



# GEF-6 REQUEST FOR PROJECT ENDORSEMENT/APPROVAL

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: 25 Countries: Antigua and Barbuda; Bahamas; Burundi; Chad; Cameroon; Central African Republic; Congo; Democratic Republic of Congo; Djibouti; Iraq; Kyrgyzstan; Maldives; Mauritania; Nauru; Nepal; Niger; Pakistan; Saudi Arabia; St. Kitts and Nevis, Swaziland; Tanzania; Turkmenistan; Uganda, Uzbekistan & Zimbabwe	GEF Project ID: <sup>1</sup>	9442
GEF Agency(ies):	UNEP	GEF Agency Project ID:	01395
Other Executing Partner(s):	25 National Governments	Submission Date:	May 03, 2017
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	N/A	Agency Fee (\$)	1,255,158

### A. FOCAL AREA STRATEGY FRAMEWORK AND OTHER PROGRAM STRATEGIES<sup>2</sup>

Focal Area Objectives/Programs	Focal Area Outcomes	Trust Fund	(in \$)	
			GEF Project Financing	Co-financing
CCM-3 Program 5	Policy, planning and regulatory frameworks foster accelerated low GHG development and emissions mitigation	GEFTF	13,946,200	1,374,000
<b>Total project costs</b>			13,946,200	1,374,000

### B. PROJECT DESCRIPTION SUMMARY

<b>Project Objective:</b> To support twenty five (25) 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/ Programs	Financing Type <sup>3</sup>	Project Outcomes	Project Outputs	Trust Fund	(in \$)	
					GEF Project Financing	Confirmed 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 NCs and BURs including stocktaking, institutional arrangements, stakeholders' plans, work plans and budget are completed	GEFTF	380,000	50,000

<sup>1</sup> Project ID number remains the same as the assigned PIF number.

<sup>2</sup> When completing Table A, refer to the excerpts on [GEF 6 Results Frameworks for GETF, LDCF and SCCF](#) and [CBIT programming directions](#).

<sup>3</sup> Financing type can be either investment or technical assistance.

2. Preparation of NCs and BURs	TA	2.1 Countries meet their NC and/or BUR reporting requirements under the UNFCCC.	2.1.1 Thirteen (13) NCs prepared and submitted to the UNFCCC	GEFTF	6,190,000	600,000
			2.1.2 Twenty (20) BURs prepared and submitted to the UNFCCC	GEFTF	6,780,000	674,000
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	190,000	30,000
Subtotal					13,540,000	1,354,000
Project Management Cost (PMC) <sup>4</sup>				GEFTF	406,200	20,000
<b>Total project costs</b>					13,946,200	1,374,000

### C. CONFIRMED SOURCES OF CO-FINANCING FOR THE PROJECT BY NAME AND BY TYPE

Please include evidence for co-financing for the project with this form.

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
Recipient Government	Twenty five government ministries and departments responsible for climate change reporting	In-kind	1,354,000
GEF Agency	UN Environment	In-kind	20,000
<b>Total Co-financing</b>			1,374,000

### D. TRUST FUND RESOURCES REQUESTED BY AGENCY(IES), COUNTRY(IES), FOCAL AREA AND THE PROGRAMMING OF FUNDS

GEF Agency	Trust Fund	Country Name/Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee <sup>a)</sup> (b) <sup>2</sup>	Total (c)=a+b
UNEP	GEF TF	Global	Climate Change	(select as applicable)	13,946,200	1,255,158	15,201,358
<b>Total Grant Resources</b>					13,946,200	1,255,158	15,201,358

a) Refer to the Fee Policy for GEF Partner Agencies

<sup>4</sup> 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'S TARGET CONTRIBUTIONS TO GLOBAL ENVIRONMENTAL BENEFITS<sup>5</sup>

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 trans boundary 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 <sub>2e</sub> mitigated (include both direct and indirect)	metric tons
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: 25</i>
	Functional environmental information systems are established to support decision-making in at least 10 countries	<i>Number of Countries:</i>

<sup>5</sup> Update the applicable indicators provided at PIF stage. 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.

## **PART II: PROJECT JUSTIFICATION**

### *A.0. Describe any changes in alignment with the project design with the original PIF*

#### **Changes in project financing**

The number of participating countries in the umbrella programme has changed from eighteen (18) cleared at PIF stage to twenty-five (25). This raises the number of project outputs to twenty (20) BURs and thirteen (13) NCs completed and submitted to the Conference of Parties (COP). These changes were made to correspond to the GEF Secretariat review comments as well as expedite NCs and BURs requests received by UN Environment since the PIF approval in June, 2016.

The GEF Secretariat Comment at PIF stage noted that *'The following countries have not submitted yet their respective NC to the UNFCCC on which this project builds on: Antigua and Barbuda, Democratic Republic of Congo, Guinea Bissau, Madagascar, Maldives, Gambia, Kyrgyzstan, Swaziland, Uzbekistan and Zimbabwe. Please ensure they are submitted before CEO Endorsement. Please note that this project cannot be endorsed unless the respective national communications have been submitted to the UNFCCC and are on the UNFCCC website'*. In response to the GEF Sec comments, the UN Environment continued to provide technical and financial support to all the countries listed by the GEF. As at the 15<sup>th</sup> April, 2017, the following 7 out of the 10 countries had submitted and posted their respective NCs onto the UNFCCC website<sup>6</sup>, and have been included in the CEO endorsement request.

1. Antigua and Barbuda
2. Democratic Republic of Congo
3. Maldives
4. Swaziland
5. Kyrgyzstan
6. Uzbekistan
7. Zimbabwe

Guinea Bissau, Madagascar, and Gambia have been excluded from this request as they are yet to complete and submit their NC to the UNFCCC. UN Environment will support these Parties to access GEF funding as and when they complete and submit there are ready. This reduced the number of countries from 18 proposed at PIF stage to 15. In addition to the 15 countries above, UN Environment received 10 additional requests from the following countries wishing to join this umbrella programme, after PIF approval in June, 2016:

1. The Bahamas (TNC & BUR1)
2. Cameroon – (TNC & BUR1)
3. Central African Republic –(BUR1)
4. Nauru – (BUR1)
5. Niger (BUR1)
6. Pakistan (BUR1)
7. Saudi Arabia (NC4)
8. St. Kitts and Nevis (BUR1)
9. Tanzania (BUR1) and
10. Uganda (TNC)

In an effort to expedite project cycle and minimize delays in submission of NCs and BURs to the UNFCCC, the UN Environment requests the GEF's approval for the inclusion of these ten (10) countries into this umbrella programme. This request addresses a concern raised in the GEF report to the COP - document FCCC/SBI/2016/INF.18 stated that some countries have not yet requested for GEF funding for the Initial Biennial Update Report preparation. An approval of this request means that the GEF will support 9 countries to initiate the BUR1 preparation in an expedited manner. The other two options available for requesting GEF funding i.e. through preparation of nine (9) single country EA

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<sup>6</sup> [http://unfccc.int/national\\_reports/non-annex\\_i\\_natcom/submitted\\_natcom/items/653.php](http://unfccc.int/national_reports/non-annex_i_natcom/submitted_natcom/items/653.php)

proposal, or preparation of Full Size Project proposal will delay this process considerably, subsequently affecting Parties ability to meet their timely reporting obligation under the UNFCCC. Taking into consideration the proposed changes, the number of countries under this umbrella programme has been revised to the twenty-five countries, with the corresponding GEF Operational Focal Point Letters of endorsement of the programme attached in **Annex K**.

**Minor Change in Project Design:** The PIF had two components as follows: -

- ❖ Preparation of Project Implementation Plans (PIPs) for National Communications and Biennial Update Reports
- ❖ Preparation of National Communications (NCs) and Biennial Update Reports (BURs)
- ❖ National stakeholders' involvement and institutional arrangements for preparation of subsequent BUR and NC

A third component has been proposed at CEO Endorsement, to support country teams to undertake '*National stakeholders' involvement and institutional arrangements for preparation of subsequent BURs and NCs*'. The self-assessment and stocktaking exercise will be incorporated into the project design at the first phase of PIP preparation (component 1). Executing Agencies (EAs) will be asked to set aside up to US\$ 10,000 and US\$ 5,000 for preparation of NC and BUR-stand-alone self-assessment reports respectively, after completion of NCs and BURs.

On completion and submission of NCs and BURs to the UNFCCC (component 2 output), country teams will initiate the self-assessment and stocktaking exercise in preparation for subsequent NC and BUR reporting. The 25 self-assessment and stocktaking reports may include an analysis of gaps identified in the work carried out under previous climate change enabling activities, lessons learned during previous NC & BUR, proposed strategies for increasing synergies with related programmes and institutions, improving engagement of relevant stakeholders and their uptake of climate information. The stocktaking and self-assessment phase will be initiated in parallel to the request for GEF funding for subsequent NCs and BURs. This component which has been introduced at CEO endorsement stage in an effort to: -

- Sustain the institutional capacities built in NC & BUR processes and continuous engagement of climate change structures/units in EAs, as well as stakeholders' interest in climate change enabling activities.
- Encourage advance planning at national level for subsequent reporting: - In parallel to the stock-taking exercise, countries will be encouraged to initiate a request for GEF funding for subsequent NCs and BURs preparation. Timely availability of GEF funding for subsequent reporting will support the retention of institutional and human capacities built over time, as well as promote a seamless transition to subsequent reporting. Improved quality of climate change data and information will result in policy decisions that are better informed by available evidence, thereby informing policy actions on reducing GHG emissions reductions and increasing countries' resilience to adapt to climate change. At international level, accurate, consistent and internationally comparable data on GHG emissions will inform the global stock take and track progress towards achieving emissions reduction as stipulated under the Paris Agreement

In view of the increase in number of participating countries, and a slight change in the project design (adding a 3<sup>rd</sup> component), the GEF is requested to approve a budget increase from US\$ 10,530,720 to US \$ 13,946,200. Please see below, requested budget breakdown per component, including the allocation of US\$ 190,000 for 25 self-assessment reports under the 3<sup>rd</sup> component

<b>Project Output</b>	<b>PIF: Approved</b>	<b>Requested Funding</b>
1.1.1 Project Implementation Plans for NC and BURs including stocktaking, institutional arrangements, stakeholders plans, work plans and budgets	300,000	380,000
2.1.1 National Communications prepared and submitted to the UNFCCC	5,760,000	6,190,000
2.1.2 Biennial Update Reports prepared and submitted to the UNFCCC	4,164,000	6,780,000
1.1.2 Stocktaking assessment and institutional arrangements for preparation of subsequent NCs and BURs are completed	0	190,000
PMC (3% of sub-total for providing execution support to SIDs and LDCS)	306,720	406,200
<b>Total Project Cost</b>	<b>10,530,720</b>	<b>13,946,200</b>
Co-financing	1,043,000	1,374,000

### A.1. Project Description

#### 1) Global environmental and/or adaptation problems, root causes and barriers that need to be addressed

In an effort to address climate change, countries joined an international treaty in 1992, the 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. The goal to hold the increase in the global average temperature to well below 2 °C above pre-industrial levels, was recently reiterated in the Fifth Assessment Report (AR5) of the United Nations Intergovernmental Panel on Climate Change (IPCC); and by the adoption of the Paris Agreement in Yr. 2015

Parties to the Convention have an obligation to inform one another of their national level actions through ‘National Communication’ (NC). Preparation of National Communications promote and facilitate exchange of information on measures adopted by Parties to address climate change and its effects, taking into account differing circumstances, responsibilities and capabilities as well as, avail information to assist the Conference of Parties (COP) assess progress made towards achieving of the objective of the Convention. The Convention, through its Article 4, paragraph 1, and Article 12, paragraph 1 makes provisions for each Party to report the following information to the Conference of Parties (COP):

- a) Information on its emissions by sources and removals by sinks of all greenhouse gases not controlled by the Montreal Protocol (greenhouse gas inventories)
- b) National or, where appropriate, regional programmes containing measures to mitigate climate change
- c) Measures that facilitate adequate adaptation to climate change
- d) Any other information that the Party considers relevant to the achievement of the objective of the Convention

