



GEF-6 PROJECT IDENTIFICATION FORM (PIF)

PROJECT TYPE: Non-expedited Enabling Activity

TYPE OF TRUST FUND: GEF Trust Fund

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PART I: PROJECT INFORMATION

Project Title:	Umbrella Programme for Preparation of National Communications and Biennial Update Reports to the UNFCCC		
Country(ies):	Global:- 13 Countries: Cote d' Ivore, Ghana, Kenya, Madagascar, Mauritius, Moldova, Mongolia, Niue, Qatar, Saint Lucia, Saudi Arabia, Solomon Islands & Viet Nam.	GEF Project ID: ¹	
GEF Agency(ies):	UNEP (select) (select)	GEF Agency Project ID:	01644
Other Executing Partner(s):	13 National Governments	Submission Date:	March 7, 2018
GEF Focal Area(s):	Climate Change	Project Duration (Months)	48
Integrated Approach Pilot	IAP-Cities <input type="checkbox"/> IAP-Commodities <input type="checkbox"/> IAP-Food Security <input type="checkbox"/> Corporate Program: SGP <input type="checkbox"/>		
Name of parent program:	[if applicable]	Agency Fee (\$)	701,388

A. INDICATIVE FOCAL AREA STRATEGY FRAMEWORK AND OTHER PROGRAM STRATEGIES²

Objectives/Programs (Focal Areas, Integrated Approach Pilot, Corporate Programs)	Trust Fund	(in \$)	
		GEF Project Financing	Co-financing
(select) CCM-3 Program 5 (select)	GEFTF	7,383,040	740,000
(select) (select) (select)	(select)		
(select) (select) (select)	(select)		
(select) (select) (select)	(select)		
Total Project Cost		7,383,040	740,000

B. INDICATIVE PROJECT DESCRIPTION SUMMARY

Project Objective: To support thirteen (13) 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						
Project Components	Financing Type ³	Project Outcomes	Project Outputs	Trust Fund	(in \$)	
					GEF Project Financing	Co-financing
1. Preparation of Project Implementation Plans (PIPs) for NCs and BURs	TA	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	GEFTF	210,000	25,000
2. Preparation of	TA	2.1 Countries meet	2.1.1 Eight (8) NCs	GEFTF	3,800,000	400,000

¹ Project ID number will be assigned by GEFSEC and to be entered by Agency in subsequent document submissions.

² When completing Table A, refer to the excerpts on [GEF 6 Results Frameworks for GETF, LDCF and SCCF](#) and [CBIT guidelines](#).

³ Financing type can be either investment or technical assistance.

NCs and BURs		their NC and/or BUR reporting requirements under the UNFCCC.	prepared and submitted to the UNFCCC				
			2.1.2 Nine (9) BURs prepared and submitted to the UNFCCC	GEFTF	3,053,000	300,000	
3. National stakeholders' involvement and institutional arrangements for preparation of subsequent BUR and NC	TA	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.	GEFTF	105,000	15,000	
	(select)			(select)			
Subtotal						7,168,000	740,000
Project Management Cost (PMC) ⁴					(select)	215,040	0
Total Project Cost						7,383,040	740,000

For multi-trust fund projects, provide the total amount of PMC in Table B, and indicate the split of PMC among the different trust funds here: ()

C. INDICATIVE SOURCES OF CO-FINANCING FOR THE PROJECT BY NAME AND BY TYPE, IF AVAILABLE

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
Recipient Government	Thirteen (13) government ministries and departments responsible for climate change reporting	In-kind	740,000
(select)		(select)	
(select)		(select)	
(select)		(select)	
(select)		(select)	
Total Co-financing			740,000

D. INDICATIVE TRUST FUND RESOURCES REQUESTED BY AGENCY(IES), COUNTRY(IES), FOCAL AREA AND THE PROGRAMMING OF FUNDS ^{a)}

GEF Agency	Trust Fund	Country/Regional/Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee (b) ^{b)}	Total (c)=a+b
UNEP	GEFTF	Global	Climate Change	(select as applicable)	7,383,040	701,388	8,084,428
(select)	(select)		(select)	(select as applicable)			0
(select)	(select)		(select)	(select as applicable)			0
(select)	(select)		(select)	(select as applicable)			0
(select)	(select)		(select)	(select as applicable)			0
Total GEF Resources					7,383,040	701,388	8,084,428

a) Refer to the [Fee Policy for GEF Partner Agencies](#).

⁴ For GEF Project Financing up to \$2 million, PMC could be up to 10% of the subtotal; above \$2 million, PMC could be up to 5% of the subtotal. PMC should be charged proportionately to focal areas based on focal area project financing amount in Table D below.

E. PROJECT PREPARATION GRANT (PPG)⁵

Is Project Preparation Grant requested? Yes No If no, skip item E.

PPG AMOUNT REQUESTED BY AGENCY(IES), TRUST FUND, COUNTRY(IES) AND THE PROGRAMMING OF FUNDS

Project Preparation Grant amount requested: \$					PPG Agency Fee:		
GEF Agency	Trust Fund	Country/ Regional/Global	Focal Area	Programming of Funds	(in \$)		
					PPG (a)	Agency Fee ⁶ (b)	Total c = a + b
(select)	(select)		(select)	(select as applicable)			0
(select)	(select)		(select)	(select as applicable)			0
(select)	(select)		(select)	(select as applicable)			0
Total PPG Amount					0	0	0

⁵ PPG requested amount is determined by the size of the GEF Project Financing (PF) as follows: Up to \$50k for PF up to \$2m (for MSP); up to \$100k for PF up to \$3m; \$150k for PF up to \$6m; \$200k for PF up to \$10m; and \$300k for PF above \$10m. On an exceptional basis, PPG amount may differ upon detailed discussion and justification with the GEFSEC.

⁶ PPG fee percentage follows the percentage of the Agency fee over the GEF Project Financing amount requested.

F. PROJECT'S TARGET CONTRIBUTIONS TO GLOBAL ENVIRONMENTAL BENEFITS⁷

Provide the expected project targets as appropriate.

Corporate Results	Replenishment Targets	Project Targets
1. Maintain globally significant biodiversity and the ecosystem goods and services that it provides to society	Improved management of landscapes and seascapes covering 300 million hectares	<i>Hectares</i>
2. Sustainable land management in production systems (agriculture, rangelands, and forest landscapes)	120 million hectares under sustainable land management	<i>Hectares</i>
3. Promotion of collective management of transboundary water systems and implementation of the full range of policy, legal, and institutional reforms and investments contributing to sustainable use and maintenance of ecosystem services	Water-food-ecosystems security and conjunctive management of surface and groundwater in at least 10 freshwater basins;	<i>Number of freshwater basins</i>
	20% of globally over-exploited fisheries (by volume) moved to more sustainable levels	<i>Percent of fisheries, by volume</i>
4. Support to transformational shifts towards a low-emission and resilient development path	750 million tons of CO _{2e} mitigated (include both direct and indirect)	<i>metric tons</i>
5. Increase in phase-out, disposal and reduction of releases of POPs, ODS, mercury and other chemicals of global concern	Disposal of 80,000 tons of POPs (PCB, obsolete pesticides)	<i>metric tons</i>
	Reduction of 1000 tons of Mercury	<i>metric tons</i>
	Phase-out of 303.44 tons of ODP (HCFC)	<i>ODP tons</i>
6. Enhance capacity of countries to implement MEAs (multilateral environmental agreements) and mainstream into national and sub-national policy, planning financial and legal frameworks	Development and sectoral planning frameworks integrate measurable targets drawn from the MEAs in at least 10 countries	<i>Number of Countries: 13</i>
	Functional environmental information systems are established to support decision-making in at least 10 countries	<i>Number of Countries:</i>

PART II: PROJECT JUSTIFICATION

1. Project Description.

The global environmental and/or adaptation problems, root causes and barriers that need to be addressed;

The average temperature of the Earth's atmosphere and oceans has been rising over the past 150 years, and the pace of this change in our climate system appears to be accelerating. After decades of research and hundreds of studies, an overwhelming majority of scientists have come to believe that human activities are a major cause of this worrying trend. Some proposed climate change response strategies include (a) limiting greenhouse gas (GHG) emissions to slow the rate and limit the extent of climate change, (b) taking adaptation actions to reduce potential damages from climate change impacts, (c) expanding research and development to provide better low-carbon options for the national and global economy, and (d) improving scientific understanding about climate change and its impacts to enable better informed decision making. The international community and national governments have over the years committed to implementing these strategies to mitigate global greenhouse gas emissions, while simultaneously galvanizing innovative solutions to adapt to a changing world.

