project (GEF ID 10088), which is designed in part to continue logistical and technical support services to countries during the preparation of national reports following the close of the GSP project. Countries in the umbrella programme will be kept informed of the status of the Phase IIB project.

The project will also seek closer collaboration at the global/regional level with the GEF-funded *National Adaptation Plan Global Support Programme (NAP-GSP)*, a UNDP-UNEP program financed by the LDCF to assist LDCs to bring greater focus and attention to medium and long-term climate change planning as well as budgeting. Other initiatives such as Low Emissions Development Strategies (LEDS) and Nationally Appropriate Mitigation Actions (NAMAs) would help countries build on relevant initiatives and strengthen the transformational potential of NCs and BURs

In addition to GEF-funded initiatives, other initiatives provide support to developing countries for national reporting:

The *Initiative for Climate Action Transparency (ICAT)* is working with developing countries to strengthen capacity to assess climate actions and report their progress in line with the Paris Agreement, based on individual country needs. The Initiative is supporting in-country capacity development programmes through training modules on measurement, reporting and verification (MRV) of policies and actions, and through 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 NC/BUR projects with the capacity building activities in ICAT.

*NDC Partnership:* Launched at COP22 in Marrakesh, the NDC Partnership aims to enhance cooperation so that countries have access to the technical knowledge and financial support they need to achieve large-scale climate and sustainable development targets as quickly and effectively as possible. Countries in the NDC Partnership will be encouraged to map out areas of NDP partnership support and identify complementary areas with the NC/BUR project during the PIP preparation (Component 1). The participating countries that are actively involved in the NDC Partnership are Benin, Burundi, Guinea-Bissau, Pakistan, Rwanda, Sao Tome and Principe, Somalia, Uganda, and Viet Nam.

The *LEDs Global Partnership* (LEDS GP) aims to support the development of GHG inventories as an essential first step toward managing emissions. The partnership has developed two complementary tools to help design, plan, assess, and operationalize more sustainable national greenhouse gas inventory systems: 1) Developing a National Greenhouse Gas Inventory System Template Workbook; and 2) 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 pre-defined National Greenhouse Gas Inventory System Templates, which were developed by the United States Environmental Protection Agency and the United States Agency for International Development (USAID). These tools are consistent with IPCC and UNFCCC guidelines for national greenhouse gas inventory development.

The *Information Matters* project, which is administered by the *Deutsche Gesellschaft für Internationale Zusammenarbeit* (GIZ) GmbH, provides capacity-building and technical support to partner countries on behalf of the German Federal Ministry for the Environment, Nature Conservation and Nuclear Safety (BMU) under its International Climate Initiative (IKI)/ *Zukunft – Umwelt – Gesellschaft* (ZUG) GmbH. The Information Matters project aims at strengthening partner countries' in-country capacities for enhanced reporting under the United Nations Framework Convention on Climate Change (UNFCCC). The Information Matters project has a special focus on the preparation of Biennial Update Reports (BURs) and the development and implementation of sustainable systems for measurement, reporting and verification (MRV). Countries will be encouraged to make use of the templates and guidance documents that have been developed under Information Matters project.

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[1] <https://unfccc.int/process/transparency-and-reporting/reporting-and-review-under-the-convention/support-for-developing-countries/training-opportunities/training-materials-for-the-preparation-of-national-communications-from-non-annex-i-parties> Accessed October 30, 2019.

[2] Guinea-Bissau and Yemen will participate in the proposed UNEP-GEF TNA Phase IV project (concept approved, project under development).

[3] <https://www.cbitplatform.org/> and <http://www.un-gsp.org/>, respectively. Accessed October 30, 2019.

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

The proposal should briefly justify and describe the project framework. Identify also key stakeholders involved in the project including the private sector, civil society organizations, local and indigenous communities, and their respective roles, as applicable. Describe also how the gender equality and women's empowerment are considered in project design and implementation

This proposal has been prepared in response to the COP decisions for the preparation of biennial update reports and National Communications by Non-Annex I countries. The project aims to support nineteen countries to prepare NCs and BURs as per the UNFCCC COP guidelines.

There are prevailing capacity challenges associated with the preparation of these reports in many developing countries, especially in the least developed countries (LDCs) and small island developing states (SIDS). 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. With respect to the implementation of mitigation and adaptation measures, technical and institutional capacity gaps and needs are reported in areas such as greenhouse gas emission accounting, research and systematic observation, data collection, risk modelling, and vulnerability assessments. Developing countries also emphasize the need to build the capacities of local governments and communities, particularly for adaptation. These challenges have also been reported in the UNFCCC synthesis reports on ‘Implementation of the framework for capacity-building in developing countries,’ FCCC/SBI/2016/4 and FCCC/SBI/2018/5, which were compiled by the UNFCCC secretariat. The 2016 report stated that Non-Annex I Parties stated that “capacity-building is less effective when it is undertaken on an ad hoc basis...” and “A structured and country-driven approach is needed to create and maintain stable institutions, secure and foster in-house knowledge across stakeholders, and to retain trained personnel and experts with a view to ensuring continuity in addressing the challenge of climate change.”[1]

In an attempt to address some of these challenges reported by countries; and make use of the lessons learnt over the period that UNEP has been supporting countries to prepare NCs and BURs, the project has proposed a variety of strategies/measures that will expedite implementation of the project in each of its three components. The following section presents the components of the proposal and outlines proposed measures to expedite project implementation under each phase of the reporting process.

The proposed project has the following three components:

1. Preparation of Project Implementation Plans (PIPs) for NCs and BURs;
2. Preparation of NCs and BURs; and
3. National stakeholders’ involvement and institutional arrangements for preparation of subsequent NC and BUR

### **Component 1: Preparation of Project Implementation Plans (PIPs) for National Communications and Biennial Update Reports**

During the first phase of the project (4 months maximum), participating countries will receive up to US\$20,000 to prepare a detailed NC and/or combined NC & BUR PIPs and US\$10,000 to prepare BUR PIPs, as applicable. This phase is initiated by the signature of a Project Cooperation Agreement (PCA) between UNEP and each Executing Agency (EA). The PCA outlines roles and responsibilities of the Executing Agency (EAs) and Implementing Agency (IAs) in the project. In addition to signing the PCA, the EAs are expected to provide banking details, or indicate their preferred mode of funds transfer to allow UNEP to disburse funds from its Headquarters in Nairobi to each of the 18 EAs.

There are three options for disbursing funds from UNEP to the EAs: 1) direct cash transfers to project account belonging to the EA; 2) sub-allotments to UNEP Regional Offices; or 3) UNDP Country Offices.

Once the PCA has been signed, participating countries will receive up to US\$20,000 to prepare a detailed NC and/or combined NC & BUR PIPs and US\$10,000 to prepare BUR PIPs, as applicable. UNEP will provide guiding notes on PIP preparation in the form of a simplified template that details how to complete the PIP and specifies the information required in different sections. The template will guide countries to consider the socio-political environment in all aspects of the project implementation process and the resulting reports. It will also encourage the alignment of the project activities and approach with UN country programming and ongoing projects to support participation in multilateral environmental agreements, such as the initiatives listed in Table II.(vi).

By preparing the PIPs, Executing Agencies teams will outline appropriate institutional arrangements and stakeholder engagement mechanisms over the four and two-year periods that national teams will be preparing NCs and BURs, respectively. In addition, a budget line for supporting activities under Component 3 will be reserved in the PIP. Countries are eligible to receive up to US\$10,000 for an NC self-assessment report and up to US\$ 5,000 for a stand-alone BUR self-assessment report. The completed PIP will outline proposed project activities; activity costs/component and workplan; roles, responsibilities and draft Terms of References (ToRs). **Annex D** presents generic ToRs of institutions/representatives to be updated by each EA. PIPs will also contain a description of ongoing or planned transparency activities related to Article 13 of the Paris Agreement, such as areas covered by the CBIT projects.

Benchmarks and indicators that conform to UNFCCC reporting guidelines and GEF guidelines for financing NCs and BURs will be included in PIPs to serve as a baseline for monitoring the performance of the projects in terms of its scope, budget and schedule. In addition to acting as a tool for monitoring the performance of the projects in terms of its scope, budget and schedule, countries will be requested to monitor women's equitable participation in project activities. Countries will also be requested to qualitatively assess the state of their institutional capacity for the preparation of National Communications (NCs) and Biennial Update Reports (BURs) based on a rating scale of 1-4 as described below and to include this information in the PIP.

