



REQUEST FOR CEO ENDORSEMENT

PROJECT TYPE: Full-sized Project

TYPE OF TRUST FUND: GEF Trust Fund

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PART I: PROJECT INFORMATION

Project Title: Fourth National Communication and Biennial Update Reports to the United Nations Framework Convention on Climate Change (UNFCCC)			
Country(ies):	Brazil	GEF Project ID:	5378
GEF Agency(ies):	UNDP	GEF Agency Project ID:	5187
Other Executing Partner(s):	Ministry of Science, Technology and Innovation – MCTI	Submission Date:	
GEF Focal Area (s):	Climate Change	Project Duration(Months)	48
Name of Parent Program (if applicable):		Project Agency Fee (\$):	715,208

A. FOCAL AREA STRATEGY FRAMEWORK

Focal Area Objectives	Expected FA Outcomes	Expected FA Outputs	Trust Fund	Grant Amount (\$)	Cofinancing (\$)
CCM-6 Outcomes 6.1: Adequate resources allocated to support enabling activities under the Convention			GEFTF	7,528,500	22,885,500
Total project costs				7,528,500	22,885,500

B. PROJECT FRAMEWORK

Project Objective: To prepare the Fourth National Communication (4NC) and Biennial Update Reports required to meet obligations under the UNFCCC.

Project Component	Grant Type	Expected Outcomes	Expected Outputs	Trust Fund	Grant Amount (\$)	Confirmed Cofinancing (\$)
National GHG Inventory	TA	National GHG Inventory is improved and updated	1.1 Procedures for inventory development and management to enhance the current system evaluated and adjusted. 1.2 Best practices in the elaboration of inventories adopted. 1.3 National GHG Inventory updated to 2014 (1990-2014) in the energy, industry, agriculture, land use	GEFTF	3,250,000	9,750,000

			change and forestry, and waste sectors.			
National Circumstances, Envisaged Steps for the Convention Implementation, and other relevant information	TA	Report on National Circumstances and description of steps taken or envisaged for the Convention implementation regarding the period 2014 to 2017.	<p>2.1. Report on national and regional development priorities and institutional arrangements.</p> <p>2.2. Report on needs, constraints and gaps and other relevant information.</p> <p>2.3. Report on measures for climate change mitigation.</p>	GEFTF	440,000	1,020,000
Vulnerability assessment and adaptation measures	TA	<p>Vulnerability to climate change in Brazil assessed and adaptation measures identified for agriculture, water resources, energy, economy, health, biodiversity, and ecosystems.</p> <p>Climate scenarios and projections for Brazil improved with the use of advanced and updated Regional and Global Climate Change models.</p>	<p>3.1. Documented climate scenarios based on the Brazilian Earth System Model (BESM) and downscaling with the Atmospheric Regional Model Eta.</p> <p>3.2. Impact assessment of the atmospheric chemistry component of BESM; impact assessment of surface vegetation fires simulated by the fire module of BESM; impact assessment of projected large scale climatic fluctuations of rainfall on river runoff variations and its impacts on ocean carbon cycles and coastal erosion.</p> <p>3.3 Regional and sectoral vulnerability analysis (using vulnerability indexes) and generation of maps, under various emission scenarios and time slices, in GIS format.</p> <p>3.4. Network of low</p>	GEFTF	1,550,000	4,650,000

			<p>cost data collection devices for the assessment of the human perception of climate variability (extreme events) and change, to be used as a metric for adaptation policies.</p> <p>3.5 Adaptation measures for the key sectors identified.</p>			
Public Awareness and Education Strategy in Place	TA	An enhanced public awareness strategy on climate change is developed, including the compilation and update of relevant information.	<p>4.1. Relevant documents and policy briefs published and disseminated.</p> <p>4.2. Web site of the Ministry of Science, Technology and Innovation updated with information on GHG Inventories, legislation, scientific knowledge and other climate change issues.</p> <p>4.3. Workshops and seminars organized and participation in public events in order to disseminate information on climate change issues, presenting main findings of the project.</p>	GEFTF	700,000	2,450,000
Publication and submission of the Fourth NC	TA	Fourth NC is published and submitted to the UNFCCC.	<p>5.1. Publication of the 4NC in hard copy and alternative media in Portuguese and English.</p> <p>5.2. Reference Reports of the National Inventory published for the different sectors.</p>	GEFTF	230,000	690,000
Preparation and submission of	TA	Biennial Update Reports (BUR) for	6.1. BURs for 2016 and 2018 published and	GEFTF	1,000,000	3,000,000