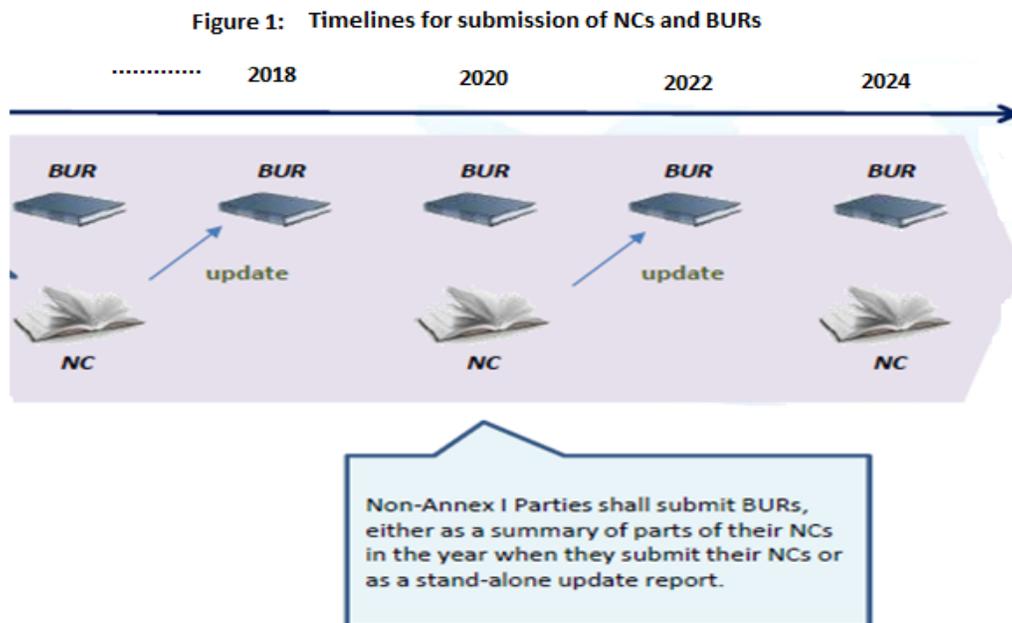
Reporting requirements under the UNFCCC have evolved over time, into a more comprehensive measurement, reporting and verification framework, starting with the adoption of the revised guidelines for preparation of NC at COP 8. Additional measures seeking to significantly enhance transparency of action and support under the Convention were adopted as part of the Bali Action Plan at COP 13 and elaborated in decisions adopted at subsequent COPs. Parties at COP 16 decided to enhance the reporting in national communications, through preparation and submission of biennial update reports (BURs). The 17<sup>th</sup> session of the COP adopted the guidelines on the preparation of biennial reports by developed country Parties (the “UNFCCC biennial reporting guidelines for developed country Parties”); and those contained in annex III, for the preparation of biennial update reports (BURs) by developing countries.

The scope of biennial update reports is to provide an update to the most recently submitted national communication in the following areas:

- a) Information on national circumstances and institutional arrangements relevant to the preparation of the national communications on a continuous basis;
- b) The national inventory of anthropogenic emissions by sources and removal by sinks of all greenhouse gases (GHGs) not controlled by the Montreal Protocol, including a national inventory report;
- c) Information on mitigation actions and their effects, including associated methodologies and assumptions;
- d) Constraints and gaps, and related financial, technical and capacity needs, including a description of support needed and received;
- e) Information on the level of support received to enable the preparation and submission of biennial update reports;
- f) Information on domestic measurement reporting and verification;
- g) Any other information that the non-Annex I Party considers relevant to the achievement of the objective of the Convention and suitable for inclusion in its biennial update report.

Whereas NCs are submitted every four years, BUR are expected to be submitted every two years, either as a summary of parts of their national communication in the year in which the national communication is submitted or as a stand-

alone update report. Discretion on timing is granted to the Least Developed Countries (LDCs) and Small Island Developing States (SIDS). Figure 1 provides an illustration of sequence and timeframes for submission of BURs and NCs to the COP:



**FIGURE 1:** A simple illustration of sequence and timeframes for submission of NCs and BURs

In addition to increasing the frequency of reporting to the CoP, BURs enhance transparency of mitigation actions through an International Consultation and Analysis (ICA) process. The ICA consists of two steps: (a) A technical analysis of the BURs, 6 months after submission, by a team of technical experts in consultation with the Party, and will result in a summary report, and (b) A facilitative sharing of views, which will have as input to the BUR and summary report generated in the first step. While the primary objective of the ICA process is to enhance the transparency of mitigation actions, it is also expected to contribute towards the capacity-building of non-Annex I Parties leading to improvement in the quality of its BURs over the period of time. The additional reporting decisions and guidelines represent a considerable effort towards more frequent, transparent, comprehensive and consistent reporting of climate change data and information for all countries.

## 2) Baseline scenario or any associated baseline projects

Information presented in the GEF report to the COP - document FCCC/SBI/2016/INF.18 - indicates that most non-Annex I Parties are presently engaged and expected to finalize preparing their NCs, and that some have not yet requested for GEF funding for the Initial Biennial Update Report preparation. This proposal seeks to provide financial support to thirteen and twenty countries to prepare NCs and BURs respectively. The project has been designed to complement and strengthen existing national communication processes without duplication, as shown in Table 1. In summary,

- all 25 Parties have submitted their INCs to the UNFCCC
- 23 Parties have submitted their SNC to the UNFCCC
- 9 Parties have submitted TNCs to the UNFCCC
- 1 Party (Mauritania) is preparing its NC4
- 1 Party has submitted its BUR1

**TABLE 1: NCs and BURs Project Baseline Survey in the Participating Countries**

Party	INC Report	SNC Report	TNC Report	NC4 Report	BUR1 Report	GEF Funding Requested (under this umbrella)	
						Project	Amount
1. Antigua and Barbuda	√	√	√		In preparation	NC4	500,000
2. Bahamas	√	√				TNC/BUR1	852,000
3. Burundi	√	√	In preparation			BUR1	352,000
4. Cameroon	√	√				TNC/BUR1	852,000
5. Central African Republic	√	√	In preparation			BUR1	352,000
6. Chad	√	√	In preparation			BUR1	352,000
7. Congo	√	√	In preparation			BUR1	352,000
8. D R Congo	√	√	√		In preparation	NC4	500,000
9. Djibouti	√	√	In preparation			BUR1	352,000
10. Iraq	√					SNC/BUR1	852,000
11. Kyrgyzstan	√	√	√			NC4/ BUR1	852,000
12. Maldives	√	√			In preparation	TNC	500,000
13. Mauritania	√	√	√	In preparation	√	BUR2	352,000
14. Nauru	√	√	In preparation			BUR1	352,000
15. Nepal	√	√	In preparation			BUR1	352,000
16. Niger	√	√	In preparation			BUR1	352,000
17. Pakistan	√	In preparation				BUR1	352,000
18. Saudi Arabia	√	√	√		In preparation	NC4	500000
19. St. Kitts & Nevis	√	√	In preparation			BUR1	352,000
20. Swaziland	√	√	√			NC4/BUR1	852,000
21. Tanzania	√	√	In preparation			BUR1	352,000
22. Turkmenistan	√	√	√			NC4/BUR1	852,000
23. Uganda	√	√			In preparation	TNC	500,000
24. Uzbekistan	√	√	√			NC4/BUR1	852,000
25. Zimbabwe	√	√	√			NC4/BUR1	852,000
<b>NCs &amp; BURs</b>	<b>25</b>	<b>23</b>	<b>9</b>	<b>0</b>	<b>1</b>	<b>13 NCs 20 BURs</b>	<b>13,540,000</b>

3) Proposed alternative scenario, GEF focal area<sup>7</sup> strategies, with a brief description of expected outcomes and components of the project

This proposal has been prepared in response to the COP decisions for the preparation of biennial update reports and National Communications by non-Annex I. 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.

*Project Components:*

*Three project components are proposed at CEO endorsement stage as follows:*

- 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 BUR and NC

*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 template that describes in detail how to complete the PIP and specifies the information required in particular sections. The PIP shall guide national teams in identifying 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 outline proposed activities with costs, timelines, benchmarks and indicators that conform to UNFCCC reporting guidelines and GEF guidelines for financing NCs and BURs. The completed PIP 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 by as follows: -

- Five NC PIPs prepared by Antigua & Barbuda, D R Congo, Maldives, Saudi Arabia and Uganda
- Twelve BUR PIPs prepared by Burundi, Central African Republic, Chad, Congo, Djibouti, Mauritania, Nauru, Nepal, Niger, Pakistan, St. Kitts and Nevis, and Tanzania
- Eight PIPs combining NC & BUR prepared by Bahamas, Cameroon, Iraq, Kyrgyzstan, Swaziland, Turkmenistan, Uzbekistan and Zimbabwe

*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 1 have been approved and signed by the Executing Agency and the UN Environment. National teams will be guided to organize a project inception workshop not later than two months after the PIPs have been approved. Various 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 and indigenous people.

The Inception Workshop is crucial to building ownership for the project results and to review and finalize the first year annual work plan. The Inception Workshop should address a number of key issues including:

- a. Assisting all partners to fully understand and take ownership of the project. Participants to the workshop will include members of 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. The TOR for project staff will be discussed again as needed.

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<sup>7</sup> 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.

- b. 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.
- c. Discuss financial reporting procedures and obligations, and arrangements for annual audit.

The preparation of the NCs and BURs will be 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. National teams will commence preparation of the NC and BUR components with the following indicators:

**TABLE 2: An Overview of NCs and BURs Indicators**

<b>General Information</b>	<b>NC Indicators</b>	<b>BUR Indicators</b>
<b>Countries</b>	Antigua & Barbuda, Bahamas, Cameroon, D R Congo, Iraq, Kyrgyzstan, Maldives, Saudi Arabia Swaziland, Turkmenistan Uganda, Zimbabwe	The Bahamas, Burundi, Cameroon, Central African Republic, Chad, Congo, Djibouti, Iraq, Kyrgyzstan, Mauritania, Nauru, Nepal, Niger, Pakistan Swaziland, and Tanzania Turkmenistan Zimbabwe
<b>Project Duration</b>	36 months	24 months
<b>National circumstances and institutional arrangements relevant to the preparation of the NC and BUR</b>	<ul style="list-style-type: none"> <li>– Relevant information will be provided on the socio-economic and environmental conditions that provide an overall understanding of climate change concerns in the context of national development priorities.</li> <li>– Development of institutional structure to sustain the national communication process</li> </ul>	<ul style="list-style-type: none"> <li>– Information on geographical distinctiveness; climate, land resources, biological diversity, water and forest resources, demography, economy including energy, transport,</li> <li>– Description of institutional arrangements and strategies for continuous improvements for the preparation of BURs described and documented</li> </ul>
<b>National greenhouse gas (GHG) inventory</b>	<ul style="list-style-type: none"> <li>– Formulation of arrangements to collect and manage data for continuous inventory preparation</li> <li>– Formulation of procedures for managing uncertainties in inventory data and GHG emission calculations</li> </ul>	<ul style="list-style-type: none"> <li>– Preparation of the national GHG inventory (inventory year no more than 4 years prior to submission) and National Inventory Report</li> <li>– Strengthening of national institutional capacities for GHG preparation</li> <li>– Improving quality of GHG data generated using guidance on good practice and uncertainty management</li> <li>– Compilation of national GHG emissions, removals and projections for BUR</li> </ul>
<b>Programmes containing measures to facilitate adequate adaptation to climate change</b>	<ul style="list-style-type: none"> <li>– Completion of vulnerability assessments for priority systems, sectors or regions</li> <li>– Identification of adaptation strategies and measures</li> <li>– Formulation of policy frameworks for developing and implementing adaptation strategies</li> </ul>	