The rating of 1-4 is detailed as follows:

1. No designated institution to support and coordinate, planning and implementation of the UN Framework Convention on climate change reporting processes
2. Designated institution exists, but with limited staff and capacity to support and coordinate implementation of the Convention reporting requirements. Institution lacks authority or mandate to coordinate Convention reporting.
3. Designated institution has an organizational unit with standing staff with some capacity to coordinate and implement Convention reporting requirements. Institution has authority or mandate to coordinate Convention reporting. Activities are not integrated into national planning or budgeting activities.
4. Designated institution(s) has an organizational unit with standing staff with some capacity to coordinate and implement Convention reporting requirements. Institution(s) has clear mandate or authority to coordinate activities under Convention reporting, and activities are integrated into national planning and budgeting activities

The allocated ranking will be included in the PIP document for benchmarking purposes, and the rating exercise will be repeated under Component 3 to assess progress in institutional capacity in each country and will also be shared with the GEF-supported project that targets to merge the Global Support Programme/CBIT Global Coordination Programme GSP-CBIT Project), currently under development; Availing this information in this platform, will ensure that donors and other relevant institutions & initiatives who are supporting reporting under the Convention and the Paris Agreement have access to this information.

**Project outputs** under this component will be three types of PIPs:

§ Ten NC PIPs prepared by Burundi; Guinea Bissau; Mauritania, Pakistan, Rwanda; Sao Tome and Principe, Senegal, Sierra Leone, Somalia and Viet Nam

§ Four BUR PIPs prepared by Azerbaijan, St. Vincent and the Grenadines, Suriname and Uganda

§ Four combined NC & BUR PIPs prepared by Afghanistan, Kuwait, Benin and Yemen

*Strategies for Avoiding Delays under Component 1:* Based on lessons learnt from previous EAs, UNEP has identified three key areas where projects may experience delays in completing PIPs.

§ **Delays in clearance and signing of project agreements:** Some countries experience challenges at this phase due to prolonged review and approval processes necessary of new agreements by the Cabinet and/or Attorney General. While recognizing the importance of this approval processes, and the need to expedite the national project approval processes, UNEP has ensured that the clauses/paragraphs of the project agreements have remained unchanged, so that country legal teams are familiar with all of the clauses in the Agreements, which can reduce time for approval significantly.

§ **Delays in opening a bank account for the project:** Where government entities have lengthy procedures for opening a new project account, UNEP will approve the use of previous NC/BUR bank accounts for the follow-up projects upon the EA's request

§ **Limited expertise at national level to prepare PIPs:** Preparation of a PIP entails the following steps:

- hiring national expert(s) to draft the project implementation plan;
- organizing workshops to obtain input from relevant stakeholders;
- reviewing the project plans to ensure that it meets UNEP, GEF and UNFCCC standards, before its approval.

UNEP will provide the following execution support services to expedite PIP preparation:

§ Support EA teams to draft terms of references for consultants to be engaged in preparing the project implementation plans;

§ Assist national governments to identify qualified experts to undertake stocktaking exercise, stakeholder consultations and PIP preparation;

§ Review the document prepared by the consultant to ensure compliance with GEF and UNEP financial guidelines and alignment with UN country programming and other ongoing initiatives;

§ “Fast-track” the preparation of the Project Implementation Plans. In addition to the strategies outlined above, UNEP will encourage countries who are willing to start preparing the project implementation plans immediately after GEF Council approval to avoid the additional time required for PIP preparation. For those countries that would have completed their NC/BUR PIPs by the time of signing of the project agreements, the initial cash advance will not only include funds for the project inception phase but will also include a reimbursement of the funds used for NC and/or BUR PIPs.

## **Component 2: Preparation of National Communications and Biennial Update Reports**

Once the Project Implementation Plan has been agreed and signed between the country and UNEP, funding for the second phase (for 14-18 months for BUR projects; and 24-28 months for NCs and combined NC/BUR projects) will be made available for countries to implement the project activities as per the approved project document. Progress of project implementation will be monitored by UNEP according to the project indicators and the agreed work programme and UNEP will be responsible for reporting this information annually to the GEF Secretariat.

The national project team, with guidance from UNEP, will organize a project inception workshop (PIW) not later than two months after the PIPs have been approved and the project management teams assembled. Different stakeholders will be invited to participate in the workshop, such as representatives of the civil society organizations, academia, private sector, and NGOs, as well as indigenous people. UN country teams will also be invited in order to ensure coordination with country programming.

The objective of the inception workshop will be to launch the project and finalize the institutional arrangements for its implementation. The inception workshop will address several key issues, including:

- Presentation of the project’s objectives and linkages/synergies to other ongoing or planned projects, activities and initiatives, and national/sectoral development strategies
- Identification of stakeholders to be involved in the preparation of the NC and/or BUR, e.g. government, private sector, donors, NGOs, academia, and support to these stakeholders to fully understand and take ownership of the project.
- Discussion and clarification of the implementation modalities of the project. This will entail outlining in detail the roles, support services and complementary responsibilities of UNEP staff vis-à-vis the project team; and discussing the roles, functions, and responsibilities within the project's decision-making structures, including reporting and communication lines and conflict resolution mechanisms.
- National teams may wish to consider elaborating on the Theory of Change in **Annex N** to fit national circumstances during inception. This might help to identify the drivers and assumptions needed for the changes to happen.

· Finalization of the first annual work plan based on the project results framework. Review and agree on the indicators, targets and their means of verification, and recheck assumptions and risks.

The Executing Agency, in consultation with stakeholders, will identify thematic study/research areas to be covered by national experts and those that will require assistance from regional and/or international experts. EAs will also develop training plans to refine the skills of national experts in data collection, analysis and reporting.

The Project Management Unit will update the draft Terms of Reference (ToRs) developed in Component 1 to reflect any additional inputs from the inception workshop and then submit them to UNEP for final review before advertising in national media, newspapers and online platforms. Qualified national experts from relevant line ministries, academia, and the private sector will be targeted for these tasks as individual consultants. In addition to engaging individual experts/consultants, the project presents an opportunity for institutions to be sub-contracted to prepare NC/BUR chapters/sections of reports aligned to their mandate. This arrangement requires signing a Memorandum of Understanding (MoU) or other legal agreement between the Executing Agency and the selected lead institutions/ or relevant sectors. For example, the EA could sign an MoU with the Ministry of Energy for energy data compilation in the national GHG inventory. The engagement of national/regional/international experts/consultants and supporting institutions in NC/BUR work will be guided by the procurement rules and regulations of participating countries.

The experts selected will work according to UNFCCC guidelines for National Communications for Parties not included in Annex I to the Convention (Decision 17/CP.8) and the adopted guidelines on the preparation of biennial update reports (BURs) by Non-Annex I Parties as outlined in Annex III CoP.17.

In addition, all participating countries will be encouraged to use the 2006 IPCC Guidelines and its 2019 refinements. To this end, UNEP will notify and encourage executing agencies to appoint additional national experts, to be funded through NC/BUR project funds, to attend any IPCC hands-on training workshops (at the regional/international level) organized by either the UNFCCC/IPCC, CGE, GSP or/and other donors. This approach will increase the number of national experts who benefit from these training opportunities, without resulting in additional costs to the organizers.