Biennial Update Reports (BUR) in 2016 and 2018		2016 are prepared, published and presented to the UNFCCC.	submitted, including updates of information regarding: <ul style="list-style-type: none"> - National circumstances and institutional arrangements; - National GHG inventory (up to 2012 and 2014, respectively); - Mitigation actions and their effects; - Constraints and gaps, and related financial, technical and capacity needs; - Level of support received to enable the preparation and submission of BURs; - Domestic measurement reporting and verification; and other relevant information. 			
			Subtotal		7,170,000	21,560,000
			Project management Cost (PMC) ¹	GEFTF	358,500	1,325,500
			Total project costs		7,528,500	22,885,500

C. SOURCES OF CONFIRMED COFINANCING FOR THE PROJECT BY SOURCE AND BY NAME (\$)

Sources of Co-financing	Name of Co-financier (source)	Type of Cofinancing	Cofinancing Amount (\$)
Federal Government	MCTI	In-kind	1,175,500
	Embrapa	In-kind	9,750,000
	INPE	In-kind	4,650,000
	Rede CLIMA	In-kind	7,160,000
	UNDP	In-kind	150,000
Total Co-financing			22,885,500

D. TRUST FUND RESOURCES REQUESTED BY AGENCY, FOCAL AREA AND COUNTRY

GEF Agency	Type of Trust Fund	Focal Area	Country Name/ Global	(in \$)		
				Grant Amount (a)	Agency Fee (b)	Total c=a+b
UNDP	GEF IF	Climate Change	Brazil	7,528,500	715,208	8,243,708
Total Grant Resources				7,528,500	715,208	8,243,708

¹ In case of a single focal area, single country, single GEF Agency project, and single trust fund project, no need to provide information for this table. PMC amount from Table B should be included proportionately to the focal area amount in this table.

² Indicate fees related to this project.

F. CONSULTANTS WORKING FOR TECHNICAL ASSISTANCE COMPONENTS:

Component	Grant Amount (\$)	Cofinancing (\$)	Project Total (\$)
International Consultants	100,190	0	100,190
National/Local Consultants	898,000	2,694,000	3,592,000

G. DOES THE PROJECT INCLUDE A “NON-GRANT” INSTRUMENT? No

PART II: PROJECT JUSTIFICATION**A. CHANGES IN ALIGNMENT WITH THE PROJECT DESIGN OF THE ORIGINAL PIF**

A.1 National strategies and plans or reports and assessments under relevant conventions, if applicable.

National strategies and plans are still aligned with the Project.

A.2. GEF focal area and/or fund(s) strategies, eligibility criteria and priorities:

Alignment with GEF focal area remains the same.

A.3 GEF Agency comparative advantage:

UNDP comparative advantage remains the same.

A.4. The baseline project and the problem that it seeks to address:

Developing country Parties should provide the UNFCCC with adequate information on the status of implementation of Convention commitments with submitting its National Communications, based on the guidelines provided by the Conference of Parties (COP) for non-Annex I countries (Decision 17/CP.8). The Government of Brazil (GoB) has successfully submitted the Initial and Second National Communications and is currently concluding its Third National Communication (TNC). Additionally, the Conference of the Parties at its sixteenth session (COP 16) decided that developing countries, consistent with their capabilities and the level of support provided for reporting, should also submit biennial update reports containing updates of national greenhouse gas inventories, including a national inventory report and information on mitigation actions, needs and support received.

The present proposal aimed at preparing the Fourth National Communication (4NC) and the Biennial Update Reports in Brazil fits within the described context and is prepared in accordance with UNFCCC guidance. The envisaged 4NC Project, which will be implemented by UNDP Brazil, has been endorsed by the Brazilian Government in a letter dated March 28th 2013.

In the process of elaborating the TNC, a permanent data platform for the National Inventory is currently under development so as to ensure regular updating, security, transparency and continuity. This platform will enable and promote wider public access to data concerning GHG emissions. However, the platform will still be at an early stage of development when the TNC is delivered. Therefore, such efforts shall be carried on in order to build a more robust database during the preparation of the 4NC. Another important contribution for the Fourth National Communication accounts to the multiple research programs conducted by the Brazilian Research Network on Global Climate Change (Rede CLIMA). These research programmes are filling information gaps identified in the INC and SNC, and significantly contributing for the development of the TNC. Along the preparation of the TNC, Brazil has identified several aspects that should be enhanced for the 4NC. The Inventory for the Land Use, Land Use Change and Forestry (LULUCF) Sector will be further refined by the utilization of satellite images taken at shorter time intervals for the Amazonia, Cerrado and Caatinga biomes. The Inventory will be further improved by calculating country specific emission factors for energy, agriculture and LULUCF.