General Information	NC Indicators	BUR Indicators
<b>Programmes containing measures to mitigate climate change</b>	<ul style="list-style-type: none"> <li>- Completion of climate change mitigation analysis</li> <li>- Formulation of policy frameworks for implementing mitigation measures</li> </ul>	<p>Mitigation actions and their effects will be described as follows: -</p> <ul style="list-style-type: none"> <li>- Name and description of the mitigation action, including information on the nature of the action, coverage (i.e. sectors and gases), quantitative goals and progress indicators;</li> <li>- Information on methodologies and assumptions;</li> <li>- Objectives of the action and steps taken or envisaged to achieve that action;</li> <li>- Information on the progress of implementation of the mitigation actions and the underlying steps taken or envisaged, and the results achieved, such as estimated outcomes (metrics depending on type of action) and estimated emission reductions, to the extent possible;</li> <li>- Information on international market mechanisms.</li> </ul>
<b>Other information considered relevant to the achievement of the objectives of the Convention</b>	<ul style="list-style-type: none"> <li>- Steps taken to integrate climate change considerations into national development and policy</li> <li>- activities related to transfer of environmentally sustainable technologies</li> <li>- information on climate change research and systematic observation</li> <li>- information on climate change education, training, and public awareness</li> <li>- information on capacity building activities, options and priorities</li> <li>- Measures to promote information exchange and networking</li> </ul>	<ul style="list-style-type: none"> <li>- Report on non-climate related impacts, opportunities and benefits on sustainable development objectives prepared</li> </ul>

General Information	NC Indicators	BUR Indicators
<b>Constraints and gaps, and related financial, technical and capacity needs</b>	<ul style="list-style-type: none"> <li>– Further elaboration on the specific constraints, gaps and needs that have been identified in the preparation of the national communication</li> </ul>	<ul style="list-style-type: none"> <li>– Financial, technology and capacity building needs for mitigation actions assessed.</li> <li>– Information on financial resources, technology transfer, capacity building and technical assistance received from the GEF, Annex II Parties and other developed country Parties, the GCF and multilateral institutions for GHG mitigation activities collected, analyzed and updated.</li> <li>– Report bringing the two elements above together and helping to match funding opportunities with needs prepared</li> </ul>
<b>Publication and submission</b>	13 NCs	20 BURs <sup>8</sup>

In recognition of the continuing climate change intergovernmental negotiations and the Paris Agreement, UNEP 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.

Considering that this programme targets to improve the quality of National Communications (NCs) and Biennial Update Reports (BURs) submitted by non-Annex I Parties to the UNFCCC with the intention of making these reports more relevant for national development planning processes, climate negotiations, and for funding low emission, climate resilient development projects, the UNEP will continue to share information on NCs and BURs training opportunities available for EAs and national experts at the global, regional and national levels.

The UNEP will guide the EAs on how to utilize the GEF resources for strengthen their capacity in reporting. A budget line, under component 2 for technical assistance will allow the EAs to engage services of regional and international consultants in the preparation of their NCs and BURs. The assistance of international consultants will cover training of national experts on the use of tools and software in: GHG inventories; vulnerability assessment and adaptation as well as mitigation measures. International and regional consultants will be expected to strengthen Technical Working Group (TWG) basic knowledge in the methodological approaches related to inventories and assessments.

At the global level, the UNEP will support 25 Executing Agencies to access guidance and training provided by 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 build on the work carried out under previous NC, as well on the technical support under the Global Support Programme (GSP). Participating countries will be eligible to receive technical assistance in their NCs and BUR preparation process through the Global support Programme (GSP), a five-year project (2015 - 2019) jointly managed by UNEP and UNDP. This programme targets to improve the quality of National Communications (NCs) and Biennial Update Reports (BURs) submitted by non-Annex I Parties to the UNFCCC with the intention of making these reports more relevant for national development planning processes, climate negotiations, and for funding low emission, climate resilient development projects. The GSP will support online consultation, webinars, workshops and training/learning events to assist national teams resolve technical issues, and challenges that may arise during the preparation of these reports. Once the NC and BUR reports are completed by EAs, the GSP will review these draft reports and make suggestions for improvement, before submission to the UNFCCC.

<sup>8</sup> BUR are expected to will be submitted either as a summary of parts of their national communication in the year in which the national communication is submitted or as a stand-alone update report.

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

Once Parties complete and submit their NCs and BURs to the UNFCCC (component 2), country teams will undertake self-assessment and stocktaking exercise for preparation of subsequent NC and BUR. Countries will use up to US\$ 10,000 for NC project stocktaking; and up to US\$ 5,000 for stand-alone BUR projects. The self-assessment and stocktaking exercise may include the following:

- Work carried out under previous climate change enabling activities: Brief summary of activities and results achieved under the previous NC. This assessment is the central element of the stocktaking, as it will ensure that PIPs for next NCs & BURs build upon what has been achieved to avoid duplication of work.
- 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 stakeholder 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 25 self-assessment reports as follows: -

- Five NCs self-assessment reports from Antigua & Barbuda, D R Congo, Maldives, Saudi Arabia and Uganda
- Twelve BUR self-assessment reports from Burundi, Central African Republic, Chad, Congo, Djibouti, Mauritania, Nauru, Nepal, Niger, Pakistan, St. Kitts and Nevis, and Tanzania
- Eight self-assessment reports combining the experiences and lessons learnt in NC & BUR preparation from the Bahamas, Cameroon, Iraq, Kyrgyzstan, Swaziland, Turkmenistan, Uzbekistan and Zimbabwe

*Project Execution Support to Least Developed Countries (LDCs) and Small Island Developing States (SIDS) - included as 3% of project subtotal under the Project Management Cost*

A number of project managers in LDCs and SIDs are still not proficient in technical progress and financial reporting which undermines effective work delivery and consequent delays in project completion. In an effort to expedite preparation of NCs and BURs, as well as improve the quality of the reports, the UN Environment will provide enhanced administrative and technical support to executing agencies from 9 Least Developed Countries (LDCs) and 5 Small Island Developing States (SIDS) included in this umbrella programme. The Project execution support for LDCs and SIDs will comprise.

- Advising executing agencies (EAs) during preparation of terms of reference and recruitment of project personnel and/or consultants to support the NC and BUR reporting process
- Supporting country level project management teams on compliance with technical and financial reporting guidelines/standards through the development of and dissemination of guidance notes to enable countries meet their reporting obligations to GEF and UNFCCC
- Assisting country teams in the identification of trainers and designing the course/workshop agenda and review course/workshop training materials

PROJECT FINANCING:

**TABLE 3:** The Projected Project Financing/Country/Component in the NCs, BURs Projects:

Requested funding/country				
Project Types	Component 1	Component 2	Component 3	GEF Total
1. NC	US\$ 20,000	US\$ 470,000	US\$ 10,000	US\$ 500,000
2. BUR	US\$ 10,000	US\$ 337,000	US\$ 5,000	US\$ 352,000
3. NC+BUR	US \$ 20,000	US\$ 822,000	US\$ 10,000	US \$ 852,000

Annex F-1 provide total GEF budget breakdown in the UMOJA codes<sup>9</sup>. The budget figures provided in Annex F-1 have been derived from indicative totals per component as shown in Annex F-2. Annex F-3 shows the Annual Indicative GEF Budget.

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<sup>9</sup> UMOJA Budget (Annex F-1) will be updated as and when countries submit the PIPs (Component 1), that address their specific national needs and circumstances.

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 and BURs are indirectly associated with global environmental benefits as improved reporting on emissions and removals of GHGs will enable the 25 countries to assess their GHG mitigation options and elaborate development programmes and sectoral planning frameworks containing measures to mitigate climate change. Adaptation policies and actions identified in NCs have social benefits as they are aimed at reducing vulnerability to climate change impacts and increasing climate resilience of most vulnerable groups and sectors. In the field of mitigation, identified priority options help countries move towards low carbon development pathways. Many adaptation and mitigation strategies provide win-win and multiple benefits, such as economic savings, improvement of local environments, and avoidance of expensive corrective measures in the future. Thus, national reporting has the potential to play a key role in maximizing these benefits by producing data that guides the design of priority adaptation and mitigation policies and actions to inform development strategies and sector programs as well as support the goals of technology transfer activities. These initiatives will be in line with the convention obligation and national sustainable development goals

The project is in conformity with GEF 6 priorities of enhancing national ownership of climate change activities by supporting enabling activities and capacity development under the Convention (CCM-EA). The project falls under GEF's support for convention-related reporting and assessment, and is implemented on an agreed full cost basis requiring only in-kind contribution by GEF-eligible countries. The twenty-five national governments under this programme will make in-kind contribution of up to US\$ 1,354,000 and UN Environment will provide co-financing of US\$ 20,000 as an in-kind contribution for project management in form of travel, staff and personnel time of the Chief of the Branch (D-1), as well as, support from UN Environment's regional offices in West Asia, Africa and the Asia and Pacific.

5) [Global environmental benefits](#) (GEFTF) and/or [adaptation benefits](#) (LDCF/SCCF)

Considering that 25 participating countries have at least completed and submitted their INC and SNC, it is assumed that there is an existing database/network of national experts and institutions involved in the preparation of previous NC and BUR and that the project will focus on strengthening these institutions and building the capacities of these national experts, in addition to new members. 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.

6) Innovativeness, sustainability and potential for scaling up

The umbrella programme approach adopted presents multiple benefits compared to the single-country enabling activities requests submitted to the GEF. This approach streamlines project 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 therefore scale-up the number of countries it will support in NC and BUR, based on additional requests received from Parties wishing to join the umbrella programme. 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.

Countries have set up national climate change committees and climate change units, usually supported by a formal institutional structure to facilitate the preparation of their NC and BUR on a continuous basis. Although in most countries the institutional capacity for the preparation of NCs has increased in the past few years, the climate change enabling activity projects continue to play a pivotal role in the consolidation and continuation of these institutional structures. The introduction of the third component into this programme will ensure countries retain capacity and capabilities of institutions that are involved in national reporting, even after completion and submission of the reports to the UNFCCC. By the time the GEF funding is received, Parties will have already identified areas to focus on for subsequent reporting as well as areas of importance in the long run. The project therefore introduces a component on advance planning and linking future reporting to the actions included in Nationally Determined Contributions (NDCs). This will form a foundation for countries to enhance their transparency of action and support under the Paris Agreement.

## A.2. Child Project

N/A

A.3. Stakeholders. Elaborate on how the key stakeholders engagement, particularly with regard to [civil society organizations](#) and [indigenous peoples](#), is incorporated in the preparation and implementation of the project.

Stakeholders' involvement in the NC/BUR processes is critical in ensuring successful project outcome and also enhances countries' ownership of the NCs and the BURs. In similar projects, this process has seen the involvement of a diverse group of stakeholders ranging from Government Ministries, Research Institutions, Academia, civil society organizations and the indigenous people. Other groups/stakeholders that maybe included in the consultative meetings are Community Based Organizations, women groups, special groups, farmers, business and industry; trade unions, local authorities; indigenous peoples, ethics specialists, professional associations, media, etc. Participating countries will be guided to undertake a comprehensive stakeholder's analysis and mapping and include this information in the Project Implementation Plans. The stakeholders prepare and submit a report on the stakeholders' roles and responsibilities in the NCs and BURs process based on their expertise and representation. Each executing agency will hold a project inception workshop where roles and responsibilities of different stakeholders in the project will be mapped out. A detailed stakeholder consultation and engagement process will be included in each of the Project Implementation Plans to be submitted to UN Environment and the UNFCCC focal points, for approval, under phase I of this project.

The civil society organizations and indigenous people will actively contribute to the project outputs during all the three phases of the project. They will be amongst the stakeholders invited to participate and provide comments on preparation of PIPs (Component 1). They will be invited to participate in the NC or BUR project inception workshop, where they will have an opportunity to define their roles/responsibility and representation in various thematic working groups as illustrated in Fig 2. on project implementation arrangement. They will also provide their feedback and assessment on NC and BUR processes, moving forward (Component 3).

A.4. Gender Equality and Women's Empowerment. Elaborate on how gender equality and women's empowerment issues are mainstreamed into the project implementation and monitoring, taking into account the differences, needs, roles and priorities of women and men.

EAs will be guided to include a section on gender analysis outlining different roles and responsibilities of women and men in the reporting process during PIP preparation (Component 1). Efforts will be made to have acceptable gender representation in project management structures (committees, institutional frameworks) and capacity building actions (trainings, workshops) under this project.