⁷ Provide those indicator values in this table to the extent applicable to your proposed project. Progress in programming against these targets for the projects per the *Corporate Results Framework* in the [GEF-6 Programming Directions](#), will be aggregated and reported during mid-term and at the conclusion of the replenishment period. There is no need to complete this table for climate adaptation projects financed solely through LDCF, SCCF or CBIT.

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. Since 1994, governments have invested significant time and resources in the preparation, collection and validation of data on greenhouse gas emissions and the COP has made determined efforts to improve the quality and consistency of the data, by establishing improved guidelines for reporting. Parties at COP 16 decided to enhance the reporting in national communications (NCs), 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 and those contained in annex III for the preparation of biennial update reports (BURs) by developing countries. NCs from developing countries 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. BURs provide an update of the information presented in NCs, in particular on national GHG inventories, mitigation actions, constraints and gaps, including support needed and received. Timely preparation of these reports promotes and facilitate exchange of information on measures adopted by Parties to address climate change and its effects, as well as avail information to assist the Conference of Parties (COP) assess progress made towards achieving of the objective of the Convention.

A synthesis report compiled by the UNFCCC secretariat on the implementation of the framework for capacity-building in developing countries (FCCC/SBI/2016/4), indicates that many non-Annex I Parties reported having strengthened institutional arrangements for national communications to meet enhanced and more-frequent reporting obligations. They have done this by establishing subcommittees and sectoral working groups responsible for specific chapters of national reports. Nevertheless, the absence of a robust coordinating body at the institutional level, in addition to the lack of technical expertise to address different sections of national reports, were highlighted by some developing countries as key constraints in the preparation of national communications and biennial update reports. In order to improve the quality of their national reports, some Parties emphasized the need to consider them as an ongoing activity and not a one-time project. Several developing countries thus identified funding as key to strengthening institutional arrangements and organizing appropriate staff training. This proposal seeks to support thirteen (13) developing country Parties to access financial resources to 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 their national development goals. The proposed projects respond to the needs identified in this report.

2) the baseline scenario or any associated baseline projects,

Presently, there are 154 non-Annex I Parties to the Convention, out of which 47 Parties are classified as least developed countries (LDCs) by the United Nations. Information provided by the Global Environment Facility on its activities relating to the preparation of national communications and biennial update reports FCCC/SBI/2017/INF.10 and the UNFCCC updates on National Reports from non-Annex I Parties indicate that most non-Annex I Parties are presently engaged in preparing 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 20th February 2018: -

Table 1: Number of National Communications and Biennial Update Reports submitted to the UNFCCC by Developing Country Parties (February, 2018)

National Communications					Biennial Update Reports		
NC1	NC2	NC3	NC4	NC5	BUR1	BUR2	BUR3
151	133	46	2	1	39	14	0

Key: -

- NC1 – Initial National Communication
- NC2 – Second National Communication
- NC3 – Third National Communication
- NC4 – Fourth National Communication
- NC5 – Fifth National Communication
- BUR1 – Initial Biennial Update Report
- BUR2 – Second Biennial Update Report
- BUR3 – Third Biennial Update Report

This umbrella programme seeks to support thirteen (13) 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. The requested GEF resources will support:-

- nine (9) countries to prepare and complete their BURs: - Cote d’Ivoire, Ghana, Kenya, Mongolia, Niue, Qatar, Saudi Arabia, Solomon Islands, Vietnam by Yr. 2021
- eight (8) countries to prepare and submit the NCs: - Cote d’Ivoire, Kenya, Madagascar, Mauritius, Moldova, Mongolia, Qatar, St. Lucia, by Yr. 2023

Refer to Letters of Endorsement attached in **Annex B**. The project has been designed to complement and strengthen existing national communication processes without duplication, as shown in Table 2. Below is a summary of the Parties with regards to meeting the reporting obligation under the UNFCCC.

Table 2: Status of National Communications and Biennial Update Reports Preparation in the Participating Countries

PARTY	NCs AND BURs COMPLETED AND SUBMITTED TO THE UNFCCC ⁸						GEF Funding Requested	
	NC1	NC2	NC3	NC4	BUR1	BUR2	Project	Amount
1. Cote d'Ivoire	√	√	√		Under preparation		NC4/BUR2	852,000
2. Ghana	√	√	√	Under preparation	√	Under preparation	BUR3	352,000
3. Kenya	√	√					TNC/BUR1	852,000
4. Madagascar	√	√	√		Under preparation		NC4	500,000
5. Mauritius	√	√	√		Under preparation		NC4	500,000
6. Moldova	√	√	√	√	√	Under preparation	NC5	500,000
7. Mongolia	√	√	Under preparation		√		NC4/BUR2	852,000
8. Niue	√	√	Under preparation				BUR1	352,000
9. Qatar	√						SNC/BUR1	852,000
10. Saudi Arabia	√	√	√	Under preparation	Under preparation		BUR2	352,000
11. Solomon Islands	√	√	Under preparation				BUR1	352,000
12. St. Lucia	√	√	√		Under preparation		NC4	500,000
13. Vietnam	√	√	Under preparation		√	√	BUR3	352,000
NCs & BURs	13	13	7	1	4	1	8 NCs 9 BURs	7,168,000

Out of 13 participating countries, the following 5 countries are classified as Small Island Developing States and as least developed countries (LDCs): - Niue, Solomon Islands, Madagascar, Mauritius, St. Lucia. These countries are given special consideration under the Convention on account of their limited capacity to respond to climate change and adapt to its adverse effects. The UN Environment will therefore, provide enhanced administrative and technical support to enable these countries to meet their reporting obligation.

3) the proposed alternative scenario, GEF focal area⁹ strategies, with a brief description of expected outcomes and components of the project,

⁸ The four countries, that is, Cote d'Ivoire, Ghana, Saudi Arabia and Mongolia are finalizing their current NCs and BURs. UN environment is working to ensure that these pending reports are finalized and submitted to the UNFCCC Secretariat prior to submission of the Request for CEO Endorsement.

⁹ For biodiversity projects, in addition to explaining the project's consistency with the biodiversity focal area strategy, objectives and programs, please also describe which [Aichi Target\(s\)](#) the project will directly contribute to achieving.

The project will strengthen information base and institutional capacity of the national institutions involved in the development of NCs and BURs by building on lessons learnt and good practices from previous NCs and BUR, to integrate climate change priorities into development strategies and relevant sector programs. This proposal is in line with the COP decisions for the preparation of biennial update reports and National Communications by non-Annex I. The proposal conforms to the GEF-6 strategic focal area on climate change mitigation, objective 3 on fostering enabling conditions to mainstream mitigation concerns into sustainable development strategies. Program 5 of this objective aims to facilitate the integration of the reporting and assessment results into the national planning process and to help countries mainstream mitigation action in support of the proposed 2015 agreement. The project consists of the three components to be implemented by all participating countries: -

- i. Preparation of Project Implementation Plans (PIPs) for NCs and BURs;
- ii. Preparation of NCs and BURs.
- iii. 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 (6 months maximum), participating countries will receive up to \$20,000 to prepare a detailed NC and/or combined NC & BUR PIPs and US\$ 10,000 to prepare BUR PIPs, as applicable. UN Environment will provide guiding notes on PIP preparation in the form of a simplified templates that detail how to complete the PIP and specifies the information required in particular sections. 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. National teams will be guided to include a budget line for supporting activities under Component 3 in their PIPs. Parties will set aside up to \$10,000 for NC self-assessment report and up to US\$ 5,000 for stand-alone BUR self-assessment report. The completed PIP will outline proposed activities with costs, timelines, benchmarks and indicators that conform to UNFCCC reporting guidelines and GEF guidelines for financing NCs and BURs and will serve as a baseline for monitoring the performance of the projects in terms of its scope, budget and schedule. The output under this component will be three types of PIPs produced as follows: -

- Four NC PIPs prepared by Madagascar, Mauritius, Moldova, & St. Lucia
- Five BUR PIPs prepared by Ghana, Niue, Saudi Arabia, Solomon Islands & Vietnam
- Four NC & BUR PIPs combining prepared by Cote d' Ivoire, Kenya, Mongolia & Qatar

Component 2: Preparation of National Communications and Biennial Update Reports

The second phase of the project will be initiated once the PIPs prepared under component I have been approved and signed by the Executing Agency (EA) and the UN Environment. The National team, through the guidance of UN environment will organize a project inception workshop (PIW) not later than two months after the PIPs have been approved. The project inception workshop will be held once the EA has identified and recruited the project management teams to coordinate project activities and day to day management of the project. Different stakeholders will be invited to participate in the workshop, including key stakeholders identified during the national consultation process, such as representatives of the civil society organizations, academia, private sector,

NGOs as well as indigenous people. The main objective of the workshop is to launch the project and finalize the institutional and other necessary arrangements for carrying out the enabling activity project. This workshop is crucial in building ownership for the project results and to review and finalize the first -year annual work plan; and should address a number of 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. Governmental, private sector, donors, NGOs, academia and further assisting them to fully understand and take ownership of the project.
- Discussing and clarifying the implementation modalities of the project. This will entail outlining in detail the roles, support services and complementary responsibilities of UN Environment staff vis-à-vis the project team; discuss the roles, functions, and responsibilities within the project's decision-making structures, including reporting and communication lines, and conflict resolution mechanisms.
- Discuss financial reporting procedures and obligations, and arrangements for annual audit
- Based on the project results framework finalize the first annual work plan. Review and agree on the indicators, targets and their means of verification, and recheck assumptions and risks.