A.5. Incremental /Additional cost reasoning:

According to the Convention’s decision (Decision 12/CP.2), GEF, on an interim basis, is the international entity entrusted with the operation of the financial mechanism, referred to in Article 11 of the Climate Convention. The Fourth National Communication and the Biennial Update Reports will allow for the extension and consolidation of existing partnerships with relevant government institutions and research centers, besides the expected improvement of current models and data platforms. However, these upgrades will imply higher costs, thus requiring additional funding for the expected refinement vis-à-vis the TNC.

A.6 Risks, including climate change, potential social and environmental risks:

No major risks can be identified in the implementation of this project since the Government of Brazil is strongly committed to its obligations under the Convention and in particular to fulfilling reporting requirements. Nevertheless, administrative and financial risks with a low magnitude were identified: (i) Coordination with stakeholders: delays due to coordination with a large number of stakeholders from different sectors may cause delays in project implementation. However this risk will be minimized by building on partnership agreements and institutional collaboration established when preparing the TNC. The PIF was presented on time to allow the continuity of the National Communication process, thus ensuring that the 4NC can initiate as soon as the TNC is presented to the UNFCCC. Commitment from all stakeholders will also be maintained through effective coordination and communication between stakeholders and Government; (ii) Delays in the preparation of reports: the risk is low given Brazil’s experience in preparing national communications and the expected level of GEF financing for this project; and, (iii) Restricted information base on climate change: the project will help mitigate climate change risks and support decision making related to climate change by improving the corresponding knowledge base.

Risk	Rating	Mitigation
Coordination with stakeholders may cause delay since a large number of actors from different economic sectors of the society are involved.	Low	This risk will be minimized by building on the inter-sector agreements and institutional collaboration established during the implementation of the Fourth National Communication (4NC). Commitment from all stakeholders will be also maintained through effective coordination and communication between stakeholders and Government.
Difficulty in hiring qualified people.	Medium	The project can draw on a pool of national experts. Proper preparation of ToR and contracts should help minimizing delay due to this cause.

Risk	Rating	Mitigation
Limited political support to Climate Change issues.	Medium	This risk is deemed very low since Brazil has anchored its climate policy in national Law; and the NCs are elements in a continuous process.

A.7. Coordination with other relevant GEF financed initiatives.

The project will benefit from the previous NCs funded by the GEF. The 4NC will update all information contained in the TNC, including national inventories of greenhouse gas emissions and sinks up to the year 2014. Brazil is currently implementing a project also financed by the GEF and executed by the MCTI named “Mitigation Options of Greenhouse Gas (GHG) Emissions in Key Sectors in Brazil”, in partnership with the United Nations Environment Program (UNEP). It shall reach completion by November 2015. The Project’s objective is to assist the Government of Brazil in strengthening its technical capacity for supporting the implementation of its mitigation actions for GHG in key economic sectors (industry, energy, transportation, household and services, LULUCF, waste management and other cross-sector alternatives). It will, in sum: (i) identify mitigation alternatives and quantify respective potentials and costs, developing scenarios for 2012-2035 and 2035-2050; (ii) provide an integrated analysis of different mitigation alternatives; evaluate possible impacts of climate policies on the economy; test domestic measurement, reporting and verification (MRV) of proposed mitigation alternatives; and (iii) promote capacity-building for the implementation of mitigation actions.

B. ADDITIONAL INFORMATION NOT ADDRESSED AT PIF STAGE:

B.1 Stakeholder engagement in project implementation.

The Brazilian Research Network on Global Climate Change (Rede CLIMA) is expected to be involved in the preparation of the 4NC and BURs, through its numerous research institutions and universities. The Network produces information to support the formulation and follow up of public policies on climate change as well as the Brazilian position in negotiations under the UNFCCC. Moreover, public consultations will involve stakeholders from the private sector and civil society organizations, including those representing indigenous people.

Besides the institutions on the Rede CLIMA network, other institutions may be involved in the preparation of the 4NC and BUR, as listed below:

Institution	Contributes to / Prepares	Output related	Comparative advantage
Brazilian Research Network on Global Climate Change (Rede CLIMA)	<ul style="list-style-type: none"> • Conducting research on various aspects of climate change. 	Outputs 1.2, 1.3, 2.1 and 2.2	Large expertise of researchers and prior contribution to the development of TCN.
Brazilian Chemical Industry Association (ABIQUIM)	<ul style="list-style-type: none"> • Industry reference reports on chemical industry emissions. • Industry reference reports on industrial processes emissions. • Industry reference reports on industrial processes: mineral products – production of lime, limestone and dolomite. 	Output 1.3	Contribution to the development of the previous National Inventories.