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 NGOs working will be organized to support gender-equity measures in NC and BUR processes. The workshop participants will finalize an agreement on simple indicators, applicable across sectors for mainstreaming gender issues in to all project components. 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 itemize 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.

A.5 *Risk*. Elaborate on indicated risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and, if possible, the proposed measures that address these risks at the time of project implementation. (table format acceptable):

Considering that the majority of countries participating in the project would have already completed two NCs, the risk of countries not delivering the project outputs can be considered low. This is due to the fact that most countries would have already established a reasonable technical and institutional basis to prepare their subsequent NCs. The main project risk, however, is related to (i) Limited consultations and weak participation process amongst stakeholders that currently exist in these countries for the preparation of the NCs. (ii) the existence of weak institutional arrangements, and (iii) the possibility of most countries producing reports that lack adequate depth and quality. UN Environment will assist country teams to work towards mitigating these risks, as follows:

**TABLE 4:** 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"> <li>- The project implementation plan (PIPs) will outline roles and responsibilities of different institutions and stakeholders during NC &amp; BURs implementation</li> <li>- 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</li> </ul>
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"> <li>- 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.</li> <li>- Executing Agencies will be encouraged to actively involve other institutions in national reporting, through various channels – e.g. establishing robust institutional arrangements and constituting technical working groups with agreed terms of reference, contracts and memorandum of understanding. The UNFCCC secretariat toolkit on institutional arrangement can guide the</li> </ul>

Risk	Level of Risk	Commentary and Mitigating Strategies and Actions
		preparation of the roles and responsibilities of various actors in the NC and BUR process
3. The possibility of most countries producing reports that lack adequate depth and quality	Moderate	<ul style="list-style-type: none"> <li>- 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</li> <li>- Draft reports produced by EAs will be reviewed by the GSP, and teams provided by any additional technical support to improve the quality of final report</li> <li>- 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</li> </ul>
4. A risk that slower countries will delay project completion	Moderate	<ul style="list-style-type: none"> <li>- A Mid Term Review (MTR) of the programme will be undertaken to assess project progress. In cases where the project is considered to be at risk, the UNEP will provide enhanced administrative support and technical assistance to national teams using the Project execution support resources.</li> </ul>
5. 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"> <li>- UN Environment will make use of its Post-Conflict &amp; 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</li> </ul>
6. 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"> <li>- National teams will be encouraged to create more awareness on climate change related hazards/disasters; enhance coordination of efforts between institutions for risk assessment, improve early warning systems to mitigate impacts and increase resilience to extreme events</li> </ul>

A.6. *Institutional Arrangement and Coordination*. Describe the institutional arrangement for project implementation. Elaborate on the planned coordination with other relevant GEF-financed projects and other initiatives.

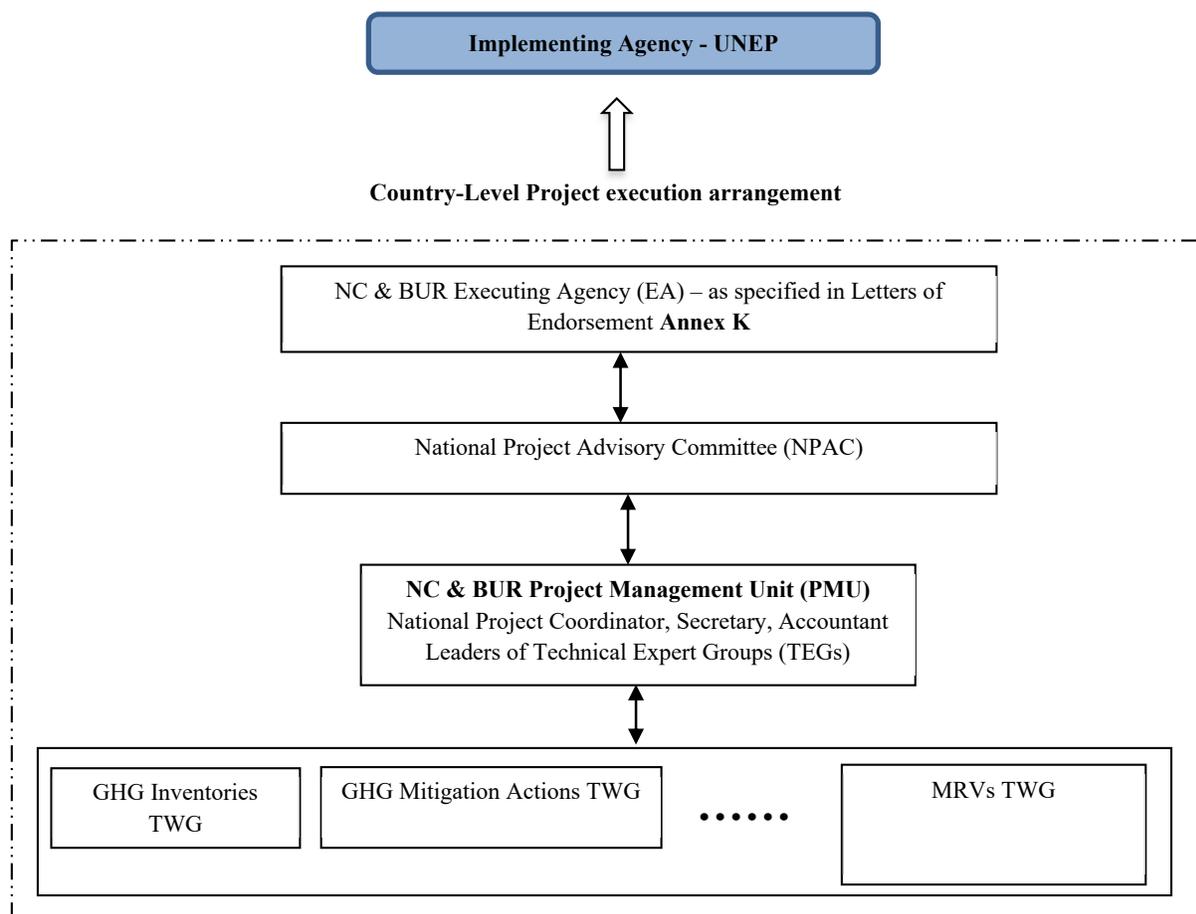
*Describe the institutional arrangement for project implementation.*

The project will be implemented by the Economy Division of the United Nations Environment and executed by 25 national governments. The following entities/organizations have been appointed as Executing Agencies (EAs) of the project by their national Governments. Annex H provides additional information on the implementation arrangement and the roles of the 25 EAs in coordinating climate change activities at the national level, respectively.

**TABLE 5: List of Executing Agencies (EAs)**

<b>Country</b>	<b>Appointed Executing Agency for NCs and/or BUR</b>
1. Antigua and Barbuda	Department of Environment, Ministry of Health and the Environment
2. Bahamas	The Bahamas Environment, Science and Technology (BEST) Commission, under the Ministry of Environment and Housing
3. Burundi	Ministry of Water, the Environment, Land Management and Urban Planning through the Burundian Office for the Protection of the Environment (OBPE)
4. Chad	Ministry of Environment and Fisheries (MEF)
5. Cameroon	Ministry of Environment, Protection of Nature and Sustainable Development
6. Central African Republic	Ministry of Environment, Water, Forest and Sustainable Development
7. Congo	Ministry of Tourism and Environment
8. Democratic Republic of Congo	The Sustainable Development Directorate:- Direction de Développement Durable (DDD)
9. Djibouti	Ministry of Habitat, Urban Planning, Environment, & Town Planning
10. Iraq	Office of West Asia (ROWA) in collaboration with the Ministry of Environment (UN Environment – Regional)
11. Kyrgyzstan	State Agency for Environment Protection and Forestry of the Kyrgyz Republic
12. Maldives	Ministry of Environment and Energy through its Climate Change Department
13. Mauritania	Ministry in Charge of Environment and Sustainable Development (MDEDD)
14. Nauru	Department of Commerce, Industry and Environment
15. Nepal	Ministry of Population and Environment
16. Niger	National Council for Environment and Sustainable Development
17. Pakistan	The Ministry of Climate Change, Islamabad
18. Saudi Arabia	Ministry of Energy, Industry and Mineral Resources
19. St. Kitts & Nevis	Ministry of Agriculture, Human Settlement, Cooperatives and Environment
20. Swaziland	Ministry of Tourism and Environmental Affairs
21. Tanzania	Division of Environment under the Vice President's Office
22. Turkmenistan	Ministry of Nature Protection of Turkmenistan
23. Uganda	Ministry of Water and Environment, Climate Change Department
24. Uzbekistan	The Centre of Hydro meteorological Service at the cabinet of Ministers of the Republic of Uzbekistan (UZHYDROMET)
25. Zimbabwe	Climate Change Management Department; Ministry of Environment, Water and Climate

The proposed EAs have been involved in preparation of previous NCs and will therefore ensure smooth continuation of the NC & BUR processes. UN Environment will play a pivotal role in assisting country teams to set-up appropriate national implementation modality within the EAs, and providing financial and technical support for project execution. National Project Management Units (PMU), will be established within the EAs for the overall management of all aspects of the project implementation. The PMU, constituting of a National Project Coordinator, Project part-time Accountant and Administrative Secretary will provide technical support the national Technical Expert Groups (TEGs). The TEGs will be constituted along different Thematic Working Groups (TWG) (e.g. GHG Inventories, GHG mitigation, domestic measurement reporting and verification arrangements NC/BUR support needs) depending on project type (NC and/or BURs). EAs will be encouraged to identify gender focal point in all 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. Any other relevant group will be established, based on a unanimous decision of the National Project Advisory Committee (NPAC) members. **Figure 2** outlines a general description of groups that might be formed and approved during the 1st component of this project.



**FIGURE 2:** A Generic Outline of the Project Implementation Arrangement

*Elaborate on the planned coordination with other relevant GEF-financed projects and other initiatives.*

In addition to the national institutional arrangements and coordination efforts, coordination of technical support to EAs will be promoted at the global level as well. Participating countries will be eligible to receive technical assistance in their NCs and BUR preparation process through the Global support Programme (GSP), a five-year project (2015 - 2019) jointly managed by UNEP and UNDP. This programme targets to improve the quality of National Communications (NCs) and Biennial Update Reports (BURs) submitted by non-Annex I Parties to the UNFCCC with the intention of

making these reports more relevant for national development planning processes, climate negotiations, and for funding low emission, climate resilient development projects. The GSP will support online consultation, webinars, workshops and training/learning events to assist national teams resolve technical issues, and challenges that may arise during the preparation of these reports

The project will use methodologies recommended by the UNFCCC, the COP and the CGE. The CGE has developed training materials to facilitate the preparation of NCs (decision 17/CP.8) and BURs (decision 2/CP.17, annex III) in accordance with the guidelines of the Convention. These materials are currently undergoing a review process. The countries will be encouraged to refer to the link: [http://unfccc.int/national\\_reports/non-annex\\_i\\_natcom/cge/items/2608.php](http://unfccc.int/national_reports/non-annex_i_natcom/cge/items/2608.php) . The project will also use methodologies recommended by the UNFCCC (see reference to the UNFCCC User Manual) and will build on the work carried out under previous NC, as well on the workshops and guidance materials available on [http://unfccc.int/national\\_reports/non-annex\\_i\\_natcom/guidelines\\_and\\_user\\_manual/items/2607.php](http://unfccc.int/national_reports/non-annex_i_natcom/guidelines_and_user_manual/items/2607.php)

Other relevant work supported by other Implementing Agencies, development partners at national level will be used to provide necessary linkages with development priorities. In this context, the project will seek closer collaboration with the GEF funded National Adaptation Plan Global Support Programme (NAP-GSP), a UNDP-UNEP programme, financed by the LDCF to assist LDCs to bring greater focus and attention to medium and long-term climate change planning as well as budgeting. Other initiatives such as Low Emissions Development Strategies (LEDS) and Nationally Appropriate Mitigation Actions (NAMAs) would help countries build on relevant initiatives and strengthen the transformational potential of NCs and BURs

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.