The following information will be presented in the NC and BUR reports, respectively:

*Table II.(iv) Overview of NC and BUR Contents*

General Information	NC Indicators	BUR Indicators
<b>National circumstances and institutional arrangements relevant to the preparation of the NC and BUR</b>	<ul style="list-style-type: none"> <li>– Relevant information will be provided on the socio-economic and environmental conditions that provide an overall understanding of climate change concerns in the context of national development priorities.</li> <li>– Development of institutional structure to sustain the national communication process</li> </ul>	<ul style="list-style-type: none"> <li>– Information on geographical distinctiveness; climate, land resources, biological diversity, water and forest resources, demography, economy including energy, transport,</li> <li>– Description of institutional arrangements and strategies for continuous improvements for the preparation of BURs described and documented</li> </ul>
<p>EAs will be guided to make use of the following toolkit when preparing this Chapter of the NCs &amp; BURs:- Toolkit for Non-Annex I Parties on establishing and maintaining institutional arrangements for preparing national communications and biennial update reports <a href="http://unfccc.int/files/national_reports/non-annex_i_natcom/training_material/methodological_documents/application/pdf/unfccc_mda-toolkit_131108_ly.pdf">http://unfccc.int/files/national_reports/non-annex_i_natcom/training_material/methodological_documents/application/pdf/unfccc_mda-toolkit_131108_ly.pdf</a></p>		
<b>National greenhouse gas (GHG) inventory*</b>	<ul style="list-style-type: none"> <li>– Formulation of arrangements to collect and manage data for continuous inventory preparation</li> <li>– Formulation of procedures for managing uncertainties in inventory data and GHG emission calculations</li> </ul>	<ul style="list-style-type: none"> <li>– Preparation of the national GHG inventory (inventory year no more than 4 years prior to submission) and National Inventory Report</li> <li>– Strengthening of national institutional capacities for GHG preparation               <ul style="list-style-type: none"> <li>– Improving quality of GHG data generated using guidance on good practice and uncertainty management</li> <li>– Compilation of national GHG emissions, removals and projections for BUR</li> </ul> </li> </ul>

\*All participating countries will be encouraged to use the 2006 IPCC Guidelines and the 2019 refinements.

General Information	NC Indicators	BUR Indicators
<b>Programmes containing measures to facilitate adequate adaptation to climate change</b>	<ul style="list-style-type: none"> <li>– Completion of vulnerability assessments for priority systems, sectors or regions</li> <li>– Identification of adaptation strategies and measures</li> <li>– Formulation of policy frameworks for developing and implementing adaptation strategies</li> </ul>	<ul style="list-style-type: none"> <li>– Not applicable</li> </ul>
<b>Programmes containing measures to mitigate climate change</b>	<ul style="list-style-type: none"> <li>– Completion of climate change mitigation analysis</li> <li>– Formulation of policy frameworks for implementing mitigation measures</li> </ul>	<p>Mitigation actions and their effects will be described as follows: -</p> <ul style="list-style-type: none"> <li>– Name and description of the mitigation action, including information on the nature of the action, coverage (i.e. sectors and gases), quantitative goals and progress indicators;</li> <li>– Information on methodologies and assumptions;</li> <li>– Objectives of the action and steps taken or envisaged to achieve that action;</li> <li>– Information on the progress of implementation of the mitigation actions and the underlying steps taken or envisaged, and the results achieved, such as estimated outcomes (metrics depending on type of action) and estimated emission reductions, to the extent possible;</li> <li>– Information on international market mechanisms.</li> </ul>

General Information	NC Indicators	BUR Indicators
<b>Other information considered relevant to the achievement of the objectives of the Convention</b>	<ul style="list-style-type: none"> <li>– Steps taken to integrate climate change considerations into national development and policy</li> <li>– activities related to transfer of environmentally sustainable technologies</li> <li>– information on climate change research and systematic observation</li> <li>– information on climate change education, training, and public awareness</li> <li>– information on capacity building activities, options and priorities</li> <li>– Measures to promote information exchange and networking</li> </ul>	<ul style="list-style-type: none"> <li>– Report on non-climate related impacts, opportunities and benefits on sustainable development objectives prepared</li> </ul>
<b>Constraints and gaps, and related financial, technical and capacity needs</b>	<ul style="list-style-type: none"> <li>– Further elaboration on the specific constraints, gaps and needs that have been identified in the preparation of the national communication</li> </ul>	<ul style="list-style-type: none"> <li>– Financial, technology and capacity building needs for mitigation actions assessed.</li> <li>– Information on financial resources, technology transfer, capacity building and technical assistance received from the GEF, Annex II Parties and other developed country Parties, the GCF and multilateral institutions for GHG mitigation activities collected, analyzed and updated.</li> <li>– Report bringing the two elements above together and helping to match funding opportunities with needs prepared</li> </ul>
<b>Publication and submission</b>	Fourteen NCs and eight BURs will be published and posted on the UNFCCC website	

In line with the UNFCCC guidance on NC/BUR preparation, and in recognition of the diversity of country's needs; the participating countries have listed the following specific needs that they will seek to address during the implementation of the second component:

*Table II.(v): - Country-specific Capacity Needs to Be Addressed Under the Project*

<b>Country</b>	<b>Key Capacity Needs to Be Addressed Under the Project</b>
<b>Afghanistan</b>	<ul style="list-style-type: none"> <li>● Training and use of the 2006/2019 IPCC Guidelines for National Greenhouse Gas Inventories and the 2006 IPCC Software for GHG Inventories,</li> <li>● Support the development of a Domestic Measurement, Reporting and Verification system to enhance transparency</li> <li>● Undertake vulnerability assessment and future climate change projections for Afghanistan</li> </ul>
<b>Azerbaijan</b>	<ul style="list-style-type: none"> <li>● Address gaps identified in Azerbaijan's Measuring, Reporting and Verification system, such as, the need for continuous capacity development to facilitate setting up an innovative MRV system</li> <li>● Training and capacity building for improved data provision from major emitters</li> <li>● Improvements on GHG Inventory reporting</li> </ul>
<b>Benin</b>	<ul style="list-style-type: none"> <li>● Design and implement a multi-stakeholder climate change training plan for policy makers, teachers, ministry officials, NGOs, trainers, researchers and journalists;</li> <li>● Awareness creation on the UNFCCC Convention reporting processes</li> <li>● Undertake training on the recommended climate change assessment tools and methodologies (on Vulnerability/ Adaptation; Inventories and Mitigation)</li> <li>● Training on climate change assessment tools and capabilities</li> </ul>
<b>Burundi</b>	<ul style="list-style-type: none"> <li>● Strengthening capacities of national experts in estimating and reporting GHG emissions and removals from the AFOLU sector</li> <li>● Support the establishment of a data management system aimed at improving the reporting quality over time</li> <li>● Training on establishing global greenhouse gas emission scenarios, based on available climate models</li> </ul>
<b>Guinea- Bissau</b>	<ul style="list-style-type: none"> <li>● Help to consolidate the institutional mechanism set up by the Third National Communication and the BUR-1 project. Particularly, it will support the functional thematic teams on GHG Inventories, Vulnerability and Adaptation, and Mitigation)</li> <li>● Enhanced capacity for collection, storage and management of updated data and sectoral information.</li> <li>● Increased use of the National Communications as a platform for increasing awareness about the UNFCCC and its implementation in Guinea-Bissau.</li> </ul>
<b>Kuwait</b>	<ul style="list-style-type: none"> <li>● Gender mainstreaming and analysis</li> <li>● Data collection and QA/QC for climate change reporting; how to prepare, maintain and improve data collection systems across sectoral lines and integrate into a national MRV system</li> <li>● Adaptation planning: how sectors can take more of a lead in planning and implementing adaptation actions and inform and update risk assessment on a regular basis.</li> </ul>

<b>Country</b>	<b>Key Capacity Needs to Be Addressed Under the Project</b>
<b>Mauritania</b>	<ul style="list-style-type: none"> <li>●Reinforcing experts' learning on GHGI latest models and tools</li> <li>●Training on upgrading data quality for GHGI from tier 1 to upper levels for 3 key sectors, namely: livestock, energy and transportation</li> <li>●Support the institutionalization of the MRV process</li> </ul>
<b>Pakistan</b>	<ul style="list-style-type: none"> <li>●Undertake training on the recommended climate change assessment tools and methodologies (on Vulnerability/ Adaptation; Inventories and Mitigation)</li> <li>●Support the establishment of GHGI management system</li> </ul>
<b>Rwanda</b>	<ul style="list-style-type: none"> <li>●Support monitoring, reporting and verification</li> <li>●GHG data collection and processing protocols</li> <li>●Integration of data and sharing platform for use by stakeholders as a one-stop source of information for transparency reporting</li> </ul>
<b>St. Vincent and the Grenadines</b>	<ul style="list-style-type: none"> <li>●Support the standardization of data collection and reporting processes</li> <li>●Undertake training on basic GHG data calculations</li> <li>●V &amp; A assessments</li> </ul>
<b>Sao Tome and Principe</b>	<ul style="list-style-type: none"> <li>●Capacity building of national experts on the IPCC/UNFCCC recommended tools and methodologies, such as 2006/2019 IPCC</li> <li>●Capacity building of national experts on domestic MRV and mitigation actions.</li> </ul>
<b>Senegal</b>	<ul style="list-style-type: none"> <li>●Support for process of quality assurance /quality control for the GHGI</li> <li>●Development of mitigations policies measures with appropriate assumptions</li> <li>●Undertake cost analysis for mitigation policies</li> </ul>
<b>Sierra Leone</b>	<ul style="list-style-type: none"> <li>●Build capacity on national inventory processes and data management at sectoral and national levels.</li> <li>●Improve coordination and building synergies in the implementation of climate initiatives.</li> <li>●Build capacity on vulnerability analysis to improve decision-making.</li> </ul>
<b>Somalia</b>	<ul style="list-style-type: none"> <li>●Capacity building of national experts on GHGI, Mitigation Analysis and V&amp;A Assessments</li> <li>●Support institutions to mainstream climate change issues into short- and longer-term strategies for disaster management</li> <li>●Strengthening national capacity on reporting on technological needs and technology transfer under the national communication</li> </ul>
<b>Suriname</b>	<ul style="list-style-type: none"> <li>●Set up/maintain a Greenhouse Gas inventory database in order to have access to all the GHG inventories that were undertaken, and to make data collection for GHG inventories easy for future NCs and BURs</li> <li>●Build/ Strengthen the capacity of the national team responsible for the preparation and evaluation of GHG inventories of NCs and BURs</li> <li>●Mainstream climate change data/information into the National Development Plan of Suriname, specifically the long-term strategy and action plan on climate change</li> </ul>