National Cement Industry Union (SNIC)	<ul style="list-style-type: none"> • GHG emissions of industrial processes: mineral products – production of cement. 	Output 1.3	Contribution to the development of the previous National Inventories.
Brazilian Association of Portland Cement (ABCP)	<ul style="list-style-type: none"> • Industry reference reports on industrial processes: mineral products – production of cement. 	Output 1.3	Contribution to the development of the previous National Inventories.
Brazilian Aluminum Association (ABAL)	<ul style="list-style-type: none"> • Industry reference reports on industrial processes: metal products - aluminum. 	Output 1.3	Contribution to the development of the previous National Inventories.
Brazil Steel Institute (IABr)	<ul style="list-style-type: none"> • Industry reference reports on industrial processes: metal products – iron and steel. 	Output 1.3	Contribution to the development of the previous National Inventories.
Brazilian Lime Producers Association (ABPC)	<ul style="list-style-type: none"> • GHG emissions of industrial processes: mineral products – production of lime, limestone and dolomite. 	Output 1.3	Contribution to the development of the previous National Inventories.
Ministry of External Relations	<ul style="list-style-type: none"> • It formulates foreign policy and conducts international negotiations on climate change. 	Output 6.1	Experience in conducting international negotiations on climate change.
Ministry of Mines and Energy (MME)	<ul style="list-style-type: none"> • GHG emissions of industrial processes: mineral products – production of lime, limestone and dolomite. • GHG emissions of vehicles • Carbon dioxide emissions from fossil fuel combustion: top-down method. • GHG emissions from fossil fuel combustion: bottom-up method. 	Output 1.3	It will develop knowledge about some data related to GHG emission.
Ministry of the Environment	<ul style="list-style-type: none"> • It coordinates, at the executive level, the work undertaken by the Interministerial Committee on Climate Change. 	Output 6.1	It has the responsibility of monitoring the national mitigation actions.
Ministry of Planning, Budget and Management	<ul style="list-style-type: none"> • It is responsible for planning and budgetary issues. 	Output 6.1	It has information about financial support received.
Secretariat of Strategic Affairs (SAE)	<ul style="list-style-type: none"> • It has an important role in long term planning 		
Ministry of Finance	<ul style="list-style-type: none"> • It is responsible for coordinating discussions on carbon markets. 	Output 6.1	It has information about financial

			support received.
Ministry of Development, Industry and External Commerce (MDIC)	<ul style="list-style-type: none"> It is responsible for the mitigation plan for the industrial sector. 	Output 6.1	It has information about mitigation actions.
Ministry of Transport	<ul style="list-style-type: none"> It is responsible for the mitigation plan for the transport sector. 	Output 6.1	It has information about mitigation actions.
Ministry of Cities	<ul style="list-style-type: none"> In collaboration with the Ministry of Transport, it is responsible for the mitigation plan for the transport sector, regarding urban mobility issues. 	Output 6.1	It has information about mitigation actions.
Brazilian Forum on Climate Change	<ul style="list-style-type: none"> It has the purpose of raising the awareness of society and mobilizing it for discussion and decision-making on problems resulting from climate change, thus promoting stakeholder dialogue. It promotes the institutional interface between Government and Civil Society. 	Output 4.3	Important partner to promote the institutional interface between Government and Civil Society.
São Paulo State Environmental Company (CETESB)	<ul style="list-style-type: none"> Reference reports on solid waste disposal emissions treatment. 	Output 1.3	Contribution to the development of the previous National Inventories.
Foundation for Space Science, Technology and Applications (FUNCATE)	<ul style="list-style-type: none"> Reference reports on carbon dioxide emissions from land use, land-use change and forestry. 	Output 1.3	Contribution to the development of the previous National Inventories.
Petrobras	<ul style="list-style-type: none"> Reference reports on fugitive GHG emissions in oil and natural gas industry. 	Output 1.3	Contribution to the development of the previous National Inventories.
Brazilian Coal Association (ABCM)	<ul style="list-style-type: none"> Industry reference reports on industrial processes: metal products – iron and steel. Energy reference reports: fugitive GHG emissions from coal mining and handling. 	Output 1.3	Contribution to the development of the previous National Inventories.
Brazilian Agricultural Research Corporation (Embrapa)	<ul style="list-style-type: none"> Agriculture reference reports. 	Output 1.3	Embrapa has the expertise in agriculture research. Contribution to the development of the previous National Inventories.
Federal University of Rio de Janeiro (COPPE/UFRJ)	<ul style="list-style-type: none"> Energy reference reports: top-down and bottom-up. 	Output 1.3	Contribution to the development of the previous National Inventories.