Participating countries will also be encouraged to establish linkages and coordinate with other institutional arrangements established under the Convention. These institutions range from the National Designated Authority (NDA) or focal point designated under the Green Climate Fund (GCF), National Designated Entities (NDEs), under the Climate Technology Centre & Network (CTCN), and the institutions that will be charged to coordinate the NDC implementations

Through the UNEP Regional Offices and the one UN process, the programme will link to the UN Development Assistance Framework (UNDAF) process in support of the priorities areas agreed upon in participating countries. The priority range from environmental management climate; change and disaster risk management; improving the performance and responsiveness of targeted national and sub-national institutions; gender equality and addressing acute vulnerability and participation gaps. UNEP staff, representing all relevant Divisions, will be involved in the review of the various components of the National Communications to enable them contribute effectively to the process of including the outputs of the NCs into the UNDAF process.

*A.7 Benefits.* Describe the socioeconomic benefits to be delivered by the project at the national and local levels. How do these benefits translate in supporting the achievement of global environment benefits (GEF Trust Fund) or adaptation benefits (LDCF/SCCF)?

The project supports 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 policy instruments which will inform and guide the formulation of cost-effective project proposals in the areas of GHG mitigation and climate

change adaptation. Adaptation policies and actions identified in NCs have social benefits as they are aimed at reducing vulnerability to climate change impacts and increasing climate resilience of most vulnerable groups and sectors. In the field of mitigation, identified priority options help countries move towards low carbon development pathways. Many adaptation and mitigation measures provide win-win and multiple benefits, such as economic savings, improvement of local environments, of public health, and avoidance of expensive corrective measures in the future. Thus, national reporting has the potential to play a key role in maximizing these benefits by producing data that guides the design of priority adaptation and mitigation policies and actions to inform development strategies and sector programs as well as support the goals of technology transfer activities. These initiatives will be in line with the convention obligation and national sustainable development needs.

NCs and BURs can indirectly be associated with global benefits through capacity development mainly in the areas of GHG inventories and emission reductions. In the absence of this project, the teams and the structures created in most of the cases on project basis will be spread out and may be lost once countries complete their current NCs. Timely funds availability, through this project will contribute to an enhanced and maintained capacity of the non-Annex 1 countries as well as a better quality of subsequent NCs and BURs. Better reports and enhanced capacities of non-Annex 1 countries means a better response to the implementation process of the UNFCCC and its treaties.

*A.8 Knowledge Management.* Elaborate on the knowledge management approach for the project, including, if any, plans for the project to learn from other relevant projects and initiatives (e.g. participate in trainings, conferences, stakeholder exchanges, virtual networks, project twinning) and plans for the project to assess and document in a user-friendly form (e.g. lessons learned briefs, engaging websites, guidebooks based on experience) and share these experiences and expertise (e.g. participate in community of practices, organize seminars, trainings and conferences) with relevant stakeholders.

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, in cases 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. Executing Agencies will 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. The 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. 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.

Once drafting and compiling of NC and/or BUR information is complete (component 2), participating countries will be encouraged to have a single document with an executive summary contained within it. The document could be presented as a hard copy and in electronic format. The Executive summary, which should be no more than 10 pages long, will be used for purposes of making the national communication publicly available and reader-friendly for policy makers

In addition to the national level initiatives, country teams will also be encouraged to interact at regional and international levels, through the Global Support Programme (GSP). The GSP is currently developing a website that will offer an interactive and dynamic space for countries to share best practices, communication and outreach materials. Countries will be encouraged to share their experiences, in initiating and managing national dialogues and challenges faced or foreseen. Webinars, training/learning events, workshops will be organized by the GSP to provide technical guidance on NCs and BURs, and promote country informal interaction and discussions on project implementation.

## B. DESCRIPTION OF THE CONSISTENCY OF THE PROJECT WITH:

*B.1 Consistency with National Priorities.* Describe the consistency of the project with national strategies and plans or reports and assessments under relevant conventions such as NAPAs, NAPs, ASGM NAPs, MIAs, NBSAPs, NCs, TNAs, NCSAs, NIPs, PRSPs, NPFE, BURs, INDCs, etc.:

Many of the issues covered in the NCs and BURs are relevant for development planning processes and countries have highlighted the need to link their NC process more effectively with policy-making to address climate change concerns. 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 mitigation projects, their Nationally Determined Contributions (NDCs), Nationally Appropriate Mitigation Actions (NAMAs), and prioritize technology needs through robust Technology Needs Assessments (TNAs) and implementation of national action plans to promote transfer of technology which are also funded by the GEF. For example, the V&A assessment should not only generate information for reporting purposes, but also be relevant to the development of adaptation projects and informing national adaptation policy decisions, NAPAs and NAPs. The GHG inventory information may influence the type of mitigation efforts in various sectors of the economy, as well as the priority needs for TNA and NAMA projects. The UN Environment will support country teams draw linkages with these projects and programmes without duplication.

The table below presents is a summary of INDCs, NCSAs, PRSPs, NIPs, NAPAs, NAMAs and TNAs/TAPs 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. Antigua and Barbuda	X	X				X	1 <sup>st</sup> round
2. Bahamas	X	X					
3. Burundi	X	X	X	X	X	X	2 <sup>nd</sup> round
4. Cameroon	X	X	X	X		X	
5. Central African Republic	X	X	X	X	X	X	
6. Chad	X	X	X		X	X	1 <sup>st</sup> round
7. Congo	X	X	X			X	1 <sup>st</sup> round
8. DRC	X	X	X	X	X	X	1 <sup>st</sup> round
9. Djibouti	X	X	X	X	X	X	
10. Iraq	X		X				
11. Kyrgyzstan	X	X	X	X			
12. Maldives	X	X	X		X		
13. Mauritania	X	X	X	X	X		2 <sup>nd</sup> round
14. Nauru	X			X			

Countries	INDCs	NCSAs	PRSPs	NIPs	NAPAs	NAMA	TNAs
15. Nepal	X	X	X	X	X		1 <sup>st</sup> round
16. Niger	X	X	X	X	X		
17. Pakistan	X		X			X	2 <sup>nd</sup> round
18. Saudi Arabia	X					X	
19. St. Kitts & Nevis	X	X				X	
20. Swaziland	X	X		X			2 <sup>nd</sup> round
21. Tanzania	X	X	X	X	X		2 <sup>nd</sup> round
22. Turkmenistan	X	X					1 <sup>st</sup> round
23. Uganda	X	X	X	X	X	X	1 <sup>st</sup> round
24. Uzbekistan		X	X			X	1st round
25. Zimbabwe	X	X		X	X		1 <sup>st</sup> round

### C. DESCRIBE THE BUDGETED M&E PLAN:

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

- A Project Inception Workshop at the national level will be held within 2 months of start of project. This will involve all key stakeholders identified during the national consultation process. An Inception Workshop report will be prepared and shared with participants to formalize various agreements and plans decided during the meeting. UN Environment will conduct a visit to project site based on the agreed schedule in the project's Inception Report/Annual Work Plan to assess first hand project progress. A Field Visit Report/Mission Report will be prepared by Task Manager and will be circulated after the visit.
- Monitoring NCs and BURs technical progress against expenditures: The Project Coordinator will be responsible for preparation of quarterly progress reports and expenditure statements. Technical progress and financial reports shall be reviewed by UN Environment Task Manager and Fund Management Officer.
- Periodic Monitoring through discussions with key partners: UN Environment Task Manager will conduct periodic monitoring of activities based on the agreed schedule in the Project Implementation Plan to assess status of implementation of project. The monitoring of project activities will identify areas of improvements and will make recommendations on how to address gaps in project implementation.
- Terminal Evaluation: In-line with UN Environment Evaluation Policy and the GEF's Monitoring and Evaluation Policy the project will be subject to a Terminal Evaluation. The Evaluation Office will be responsible for the Terminal Evaluation (TE) and will liaise with the Task Manager and Executing Agency(ies) throughout the process. The TE will provide an independent assessment of project performance (in terms of relevance, effectiveness and efficiency), and determine the likelihood of impact and sustainability. It will have two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UN Environment, the GEF, executing partners and other stakeholders. The direct costs of the evaluation will be charged against the project evaluation budget. The Terminal Evaluation will be initiated no earlier than six months prior to the operational completion of project activities and, if a follow-on phase of the project is envisaged, should be completed prior to completion of the

project and the submission of the follow-on proposal. Terminal Evaluations must be initiated no later than six months after operational completion.

The draft Terminal Evaluation report will be sent by the Evaluation Office to project stakeholders for comments. Formal comments on the report will be shared by the Evaluation Office in an open and transparent manner. The project performance will be assessed against standard evaluation criteria using a six point rating scheme. The final determination of project ratings will be made by the Evaluation Office when the report is finalised and further reviewed by the GEF Independent Evaluation Office upon submission. The evaluation report will be publicly disclosed and may be followed by a recommendation compliance process.

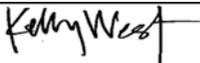
- **Financial Audit:** Annual and final financial audit will be undertaken to assess probity (i.e. correctness, integrity etc.) of expenditure and transactions. The audit on project will follow UN Environment Financial Regulations and Rules and applicable Audit policies.

## MONITORING & EVALUATION BUDGET AND WORKPLAN - (ANNEX G)

### PART III: CERTIFICATION BY GEF PARTNER AGENCY(IES)

#### GEF Agency(ies) certification

**This request has been prepared in accordance with GEF policies<sup>10</sup> and procedures and meets the GEF criteria for CEO endorsement under GEF-6.**

Agency Coordinator, Agency Name	Signature	Date (MM/dd/yyyy)	Project Contact Person	Telephone	Email Address
Ms. Kelly West UN Environment/GEF Coordinator Portfolio Manager Corporate Services Division UN Environment		May 3, 2017	Geordie Colville Senior Programme Officer	+254 207623257	geordie.colville@unep.org

<sup>10</sup> GEF policies encompass all managed trust funds, namely: GEFTF, LDCF, SCCF and CBIT

## ANNEX A: PROJECT RESULTS FRAMEWORK

Project Framework	Indicator	Baseline/End of Project Targets	Means of Verification	Assumptions
<p><b>Project Objective:</b> To support twenty-five (25) developing countries prepare and submit National Communication (NC) and Biennial Update Reports (BUR) that comply with the UNFCCC reporting requirements while responding to national development goals</p>	<p>Number of participating countries that prepare and submit NCs/BURs that comply with the UNFCCC reporting obligations while responding to national development goals</p>	<p><u>Baseline:</u> 0</p> <p><u>Target:</u> 13 participating countries submit their NCs to the UNFCCC by the time of project closure</p> <p><u>Target:</u> 20 participating countries submit their BURs to the UNFCCC by the time of project closure</p>	<ul style="list-style-type: none"> <li>- NCs/BURs posted on UNFCCC website.</li> <li>- UNFCCC reporting requirements</li> <li>- National Development strategies</li> </ul>	<ul style="list-style-type: none"> <li>- Adequate political commitment and institutional support for NC/BUR preparation exist</li> </ul>
<p><b>Project Component 1:</b> Preparation of Project Implementation Plans (PIPs) for National Communications and Biennial Update Reports</p>				
<p><b>Outcome 1:</b> Increased human and institutional capacity for preparing NC and/or BUR</p>	<p>Number of countries that prepare their NC/BUR project implementation plan that provide clear institutional arrangement, stakeholder engagement mechanisms, work plan and budget</p>	<p><u>Baseline:</u> 0</p> <p><u>Mid Term Target:</u></p> <ul style="list-style-type: none"> <li>- 13 NC PIPs completed and submitted to UNEP by December, 2018</li> <li>- 20 BUR PIPs completed and submitted to UNEP by December, 2018</li> </ul> <p><u>End Term Target:</u> N/A</p>	<ul style="list-style-type: none"> <li>- NC/BUR PIPs</li> <li>- Guidelines for national stakeholders' involvement and institutional arrangement in preparation of NCs and BURs</li> </ul>	<ul style="list-style-type: none"> <li>- Strong commitment of national teams to engage stakeholders of high competence and expertise</li> <li>- Stakeholders willingness to participate in the NC/BUR process</li> <li>- No institutions given formal mandate to support NC/BUR processes at national level</li> <li>- Adequate political support to strengthen and/or establish appropriate institutional arrangement for NC/BUR preparation</li> </ul>