Country	Key Capacity Needs to Be Addressed Under the Project
Uganda	<ul style="list-style-type: none"> <li>•Build technical and institutional capacity to compile and maintain the national greenhouse gas inventory</li> <li>•Facilitate integration of climate change into development priorities, which form a basis for formulation of national actions to tackle climate change and its impacts.</li> <li>•Generate knowledge and information on climate change and disseminate such knowledge widely within the country.</li> </ul>
Viet Nam	<ul style="list-style-type: none"> <li>•Application of the IPCC 2006 good practice guidelines for the national GHG inventory</li> <li>•Development of a set of criteria for monitoring and evaluation of climate change adaptation actions at all levels, sectors.</li> <li>•Application of suitable models for developing mitigation options.</li> </ul>
Yemen	<ul style="list-style-type: none"> <li>•Strengthen national technical and institutional capacities to address the needs for preparing and implementing NCs and BURs on a continuous basis.</li> <li>•Build capacities for data collection, processing, archiving, interpretation, and dissemination for the GHG inventory and mitigation actions in a sustainable manner</li> <li>•Assist the government with integrating climate change issues into sectoral and national development priorities.</li> </ul>

In recognition of the continuing intergovernmental climate change negotiations and the Paris Agreement, UNEP will communicate any new NC or BUR reporting requirement that may be agreed upon by the COP to countries. It will also advise participating countries on potential adjustments to the project design and implementation as appropriate.

**Project outputs** under this component will be composed of workshops and national reports to the UNFCCC:

- Inception workshops for each national report, for a total of 18 workshops in 18 countries
- 14 NCs prepared by Afghanistan, Benin, Burundi; Guinea Bissau; Kuwait; Mauritania, Pakistan, Rwanda; Sao Tome and Principe, Senegal, Sierra Leone, Somalia, South Sudan and Viet Nam and Yemen
- 8 BURs prepared by Afghanistan, Azerbaijan, Benin, Kuwait, St. Vincent and Grenadines; Suriname, Uganda, and Yemen

*Strategies for Avoiding Delays under Component 2:* Over time, UNEP has observed that some countries experience challenges during the preparation of reports, which include, but are not limited to, limited technical expertise at national level to prepare these reports and unreliable or missing sectoral data for the compilation of the report. UNEP has therefore put in place the following measures to address these concerns:

-

Measures to address limited expertise at the national level to prepare reports:

- Country participation in hands-on training workshops on NC/BUR preparation. Participating countries will be informed of and encouraged to participate in hands-on training workshops related to NC/BUR preparation processes and the latest IPCC guidelines that are organized by the UNFCCC or other donors. UNEP will review and consider requests from EAs for additional participants to be funded through GEF project funds to participate in these workshops in order to increase the number of national experts who benefit from these training. Experts will not only be trained at the national level but will also be supported through project funds to participate in relevant regional training workshops and peer review meetings to improve the quality of their reports.
- Matchmaking for countries with existing technical support for higher-quality reporting. Regional MRV networks for continuous capacity building and technical backstopping will enhance the quality, efficiency and transparency of national climate change reports to the UNFCCC. The sub-regional networks established will be supported in collaboration with UNFCCC's Regional Collaboration Centers (RCCs) as part of a Memorandum of Understanding (MOU) between UNEP and the UNFCCC.
- Provide closer support to projects that experience delays and have limited capacity. The umbrella programme will engage the services of three consultants to be based in Asia, the Caribbean and Africa. The presence of these consultants at the regional level will enhance integration with UNEP regional offices and ensure that country teams have access to UNEP support services nearby and within their operational time zones.
- Provision of enhanced execution support to Least Developed Countries (LDCs) and Small Island Developing States (SIDS) provided in **Annex G**.

Measures to address data availability and reliability:

- Awareness creation and involvement of experts from different sectors, including the private sector, for improved ownership of the process, through Memorandum of Understanding (MoUs,) annual performance targets for different sectors, etc.
- Support in establishing collaboration with regional research centers and institutes for data provision in cases where data are unavailable at the country level
- A long-term strategy to support countries in establishing a centralized data management system and institutional coordination through accessing funds through GEF's CBIT initiative.
- Use of an internal database to track project implementation: based on lessons learnt, an interactive database will track project milestones in real time and flag delays automatically.

### **Component 3: National stakeholders' involvement and institutional arrangements for preparation of subsequent NC and BUR**

This component was included in the proposal design phase of the umbrella programme to address the needs expressed by countries in the 2016 UNFCCC report regarding the need to consider reporting as an ongoing activity and not a one-time project. This approach is also highly consistent with the requirements of Article 13 of the Paris Agreement. Several Non-Annex I Parties identified funding as the key to strengthening institutional arrangements and organizing appropriate staff training. To address the challenges highlighted by countries, UNEP introduced a stocktaking and self-assessment exercise for the preparation of subsequent BURs and NCs into the project design. Activities under this component seek to ensure the continuous engagement of climate change structures/units in EAs and support the EAs to initiate GEF funding proposal development for subsequent NCs and BURs preparation, in parallel to the stocktaking exercise.

To sustain institutional capacities built during the NC and BUR processes as well as encourage continuous reporting at national level, the project will allow EAs to undertake a national stocking exercise for subsequent NCs and BURs following the completion of their NCs and BURs under Component II. The self-assessment and stocktaking exercise will be undertaken within four months of the completion of the NC/BUR reports, and it will include the following:

- Work carried out under previous climate change enabling activities: Parties may provide a summary of activities and results achieved under the previous NC. Undertaking this activity is key as it will ensure that Parties build upon their achievements as they prepare the PIPs for the subsequent NCs and BURs as well as avoid duplication of effort.
- Synergies with related programs and institutions: The stocktaking should also identify, when applicable, how the NC/BUR will build on other on-going enabling activities (e.g. NCSAs and NAPAs if applicable), relevant regional projects, and national activities under other relevant international conventions (e.g. biodiversity, land degradation).
- Lessons learned during the previous NC/ BUR: These may include technical issues but also experiences with process management /institutional arrangements adopted under the previous NC that could provide lessons or best practices for the preparation of subsequent reports. Countries will identify major challenges, such as cross-sectoral assessments or mainstreaming climate change into national development planning frameworks and processes.
- A preliminary list of stakeholders and their potential roles in the NC and BUR process and a proposed strategy to involve all relevant stakeholders.