After the inception workshop, the project coordinator will be expected to finalize the workplan and begin with the subcontracting and hiring experts. These experts will prepare various components of the NCs and BURs reports as guided by the 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 respectively. The following information will be presented in different sections of these reports:

TABLE 3: An Overview of NCs AND BURs Indicators

General Information	NC Indicators	BUR Indicators
National circumstances and institutional arrangements relevant to the preparation of the NC and BUR	<ul style="list-style-type: none"> – 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. – Development of institutional structure to sustain the national communication process 	<ul style="list-style-type: none"> – Information on geographical distinctiveness; climate, land resources, biological diversity, water and forest resources, demography, economy including energy, transport, – Description of institutional arrangements and strategies for continuous improvements for the preparation of BURs described and documented
<p>EAs will be guided to make use of the following toolkit when preparing this Chapter of the NCs & BURs:- Toolkit for non-Annex I Parties on establishing and maintaining institutional arrangements for preparing national communications and biennial update reports http://unfccc.int/files/national_reports/non-annex_i_natcom/training_material/methodological_documents/application/pdf/unfccc_mda-toolkit_131108_ly.pdf</p>		
National greenhouse gas (GHG) inventory	<ul style="list-style-type: none"> – Formulation of arrangements to collect and manage data for continuous inventory preparation 	<ul style="list-style-type: none"> – Preparation of the national GHG inventory (inventory year no more than 4 years prior to submission) and National Inventory Report

General Information	NC Indicators	BUR Indicators
	<ul style="list-style-type: none"> - Formulation of procedures for managing uncertainties in inventory data and GHG emission calculations 	<ul style="list-style-type: none"> - Strengthening of national institutional capacities for GHG preparation - Improving quality of GHG data generated using data on good practice and uncertainty management - Compilation of national GHG emissions, removals and projections for BUR
Programmes containing measures to facilitate adequate adaptation to climate change	<ul style="list-style-type: none"> - Completion of vulnerability assessments for priority systems, sectors or regions - Identification of adaptation strategies and measures - Formulation of policy frameworks for developing and implementing adaptation strategies 	<ul style="list-style-type: none"> - Not applicable
Programmes containing measures to mitigate climate change	<ul style="list-style-type: none"> - Completion of climate change mitigation analysis - Formulation of policy frameworks for implementing mitigation measures 	<p>Mitigation actions and their effects will be described as follows: -</p> <ul style="list-style-type: none"> - 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; - Information on methodologies and assumptions; - Objectives of the action and steps taken or envisaged to achieve that action; - 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; - Information on international market mechanisms.
Other information considered relevant to the achievement of the objectives of the Convention	<ul style="list-style-type: none"> - Steps taken to integrate climate change considerations into national development and policy - activities related to transfer of environmentally sustainable technologies - information on climate change research and systematic observation - information on climate change education, training, and public awareness - information on capacity building activities, options and priorities - Measures to promote information exchange and networking 	<ul style="list-style-type: none"> - Report on non-climate related impacts, opportunities and benefits on sustainable development objectives prepared

General Information	NC Indicators	BUR Indicators
Constraints and gaps, and related financial, technical and capacity needs	<ul style="list-style-type: none"> - Further elaboration on the specific constraints, gaps and needs that have been identified in the preparation of the national communication 	<ul style="list-style-type: none"> - Financial, technology and capacity building needs for mitigation actions assessed. - 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. - Report bringing the two elements above together and helping to match funding opportunities with needs prepared
Publication and submission	Eight NCs, and nine BURs will be published and posted on the UNFCCC website	

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

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

In an effort to sustain institutional capacities built during the NC and BUR processes as well as encourage continuous reporting at national level, the project will provide an opportunity for participating countries to undertake a national stocktaking exercise for subsequent NCs and BURs after they complete their NCs and BURs under Component II. The self-assessment and stocktaking exercise will include the following:

- Work carried out under previous climate change enabling activities: Parties may provide a brief 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 programmes and institutions: The stocktaking should also identify, when applicable, how the NC & BUR will build on other on-going enabling activities e.g. (NCSA, NAPA if applicable), relevant regional projects, and national activities under other relevant international conventions (e.g. biodiversity, land degradation).
- Lessons learned during previous NC & BUR: This may include technical issues but also experiences of process management /institutional arrangements adopted under the previous NC that could provide lessons or best practices for the preparation of the BUR. Identify major challenges especially as they range from cross sectoral assessments to mainstreaming climate change into National Development Planning frameworks and processes.
- Develop a preliminary list of stakeholders and their potential roles in the NC & BUR process and propose a strategy to involve all relevant stakeholders.

The expected output under this component will be: -

- Four (4) NCs self-assessment reports prepared by Madagascar, Mauritius, Moldova, & St. Lucia
- Five (5) BUR self-assessment reports prepared by Ghana, Niue, Saudi Arabia, Solomon Islands & Vietnam
- Four (4) self-assessment reports combining the experiences and lessons learnt in NC & BUR preparation prepared by Cote d' Ivoire, Kenya, Mongolia & Qatar

Executing Partners will also be encouraged to initiate the request for GEF funding for subsequent NCs and BURs preparation alongside the stocktaking exercise to ensure a seamless transition without extended funding-gaps in the Enabling Activities (EAs) activities. The continuity of reporting forms a strong foundation for countries to enhance their transparency of action and support under the Paris Agreement. It will also allow continuity in the strengthening of national capacities and institutional mechanisms for the preparation of NC and BURs.

Project Execution Support to Least Developed Countries (LDCs) and Small Island Developing States (SIDS) - covered by 3% PMC

In recognition of limited expertise in LDCs and SIDS in climate change reporting, the programme will offer project execution support to national teams of two (2) Least Developed Countries (LDCs), Madagascar & Solomon Islands and three (3) Small Island Developing States (SIDS), i.e. Mauritius, Niue, St. Lucia, included in this programme. The UN Environment will provide enhanced administrative and technical support to executing agencies to expedite the preparation of NCs and BURs as well as ensure good quality reports are prepared and submitted to UNFCCC Secretariat. The Project execution support for LDCs and SIDS will comprise.

- Supporting countries prepare ToRs for a national consultant to be engaged in preparing the project implementation plans (Component 1). This will entail assisting national governments in identifying qualified national experts to undertake stocktaking exercise, stakeholder consultations and PIP preparation; reviewing the document prepared by the consultant to ensure compliance with the GEF and UN environment financial guidelines.
- Advising executing agencies (EAs) during preparation of ToRs and recruitment of project personnel and/or consultants to support the NC and BUR reporting process. This will also include support in reviewing work outputs of local, regional and international consultants and national experts.
- Providing comprehensive support 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. A high staff turnover has resulted to several project managers' in LDCs and SIDS low proficiency in progress and financial reporting. This in turn has undermined effective work delivery and consequent delays in project completion.
- Assist national governments in identifying qualified national experts to prepare reports that meet the requirements of the UNFCCC and national and sectoral planning needs. This may entail search for 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
- Assisting country teams in the identification of trainers and designing the course/workshop agenda and review course/workshop training materials. The technical skill and expertise of the trainers will be appraised to ensure delivery of high quality and targeted training support.

- Technical assistance will also be provided through the Global Support Programme (GSP) in terms of providing technical backstopping on thematic assessments, technical review of assessment reports, and onsite visits to countries to provide hands-on-training on tools and methodologies for cross-sectoral assessments, mainstreaming of climate change issues into development plans, etc.

NC-BUR Project Budget

The following presents an overview of the budget breakdown/project component.