Project Framework	Indicator	Baseline/End of Project Targets	Means of Verification	Assumptions
<b>Project Component 2:</b> Preparation of National Communication (NCs) and Biennial Update Reports (BURs)				
<p><b>Outcome 2:</b> Countries meet their NC/BUR reporting requirements under the UNFCCC.</p>	<p>Number of BURs which meet the Convention's reporting requirements prepared and submitted to the UNFCCC</p> <p>Number of NCs which meet the Convention's reporting requirements prepared and submitted to the UNFCCC</p>	<p><u>Baseline:</u> 0</p> <p><u>Mid Term Target:</u> - At least 50% of BURs (10 BURs) completed and submitted to the UNFCCC by December, 2018</p> <p><u>End Term Target (BURs):</u> - 20 BURs completed and submitted to the UNFCCC by December, 2020</p> <p><u>End Term Target (NCs):</u> - 13 NCs completed and submitted to the UNFCCC by mid 2021</p> <p><u>End Term Target:</u> 25 national workshops on identifying gender-equity measures in NC and BUR processes held</p>	<ul style="list-style-type: none"> <li>- 10 BUR reports posted on the UNFCCC website by December, 2018</li> <li>- 20 BUR reports posted on the UNFCCC website by December, 2020</li> <li>- List of participants, workshop report outlining simple indicators for mainstreaming gender issues in to all BUR project components</li> <li>- 6 NC reports posted on the UNFCCC website by December, 2020</li> <li>- List of participants, workshop report outlining simple indicators for mainstreaming gender issues in to all NC project components</li> </ul>	<ul style="list-style-type: none"> <li>- NC/BUR preparation considered priority in the participating countries</li> <li>- Strong political or institutional commitment to the NC/BUR process</li> <li>- Stakeholders have the capacity to make reference to the NC/BUR reporting guidelines</li> <li>- Climate change is highly ranked on participating countries' political agenda</li> <li>- The success of the gender mainstreaming workshops will be heavily influenced by the political good to build capacity on gender reporting/communication.</li> </ul>
<b>Project Component 3:</b> National stakeholders' involvement and institutional arrangements for preparation of subsequent BUR and NC				

Project Framework	Indicator	Baseline/End of Project Targets	Means of Verification	Assumptions
<b>Outcome 3:</b> Human and institutional capacities for preparation of subsequent NCs and BURs sustained	Number of countries that undertake stocktaking assessment and institutional arrangement for preparation of subsequent NC/BUR	<u>Baseline:</u> 0  <u>End Term Target:</u> 25 countries submit stocktaking assessment and institutional arrangement report for the subsequent NC/BUR by the time of project closure	<ul style="list-style-type: none"> <li>- NC/ BUR stocktaking and self-assessment reports,</li> <li>- Guidelines for national stakeholders involvement and institutional arrangement in preparation of NCs and BURs</li> </ul>	<ul style="list-style-type: none"> <li>- Strong commitment of national teams to engage stakeholders of high competence and expertise</li> <li>- Stakeholders willingness to participate in the NC/BUR process</li> <li>- Adequate political support to strengthen and/or establish appropriate institutional arrangement for NC/BUR preparation</li> </ul>

This project contributes to the UNEP’s Climate Change sub-programme Output 126.1 to support countries in addressing UNFCCC reporting requirements (NatComs, NDCs, TNAs...etc.) and mainstreaming mitigation into national planning processes (UNDAF etc.).

**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).

**RESPONSES TO COMMENTS FROM COUNCIL AT WORK PROGRAM INCLUSION**

<p><b>Germany’s Comments</b></p> <p>Germany approves this PIF in the work program but asks that the following comments are taken into account: Suggestions for improvements to be made during the drafting of the final project proposal:</p> <p>The full proposal should clearly identify the need of training for the executing agencies to implement sustainable reporting on the domestic level in Component 2 of the PIP. The set-up of processes for regular reporting and the knowledge dissemination of the guidelines in the implementation agencies are crucial for the project success.</p>	<p><b>Additional information on capacity building provided under Component 2.</b></p> <p>‘The UNEP will guide the EAs on how to utilize the GEF resources for strengthen their capacity in reporting. A budget line, under component 2 for technical assistance will allow the EAs to engage services of regional and international consultants in the preparation of their NCs and BURs The assistance of international consultants will cover training of national experts on the use of tools and software in: GHG inventories; vulnerability assessment and adaptation as well as mitigation measures. International and regional consultants will be expected to strengthen Technical Working Group (TWG) basic knowledge in the methodological approaches related to inventories and assessments.</p> <p>At the global level, the UNEP will assist country teams to access technical services offered under the Global support Programme (GSP), a five-year project (2015 - 2019) jointly managed by UNEP and UNDP. The GSP will support online consultation, webinars, workshops and training/learning events to assist national teams resolve technical issues, and challenges that may arise during the preparation of these reports Once the NC and BUR reports are completed by EAs, the GSP will review these draft reports and make suggestions for improvement, before submission to the UNFCCC’.</p>
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**RESPONSES TO COMMENTS FROM GEF SECRETARIAT**

Review Criteria – Questions	GEF Secretariat Review Comments	Agency Response
Project Consistency: Is the project consistent with the recipient country’s	Yes. Please provide further information at CEO endorsement on a country level.	Further information has been provided in the following sections of the proposal: -

Review Criteria – Questions	GEF Secretariat Review Comments	Agency Response
national strategies and plans or reports and assessments under relevant conventions?		<p>1. Table 1 in the baseline scenarios or any associated baseline projects presents a summary of status of NCs and BURs projects in the 25 participating countries. The summary shows that</p> <ul style="list-style-type: none"> <li>– all 25 Parties have submitted their INCs to the UNFCCC</li> <li>– 23 Parties have submitted their SNC to the UNFCCC</li> <li>– 9 Parties have submitted TNCs to the UNFCCC</li> <li>– 1 Party (Mauritania) is preparing its NC4</li> <li>– 1 Party has submitted it's BUR1</li> </ul> <p>2. In addition, Table 3: presents a summary of other reports and assessments done by countries under relevant conventions. The UN Environment will support country teams draw linkages with these projects and programmes throughout the project timeframe, without duplication.</p>
Project Design: Are the components in Table B sound and sufficiently clear and appropriate to achieve project objectives and the GEBs?	Yes, the components are sufficiently clear and appropriate	<p>A third component, has been introduced at CEO endorsement stage and seeks to: -</p> <ul style="list-style-type: none"> <li>– Encourage advance planning at national level for subsequent reporting</li> <li>– Sustain the momentum build in NC &amp; BUR processes and continuous engagement of climate change structures/units in EAs, as well as stakeholders' interest in climate change enabling activities.</li> <li>– In parallel to the stock-taking exercise, countries will be encouraged to initiate a request for GEF funding for subsequent NCs and BURs preparation. in order to. Timely funds availability, through this component will avoid a lack of continuity in project financing,</li> </ul>

Review Criteria – Questions	GEF Secretariat Review Comments	Agency Response
		contribute to an enhanced capacity of the non-Annex 1 countries as well as a better quality of subsequent reports.
Project Design: Are socio-economic aspects, including relevant gender elements, indigenous people, and CSOs considered?	Yes, gender elements will be included during project preparation following guidance developed by the GSP. Please provide further information on public participation, including CSOs and indigenous peoples at CEO Endorsement.	<p>The civil society organizations and indigenous people will be actively contributing to the project outputs during all the three phases of the project.</p> <p>They will be amongst the stakeholders invited to participate and provide comments on preparation of PIPs (1<sup>st</sup> component). They will be invited to participate in the NC or BUR project inception workshop, where they will have an opportunity to define their roles/responsibility and representation in various thematic working groups as illustrated in Fig 2. on project implementation arrangement. They will also provide their feedback and assessment on NC and BUR processes, moving forward (3<sup>rd</sup> component).</p>
Availability of Resources: Focal area set-aside?	Yes, the project is requesting \$10,530,720 from the CCM set aside.	The project budget has increased from <b>\$10,530,720</b> to <b>\$13,946,200</b> . Considering the budget increase is more than 5%, the GEF is requested to approve the major amendment – Request for major amendment attached
Recommendations: Is co-financing confirmed and evidence provided?	Co-financing is not required for this type of project, but \$1,043,000 from UN Environment and national governments is listed.	The Co-financing estimates from UN Environment and national governments have increased from <b>\$ 1,043,000</b> pledged at PIF stage to <b>\$ 1,374,000</b> . This is as a result of the increase in number of countries at CEO Endorsement.
Is CEO endorsement recommended?	<p>PM recommends for clearance.</p> <p>We note that the following countries have not submitted yet their respective NC to the UNFCCC on which this project builds on: Antigua and Barbuda, Democratic Republic of Congo, Guinea Bissau,</p>	<p>All countries under this umbrella have completed and submitted their NCs to the UNFCCC and are on the UNFCCC website</p> <p>The list of countries participating in this umbrella</p>

Review Criteria – Questions	GEF Secretariat Review Comments	Agency Response
	<p>Madagascar, Maldives, Gambia, Kyrgyzstan, Swaziland, Uzbekistan and Zimbabwe. Please ensure they are submitted before CEO Endorsement.</p> <p>Please note that this project cannot be endorsed unless the respective national communications have been submitted to the UNFCCC and are on the UNFCCC website</p> <p>In addition, please provide additional information by CEO Endorsement on a country level:</p> <ul style="list-style-type: none"> <li>-Consistency with recipient country's national strategies and plans or reports</li> <li>-Public participation, including CSOs and indigenous peoples</li> </ul>	<p>programme has been revised to comply with the GEF Secretariat review comments; as well as to include additional requests received by UN Environment since the PIF approval in June, 2016.</p> <ol style="list-style-type: none"> <li>1. The following countries completed and posted their NC to the UNFCCC website: - Antigua and Barbuda, Democratic Republic of Congo, Maldives, Swaziland, Kyrgyzstan, Uzbekistan and Zimbabwe. These countries are included in this CEO endorsement request. Guinea Bissau, Madagascar, and Gambia have been excluded from this request, as they have not completed and submitted their NC to the UNFCCC as requested by the GEF. UN Environment will continue supporting these Parties to complete their NC and access GEF funding as and when they are ready. This reduced the number of countries from 18 proposed at PIF stage to 15.</li> <li>2. In addition to the 15, 10 requests were received by UN Environment after PIF approval in June, 2016 from: - <ul style="list-style-type: none"> <li>– Bahamas (TNC &amp; BUR1)</li> <li>– Cameroon – (TNC &amp; BUR1)</li> <li>– Central African Republic –(BUR1)</li> <li>– Nauru – (BUR1)</li> <li>– Niger (BUR1)</li> <li>– Pakistan (BUR1)</li> <li>– Saudi Arabia (NC4)</li> <li>– St. Kitts &amp; Nevis (BUR1)</li> <li>– Tanzania (BUR1) and</li> <li>– Uganda (TNC)</li> </ul> </li> </ol>



**ANNEX C: STATUS OF IMPLEMENTATION OF PROJECT PREPARATION ACTIVITIES AND THE USE OF FUNDS<sup>11</sup>**

Provide detailed funding amount of the PPG activities financing status in the table below: N/A

PPG Grant Approved at PIF: <b>US\$ 0</b>			
<i>Project Preparation Activities Implemented</i>	<i>GEF/LDCF/SCCF Amount (\$)</i>		
	<i>Budgeted Amount</i>	<i>Amount Spent To date</i>	<i>Amount Committed</i>
<b>Total</b>	0	0	0

<sup>11</sup> If at CEO Endorsement, the PPG activities have not been completed and there is a balance of unspent fund, Agencies can continue to undertake the activities up to one year of project start. No later than one year from start of project implementation, Agencies should report this table to the GEF Secretariat on the completion of PPG activities and the amount spent for the activities. Agencies should also report closing of PPG to Trustee in its Quarterly Report.