This exercise will result in self-assessment reports that outline:

- The proposed NC/BUR project institutional arrangement, inter-ministerial coordination for the preparation of the subsequent reports;
- Scope of work to be covered during the preparation of subsequent reports
- Work plans and activity budget for the preparation of the subsequent reports;
- Final rating of the qualitative assessment of institutional capacity for preparation of National Communications (NCs) and Biennial Update Reports (BURs)

**Project outputs** under this component will be:

- Ten NC self-assessment reports prepared by Burundi; Guinea Bissau; Mauritania, Pakistan, Rwanda; Sao Tome and Principe, Senegal, Sierra Leone, Somalia and Viet Nam
- Four BUR self-assessment report prepared by Azerbaijan, St. Vincent and Grenadines; Suriname and Uganda
- Four self-assessment reports combining the experiences and lessons learnt in NC & BUR preparation prepared by Afghanistan, Benin, Kuwait and Yemen

Because this component will support Executing Agencies to initiate their request for GEF funding for subsequent NCs and BURs alongside the stocktaking exercise, it will support a smooth transition to future reports without extended funding gaps. The continuity of reporting will allow countries to maintain their institutional memory and capacities that have developed over the course of compiling previous NC/BUR reports.

### ***Stakeholder Involvement***

Stakeholders' involvement in the NC/BUR processes is critical to ensuring successful project outcome and enhances countries' ownership of the NCs and the BURs. In similar projects, this process has seen the involvement of a diverse group of stakeholders, ranging from government ministries, research institutions, academia, civil society organizations and indigenous people.

During the project design phase, participating countries were surveyed on their proposed institutional arrangements, stakeholder involvement, coordination with existing initiatives, and key issues to address in the upcoming reports.[2] In the area of civil society engagement, all countries reported that civil society would be involved in project implementation. Twelve countries reported one role in their national projects for civil society, while seven reported that civil society would play more than one role. The most common proposed role for civil society in the NC/BUR projects was as a member of the Project Steering Committee or other management body (12 countries), followed by

engagement in project-related consultations (seven countries). Other anticipated roles included members of advisory bodies / contractors (three countries) and project execution or co-execution (two countries). Individual country responses are provided in a separate attachment to **Annex G**.

Alignment with ongoing country-level activities will be supported through the inception workshops, and through the development and review of the PIPs for all participating countries. In addition to alignment with projects that support participation in multilateral environmental agreements, PIPs will be developed with a view to alignment with ongoing country-level development priorities as reflected in United Nations country programming documents. The table below lists the relevant programming documents for each participating country.

*Table II.(vi) Programming Strategies by Participating Country*

<b>Country</b>	<b>Programming Document</b>
Afghanistan	One UN for Afghanistan 2018-2021
Azerbaijan	United Nations -Azerbaijan Partnership Framework 2016-2020
Benin	UNDAF 2019-2023
Burundi	UNDAF 2019-2023
Guinea-Bissau	Partnership Framework between Guinea-Bissau and the United Nations 2016-2020
Kuwait	UNEP-Kuwait Memorandum of Environment Cooperation
Mauritania	UNDAF 2018-2022
Pakistan	One United Nations Programme III 2018-2022
Rwanda	United Nations Development Assistance Plan (UNDAP) July 2018 to June 2023 for Rwanda
St. Vincent and the Grenadines	Sub-Regional Country Programme Document for Barbados and the Organization of Eastern Caribbean States (2017-2021)
Sao Tome and Principe	UNDAF 2017-2021
Senegal	UNDAF 2019-2023
Sierra Leone	UNDAF 2020-2023
Somalia	UN Strategic Framework Somalia 2017-2020

Suriname	Multi-Country Sustainable Development Framework (UN MSDF)
Uganda	UNDAF 2016-2020
Viet Nam	One Strategic Plan 2017-2021
Yemen	UNDAF 2012-2015 (extended up to 2020)

During project implementation, participating countries will be guided to undertake a comprehensive stakeholder analysis and mapping and include this information in their Project Implementation Plans (Output 1). Each executing agency will hold a project inception workshop where the roles and responsibilities of different stakeholders in the project will be mapped out. The EAs will prepare and submit a report on stakeholder roles and responsibilities in the national reporting process based on their expertise and representation. Indigenous people, private sector representatives, and civil society organizations will also be among those invited to participate in the NC and BUR project inception workshop. They will be actively involved in contributing to the project outputs as well as in providing comments on the preparation of the Project Implementation Plans. In addition, they will provide their feedback during the assessment of the NC and BUR processes as they move forward (Component 3).

#### *Gender*

This project has been designed to conform to 2018 guidance from the GEF on gender equality[3] and UNEP’s Policy and Strategy for Gender Equality and the Environment. It will also aim to support the Gender Action Plan of the UNFCCC[4]<sup>4</sup> in the following ways:

*Capacity-building, knowledge-sharing, and communication:* During the Project Implementation Plan preparation, countries will be guided to include a section on gender analysis that outlines different roles, needs, and priorities of women and men in the reporting process. The PIP templates provided to the EAs (Component 1) will include a budget line to support capacity-building for all working groups on linkages between gender and climate change priorities. A one-day 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 BUR processes. 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 easily accessible at the GSP website.[5]<sup>5</sup> Countries will also receive information on updated guidance on the integration of gender into national reporting as this guidance becomes available. One country, Kuwait, has identified gender mainstreaming and analysis as a specific capacity area that this project will seek to address.

*Gender balance, participation, and women's leadership:* 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. Two specific gender indicators have been included in the project results framework.

*Monitoring and Reporting:* 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 BURs reports. 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.

#### *Private Sector Engagement*

Engaging the private sector in mobilizing resources, knowledge and innovation for addressing climate change and promoting green growth is crucial in tackling climate change. 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. Furthermore, the private sector may be an important source of activity data in the IPPU sector. This project is expected to create awareness on climate reporting among critical stakeholders, including the private sector. Representatives of the private sector will be invited to project inception workshops to provide their comments on the design of the project and their potential role in the relevant priority sectors of the project.

#### ***Knowledge Management***

At national level, NC/BUR 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 have elaborate 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. Funds to support these activities will be specified in the Project Implementation Plan (Component 1).

Once drafting and compiling of NC and/or BUR information is complete (Component 2), 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 national communication and its key findings accessible to policymakers, the media, and the public.

At the regional level, participating countries will be encouraged to join regional MRV networks currently being created under the GSP 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 the streamlined website that will replace the GSP website. Project partners will also be informed of any events organized by the UNFCCC, the CGE, GEF and UNEP (including the GSP and its successor program) to disseminate information on project results and lessons learnt.

**Risks:**

Considering that the majority of countries participating in the project have already completed three NCs, with only two countries initiating SNCs, the risk of countries not delivering the project outputs can be considered minimal. Most countries have already established a reasonable technical and institutional basis for the preparation of subsequent NCs and BURs. The main project risks are related to the following: 1) the possibility that countries may produce reports that lack adequate depth and quality; 2) the existence of weak institutional arrangements in participating countries; and 3) poor existing stakeholder consultation processes in participating countries for the preparation of the NCs. UNEP will assist country teams to work towards mitigating the anticipated risks as follows:

*Table II.(vii) Project Risks and Proposed Measures to Address Risks during Implementation*

Risk	Level of Risk	Commentary and Mitigating Strategies and Actions
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Risk	Level of Risk	Commentary and Mitigating Strategies and Actions
<p>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.</p>	Moderate	<ul style="list-style-type: none"> <li>- The project implementation plans (PIPs) will outline roles and responsibilities of different institutions and stakeholders during NC &amp; BURs implementation</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 NCs and BURs; e.g., a toolkit developed by the UNFCCC Secretariat.</li> <li>- PIPs will be reviewed in order to ensure alignment with national development strategies, environmental reporting needs, and participation in other initiatives to collect and use climate-related data and information to take urgent action to combat climate change and its impacts (SDG 13).</li> </ul>
<p>2. <i>Organizational risk (participating countries):</i> Weak institutional arrangement structures and inexperienced staff: Inadequate incentives and difficulties in retaining staff involved in the preparation of previous or current national communications. This has resulted in high staff turnover in many countries and tend to affect not only the quality of the studies but also the timeliness of delivery of project outputs.</p>	Moderate	<ul style="list-style-type: none"> <li>- Because of recent increased interest in climate change issues by national governments, countries will be encouraged to set up permanent and adequately staffed climate change offices to ensure sustainability of NCs and BUR processes including easy access to information, data and tools used for climate change studies.</li> <li>- Executing Agencies will be encouraged to actively involve other institutions in national reporting, through various channels – e.g. establishing robust institutional arrangements and constituting technical working groups with agreed terms of reference, contracts and memorandum of understanding.</li> <li>- Continuous training of climate change project staff on both administrative and technical aspects of the project, to ensure that the unit retains a good institutional memory in case of staff movement.</li> <li>- Through regular monitoring of project activities at the national level and identification of technical bottlenecks, UNEP will advise countries on access to methodological tools, development of terms of references for national and international experts to undertake technical studies, and coordination with relevant stakeholders, etc. to ensure effective and timely work delivery.</li> </ul>
<p>3. <i>Operational risk (Implementing Agency):</i> Superficial and/or delayed reporting/no cost extension</p>	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 enable their understanding of UNFCCC reporting guidelines and ensure effective and timely work delivery.</li> <li>- In cases where there are challenges in project implementation, the UNEP team will undertake country missions to discuss financial and technical matters and any other factors that may be hindering project delivery.</li> </ul>