Table 4: Country Budget Breakdown/Project Components

Requested funding/country				
Project Types	Component 1	Component 2	Component 3	Total Requested
1. NC: Madagascar, Mauritius, Moldova, St. Lucia	US\$ 20,000	US\$ 470,000	US\$ 10,000	US\$ 500,000
2. BUR: Ghana, Niue, Solomon Islands, Vietnam	US\$ 10,000	US\$ 337,000	US\$ 5,000	US\$ 352,000
3. NC+BUR: Cote d'Ivoire, Kenya, Mongolia, Qatar	US \$ 20,000	US\$ 822,000	US\$ 10,000	US \$ 852,000

4) incremental/additional cost reasoning and expected contributions from the baseline, the GEFTF, LDCF, SCCF, CBIT and co-financing;

Even though incremental reasoning is not applicable to this kind of project, NCs can indirectly be associated with global benefits through capacity development mainly in the areas of GHG inventories and emission reductions. Countries are supported to conduct an inventory of anthropogenic emissions by sources and removals by sinks of all greenhouse gases (GHGs) not controlled by the Montreal Protocol. Based on the outcomes of national GHG inventory, countries assess GHG mitigation options and elaborate programmes containing measures to mitigate climate change by addressing anthropogenic emission by sources and removals by sinks of all relevant greenhouse gases especially CO₂, CH₄ and N₂O. Countries also do carry out impact analysis and vulnerability assessment in climate sensitive sectors of the national economy and of the environment and identify measures to facilitate adequate adaptation to climate change. In many cases, these analyses provide the basis for formulating project proposals for funding and promoting development and transfer of climate change technologies. In addition, NCs & BURs provide information on national circumstances, and any other information considered relevant to the achievement of the objective of the Convention in these countries, such as, climate change research and systematic observations, information, networking, capacity building, education, training and public awareness at country level.

In the absence of the project, once countries complete their current National Communication, the teams and the structures created in most of the cases on project basis, will be spread out and may be lost. The uncoordinated approach in data collection and analysis will result in production of inaccurate, obsolete, inconsistent information that will participating Countries' from meeting their enhanced transparency requirements as defined in Article 13 of the Paris Agreement and other global goals.

The project responds to a UNFCCC decision requesting the GEF to support non-Annex I Parties in preparation of

their NCs and BURs. 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 thirteen national governments under this programme will make in-kind contribution of up to **US\$ 740,000**.

5) global environmental benefits (GEFTF) and/or adaptation benefits (LDCF/SCCF);

The project supports enhanced reporting and assessments in the areas of national greenhouse gas (GHG) inventories, GHG mitigation, and vulnerability and adaptation to climate impacts, and will lead to the development of relevant development and sectoral policy instruments which will inform and guide the formulation of cost-effective project proposals in the areas of GHG mitigation and climate change adaptation. This will result in NCs and BURs that are responsive to national development needs and inform national planning and climate policy formulation, including Nationally Determined Contributions. Accurate, consistent and internationally comparable data on GHG emissions presented in the NCs and BURs will support the implementation of the Paris Agreement, and are in line with the convention obligation, national sustainable development needs and the SDG No. 13 to combat climate change.

6) innovation, sustainability and potential for scaling up.

The umbrella programme approach presents multiple benefits compared to preparation of thirteen (13) single-country enabling activities 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 delays in submission of NCs and BURs to the UNFCCC. UN Environment will be ready to scale-up the number of countries it will support under this umbrella programme, based on additional requests that may be received from Parties wishing to join the umbrella programme. Having stated that, the UN Environment also recognizes that no "one-size fits all" and will provide country-specific support to the 13 national teams to ensure that project outputs are not only aligned to the COP and GEF Policy guidelines but will most importantly be aligned to their respective national development priority needs.

The project has been designed to ensure participating countries retain capacity and capabilities of institutions involved in national reporting, even after completion and submission of the reports to the UNFCCC. This means that data collection, definitions, methodologies and assumptions can be clearly documented to facilitate replication and assessment. This continuity will ensure that countries can retain and sustain capacities and capabilities of institutions that are involved in national reporting, after submission of these reports to the UNFCCC. Governments will also see it as a priority to invest sustainably in climate change system as well as integrating this system into national planning and budget process. This will form a foundation for countries to enhance their transparency of action and support under the Paris Agreement.

2. Stakeholders. Will project design include the participation of relevant stakeholders from civil society organizations (yes /no) and indigenous peoples (yes /no)? If yes, identify key stakeholders and briefly describe how they will be engaged in project preparation.

The multi-complex nature of climate change has necessitated the involvement of many actors in the struggle to

minimize its risk in most countries. This project will therefore be designed to encourage active participation of relevant stakeholders ranging from Government Ministries, Research Institutions, Academia, civil society organizations and the indigenous people. Involvement of stakeholders in the NC and BUR processes is anticipated to enhance ownership of the NCs and BURs outputs.

To this end, participating countries will be guided to undertake a comprehensive stakeholder's analysis and mapping and include this information in the Project Implementation Plans. Each Executing Agency will hold a project inception workshop where roles and responsibilities of different stakeholders in the project will be mapped out. The Executing partners will prepare and submit a report on the stakeholders' roles and responsibilities in the NCs and BURs process based on their expertise and representation. The Executing Arrangements for each country in this project are identified in Annex C. The indigenous people and the civil society organizations will also be among the invited stakeholders 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.

3. Gender Equality and Women's Empowerment. Are issues on [gender equality](#) and women's empowerment taken into account? (yes /no). If yes, briefly describe how it will be mainstreamed into project preparation (e.g. gender analysis), taking into account the differences, needs, roles and priorities of women and men.

During the Project Implementation Plan preparation, countries will be guided to include a section on gender analysis outlining 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 to 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 Communication toolkit, that was developed through the GEF-funded programme - the Global Support Programme (GSP). This tool kit is easily accessible through the GSP website (<http://www.un-gsp.org/news/gender-responsive-national-communications-toolkit>).

The EAs, in consultation with the relevant entities, will identify gender focal point in working group 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 of 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.

Efforts will be made to have acceptable gender representation in project management structures as well as in capacity building actions to provide for appropriate institutional coordination mechanisms for ensuring gender responsiveness during project implementation. Participating countries will also be encouraged to actively participate in the development of a synthesis report on implementation of the gender action plan as adopted by COP 23.

4 Risks. Indicate risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and, if possible, propose measures that address these risks to be further developed during the project design (table format acceptable).

Considering that majority of countries participating in the project would have already completed two NCs with only a handful of countries initiating their SNCs, the risk of countries not delivering the project outputs can be considered none or minimal, as most countries have already established a reasonable technical and institutional basis to prepare their subsequent NCs. The main project risk, however, is related to (i) the possibility of most countries producing reports that lack adequate depth and quality, (ii) the existence of weak institutional arrangements, and (iii) poor stakeholder consultation processes that currently exist in these countries for the preparation of the NCs. The UN Environment will assist country teams to work towards mitigating the anticipated risks, as follows

Table 5: Project risks and proposed measures to address risks at the time of project implementation

Risk	Level of Risk	Commentary and Mitigating Strategies and Actions
1. Limited consultations and weak participation process amongst stakeholders due to institutional rivalries or rigidities which hamper responsiveness of project outputs to national development needs as well as effective work delivery and quality of the outputs.	Moderate	<ul style="list-style-type: none"> - The project implementation plan (PIPs) will outline roles and responsibilities of different institutions and stakeholders during NC & BURs implementation - Teams will also make reference 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
2. 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.	Moderate	<ul style="list-style-type: none"> - As a result 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. - 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

Risk	Level of Risk	Commentary and Mitigating Strategies and Actions
3. The possibility of most countries producing reports that lack adequate depth and quality	Moderate	<ul style="list-style-type: none"> - UN Environment will advise on access to methodologies and guidance notes for NC and BUR preparation, and recommend participation in capacity building initiative workshops, webinars organized by the GSP, CGE, IPCC, UNFCCC and other organizations - UN Environment will also encourage south-south cooperation and peer support by linking up country teams to exchange data and information, tools and methodologies, lessons learnt and good practices
4. Political risks: It is expected that political unrest/ instability in any of the Countries, will impede implementation of project activities and completion of the project within the stipulated time frame.	Moderate	<ul style="list-style-type: none"> - UN Environment will make use of its Post-Conflict & Disaster Management Offices and/or other UN Offices to liaise with the national government to assess the situation and put measures in place to ensure that the project incurs minimum losses and that project activities resume once the political environment is favorable
5. Environmental risks/hazards: Occurrences of extreme weather events – floods, hurricane, droughts etc. will slow/stop implementation of project activities and completion of the project within the stipulated time frame.	Low	<ul style="list-style-type: none"> - National teams will be encouraged to create more awareness on climate change related hazards/disasters; enhance coordination of efforts between institutions for risk assessment, improve early warning systems to mitigate impacts and increase resilience to extreme events