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

Provide a calendar of expected reflows to the GEF/LDCF/SCCF Trust Funds or to your Agency (and/or revolving fund that will be set up)

N/A

## ANNEX E: CONSULTANTS TO BE HIRED FOR THE PROJECT USING GEF/LDCF/SCCF RESOURCES

This will be further refined at PIP stage (output 1.1.1), in light of country's national circumstances, capacities and capabilities (Component 1)

### NC/BUR Project Management team:

- National Project Coordinator (NPC)
- Finance and Administrative Assistant

### Technical Assistance (national experts and consultants):

- Climate Change Policy Expert (National Circumstances)
- National GHG Inventory Experts
- National GHG Inventory management and database expert
- Climate Change Mitigation experts
- Climate Change Mitigation expert (MRV)
- Editorial consultant
- International Climate Change Policy Expert

<i>Position Titles</i>	<i>Qualification and experience</i>	<i>Tasks To Be Performed</i>
<b>For Project Management (Local)</b>		
The National Project Coordinator (PC)	<ul style="list-style-type: none"> <li>▪ Degree in environmental science or other related field</li> <li>▪ Relevant experience in the field of climate change</li> <li>▪ Familiarity with national communications, and with international negotiations and processes under the UNFCCC</li> <li>▪ Substantial experience in government and in interdepartmental procedures</li> <li>▪ Familiarity with computers and word processing</li> <li>▪ Good command of national and at least one of the UN official language</li> </ul>	<ul style="list-style-type: none"> <li>▪ Supervises and ensures timely and expeditious implementation of project activities as per approved work plan;</li> <li>▪ Prepares a detailed work plan for the project and draft terms of reference for the subcontracts (in consultation with UN Environment);</li> <li>▪ Compiles the scope and content of the overall NC &amp; BUR report and relevant sections in consultation with Working Group Leaders;</li> <li>▪ Develops the scope of the work and TORs and other procurement documentation required to identify and facilitate recruitment of experts and consultants;</li> <li>▪ Identifies and hire/subcontract the national experts and institutions (in consultation with UN Environment);</li> <li>▪ Supervise project support staff and national consultants recruited to provide technical assistance;</li> <li>▪ Organizes and supervises the workshops and training programmes as appropriate.</li> <li>▪ Liaises with the relevant ministries, national and international research institutes, NGOs, and other relevant stakeholders in order to ensure the active involvement of staff and personnel in project activities, and to gather and disseminate relevant information;</li> <li>▪ Prepares periodic financial and technical progress reports;</li> <li>▪ Control the expenditures and otherwise ensure adequate management of the resources provided to support the project;</li> <li>▪ Summarizes and synthesizes the results of the project;</li> </ul>

<i>Position Titles</i>	<i>Qualification and experience</i>	<i>Tasks To Be Performed</i>
		<ul style="list-style-type: none"> <li>▪ Facilitates and supervises the use of up-to-date methodologies and approaches described within this document;</li> <li>▪ Ensures that approaches used for compiling, archiving, updating, and managing the assessments under the NC &amp; BUR are consistent with the project document;</li> <li>▪ Identifies and ensures synergy of NC &amp; BUR activities with other relevant on-going/new projects.</li> <li>▪ Initiates and mobilizes resources for the implementation of NC &amp; BUR follow-up activities focused on sustaining the capacity development across relevant climate change areas;</li> <li>▪ Summarize the results of the project and finalizes the NC &amp; BUR of (Name of Country) along with the government personnel and national experts;</li> <li>▪ Ensures that the NC &amp; BUR process is in the line with guidance provided by the COP of the UNFCCC and contributes to the improvement of the UNFCCC reporting process;</li> <li>▪ Collaborates with all relevant stakeholders and the Project Steering Committee and other partners to ensure their involvement in the NC &amp; BUR process.</li> <li>▪ Ensure gender mainstreaming within the project consistent with COP 18 decisions</li> </ul>
Finance and Administrative Assistant	<ul style="list-style-type: none"> <li>▪ A university degree in finance or accounting</li> <li>▪ A minimum of 3 years of relevant experience in a field related to climate change.</li> <li>▪ Work experience with international organizations</li> <li>▪ Knowledge of computers and word processing</li> <li>▪ He/ she must have worked on a climate change related activities</li> </ul>	<ul style="list-style-type: none"> <li>▪ Assist PC in overall project management and provide general administrative support to ensure the smooth running of the project management unit</li> <li>▪ Manage office work, to schedule meetings and maintain contacts with all institutions/experts involved;</li> <li>▪ Organize workshops, working group meetings, stakeholder consultations, etc.</li> <li>▪ Maintain the project's files</li> <li>▪ Act on telephone inquiries, fax, post and e-mail transmissions, and co-ordinate appointments;</li> <li>▪ Arrange duty travel and provide all the logistic support for the coming missions/visitors;</li> <li>▪ Perform any other administrative duties as requested by the PC;</li> <li>▪ Assist PC in all financial matters related to the Project development;</li> <li>▪ Ensure that financial requirements of UN Environment and the national legislation, where relevant, are adhered to;</li> <li>▪ Draft quarterly cash flow projections based on the agreed project work plan;</li> <li>▪ Prepare the project's Financial Reports to UN Environment;</li> <li>▪ Maintain the payments supporting documentation in impeccable order;</li> <li>▪ Perform any other financial duties as requested by</li> </ul>

<i>Position Titles</i>	<i>Qualification and experience</i>	<i>Tasks To Be Performed</i>
		the PC;
<b>For Technical Assistance (Local)</b>		
Climate Change Policy Expert (National Circumstances)	<ul style="list-style-type: none"> <li>▪ Advanced degree and experience in climate change, natural resources, livelihoods and/or environment with proven qualifications in climate change issues</li> </ul>	<ul style="list-style-type: none"> <li>▪ Collect and analyze of information related to national circumstances</li> <li>▪ Analyses (Name of country) specific needs and concerns arising from the adverse effects of climate change in the context of national development objectives, priorities and circumstances.</li> <li>▪ Collects information and description of institutional arrangements relevant to the preparation of the national communications and biennial update reports on a continuous basis, and description of level of support received to enable the preparation of the NC &amp; BUR.</li> </ul>
National GHG Inventory Experts	<ul style="list-style-type: none"> <li>i. A degree in environmental science or energy related or statistics or any other relevant in related fields.</li> <li>ii. At least 10 years' experience and expertise in conducting GHG Inventories for National Communications and related activities;</li> <li>iii. He/She must have a thorough knowledge and hands-on experience with the following: <ul style="list-style-type: none"> <li>a. Guidelines for the preparation of National Communications from Parties not included in Annex I to the Convention adopted by Conference of Parties</li> <li>b. Revised 1996 IPCC and 2006 IPCC guidelines for GHG inventories and the 2000 Good Practice Guidance and the 2003 Good Practice Guidance on Land Use, Land-Use Change and Forestry (GPG for LULUCF)</li> <li>c. IPCC Greenhouse Gas Inventory software</li> <li>d. User manual for the Guidelines on the preparation of National Communication from Non-Annex Parties.</li> <li>e. IT literate and good knowledge in GIS and Numerical analysis scheme.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>▪ Collect and analyze activity data up to year 2014/2015 and others gaps as per Revised 1996 IPCC Guidelines, GPG (2000) and GPG for LULUCF (2003).</li> <li>▪ Coordinate activities with key partners for specific sectors (Agriculture, LULUCF, Energy, waste)</li> <li>▪ Coordinate the necessary activities for the update of National Emission Factors for key source categories updated (Methane from enteric fermentation and Nitrous Oxide from agricultural soils with grazing animals).</li> <li>▪ Prepare Worksheets, summary tables, uncertainty management for GHG inventories</li> <li>▪ Prepare the inventory report containing the description of the contribution of different sectors to GHG emissions, procedures and arrangements for collection and activation of data and role of institutions involved in the preparation of the GHG inventory.</li> <li>▪ Prepare updated summary information tables of previous inventories.</li> <li>▪ Provide an overall technical review of the draft chapter on inventories to be used in the NC &amp; BUR.</li> <li>▪ Together with other project staff, identify specific training needs for government and non-governmental agencies and provide recommendations for training and capacity development.</li> <li>▪ Collaborate with the GHG Inventory and database expert in supporting the process of establishment of the National Inventory Management System</li> </ul>
GHG inventory management and	<ul style="list-style-type: none"> <li>▪ At least 3 years' experience in the development of database and software</li> </ul>	<ul style="list-style-type: none"> <li>▪ Collaborate with the GHG Inventory experts in establishing and supporting the National Inventory</li> </ul>

<i>Position Titles</i>	<i>Qualification and experience</i>	<i>Tasks To Be Performed</i>
database expert	<p>development</p> <ul style="list-style-type: none"> <li>▪ Knowledge and experience in the development of GHG inventory using approved IPCC guidelines and methodologies</li> <li>▪ Competencies: - Proven ability to collect, verify and analyses information and to present work of a high quality degree of accuracy and technical quality</li> </ul>	<p>Management System.</p> <ul style="list-style-type: none"> <li>▪ Upload relevant information into national GHG inventory database.</li> <li>▪ Collaborate in the training of individual experts and institutions to ensure sustainability of the National Inventory System</li> </ul>
Climate Change Mitigation experts	<ol style="list-style-type: none"> <li>i. Have at least a Post Graduate University degree in environment management or Energy or any other relevant fields.</li> <li>ii. At least five years of experience in dealing with issues pertaining to GHEG mitigation assessment and scenarios analysis;</li> <li>iii. Ability to conduct training in mitigation assessment or on themes related to mitigation. Proof thereof shall be provided in the proposal;</li> <li>iv. Hershel must have a thorough knowledge and hands-on experience on the following: <ul style="list-style-type: none"> <li>• Guidelines for the preparation of National Communications from Non-Annex I Parties;</li> <li>• IPCC Mitigation software to develop scenarios;</li> <li>• IPCC methodology and tools;</li> <li>• User manual for the Guidelines on the preparation of National Communication from Non-Annex I Parties</li> </ul> </li> </ol>	<ul style="list-style-type: none"> <li>▪ Collect and analyze relevant information regarding the GHG mitigation actions or groups of actions being developed in (Name of the country).</li> <li>▪ Prepare a report on the mitigation actions to provide a description in tabular format that includes name, nature of the action, coverage, quantitative goals, progress indicators, associated methodologies and assumptions, objectives, steps taken or envisaged to achieve the action, progress of implementation and results achieved.</li> <li>▪ Collect data on participation in international carbon market mechanisms and prepare a report containing the collected information</li> <li>▪ Prepare a report containing a description of the national arrangements to enable the implementation of NAMAs, including the establishment of a National Registry.</li> <li>▪ Provide technical support for the establishment of a National Registry of NAMAs and the process of defining appropriate national arrangements needed to support the NAMAs process.</li> <li>▪ Provide technical support for training and awareness raising activities relevant to national economic sectors with mitigation potential for designation as NAMAs within the framework of the UNFCCC.</li> <li>▪ Provide technical support to the process of identification of NAMAs development potential in the different socio-economic sectors, at various administrative levels and also identify the different types of financing and co-financing framework needed.</li> </ul>
Climate change policy expert	<ul style="list-style-type: none"> <li>▪ Advanced degree and experience in climate change, natural resources, livelihoods and/or environment with proven qualifications in adaptation issues</li> <li>▪</li> </ul>	<ul style="list-style-type: none"> <li>▪ Conduct a study of financial, technological and capacity needs and constraints of institutions responsible for activities related to climate change through the collection, synthesis and analysis of existing information, individual interviews or group discussions, site visits, among others.</li> </ul>
Climate Change Mitigation expert (MRV)	<ul style="list-style-type: none"> <li>▪ Technical experience working in the Climate Change and Climate Mitigation field</li> <li>▪ Strong familiarity with the climate change mitigation issues in target location with proven networks within the government, private sector and civil societies</li> <li>▪ Technical experience in climate science and</li> </ul>	<ul style="list-style-type: none"> <li>▪ Conduct a study for the identification and assessment of the different options and possibilities for a domestic MRV system in accordance with guidelines to be developed by the UNFCCC, taking into consideration national circumstances and capabilities, as well as well as the nature of different GHG mitigation actions.</li> </ul>