Risk	Level of Risk	Commentary and Mitigating Strategies and Actions
4. <i>Operational risk (participating countries)</i> : The possibility of most countries producing reports that lack adequate depth and quality	Moderate	<ul style="list-style-type: none"> <li>- Country teams will have access to methodologies and guidance notes for NC and BUR preparation, and they will be encouraged to participate in capacity-building workshops and webinars organized by the CBIT global platform, GSP, CGE, IPCC, UNFCCC and other organizations.</li> <li>- Country teams will be encouraged to utilize regional centers of excellence in both Annex I and Non-Annex I countries for climate-relevant data, information and appropriate analytical tools, particularly in the areas of vulnerability and adaptation. These centers of excellence will provide technical assistance to country teams to enhance the overall quality of the National Communication reports.</li> <li>- Country teams will have access to peer support, and they will be able to exchange data and information, tools and methodologies, lessons learnt and good practices to enhance the quality and utility of national reports. Peer support will enhance the capacity of national experts, resulting in project outputs that are based on sound science and well-established methodologies.</li> </ul>
5. <i>Political risk</i> : It is expected that political unrest/ instability in a participating country or countries could 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 Post-Conflict &amp; Disaster Management Offices; the Sub-Regional Offices under the UNEP's Africa Office 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 situation is favorable</li> <li>- UNEP will also work closely with the GSP-established networks and the UNEP Regional Offices to ensure that participating Countries benefit from the capacity-building, technical assistance and strategic networking offered through these networks.</li> </ul>
6. <i>Environmental risk</i> : Occurrences of extreme weather events such as, floods, hurricanes, could slow/stop implementation of project activities and prevent completion of the project within the stipulated time frame.	Low	<ul style="list-style-type: none"> <li>- Country 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>- Country teams will be encouraged to prioritize data storage and archiving processes in order to prevent the loss of data /information, which would threaten the timely completion of the project.</li> </ul>

[1] FCCC/TP/2016/1, paragraph 115, p. 29.

[2] Country feedback is summarized in a separate attachment to Annex G.

[3] GEF (2018). *GEF Policy on Gender Equality*.

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

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

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

Discuss the work intended to be undertaken and the output expected from each activity as outlined in Table A

#### ***Institutional arrangements:***

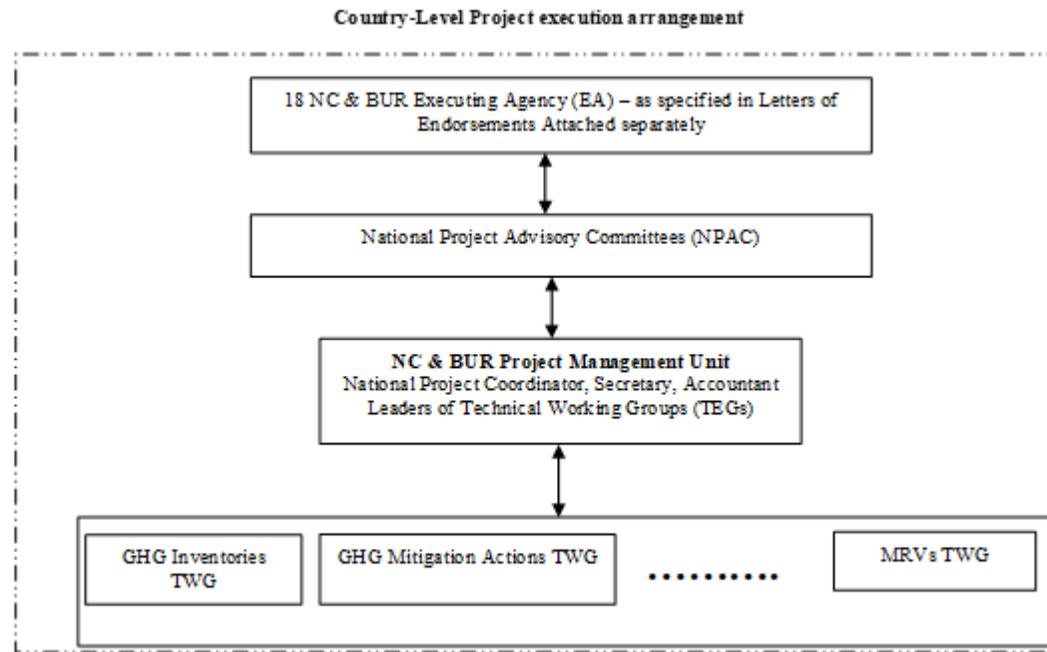
The project will be implemented by the Economy Division of the United Nations Environment Programme (UNEP). UNEP has more than twenty years of experience supporting countries meet their reporting requirements under the UNFCCC, and it supports GEF enabling activities in over 70 countries. Over this time, UNEP has noted that these reports have not only assisted countries to meet their reporting requirements under the UNFCCC but more importantly have helped them to establish subcommittees and sectoral working groups responsible for specific chapters of national reports as well as link scientific assessments of climate change to national policies aimed at contributing to reducing GHG emissions and promoting adequate adaptation to the adverse effects of climate change whilst ensuring sustainable development of their national economies.

The project will be executed by the following 18 executing agencies (EAs):

1. The National Environmental Protection Agency (NEPA) in collaboration with UNEP Post Conflict and Disaster Management Branch (Afghanistan)
2. The Ministry of Ecology and Natural Resources of Azerbaijan
3. Ministry of Environment and Sustainable Development (Benin)
4. Ministry of Environment, Agriculture and Livestock through the Burundian Office for the Protection of the Environment (Burundi)
5. General Directorate of Environment (DGE)/ Secretariat of State of Environment and Biodiversity (SSEB) (Guinea-Bissau)
6. Kuwait Environment Public Authority **in collaboration with UNEP West Asia Office (Kuwait)**
7. National Coordination Office of Climate Change Program at the Ministry of Environment and Sustainable Development (Mauritania)
8. The Ministry of Climate Change (Pakistan)
9. Rwanda Environment Management Authority (Rwanda)
10. Ministry of Finance, Economic Planning, Sustainable Development, and Information Technology (Saint Vincent and the Grenadines)
11. National Institute of Meteorology (Sao Tome and Principe)
12. Directorate of Environment and Classified Establishments (DEEC)(Senegal)
13. Environment Protection Agency (Sierra Leone)

14. Directorate of Environment (Somalia)
15. Coordination Environment at the Cabinet of the President (Suriname)
16. Climate Change Department under the Ministry of Water and Environment (Uganda)
17. Climate Change Department, Ministry of Natural Resources and Environment (Vietnam)
  
18. The Environmental Protection Authority (EPA) in collaboration with the UNEP Regional Office of West Asia (Yemen)

UNEP will delegate the following responsibilities to the EAs; unless otherwise stated in the letter of endorsements – e.g. letters from Afghanistan and Yemen: 1) establishing a Project Management Unit (PMU) within their respective Ministries; 2) engaging services of national experts and research institutions in line with their national procurement processes; 3) managing and reporting on use of GEF resources to UNEP, etc. Additional information on the roles of the EAs is provided in **Annex G**. This delegation of responsibilities for national reporting has supported government partners to move away from a one-person-led project modality to creating climate change units within ministries. EAs have expressed their satisfaction with this approach since it gives them the opportunity to conform the NC/BUR project implementation processes (hiring staff, organizing workshops, contracting services, etc.) to their established national procedures. UNEP will continue, through this programme, to support the establishment of climate change units and training project staff and experts on administrative and/or technical aspects of the project, to create sustainable institutional organizations that support the enhanced reporting requirement under the Convention and the Paris Agreement. Figure 1 outlines a general description of groups that might be formed and approved during the 1st component of this project



Additional information on national institutional arrangements; and coordination with other relevant climate change initiatives is provided in a separate attachment of **Annex G**.