5. Coordination. Outline the coordination with other relevant GEF-financed and other initiatives.

The project will coordinate closely with the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention (CGE) and will draw on their work regarding guidelines and training materials for the preparation of NC. The project will use methodologies recommended by the UNFCCC and will build on the work carried out under previous NC, as well on the workshops and guidance materials developed by the Global Support Programme (GSP). In some of the participating countries, the project will build on existing assessments, institutions capacities in existing projects and initiatives as well as encourage linkages to ensure cost-effectiveness and avoid duplication of efforts. Other relevant work supported by other Implementing Agencies, development partners at national level will be used to provide necessary linkages with development priorities. Where appropriate, coordination will be ensured with other projects/programmes such as: Technology Needs Assessments, National Capacity Self-Assessment Action Plan, and the UN Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries (UN-REDD) and other relevant initiatives, to avoid the duplication of work. Such initiatives include the UNDP Low Emission Capacity Building (UNDP LECB) Programme, that is supporting national climate change mitigation efforts, low emission development strategies and enhancing measuring, reporting and verification systems. Through the UNEP Regional Offices and the one UN process, the programme will link to the UN Development Assistance Framework (UNDAF) process, especially for those countries that will be reviewing or commencing preparation of their UNDAF during this period.

6. Consistency with National Priorities. Is the project consistent with the National strategies and plans or reports and assessments under relevant conventions? (yes /no). If yes, which ones and how: NAPAs, NAPs, ASGM NAPs, MIAs, NBSAPs, NCs, TNAs, NCSAs, NIPs, PRSPs, NPFE, BURs, INDCs, etc.

This project is consistent with national priorities set out in key documents in most of the participating countries. The UN Environment will continue guiding national team to link their reporting to their national planning and climate policy formulation processes, and where appropriate, the project will strengthen its linkages with other equally relevant initiatives, such as: -

- Lessons learnt from the implementation of this project coupled with increased capacity will provide important information to support adoption of green economy interventions for sustainable development.
- Initiatives to tackle climate change at sectoral, local levels including development of water management strategies, promotion of drought resistant crops, and development of renewable energy resources;
- Adaptation projects, the National Adaptation Programme of Actions;
- Regional and national programmes, initiatives, strategies aimed at addressing climate change in a concerted manner, where appropriate;
- Technology Needs Assessments and preparation of national technology action plans;
- National UN Development Assistance Framework processes;
- The climate change mainstreaming initiatives to enhance national decision-making processes on climate change;
- Poverty reduction strategies/plans;
- The capacity building efforts for effective participation in climate change negotiations;
- National Capacity Self- Assessment Projects;
- Low Emissions Development Strategies and Nationally Appropriate Mitigation Actions and
- Preparation of national Human Development Reports in the context of the climate change threats

The table below presents is a summary of reports prepared by the countries that will be relevant to the NC and BUR process. Country-specific information will be presented in the PIP (output 1.1.1).

Table 6: Reports and assessments prepared by countries under relevant conventions

Countries	INDCs	NCSAs	PRSPs	NIPs	NAPAs	NAMA	TNAs
1. Cote d'Ivoire	√	√	√	√		√	Round 2
2. Ghana	√	√	√	√		√	Round 2
3. Kenya	√	√	√	√			Round 2
4. Madagascar	√	√	√	√	√	√	Round 1
5. Mauritius	√	√		√			Round 2
6. Moldova	√	√	√	√		√	Round 2
7. Mongolia	√	√		√		√	Round 1
8. Niue	√	√		√			Round 1
9. Qatar	√			√			

Countries	INDCs	NCSAs	PRSPs	NIPs	NAPAs	NAMA	TNAs
10. Saudi Arabia	√			Pending submission			
11. Solomon Islands	√	√		Pending submission		√	
12. St. Lucia	√	√		√			Round 1
13. Vietnam	√	√	√	√			Round 2

7. Knowledge Management. Outline the knowledge management approach for the project, including, if any, plans for the project to learn from other relevant projects and initiatives, to assess and document in a user-friendly form, and share these experiences and expertise with relevant stakeholders.

This project includes important elements to promote knowledge management. The NC and BUR preparation processes is designed to enhance public participation and create awareness on climate change issues, 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 usage of publications, training workshops, public meetings, to facilitate dissemination of findings of the project at different stages.

National teams will also be encouraged to interact through different initiatives that provide training and guidance materials on NCs and BURs such as the support provided by Global Support Programme on National Communications from non-annex 1 parties to the Convention. Sharing information on lessons learnt can help many countries in terms of capacity building. Executing Agencies will therefore be encouraged to establish information/data sharing networks amongst institutions and stakeholders to enhance synergies in sectoral data collection, reporting and improve the quality and utility of these reports.

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

A. RECORD OF ENDORSEMENT¹⁰ OF GEF OPERATIONAL FOCAL POINT (S) ON BEHALF OF THE GOVERNMENT(S):


(Please attach the [Operational Focal Point endorsement letter](#)(s) with this template. For SGP, use this [SGP OFP endorsement letter](#)).

PARTY	Name	Position	Ministry	Date (MM/dd/yyyy)
Cote d'Ivoire	Kone Bakayoko Alimata	Permanent Secretary	Ministry of Environment and Sustainable Development of Cote d'Ivoire/Climate Change Office	12/15/2017
Ghana	Fredua Agyeman	Director of Environment	Ministry of Environment, Science, Technology and Innovation	02/12/2018
Kenya	Charles T. Sunkuli	Permanent Secretary	Ministry of Environment and Natural resources	12/01/2017
Madagascar	Ralalaharisoa Christine Edmee	Directeur General de l' Environnement	Ministry of Environment	11/24/2017
Mauritius	D.D Manraj	Financial Secretary	Ministry of Finance and Economic Development	12/05/2017
Moldova	Viorica Staver	Head of Environmental Projects Management service	Ministry of Agriculture, Regional Development and Environment	12/05//2017
Mongolia	Ms. Ariuntuya Dorjsuren	Director General	Ministry of Environment and Tourism	11/30/2017
Niue	Mr. Sauni Tongatule	Director, department of Environment	Ministry of natural resources	02/20/2018
Qatar	Ahmad M Al-Sada	Under Secretary of Environmental Affairs	Ministry of Municipality and Environment	08/25/2017
Saint Lucia	Ms. Caroline Eugene	Chief Technical Officer	Ministry of Education, Innovation, Gender relations and Sustainable Development	11/30/2017
Saudi Arabia	Mr. Khalid M. Abuleif	Chief Negotiator for climate change	Ministry of Energy, Industry and Mineral Resources	12/04/2017
Solomon Islands	Mr. Chanel Iroi	Under Secretary- Technical and GEF operational focal point	Ministry of Environment, Climate Change, Disaster Management and Meteorology	12/04/2017
Vietnam	Pham Phu Binh	Director General of International Cooperation Department	Ministry of Natural Resources and Environment	12/04/2017

¹⁰ For regional and/or global projects in which participating countries are identified, OFP endorsement letters from these countries are required even though there may not be a STAR allocation associated with the project.

B. GEF AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF policies¹¹ and procedures and meets the GEF criteria for project identification and preparation under GEF-6.

Agency Coordinator, Agency name	Signature	Date (MM/dd/yyyy)	Project Contact Person	Telephone	Email
Kelly West, Senior Programme Manager & Global Environment Facility Coordinator Corporate Services Division UN Environment		March 7, 2018	Geordie Colville Task Manager and Co-portfolio Manager	+254- 207623257	geordie.colville @un.org