Association of the Santa Catarina Coal Industry (SATC)	<ul style="list-style-type: none"> • Energy reference reports: fugitive GHG emissions from coal mining and handling. 	Output 1.3	Contribution to the development of the previous National Inventories.
Pontifical Catholic University of Rio Grande do Sul (PUCRS)	<ul style="list-style-type: none"> • Energy reference reports: fugitive GHG emissions from coal mining and handling. 	Output 1.3	Contribution to the development of the previous National Inventories.
National Civil Aviation Agency (ANAC)	<ul style="list-style-type: none"> • Energy reference reports: GHG emissions from civil aviation. 	Output 1.3	Contribution to the development of the previous National Inventories.
Department of Airworthiness (SAR)	<ul style="list-style-type: none"> • Energy reference reports: GHG emissions from civil aviation. 	Output 1.3	Contribution to the development of the previous National Inventories.
Center for Environmental Protection Studies (NEPA)	<ul style="list-style-type: none"> • Energy reference reports: GHG emissions from civil aviation. 	Output 1.3	Contribution to the development of the previous National Inventories.

B.2 Socioeconomic benefits to be delivered by the Project at the national and local levels:

No direct environmental benefits are associated with the proposed Enabling Activity Project although indirect global environment benefits are expected since the studies developed and information provided will be the basis for efforts to mitigate Brazil's GHG emissions and enhancement of sinks, and to reduce its vulnerability to impacts of climate change. The 4NC of Brazil will address gender concerns by building capacities of both men and women (and children) to equally cope with the adverse impacts of climate change and reduce negative effects on national welfare and environmental sustainability. More specifically, the project will: 1) systematically analyze and address the specific needs of both women and men; identify targeted interventions to enable both genders to participate in – and equally benefit from – development efforts; and, 2) address any gaps in attaining gender equality particularly in the context of adaptation to impacts of climate change by designing strategies and policies to close these gaps. This can be accomplished during the workshops and seminars as well as with the research work undertaken for the development of BESM.

B.3. Cost-effectiveness in project design:

The 4NC aims to improve the emission data by conducting targeted research and strengthening the technical capacity of institutions to cope with climate change mitigation and adaptation. To meet this end, Rede CLIMA will contribute substantially to generate and disseminate scientific knowledge to the different sectors involved in the emissions inventory, besides conducting research related to climate models. The involvement of Rede CLIMA implies gains in several respects. Initially, allows contact with state-of-the art of research areas in the country also enables direct interaction of researchers with the project; opens the way to the participation of researchers in the project by hiring studies specifically designed to project objectives; and, enhances the generation of positive externalities (co-benefits) inside the academy.

C. BUDGETED M & E PLAN:

Monitoring and evaluation will be undertaken following UNDP and GEF requirements. These are detailed in Section F of the UNDP ProDoc. Periodic monitoring of implementation progress will be undertaken by the UNDP CO through quarterly meetings with the project implementation team, or more frequently as deemed necessary. Progress made shall be monitored in the UNDP Enhanced Results Based Management Platform and the risk log should be regularly updated in ATLAS based on the initial risk analysis. Annual monitoring will occur through the Project Advisory Committee and project monitoring reporting. This includes Project Inception Report (PIR) and an Annual Project Report (APR/PIR) and Project Implementation Review (PIR) which is an annual monitoring process mandated by the GEF. Given the similarities between the both APR/PIR and PIR, UNDP-GEF has prepared a harmonized format for use in fulfilling the two requirements. The project will be subjected to at least two independent external evaluations as follows: An independent Mid-Term Review and an independent Final Evaluation in line with UNDP and GEF requirements. Annual audits will be undertaken. The M&E plan is summarised below.

Type of M&E Activity	Responsible Parties	Budget US\$ Excluding project team staff time	Time Frame
Inception Workshop and Report	<ul style="list-style-type: none"> ▪ Project Manager ▪ UNDP CO, UNDP GEF 	Indicative cost: \$15,000	Within first two months of project start up
Measurement of Means of Verification of project results.	<ul style="list-style-type: none"> ▪ UNDP GEF RTA/Project Manager will oversee the hiring of specific studies and institutions and delegate responsibilities to relevant team members. 	To be finalized in Inception Phase and Workshop.	Start, mid and end of project (during evaluation cycle) and annually when required.
Measurement of Means of Verification for Project Progress on <i>output and implementation</i>	<ul style="list-style-type: none"> ▪ Oversight by Project Manager ▪ Project team 	To be determined as part of the Annual Work Plan's preparation.	Annually prior to ARR/PIR and to the definition of annual work plans
ARR/PIR	<ul style="list-style-type: none"> ▪ Project manager and team ▪ UNDP CO ▪ UNDP RTA ▪ UNDP EEG 	None	Annually
Project Board Meetings	<ul style="list-style-type: none"> ▪ Project Coordinator ▪ UNDP-CO ▪ GoP representatives 	\$20,000	Two times per year
Periodic status/ progress reports	<ul style="list-style-type: none"> ▪ Project manager and team 	None	Quarterly
Mid-term Review	<ul style="list-style-type: none"> ▪ Project manager and team ▪ UNDP CO ▪ UNDP RCU ▪ Evaluation team 	Indicative cost: \$20,000	At the mid-point of project implementation.
Final Evaluation	<ul style="list-style-type: none"> ▪ Project manager and team, ▪ UNDP CO ▪ UNDP RCU ▪ Evaluation team 	Indicative cost : \$30,000	At least three months before the end of project implementation
Lessons Learned	<ul style="list-style-type: none"> ▪ Project manager and team ▪ UNDP CO ▪ Local consultant 	None	Yearly
Project Terminal Report	<ul style="list-style-type: none"> ▪ Project manager and team ▪ UNDP CO ▪ Local consultant 	None	At least three months before the end of the project
Audit	<ul style="list-style-type: none"> ▪ UNDP CO ▪ Project manager and team 	Cost per year approx. \$5.000 (total \$ 20.000)	Yearly
Visits to field sites	<ul style="list-style-type: none"> ▪ UNDP CO 	For GEF supported	Yearly