*UNEP's role in the Umbrella Programme*

UNEP will support countries in two ways, in view of their national circumstances and capacity needs. UNEP will act as the GEF Implementing Agency as well as provide enhanced execution support to countries designated as LDCs and/or SIDS included in the Programme. UNEP, through its Economy Division will disburse funds to each of the 18 National Governments. To this end, the EAs are expected to provide banking details, or indicate their preferred mode of funds transfer to allow UNEP to disburse funds from its Headquarters in Nairobi to each of the 18 EAs. Participating countries will receive funds either through 1) direct cash transfers to project account belonging to the EA; 2) sub-allotments to UNEP Regional Offices; or 3) UNDP Country Offices, subject to country preference.

Based on lessons learnt, as well as the geographical location of the participating countries, UNEP will engage the services of three regional consultants based in Rwanda, Chile and Fiji to enhance support to all countries. The presence of these consultants at the regional level will not only enhance the integration of UNFCCC reporting requirements at

UNEP regional offices but will also ensure that country teams have access to UNEP support services nearby and within their operational time zones. The consultants will also be well-positioned to provide support to projects that fall behind in their scheduled delivery of outputs. In addition, UNEP's regional Offices, for instance, the Regional Office of West Asia will be used to support project work in Kuwait and Yemen while UNEP's Post Conflict and Disaster Management Branch (PCDBM), will support Afghanistan. The main role of the regional offices will be the management and reporting of all activities, including financial management; and providing technical, administrative and execution support

UNEP's role as the Implementing Agency in the project is as follows:

- Lead in full 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
- Manage relations with the GEF Evaluation Office and UNEP's Evaluation Office
- Provide consistent and regular oversight on project execution through an annual plan
- Follow-up with executing agencies 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
- Ensure that independent evaluations are carried out according to GEF and UNEP requirements (dedicated budget, TOR, mission planning), and review evaluation reports.

UNEP's role in providing enhanced execution support to Least Developed Countries (LDCs) and Small Island Developing States (SIDS) - *covered by 3% PMC* – is as follows:

The umbrella programme will provide enhanced execution support to project management teams of 12 LDCs (Afghanistan, Benin, Burundi, Guinea-Bissau, Mauritania, Rwanda, Sao Tome and Principe, Senegal, Sierra Leone, Somalia, Uganda and Yemen) and 2 SIDS that are not LDCs: St. Vincent and the Grenadines, and Suriname), owing to their

limited capacity to respond to climate change and adapt to its adverse effects. In addition to the IA request for GEF funding, UNEP will provide the following range of administrative and technical support services (at 3% of project cost) to LDCs and SIDS to enable these countries to meet their reporting obligation:

- Support EA teams to draft terms of references for consultants to be engaged in preparing the project implementation plans (Component 1) by:
  - assisting national governments to identify qualified experts to undertake stocktaking exercise, stakeholder consultations and PIP preparation; and
  - reviewing the document prepared by the consultant to ensure compliance with the GEF and UNEP financial guidelines.
- Provide advisory services during recruitment of project personnel and/or consultants to support the NC and BUR reporting process to ensure that the qualified candidates are selected to support project work.
- Closely monitor, in consultation with the EA, the technical quality of products, outputs and deliverables from local, regional and international consultants and national experts in line with the scope of their work.
- 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.
- 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
  
- Assist country teams to organize national workshops for different NC/ BUR components, which will entail:
  - the identification of trainers for different NC/ BUR components
  - designing the course/workshop agenda
  - reviewing course/workshop training materials.
  - Appraising the technical skill and expertise of the trainers to ensure delivery of high quality and targeted training support.
- Support project partners in the identification of regional centers of excellence to support countries access climate relevant data, information and appropriate analytical tools particularly in the areas of GHG Inventories, mitigation actions

In addition to the national institutional arrangements, enhanced execution support and coordination efforts, participating countries will be eligible to receive technical assistance in their NCs and BUR preparation process through the Global Support Programme (GSP), a project which is jointly managed by UNEP and UNDP. This Programme targets to improve the quality of NCs and BURs submitted by Non-Annex I Parties to the UNFCCC with the intention of making these reports more relevant for national development planning processes, climate negotiations, and for funding low emission, climate resilient development projects. To this end, the GSP will support participating countries in

development of appropriate and robust National Institutional Arrangements for climate change activities; review of ToRs, draft reports/components; NIR, NC, BUR, Mitigation analysis, V&A assessment; and identification of international experts to support countries. To enhance knowledge management, best practices, communication and outreach, the GSP website provides information and materials, tools, relevant links, and country pages; and online learning modules and webinars.

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

This project has been prepared in line with UNFCCC COP guidance on provision of resources to Non-Annex I countries to prepare National Communications (NCs) and Biennial Update Reports (BURs) and is in conformity with Objective 3 of the GEF-7 Climate Mitigation Strategy, which focuses on fostering enabling conditions for mainstreaming mitigation concerns into sustainable development strategies. In accordance with convention guidance, this project is implemented on an agreed full cost basis requiring only in-kind contribution by GEF-eligible countries. The eighteen national governments under this program will make in-kind contributions totaling up to US\$ 960,000 and UNEP will provide co-financing of US\$ 40,000 as an in-kind contribution for project management in form of travel, staff and personnel time of the Chief of the Branch (D-1), as well as support from UNEP's regional offices in West Asia, Africa and the Asia and Pacific.

The umbrella programme approach presents multiple benefits compared to preparation of 18 single country enabling activity requests submitted to the GEF. This approach streamlines project development, approval and funds disbursement processes, which means that start-up of project activities is accelerated, and project cycle expedited saving significant time to countries and minimizing delay known during submission of NCs and BURs to the UNFCCC. Having stated that, UNEP also recognizes that there is no such thing as "one size fits all" in enabling activities and has introduced the first component of the proposal to capture diversity within each participating country. The third project component has been included to support continuous engagement of climate change structures/units in EAs, as well as stakeholders interested in climate change enabling activities, after completion and submission of reports to the UNFCCC. In the absence of this project, once countries complete their current NC and BUR preparation, teams and the structures created on project basis, will be spread out and may be lost.

At the regional level, participating countries will be guided to join regional Measurement Reporting and Verification (MRV) networks currently being created under the Global Support Programme (GSP) for experience sharing; continuous capacity building and technical backstopping which will enhance quality, efficiency and transparency of national climate change reports to UNFCCC. The established sub-regional networks will be supported in collaboration with UNFCCC-Regional Collaboration Centers (RCCs) as part of the collaboration Memorandum of Understanding (MOU) between UNEP and the UNFCCC. Parties will also be encouraged to exchange data and information, tools and methodologies, lessons learnt and good practices to enhance the quality and utility of their reports. This support will be linked to regional centers and international experts who will provide guidance to countries as and when needs arise.

## **E. DESCRIBE, DESCRIBE THE BUDGETED M & E PLAN**

The Logical Framework Matrix (**Annex A**) provides performance and impact indicators for project implementation along with their corresponding means of verification. The project will be monitored through the following M&E activities:

- A Project Inception Workshop at the national level will be held within 2 months of start of project, after the establishment of the Project Management Unit. This 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. UNEP will conduct a visit to project site based on the agreed schedule in the project's Inception Report/Annual Work Plan to assess first-hand project progress. A Field Visit Report/Mission Report will be prepared by Task Manager and will be circulated after the visit.
- Monitoring NCs and BURs technical progress against expenditures: The Project Coordinator 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.
- Periodic Monitoring through discussions with key partners: the UNEP Task Manager will conduct periodic monitoring of activities based on the agreed schedule in the Project Implementation Plan to assess status of implementation of project. The monitoring of project activities will identify areas of improvements and will make recommendations on how to address gaps in project implementation.
- Mid-term Review: A Mid-Term Review will be commissioned and launched by the Project Manager before the project reaches its mid-point. The possibility of a Mid-Term Evaluation will be discussed with the Evaluation Office.
- **Financial Audit, which will be costed under the PMC:** Annual and final financial audit will be undertaken to assess probity (i.e. correctness, integrity etc.) of expenditure and transactions. The audit on project will follow UN Environment Financial Regulations and Rules and applicable Audit policies.
- Terminal Evaluation: In-line with UNEP Evaluation Policy and the GEF's Monitoring and Evaluation Policy, the project will be subject to a Terminal Evaluation. The Evaluation Office will be responsible for the Terminal Evaluation (TE) and will liaise with the Task Manager and Executing Agency(ies) throughout the process. The TE will provide an independent assessment of project performance (in terms of relevance, effectiveness and efficiency), and determine the likelihood of impact and sustainability. It will have two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UN Environment, the GEF, executing partners and other stakeholders.