C. ADDITIONAL GEF PROJECT AGENCY CERTIFICATION (APPLICABLE ONLY TO NEWLY ACCREDITED GEF PROJECT AGENCIES)

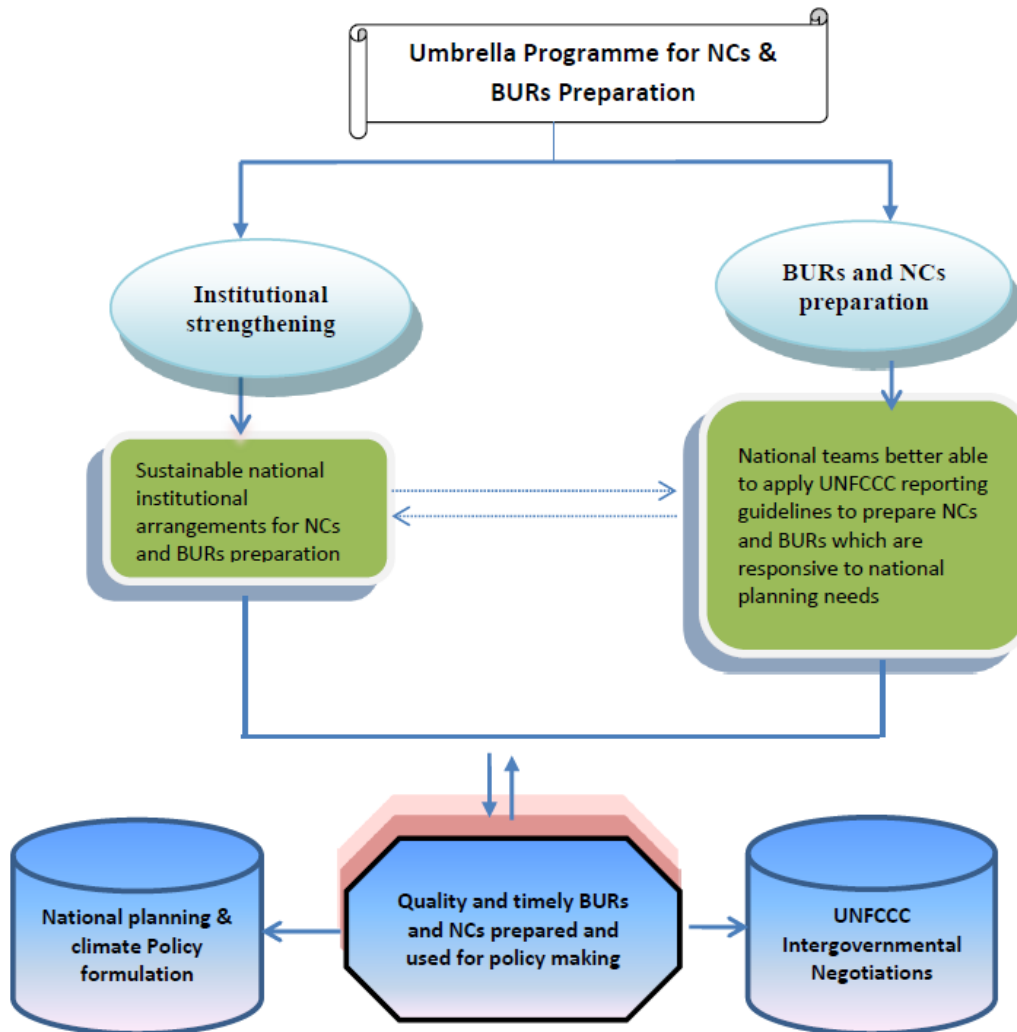
For newly accredited GEF Project Agencies, please download and fill up the required [GEF Project Agency Certification of Ceiling Information Template](#) to be attached as an annex to the PIF.

¹¹ GEF policies encompass all managed trust funds, namely: GEFTF, LDCF, SCCF and CBIT

NC_BUR THEORY OF CHANGE:

As national teams get better in applying the recommended NC and BUR guidelines, human and national institutional capacities become strengthened over time. Continuous preparation of these reports using established institutions and effective engagement of stakeholders at all levels will increase ownership and uptake of project findings at all levels. This will result in NCs and BURs that are responsive to national development needs and inform national planning and climate policy formulation. At the international level; accurate, consistent and internationally comparable data on GHG emissions will inform the international community to take the most appropriate action to mitigate climate change, and ultimately to achieve the objective of the Convention. Information generated in this process is deliberated at intergovernmental climate change meetings, used to inform CoP decisions as well as support the development of other major international goals, such as the sustainable development goals.

Schematic representation of the Theory of Change (ToC) of the NC and BUR project



ACRONYMS AND ABBREVIATIONS

BUR	Biennial Update Report
BUR1	Initial Biennial Update Report
BUR2	Second Biennial Update Report
BUR3	Third Biennial Update Report
EAs	Executing Agencies
CGE	Consultative Group of Experts
GEF	Global Environment Facility
GHGs	Greenhouse Gases
GSP	Global Support Programme
IAs	Implementing Agencies
ICA	International Consultation and Analysis
INDCs	Intended Nationally Determined Contributions
INC	Initial National Communication
IPCC	Intergovernmental Panel on Climate Change
LDCs	Least Developed Countries
LEDS	Low Emissions Development Strategies
MEAs	Multilateral Environmental Agreements
MRV	Measurement Reporting and Verification
NAI	Non-Annex 1 countries
NAMAs	Nationally Appropriate Mitigation Actions
NAP	National Adaptation Plan
NAPA	National Adaptation Programme of Action
NC4	Fourth National Communication
NC5	Fifth National Communication
NCC	National Climate Committee
NCCC	National Climate Change Committee
NCs	National Communications
NCSAs	National Capacity Self-Assessments
NDCs	Nationally Determined Contributions
NGO	Non-Governmental Organization
NIR	National Inventory Report
NIPs	National Implementation Plans
OFO	UN environment's office for operations and corporate services
PEI	Poverty-Environment Initiative
PIPs	Project Implementation Plans
PRSPs	Poverty Reduction Strategy Paper
PSC	Project Steering Committee
SIDS	Small Island Developing States
SNC	Second National Communication
TA	Technical Assistance
TNAs	Technology Needs Assessments
TNC	Second National Communication
UNDP	United Nations Development Programme

UNDAF	UN Development Assistance Framework
UN environment	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UN-REDD	UN Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries

Annex C: Brief description of proposed institutional arrangement for NCs and BURs

Party	Project institutional arrangement
1) Cote d' Ivore	<p>Executing Agency: Ministry of Environment and Sustainable Development.</p> <p>The institutional leadership on climate change matters in Cote d' Ivore is vested under the Ministry of the Environment and Sustainable Development. The Ministry is responsible for the implementation and monitoring of government policy on environmental protection and sustainable development. The Ministry on behalf of the government of Cote d' Ivore prepared and submitted the third national communication (TNC) to the UNFCCC in 2017 and is finalizing the initial biennial update report in readiness for submission to the UNFCCC secretariat. The same team will be involved in preparing Cote d' Ivore's fourth national communication and second biennial update report.</p>
2) Ghana	<p>Executing Agency: Environmental Protection Agency (EPA) of the Ministry of Environment, Science, Technology and Innovation.</p> <p>The project will be executed by the Environmental Protection Agency (EPA) of the Ministry of Environment, Science, Technology and Innovation (MESTI). EPA under the Ministry of Environment, Science, Technology and Innovation (MESTI) coordinates the implementation of policies and programmes (including national and international climate reporting) on climate change in Ghana. MESTI plays a leading role in the overall coordination of the implementation of the national climate change policy and is also responsible for coordination and harmonization of climate change activities among the different sectors. EPA prepared and submitted the Ghana's second national communication, third national communication and initial biennial update report in 2011 and 2015 respectively; and is also in the process of preparing the fourth national communication to the UNFCCC</p>
3) Kenya	<p>Executing Agency: Climate Change Directorate; Ministry of Environment and Natural Resources.</p> <p>The project will be executed by the Climate Change Directorate under the Ministry of Environment and Natural Resources (MENR). This Directorate was established by the Climate Change Act of 2016 and has the role of providing analytical support on climate change to the various sectors; establish and manage a registry of climate change actions as well as coordinate adherence to the country's international obligations including associated reporting requirements among other functions. The Climate Change Directorate will be responsible for reporting back to UN environment and GEF the results of the NC and BUR projects.</p>
4) Madagascar	<p>Executing Agency: Ministry of Environment/ Climate Change National Coordination Office.</p> <p>The National Office of Climate Change Coordination (BNCCC) of the Ministry will</p>