Type of M&E Activity	Responsible Parties	Budget US\$ Excluding project team staff time	Time Frame
	<ul style="list-style-type: none"> ▪ UNDP RCU (as appropriate) ▪ Government representatives 	projects, paid from IA fees and operational budget	
TOTAL		US\$105,000	

PART III: APPROVAL/ENDORSEMENT BY GEF OPERATIONAL FOCAL POINT AND GEF AGENCY

A. RECORD OF ENDORSEMENT OF GEF OPERATIONAL FOCAL POINT ON BEHALF OF THE GOVERNMENT:

NAME	POSITION	MINISTRY	DATE (MM/dd/yyyy)
Rodrigo Martins Vieira	General Coordinator for External Financing	MINISTRY OF PLANNING, BUDGET AND MANAGEMENT	03/28/2013

B. GEF AGENCY CERTIFICATION

This request has been prepared in accordance with GEF/LDCF/SCCF/NPIF policies and procedures and meets the GEF/LDCF/SCCF/NPIF criteria for CEO endorsement/approval of project.

Agency Coordinator, Agency Name	Signature	Date (Month, day, year)	Project Contact Person	Telephone	Email Address
Adriana Dinu, Executive Coordinator, UNDP- GEF		Dec. 19, 2014	Oliver Page	(507) 302-4548	oliver.page@undp.org

ANNEX A: PROJECT RESULTS FRAMEWORK

<p>This project will contribute to achieving the following Country Programme Outcome as defined in CPD: Public sector and civil society institutions capacities' for policy formulation, implementation, monitoring and evaluation, focusing in particular on the most vulnerable groups, strengthened.</p>					
<p>Country Programme Outcome Indicators: Strengthening of public policy institutional arrangements with focus on specialized studies and systems.</p>					
<p>Primary applicable Key Environment and Sustainable Development Key Result Area: 1. Mainstreaming environment and energy</p>					
<p>Applicable GEF Strategic Objective and Program: Enabling Activities (CCM-6): CC Enabling Activity</p>					
<p>Applicable GEF Expected Outcomes: Fourth National Communication (FNC) and Biennial Update Reports (BUR)</p>					
<p>Applicable GEF Outcome Indicators: Completed and submitted Fourth National Communication (FNC) and Biennial Update Reports (BUR)</p>					
Strategy	Objectively Verifiable Indicators			Source of Verification/Mean s of Gauging Success	Risks and Assumptions
	Indicator	Baseline	Target (End of Project)		
<p>Project objective: To assist the Government of Brazil to perform the activities necessary to prepare the Fourth National Communication and Biennial Update Reports in accordance with the UNFCCC.</p>	<p>(A) Status of national GHG inventories ;</p>	<p>(A) TNC GHG inventory available for period 1990-1994 (INC), 1990-2000 (SNC) and 1990-2010 (TNC)</p>	<p>National GHG inventory for the sectors: (i) energy; (ii) industry; (iii) agriculture; (iv) LULUCF; and (v) waste for 2011-2014 produced; and time-series 1990-2010 refined</p>	<p>Project evaluation and official reports to the UNFCCC</p>	<p>Risks: No major risks have been identified in the implementation of this project since the Government of Brazil is strongly committed to its obligations under the international agreements on Climate Change and in particular to the reporting under the UNFCCC. Assumptions: The Government maintains its support to implement the UNFCCC in Brazil.</p>
	<p>(B) Status of assessment National Circumstances</p>	<p>(B) TNC includes assessment of National circumstances until 2013</p>	<p>(B) Report on National Circumstances and description of steps taken or envisaged for the Convention implementation regarding the period</p>		