· The direct costs of the evaluation will be charged against the project evaluation budget. The Terminal Evaluation will be initiated no earlier than six months prior to the operational completion of project activities and, if a follow-on phase of the project is envisaged, should be completed prior to the submission of the follow-on proposal. Terminal Evaluations must be initiated no later than six months after operational completion. The draft TE report will be sent by the Evaluation Office to project stakeholders for comment. Formal comments on the report will be shared by the Evaluation Office in an open and transparent manner. The project performance will be assessed against standard evaluation criteria using a six-point rating scheme. The final determination of project ratings will be made by the Evaluation Office when the report is finalised and further reviewed by the GEF Independent Evaluation Office upon submission. The evaluation report will be publically disclosed and may be followed by a recommendation compliance process.

· Considering that this proposal comprises 19 country projects and project management costs, the Economy Division of UN Environment will furnish the Evaluation Office with the following information, which will be included in the Terminal Evaluation report:

- An assessment of the project management cost against the proposed scope of work outlined in Section 3
- Total co-financing contributed from participating countries against projected co-financing; i.e., US\$960,000, and up to US\$ 40,000 from UNEP
- The extent to which funds allocated for each country were spent (up to \$500,000 and \$352,000 for NCs and BURs, respectively). UNEP will retain US\$165,000 from individual country projects to cover the cost of the mid-term review and terminal review (see **Annex I**). UNEP will monitor and report on the use of EA funds, and present a summary of the GEF funds utilized against funds requested during the mid-term review and terminal evaluation
- Information on additional donor funds. Donor funds used to supplement GEF funds for NCs and BURs will be recorded as co-finance contributions as guided by the Parties, while any funds not utilized by countries will be returned to the GEF

**Annex F** presents a detailed monitoring and evaluation budget and workplan.

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

N/A

### Part III: Approval/Endorsement By GEF Operational Focal Point(S) And Gef Agency(ies)

#### A. Record of Endorsement of GEF Operational Focal Point (s) on Behalf of the Government(s):

Focal Point Name	Focal Point Title	Ministry	Signed Date
Mr. Shah Zaman Maiwandi	Director General - Afghanistan	The National Environmental Protection Agency (NEPA) in collaboration with UNEP Post Conflict and Disaster Management Branch (Afghanistan)	2/21/2019
Mr. Mukhtar Babayev	Minister, & GEF OFP - Azerbaijan	Ministry of Ecology and Natural Resources	2/25/2019
Mr. Delphin Aidji	Le Directeur/GEF OFP - Benin	Ministry of Environment and Sustainable development	2/22/2019
Dr. Mohamed-Yahya Lafdal Chah	GEF OFP - Mauritania	Cellu Nationale de Coordination du Programme Changement climatique/Minister de l'Environnement et du Developpement durable	1/31/2019
Mr. Lourenco Monteiro de Jesus	Director of Statistics and Environmental Education - Sao Tome & Principe	National Institute of Meteorology	1/30/2019
Mr. Patrick Ocailap	Deputy Secretary Treasury/GEF OFP - Uganda	Ministry of Water and Environment, climate Change department	2/28/2019
Mr. Nguyen Duc Thuan	Director of Viet Nam Environment Protection Fund/ GEF OFP - Vietnam	Department of climate change under MONRE	2/15/2019
Mr. Emmanuel Ndorimana	Permanent Secretary and GEF OFP - Burundi	Ministry of Environment, Agriculture and Livestock	4/3/2019
Mr. Shah Zaman Maiwandi	Director General - Afghanistan	Afghanistan Execution Support Letter	7/9/2019

<b>Focal Point Name</b>	<b>Focal Point Title</b>	<b>Ministry</b>	<b>Signed Date</b>
Mr. Joao Raimundo Lopes	Director General - Guinea Bissau	Direction General of Environment	7/17/2019
Eng. Coletha U. Ruhamy	Director General - Rwanda	Rwanda Environment Management Authority	9/19/2018
Janeel Miller-Findlay	GEF OFP - St Vincent & Grenadines	Ministry of Finance, Economic Planning, Sustainable Development and Information Technology	9/5/2019
Ms. Naheed Shah Durrani	GEF OFP - Pakistan	Ministry of Climate Change	4/13/2020
Mr. Abdul Bakarr Salim	Deputy Director/GEF OFP - Sierra Leone	Environment Protection Agency	1/31/2019
Mr. Baba Drame	Director General of Environment - Senegal	Directorate of Environment	1/9/2020
Ms. Ivette Patterzon	Senior Legal and Policy Advisor - Suriname	Cabinet of the President of the Republic of Suriname	12/23/2019
Mr. Mahdi Mohammed Gulaid	Deputy Prime Minister/GEF OFP - Somalia	Office of the Prime Minister	12/23/2019
Mr. Ammar Nasser Al-Aulaqi	Chairman, GEF OFP - Yemen	Environment Protection Authority	11/16/2019
Mr. Ammar Nasser Al-Aulaqi	Chairman, GEF OFP - Yemen	Yemen Execution Support letter	11/16/2019

<b>Focal Point Name</b>	<b>Focal Point Title</b>	<b>Ministry</b>	<b>Signed Date</b>
Mr. Abdullah Ahmad Al-Hamoud Al-Sabah	Director General and GEF OFP - Kuwait	Kuwait Environment Public Authority	11/15/2019
Mr. Abdullah Ahmad Al-Hamoud Al-Sabah	Director General and GEF OFP - Kuwait	Kuwait Execution Support Letter	10/31/2019
Mark Radka	Chief, Energy and Climate Branch	UNEP Co-financing of US\$ 40,000	11/20/2019
Annex G	Country-specific Information	Institutional Arrangements & Coordination	

**B. Convention Participation**

<b>Convention</b>	<b>Date of Ratification/Accession</b>	<b>National Focal Point</b>
United Nations Framework Convention on Climate Change	9/19/2002	Mr. Mohammad Zaman Stanikzai
United Nations Framework Convention on Climate Change	5/16/1995	Mr. Emin Garabaghli & Ms. Umayra Taghiyeva
United Nations Framework Convention on Climate Change	6/30/1994	Mr. Euloge Lima
United Nations Framework Convention on Climate Change	10/27/1995	Mr. Viriato Luis Soares
United Nations Framework Convention on Climate Change	12/28/1994	Mr. Abdullah Ahmad Al-Hamoud Al-Sabah
United Nations Framework Convention on Climate Change	8/8/1998	Mr. Faustin Munyazikwiye
United Nations Framework Convention on Climate Change	6/10/1994	Mr. Sidi Mohamed El Wavi
United Nations Framework Convention on Climate Change	2/12/1996	Ms. Janeel Miller-Findlay
United Nations Framework Convention on Climate Change	9/29/1999	Mr. Amilcar Afonso and Mr. Jose Luiz Lima Onofre
United Nations Framework Convention on Climate Change	10/17/1994	Mme Madeleine Rose Diouf Sarr & Mme Mariline Diara
United Nations Framework Convention on Climate Change	6/22/1995	Mr. Gabriel Kpaka
United Nations Framework Convention on Climate Change	9/11/2009	Mr. Mahdi Mohammed Gulaid
	2/17/2014	
United Nations Framework Convention on Climate Change	10/14/1997	Mr. Winston Guno Lackin
United Nations Framework Convention on Climate Change	9/8/1993	Mr. Alfred Okot Okidi & Mr. Bob Natifu

<b>Convention</b>	<b>Date of Ratification/Accession</b>	<b>National Focal Point</b>
United Nations Framework Convention on Climate Change	11/16/1994	Mr. Huy Luong Quang & Mr. Tang The Cuong
United Nations Framework Convention on Climate Change	2/21/1996	Mr. Ammar Nasser Al-Aulaqi
United Nations Framework Convention on Climate Change	1/6/1997	Mr. Augustin Ngenzirabona



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