Party	Project institutional arrangement
	coordinate, facilitate, supervise and monitor NCs and BURs projects. The BNCCC will work closely with sectorial ministries, the National Climate Change Committee, sectorial and regional environmental offices, and other non-governmental actors in the climate change areas.
5) Mauritius	<p>Executing Agency: Ministry of Social Security, National Solidarity and Environment and Sustainable Development.</p> <p>The project will be executed by the Ministry of Social Security, National Solidarity and Environment and Sustainable Development in close collaboration with other stakeholders. This ministry is also in charge of preparation of the government of Mauritius' initial biennial update report. It will provide overall direction and oversight for implementation of the project as well as be responsible for reporting back to UN environment and GEF on the results of NCs and BUR projects.</p>
6) Moldova	<p>Executing Agency: Climate Change Office, Ministry of Environment (MoEN).</p> <p>The Climate Change Office, which was established through the Ministerial Order No. 21 of February 11, 2004 has been fully responsible for activities related to the preparation of National Communications and Biennial Update Reports under the UNFCCC of the Republic of Moldova. This office is under the MoEN, which is responsible for implementation of international environment treaties, including UNFCCC and Kyoto protocol, to which the Republic of Moldova is a Party.</p>
7) Mongolia	<p>Executing Agency: Climate Change Implementing Unit, Ministry of Environment and Tourism.</p> <p>The Ministry of Environment and Tourism (MET) is the national entity with the overall responsibility for organizing and coordinating the compilation of national communications, biennial updated reports, GHG inventory and submitting them to the UNFCCC. The project will be executed by the Climate Change Project Implementation Unit (CCPIU) which was set up in 2015 at the Environment and Climate Fund under the Ministry. The CCPIU was responsible for compilation of the Mongolia's initial biennial update report in 2017.</p>
8) Niue	<p>Executing Agency: Ministry of natural resources.</p> <p>The project will be executed by the ministry of natural resources. This Ministry will involve other relevant stakeholders, ensuring that a national representation is met in the reporting process. It will be responsible for reporting back to UN environment and GEF the results of the BUR and NC projects.</p>
9) Qatar	<p>Executing Agency: Ministry of Municipality and Environment.</p> <p>The project will be under the Ministry of Municipality and Environment. In the field of environmental affairs, the Ministry is committed to protecting the environment and</p>

Party	Project institutional arrangement
	<p>its natural balance through comprehensive and sustainable development for the benefit of future generations. It also coordinates the efforts of all governmental and private bodies to protect the environment and cooperate with the countries of the region and all countries of the world through the ratification of environmental conventions and protocols. The ministry will oversee the preparation of the State of Qatar's second national communication and initial biennial update report under the UNFCCC.</p>
10) Saudi Arabia	<p>Executing Agency: National Committee for the Clean Development Authority.</p> <p>The project will be executed by The National Committee for the Clean Development Authority, which is the Designated National Authority (DNA), in close coordination and cooperation with all the relevant ministries, organizations and academic and research institutions. The National Committee, chaired by a representative of the Ministry of Energy, Industry and Mineral Resources (MEIMR) hosts the Kingdom of Saudi Arabia's (KSA) focal point for the UNFCCC and it oversaw the preparation of the KSA's Third National Communication in 2016. The DNA is also overseeing the preparation of the fourth national communication and finalization of the initial biennial update report under the UNFCCC.</p>
11) Solomon Island	<p>Executing Agency: Ministry of Environment, Climate Change, Disaster Management and Meteorology.</p> <p>The project will be executed by the Ministry of Environment, Climate Change, Disaster Management and Meteorology (MECDM), which is the focal point for the UNFCCC, Kyoto Protocol, together with a host of Multilateral Environmental Agreements (MEAs). The Ministry has been responsible for preparation of initial and second National Communication in 2004 and 2017, National Adaptation Plan of Action (NAPA 2008) and National Capacity Self-Assessment (NCSA 2008), National Climate Change Policy 2012-2017 (NCCP 2012) National REDD+ Readiness Roadmap 2014 among others.</p>
12) St. Lucia	<p>Executing Agency: Department of Sustainable Development, Ministry of Education, Innovation, gender relations and Sustainable Development.</p> <p>The Department of Sustainable Development (DSD) within the Ministry of Education, Innovation, Gender Relations and Sustainable Development (MEIGSD) comprising the Sustainable Development and Environment Division (SDED) and Renewable Energy Division (REDIV), has the lead responsibility for environmental policy and management in Saint Lucia. The DSD is responsible for promotion of environmental management and innovative technologies; building capacity to adapt and mitigate the impacts of climate change; and supporting the initiatives to build a green economy. The DSD coordinates the implementation of UNFCCC- COP decision including the preparation of national communications, biennial update reports and other reports. This department is currently preparing Saint Lucia's initial</p>

Party	Project institutional arrangement
	BUR and will also have the responsibility of executing this project.
13) Viet Nam	<p data-bbox="500 296 1435 323">Executing Agency: Ministry of Natural Resources and Environment (MONRE).</p> <p data-bbox="500 363 1507 663">The project will be under the Ministry of Natural Resources and Environment (MONRE), which is the National Focal Point of the Government of Viet Nam to implement the UNFCCC, Kyoto Protocol and Paris Agreement and other relevant international treaties on climate change. The Ministry on behalf of the government of Vietnam prepared and submitted the initial national communication (2003) and second national communication (2010); initial biennial update report (2014) and second biennial update report (2017); and is also in the process of preparing the third national communication to the UNFCCC.</p>

UNEP Environmental, Social and Economic Review Note (ESERN)

I. PROJECT OVERVIEW

Identification	1644
Project Title	<i>Umbrella Programme for Preparation of National Communications and Biennial Update Reports to the UNFCCC</i>
Managing Division	<i>Economy Division</i>
Type/Location	<i>National</i>
Region	<i>Global</i>
List Countries	<i>13 Countries: Cote d' Ivore, Ghana, Kenya, Madagascar, Mauritius, Moldova, Mongolia, Niue, Qatar, Saint Lucia, Saudi Arabia, Solomon Islands & Viet Nam.</i>
Project Description	<p><i>The project will provide financial and technical support for the preparation of National Communications (NCs) and Biennial Update Reports (BURs) to the United Nations Framework Convention on Climate Change (UNFCCC) in 13 non-Annex I Parties (NAI). It will also seek to strengthen the information base and institutional capacity of the national institutions involved in the development of NCs and BURs by building on lessons learnt and good practices from previous NCs and BUR, to integrate climate change priorities into development strategies and relevant sector programs.</i></p> <p><i>The NAI Parties included in this project are solely those that have completed preparation of their current NCs and BURs, where applicable and a few selected Parties that will be submitting their current reports within the first quarter of 2018. The proposed project will consist of the three components namely:</i></p> <ul style="list-style-type: none"> <i>i. PREPARATION OF PROJECT IMPLEMENTATION PLANS (PIPs) FOR NCs AND BURs;</i> <i>ii. PREPARATION OF NCs AND BURs.</i> <i>iii. NATIONAL STAKEHOLDERS' INVOLVEMENT AND INSTITUTIONAL ARRANGEMENTS FOR PREPARATION OF SUBSEQUENT NC AND BUR</i> <i>iv.</i> <p><i>It is expected that at the end of the project, nine (8) NCs and nine (9) BURs will have been submitted to the UNFCCC Secretariat by the respective Parties being supported under this project. Considering the challenges faced by the LDCs and SIDS, the UN environment will provide extra administrative and technical support to ensure that this group of countries prepare and submit good quality National Communications and biennial update reports to the UNFCCC, which comply with Convention reporting obligations and meet national development planning needs.</i></p>
Estimated duration of project:	<i>48 months.</i>
Estimated cost of the project :	<i>USD 7,383,040</i>

II. Environmental Social and Economic Screening Determination

A. Summary of the Safeguard Risks Triggered

Safeguard Standard Triggered by the Project	Impact of Risk ¹² (1-5)	Probability of Risk (1-5)	Significance of Risk (L, M, H)
SS 1: Biodiversity, natural habitat and Sustainable Management of Living Resources	1	1	L
SS 2: Resource Efficiency, Pollution Prevention and Management of Chemicals and Wastes	1	1	L
SS 3: Safety of Dams	1	1	L
SS 4: Involuntary resettlement	1	1	L
SS 5: Indigenous peoples	1	1	L
SS 6: Labor and working conditions	1	1	L
SS 7: Cultural Heritage	1	1	L
SS 8: Gender equity	1	1	L
SS 9: Economic Sustainability	1	1	L
Additional Safeguard questions for projects seeking GCF-funding (Section IV)			

B. ESE Screening Decision¹³ (Refer to the UNEP ESES Framework (Chapter 2) and the UNEP’s ESES Guidelines.)

Low risk Moderate risk High risk Additional information required

C. Development of ESE Review Note and Screening Decision:

Prepared by: Name: Elca Wabusya Date: 23 February 2018

Safeguard Advisor: Name: _____ Date: _____

Project Manager: Name: _____ Date: _____

D. Recommended further action from the Safeguard Advisor:

¹² Refer to UNEP Environment, Social and Economic Sustainability (ESES): Implementation Guidance Note to assign values to the Impact of Risk and the Probability of Risk to determine the overall significance of Risk (Low, Moderate or High).

¹³ **Low risk:** Negative impacts negligible: no further study or impact management required.
Moderate risk: Potential negative impacts, but less significant; few if any impacts irreversible; impact amenable to management using standard mitigation measures; limited environmental or social analysis may be required to develop a ESEMP. Straightforward application of good practice may be sufficient without additional study.
High risk: Potential for significant negative impacts, possibly irreversible, ESEA including a full impact assessment may be required, followed by an effective safeguard management plan.