			2014 to 2017;		
	(C) Publication of Fourth National Communication;	(C) TNC published in December 2014	(C) 4 th National Communication fully prepared and published		
	(D) Level of institutional capacity in Brazil for education, training and public awareness related to climate change.	(D) Fragmented initiatives on education, training and public awareness	(D) At least one research group supporting education, training and public awareness initiatives		
	(E) Biennial Update Report for reference year 2012 and 2014	(E) First BUR (submitted with TNC)	(E) BUR (submitted on 2016) and BUR (2018 submitted with FNC)		
Outcome 1: National GHG inventory is improved and updated.	(A) Database of emission factors and activity data;	(A) Pilot database available under the SNC and TNC	(A) Procedures for inventory development and management to enhance the current system evaluated and adjusted;	Status of the preparation of the inventory report	<p>Risks: (1) Coordination with stakeholders may cause delay since a large number of actors from different economic sectors of the society are involved. (2) Difficulty in hiring qualified people.</p> <p>Assumptions: (1) 4NC will benefit from experience gained with INC, SNC and TNC; (2) Project can draw on a pool of experts, including Rede CLIMA researchers; (3) The Government maintains its support to implement the UNFCCC in Brazil.</p>
	(B) QA/QC plan for GHG emission data per sector;	(B) QA/QC pilot has been designed and implemented under SNC and TNC	(B) Best practices in the elaboration of inventories adopted.		
	(C) National GHG inventory for the sectors: (i) energy; (ii) industry; (iii) agriculture; (iv) LULUCF; and (v) waste; for 2011-2014 produced and time-series 1990-2010 refined.	(C) GHG inventory available for period 1990-1994 (INC), 1990-2000 (SNC) and 1990-2010 (TNC)	(C) GHG inventory available for the period 2011-2014, including refinement of time-series 1990-		

			2010.		
Outcome 2: National circumstances, envisaged steps for the Convention implementation, and other relevant information.	(A) Assessment of national circumstances in Brazil;	(A) TNC (data until 2013)	(A) Report on national and regional development priorities and institutional arrangements.	Status of the report preparation	Risks: (1) Limited political support to Climate Change issues; (2) Difficulty in hiring qualified people. Assumptions: (1) 4NC will benefit from experience gained with INC, SNC and TNC; (2) Project can draw on a pool of experts, including Rede CLIMA researchers; (3) The Government maintains its support to implement the UNFCCC in Brazil.
	B) Assessment of constraints and needs to implement the Convention in Brazil;	(B) TNC (data until 2013)	(B) Report on needs, constraints and gaps and other relevant information.		
	(C) Identification of activities and CC measures to implement the Convention in Brazil;	(C) TNC (data until 2013)	(C) Report on measures for climate change mitigation.		
Outcome 3: Vulnerability assessment and adaptation	(A) Scenarios of “Brazilian Earth System Model (BESM)”;	(A) BESM developed and RESM/CPTEC model improved with higher resolution for a larger domain in	(A) Documented climate scenarios based on the Brazilian Earth System Model	Status of the development of the scenarios and the vulnerability and	Risks: Several minor risks have been identified: (1) complex coordination with stakeholders may cause project delays; (2) access to supercomputers; (3) delay to generate regional climate

measures		the TNC	(BESM) and downscaling with the RESM.	adaptation report.	change scenarios; (4) quality of satellite images available for analysis; (5) delays in the preparations of reports. Assumptions: The Government maintains its support to implement the UNFCCC in Brazil.
	(B) Climate change impact assessment for atmospheric chemistry, surface vegetation fires, and others;	(B) Limited CC impact assessment has been prepared under TNC	(B) Impact assessment of the atmospheric chemistry component of BESM; impact assessment of surface vegetation fires simulated by the fire module of BESM; impact assessment of projected large scale climatic fluctuations of rainfall on river runoff variations and its impacts on ocean carbon cycles and coastal erosion.		
	(C) Mapping of vulnerability of key sectors and regions to climate change impacts.	(C) Improved data and methodologies under TNC	(C) Regional and sectoral vulnerability analysis (using vulnerability indexes) and generation of maps, under various emission scenarios and time slices, in GIS format.		

	(D) Assessment of human perception on climate change	(D) Independent studies on human perception on climate change	(D) Network of low cost data collection devices for the assessment of the human perception of climate variability (extreme events) and change, to be used as a metric for adaptation policies.		
	(E) Identification of key sectors and regions with climate change impacts.	(E) Preliminary results of studies on climate change vulnerability	(E) Adaptation measures for the key sectors identified.		
Outcome 4: Public Awareness and Education Strategy in Place	(A) Assessment of policies and programs related to climate change;	(A) Revised National Plan of Climate Change and regional workshops realised for TNC dissemination	(A) Relevant documents and programs/policy briefs published and disseminated.	Project reports (4NC, evaluation report)	<p>Risks: Several minor risks have been identified: (1) no interest of people to access the information; (2) difficulty to involve the general public.</p> <p>Assumptions: (1) The Government maintains its support to implement the UNFCCC in Brazil; (2) is increasing people's interest for matters related to climate change.</p>
	(B) Updated webpage from MCTI with information on 4NC;	(B) The dissemination of TNC and the inventory results available on the MCTI webpage	(B) Web site of the MCTI updated with information on GHG Inventories, legislation, scientific knowledge and other climate change issues.		