III. ESES Principle and Safeguard checklist

(Section III and IV should be retained in UNEP)

Precautionary Approach
The project will take precautionary measures even if some cause and effect relationships are not fully established scientifically and there is risk of causing harm to the people or to the environment.
Human Rights Principle
The project will make an effort to include any potentially affected stakeholders, in particular vulnerable and marginalized groups; from the decision making process that may affect them.
The project will respond to any significant concerns or disputes raised during the stakeholder engagement process.
The project will make an effort to avoid inequitable or discriminatory negative impacts on the quality of and access to resources or basic services, on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups. ¹⁴

Screening checklist	Y/N/ Maybe	Comment
Safeguard Standard 1: Biodiversity, natural habitat and Sustainable Management of Living Resources		
Will the proposed project support directly or indirectly any activities that significantly convert or degrade biodiversity and habitat including modified habitat, natural habitat and critical natural habitat?	N	
Will the proposed project likely convert or degrade habitats that are legally protected?	N	
Will the proposed project likely convert or degrade habitats that are officially proposed for protection? (e.g.; National Park, Nature Conservancy, Indigenous Community Conserved Area, (ICCA); etc.)	N	
Will the proposed project likely convert or degrade habitats that are identified by authoritative sources for their high conservation and biodiversity value?	N	
Will the proposed project likely convert or degrade habitats that are recognized- including by authoritative sources and /or the national and local government entity, as protected and conserved by traditional local communities?	N	
Will the proposed project approach possibly not be legally permitted or inconsistent with any officially recognized management plans for the area?	N	
Will the proposed project activities result in soils deterioration and land degradation?	N	
Will the proposed project interventions cause any changes to the quality or quantity of water in rivers,	N	

¹⁴ Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to “women and men” or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

ponds, lakes or other wetlands?		
Will the proposed project possibly introduce or utilize any invasive alien species of flora and fauna, whether accidental or intentional?	N	
Safeguard Standard 2: Resource Efficiency, Pollution Prevention and Management of Chemicals and Wastes		
Will the proposed project likely result in the significant release of pollutants to air, water or soil?	N	
Will the proposed project likely consume or cause significant consumption of water, energy or other resources through its own footprint or through the boundary of influence of the activity?	N	
Will the proposed project likely cause significant generation of Green House Gas (GHG) emissions during and/or after the project?	N	
Will the proposed project likely generate wastes, including hazardous waste that cannot be reused, recycled or disposed in an environmentally sound and safe manner?	N	
Will the proposed project use, cause the use of, or manage the use of, storage and disposal of hazardous chemicals, including pesticides?	N	
Will the proposed project involve the manufacturing, trade, release and/or use of hazardous materials subject to international action bans or phase-outs, such as DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Convention on Persistent Organic Pollutants or the Montreal Protocol?	N	
Will the proposed project require the procurement of chemical pesticides that is not a component of integrated pest management (IPM) ¹⁵ or integrated vector management (IVM) ¹⁶ approaches?	N	
Will the proposed project require inclusion of chemical pesticides that are included in IPM or IVM but high in human toxicity?	N	
Will the proposed project have difficulty in abiding to FAO's International Code of Conduct ¹⁷ in terms of handling, storage, application and disposal of pesticides?	N	
Will the proposed project potentially expose the public to hazardous materials and substances and pose potentially serious risk to human health and the environment?	N	
Safeguard Standard 3: Safety of Dams		
Will the proposed project involve constructing a new dam(s)?	N	
Will the proposed project involve rehabilitating an existing dam(s)?	N	
Will the proposed project activities involve dam safety operations?	N	
Safeguard Standard 4: Involuntary resettlement		

¹⁵ "Integrated Pest Management (IPM) means the careful consideration of all available pest control techniques and subsequent integration of appropriate measures that discourage the development of pest populations and keep pesticides and other interventions to levels that are economically justified and reduce or minimize risks to human health and the environment. IPM emphasizes the growth of a healthy crop with the least possible disruption to agro-ecosystems and encourages natural pest control mechanisms <http://www.fao.org/agriculture/crops/thematic-sitemap/theme/pests/ipm/en/>

¹⁶ "IVM is a rational decision-making process for the optimal use of resources for vector control. The approach seeks to improve the efficacy, cost-effectiveness, ecological soundness and sustainability of disease-vector control. The ultimate goal is to prevent the transmission of vector-borne diseases such as malaria, dengue, Japanese encephalitis, leishmaniasis, schistosomiasis and Chagas disease." (http://www.who.int/neglected_diseases/vector_ecology/ivm_concept/en/)

¹⁷ Find more information from http://www.fao.org/fileadmin/templates/agphome/documents/Pests_Pesticides/Code/CODE_2014Sep_ENG.pdf

Will the proposed project likely involve full or partial physical displacement or relocation of people?	N	
Will the proposed project involve involuntary restrictions on land use that deny a community the use of resources to which they have traditional or recognizable use rights?	N	
Will the proposed project likely cause restrictions on access to land or use of resources that are sources of livelihood?	N	
Will the proposed project likely cause or involve temporary/permanent loss of land?	N	
Will the proposed project likely cause or involve economic displacements affecting their crops, businesses, income generation sources and assets?	N	
Will the proposed project likely cause or involve forced eviction?	N	
Will the proposed project likely affect land tenure arrangements, including communal and/or customary/traditional land tenure patterns negatively?	N	
Safeguard Standard 5: Indigenous peoples¹⁸		
Will indigenous peoples be present in the proposed project area or area of influence?	N	
Will the proposed project be located on lands and territories claimed by indigenous peoples?	N	
Will the proposed project likely affect livelihoods of indigenous peoples negatively through affecting the rights, lands and territories claimed by them?	N	
Will the proposed project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	N	
Will the project negatively affect the development priorities of indigenous peoples defined by them?	N	
Will the project potentially affect the traditional livelihoods, physical and cultural survival of indigenous peoples?	N	
Will the project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	N	
Safeguard Standard 6: Labor and working conditions		
Will the proposed project involve the use of forced labor and child labor?	N	
Will the proposed project cause the increase of local or regional un-employment?	N	
Safeguard Standard 7: Cultural Heritage		
Will the proposed project potentially have negative impact on objects with historical, cultural, artistic, traditional or religious values and archeological sites that are internationally recognized or legally protected?	N	
Will the proposed project rely on or profit from tangible cultural heritage (e.g., tourism)?	N	
Will the proposed project involve land clearing or excavation with the possibility of encountering previously undetected tangible cultural heritage?	N	
Will the proposed project involve in land clearing or excavation?	N	

¹⁸ Refer to the Toolkit for the application of the UNEP Indigenous Peoples Policy Guidance for further information.

Safeguard Standard 8: Gender equity		
Will the proposed project likely have inequitable negative impacts on gender equality and/or the situation of women and girls?	N	
Will the proposed project potentially discriminate against women or other groups based on gender, especially regarding participation in the design and implementation or access to opportunities and benefits?	N	
Will the proposed project have impacts that could negatively affect women's and men's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?	N	
Safeguard Standard 9: Economic Sustainability		
Will the proposed project likely bring immediate or short-term net gain to the local communities or countries at the risk of generating long-term economic burden (e.g., agriculture for food vs. biofuel; mangrove vs. commercial shrimp farm in terms of fishing, forest products and protection, etc.)?	N	
Will the proposed project likely bring unequal economic benefits to a limited subset of the target group?	N	

IV. Additional Safeguard Questions for Projects seeking GCF-funding

Community Health, Safety, and Security			
Will there be potential risks and negative impacts to the health and safety of the Affected Communities during the project life-cycle?			
Will the proposed project involve design, construction, operation and decommissioning of the structural elements such as new buildings or structures?			
Will the proposed project involve constructing new buildings or structures that will be accessed by public?			
Will the proposed project possibly cause direct or indirect health-related risks and impacts to the Affected Communities due to the diminution or degradation of natural resources, and ecosystem services?			
Will the proposed project activities potentially cause community exposure to health issues such as water-borne, water-based, water-related, vector-borne diseases, and communicable diseases?			
In case of an emergency event, will the project team, including partners, have the capacity to respond			

together with relevant local and national authorities?			
Will the proposed project need to retain workers to provide security to safeguard its personnel and property?			
Labor and Supply Chain			
Will UNEP or the implementing/executing partner(s) involve suppliers of goods and services who may have high risk of significant safety issues related to their own workers?			