	(C) Dissemination of results found in the preparation of National Communication	(C) Workshop's undertaken to present the results of TNC	(C) Workshops, seminars and meetings with subnational governments organized and participation in public events in order to disseminate information on climate change issues, presenting main findings of the project.		
Outcome 5: Publication and submission of the Fourth NC.	(A) Publication of Fourth National Communication;	(A) Previous NCs	(A) Publication of the 4NC in hard copy and alternative media in Portuguese and English, presented to the GoB;	Project reports (4NC, evaluation report)	Risks: No specific risks have been identified. Assumptions: (1) The Government maintains its support to implement the UNFCCC in Brazil; (2) project stakeholders correctly understand UNDP/GEF M&E principles.
	(B) Publication of Reference Reports of the key sectors of the National GHG emissions Inventory.	(B) Publication of reference reports of TCN	(B) Reference Reports of the National Inventory published for the different sectors.		

<p>Outcome 6: Preparation and submission of Biennial Update Reports (BUR) in 2016 and 2018</p>	<p>(A) Publication of Second BUR.</p>	<p>(A) First BUR submitted with TNC</p>	<p>(A) BURs for 2016 published and submitted, including updates of information.</p>	<p>Project reports (BUR-2016 and BUR-2018 with FNC, evaluation report)</p>	<p>Risks: (1) Delay in compilation of GHG inventory for period 1990-2012 and 1990-2014 by 2016 and 2018, respectively due to limited time.</p> <p>Assumptions: (1) Brazilian Government maintains its support to implement the UNFCCC</p>
	<p>(B) Publication of Third BUR.</p>	<p>(B) Previous BUR</p>	<p>(B) BUR for 2018 published and submitted, including updates of information.</p>		

ANNEX B: RESPONSES TO PROJECT REVIEWS (from GEF Secretariat and GEF Agencies, and Responses to Comments from Council at work program inclusion and the Convention Secretariat and STAP at PIF).

Reviewer's comments	Responses	Reference in UNDP Prodoc
GEF Secretariat Comment at PIF (PFD)/Work Program Inclusion, date.		
<p>Information on public participation, including CSOs and indigenous people, has been provided. Further information should be provided by CEO Endorsement.</p>	<p>Besides the institutions that are part of <i>Rede Clima</i> network, other institutions may be involved in the preparation of the 4NC and BURs, as listed in Annex 2. Moreover, public consultations will involve stakeholders from the private sector and civil society organizations, including those representing indigenous people.</p>	<p>Page 23, paragraph 81</p>
<p>The CEO endorsement is contingent upon the submission of the third national communication and the first biennial update report to the UNFCCC. Please provide further information on the applicability of the Brazilian Earth System Model to other countries in the region.</p>	<p>The Third National Communication and BUR are estimated to be submitted to UNFCCC in December 2014. Project activities shall initiate upon completion of the TNC Project's technical activities. High resolution (e.g. 100 Km grid and less) global climate change scenarios generated by Brazil Earth System Model (BESM) shall be applicable not only to Brazil, but also to other South American, Caribbean and African countries, as the model shall incorporate tropical features relevant for those countries. Also, the large volume of digital files containing climate change scenarios shall be easily accessible to other countries beyond Brazil, through the use of the Earth System Grid Federation (ESGF) framework developed by the CMIP5 Project, and being installed in INPE's supercomputer system. The ESGF infrastructure being built at INPE will also facilitate any user in South America and the Caribbean to access the wealth of CMIP5 (and in the future, CMIP6) scenarios generated by all the research centers participating in the CMIP project.</p>	<p>Page 14, paragraph 37</p>

ANNEX C: STATUS OF IMPLEMENTATION OF PROJECT PREPARATION ACTIVITIES AND THE USE OF FUNDS

A. PROVIDE DETAILED FUNDING AMOUNT OF THE PPG ACTIVITIES FINANCING STATUS IN THE TABLE BELOW:

PPG Grant Approved at PIF: NOT APPLICABLE			
<i>Project Preparation Activities Implemented</i>	<i>GEF/LDCF/SCCF/NPIF Amount (\$)</i>		
	<i>Budgeted Amount</i>	<i>Amount Spent To date</i>	<i>Amount Committed</i>
Total	0	0	0

ANNEX D: CALENDAR OF EXPECTED REFLOWS (if non-grant instrument is used)

Not applicable