<i>Position Titles</i>	<i>Qualification and experience</i>	<i>Tasks To Be Performed</i>
	<p>impact assessment; low carbon growth/green growth, carbon markets and finance, mitigation strategies and options, energy efficiency, renewable energy, sustainable transport, technology transfer, green infrastructure or other climate change mitigation</p> <ul style="list-style-type: none"> <li>▪ Experience working across different sectors</li> <li>▪ Experience working with government stakeholders in national and/or regional policy development and implementation in climate change activities</li> <li>▪ Advanced degree and experience in climate change, natural resources, livelihoods and/or environment with proven qualifications in adaptation issues</li> </ul>	<ul style="list-style-type: none"> <li>▪ Assist the process of developing national institutional arrangements and framework for domestic MRV.</li> <li>▪ Prepare a report describing the progress of implementation of such institutional arrangements and framework.</li> </ul>
Editorial consultant	<p>A post-graduate university degree in environmental science, economics, management, international relations, law, public policy or other relevant social science or related discipline.</p> <p>At least five (5) years' experience working in related field which includes research and drafting and analyzing policies.</p>	<ul style="list-style-type: none"> <li>▪ Compile, consolidate, harmonize information from different consultants and experts, and elaborate the NC &amp; BUR report in accordance with the guidelines annexed to Decision 2/CP.17</li> </ul>
<b>For Technical Assistance (International)</b>		
International Climate Change Policy Expert	<ul style="list-style-type: none"> <li>▪ A minimum of 3 years' professional experience in global climate change issues (see below);</li> <li>▪ Advanced degree in a relevant discipline (e.g. environmental or climate change-related studies in public policy, economics, science, international cooperation/international development, engineering, or a related field);</li> </ul>	<ul style="list-style-type: none"> <li>▪ Provide recommendation and guide the execution of NC &amp; BUR activities related to NAMAs and MRV, including the NAMAs registry, and the institutional arrangements for MRV and NAMAs.</li> <li>▪ Revision of the mitigation analysis, including the baseline and mitigation scenarios until 2050 for abatement of GHG emissions.</li> <li>▪</li> </ul>
Justification for travel, if any:		

## ANNEX F-1: GEF GRANT IN UMOJA CODES

<b>CODES</b>	<b>UMOJA BUDGET LINES</b>	<b>GEF budget</b>
<b>1161</b>	<b>Staff and Other Personnel</b> (Includes consultants and experts hired by EAs to prepare different outputs under the BUR & NC projects, salaries for EA personnel, and the UN Environment execution support)	<b>12,261,000.00</b>
<b>1561</b>	<b>Travel</b>	<b>178,400.00</b>
<b>2161</b>	<b>Contractual Services</b> (Includes costs of conducting project inception workshops; NC and BUR capacity building workshops for national experts & final validation workshops)	<b>500,000.00</b>
<b>4161</b>	<b>Supplies Commodities and Materials</b>	<b>0</b>
<b>4261</b>	<b>Equipment, Vehicles and Furniture</b>	<b>356,800.00</b>
<b>5161</b>	<b>General Operating and other direct Costs</b> M&E & Audit costs	<b>650,000.00</b>
	<b>Total</b>	<b>13,946,200.00</b>

Note:

The budget figures provided in Annex F-1 have been derived from indicative totals per component as shown in Annex F-3. Budget allocation in UMOJA will be updated as and when countries submit approved PIPs that reflect their national capacity needs (component 1).

**ANNEX F – 2 GEF BUDGET (US\$) BREAKDOWN PER COUNTRY/COMPONENT**

<b>NO.</b>	<b>Country</b>	<b>PROJECT</b>	<b>PIP - COMPONENT 1</b>	<b>COMPONENT 2</b>	<b>COMPONENT 3</b>	<b>GEF TOTAL COST</b>
1	Antigua and Barbuda	NC4	20,000	470,000	10,000	500,000
2	Bahamas	TNC/ BUR1	20,000	822,000	10,000	852,000
3	Burundi	BUR1	10,000	337,000	5,000	352,000
4	Chad	BUR1	10,000	337,000	5,000	352,000
5	Cameroon	TNC/ BUR1	20,000	822,000	10,000	852,000
6	Central African Republic	BUR1	10,000	337,000	5,000	352,000
7	Congo	BUR1	10,000	337,000	5,000	352,000
8	D R Congo	NC4	20,000	470,000	10,000	500,000
9	Djibouti	BUR1	10,000	337,000	5,000	352,000
10	Iraq	SNC/BUR1	20,000	822,000	10,000	852,000
11	Kyrgyzstan	NC4/ BUR1	20,000	822,000	10,000	852,000
12	Maldives	TNC	20,000	470,000	10,000	500,000
13	Mauritania	BUR2	10,000	337,000	5,000	352,000
14	Nauru	BUR1	10,000	337,000	5,000	352,000
15	Nepal	BUR1	10,000	337,000	5,000	352,000
16	Niger	BUR1	10,000	337,000	5,000	352,000

<b>NO.</b>	<b>Country</b>	<b>PROJECT</b>	<b>PIP - COMPONENT 1</b>	<b>COMPONENT 2</b>	<b>COMPONENT 3</b>	<b>GEF TOTAL COST</b>
17	Pakistan	BUR1	10,000	337,000	5,000	352,000
18	Saudi Arabia	NC4	20,000	470,000	10,000	500,000
19	St. Kitts & Nevis	BUR1	10,000	337,000	5,000	352,000
20	Swaziland	NC4/BUR1	20,000	822,000	10,000	852,000
21	Tanzania	BUR1	10,000	337,000	5,000	352,000
22	Turkmenistan	NC4/BUR1	20,000	822,000	10,000	852,000
23	Uganda	TNC	20,000	470,000	10,000	500,000
24	Uzbekistan	NC4/BUR1	20,000	822,000	10,000	852,000
25	Zimbabwe	NC4/BUR1	20,000	822,000	10,000	852,000
	<b>Total Cost</b>		<b>380,000</b>	<b>12,970,000</b>	<b>190,000</b>	<b>13,540,000</b>
	Project Execution Support		80,200	284,000	42,000	406,200
	<b>TOTAL GEF FUNDING</b>		<b>460,200</b>	<b>13,254,000</b>	<b>232,000</b>	<b>13,946,200</b>

**ANNEX F-3 INDICATIVE ANNUAL GEF BUDGET (US\$)**

<b>PROJECT COMPONENT</b>	<b>Yr. 2017</b>	<b>Yr. 2018</b>	<b>Yr. 2019</b>	<b>Yr. 2020</b>	<b>Yr. 2021</b>	<b>TOTAL</b>
<b>PROJECT COMPONENT 1: Preparation of Project Implementation Plans (PIPs) for National Communications and Biennial Update Reports</b>						
Project Implementation Plans for NC and BUR including stocktaking, institutional arrangements, stakeholders plans, work plans and budget are completed	380,000	-	-	-		<b>380,000</b>
<b>COMPONENT 1 sub-totals</b>	<b>380,000</b>	-	-	-	-	<b>380,000</b>
<b>PROJECT COMPONENT 2: Preparation of National Communications and Biennial Update Reports</b>						
13 NCs Inception Workshops	52,000					52,000
Preparation of NC components; supporting group trainings, meetings, national workshops, and/or engagement of experts (national, regional and/or international) to prepare various NC components, in line with the Revised Guidelines for NCs adopted at COP 8		1,500,000	1,520,000	1,530,000	-	4,550,000
Independent Annual Audits and a final audit within 2 months of project completion	-	30,000	30,000	30,000	40,000	130,000
Project Management Cost (PMC) <sup>12</sup>		420,000	420,000	420,000	140,000	1,400,000
Monitoring & Evaluation	-	-	-	-	250,000	250,000
<b>Output 2.1.1</b>	<b>52,000</b>	<b>1,950,000</b>	<b>1,970,000</b>	<b>1,980,000</b>	<b>430,000</b>	<b>6,382,000</b>

<sup>12</sup> PMC calculated as per the GEF operational procedures for the Expedited Financing of NCs from non-Annex I Parties

<b>PROJECT COMPONENT</b>	<b>Yr. 2017</b>	<b>Yr. 2018</b>	<b>Yr. 2019</b>	<b>Yr. 2020</b>	<b>Yr. 2021</b>	<b>TOTAL</b>
BUR Inception Workshops	48,000	-	-	-		<b>48,000</b>
Preparation of BUR components; supporting group trainings, meetings, national workshops, and/or engagement of experts (national, regional and/or international) to prepare various BUR components consistent with the BUR guidelines adopted at COP 17		2,900,000	2,986,000	-		<b>5,886,000</b>
Annual independent Audits and a final audit within 2 months of project completion	-	30,000	30,000	30,000		<b>90,000</b>
Project Management Cost (PMC) <sup>13</sup>		150,000	150,000	84,000		<b>384,000</b>
Monitoring & Evaluation	-	-	-	180,000		<b>180,000</b>
<b>Output 2.1.2</b>	<b>48,000</b>	<b>3,080,000</b>	<b>3,166,000</b>	<b>294,000</b>	-	<b>6,588,000</b>
<b>COMPONENT 2 Sub Totals</b>	<b>100,000</b>	<b>5,030,000</b>	<b>5,136,000</b>	<b>2,274,000</b>	<b>430,000</b>	<b>12,970,000</b>
<b>PROJECT COMPONENT 3: Stocktaking assessment and institutional arrangements for preparation of subsequent NCs and BURs</b>						
Output 3.1.1 Stocktaking assessment and institutional arrangements for preparation of subsequent NCs and BURs are completed					190,000	<b>190,000</b>
<b>COMPONENT 3 BUDGET</b>	-	-	-	-	<b>190,000</b>	<b>190,000</b>
<b>COMPONENTS SUB-TOTALS</b>	<b>480,000</b>	<b>5,030,000</b>	<b>5,136,000</b>	<b>2,274,000</b>	<b>620,000</b>	<b>13,540,000</b>
Project Execution Technical Support Cost	35,000	115,000	115,000	106,200	35,000	406,200

<sup>13</sup> PMC calculated as per the GEF policy guidelines for the financing of BURs for non-Annex I Parties (Not more than US\$ 32,000/country/project)

<b>PROJECT COMPONENT</b>	<b>Yr. 2017</b>	<b>Yr. 2018</b>	<b>Yr. 2019</b>	<b>Yr. 2020</b>	<b>Yr. 2021</b>	<b>TOTAL</b>
<b>GEF PROJECT COST</b>	<b>515,000</b>	<b>5,145,000</b>	<b>5,251,000</b>	<b>2,380,200</b>	<b>655,000</b>	<b>13,946,200</b>

## ANNEX G: MONITORING AND EVALUATION BUDGET AND WORK PLAN

Type of M&E activity	Responsible Parties	Budget from GEF	Budget co-finance	Time Frame
Project Inception Workshop (PIW)	National Project Management Unit, Technical Expert Groups and UN Environment Task Manager to raise awareness, build stakeholder engagement and detailed work planning	100,000	65,000	Within 2 months of project start-up
Project Inception Report	Project coordinator & UN Environment Task Manager			Latest, 1 month after project Inception Workshop
Technical progress reports & expenditure statements	National Project Management Unit Task Manager, Funds Management Officer			Every quarter and at the end of the project implementation
Project Monitoring	UN Environment Task Manager			
Financial Audit	Independent Audit Entity, Executing Agency, Task Manager	220,000	150,000	Annual, and within 2 months of the project completion date
Independent Terminal Evaluation	Independent evaluator(s) National Project Management Unit Task Manager, FMO UN Environment Evaluation Office	430,000		Initiated no earlier than six months prior to the operational completion of project activities
<b>Total ME Plan Budget</b>		<b>US\$ 750,000</b>	<b>US\$ 215,000</b>	

## **ANNEX H: ADDITIONAL INFORMATION ON THE ROLE OF SELECTED EXECUTING AGENCIES IN COORDINATING CLIMATE CHANGE ACTIVITIES**

The project will be implemented by the Economy Division of the United Nations Environment and executed by 25 national governments. The signing of Project Cooperation Agreements (PCA) between UNEP and each of the 25 Executing Agencies will signify the commencement of projects in different Countries. After signing of the project agreements, UNEP will disburse funds from its Headquarters in Nairobi to each of the National Governments as: -

- direct cash transfers to 23 Countries where EAs provide their banking;
- sub-allotments to UNEP Regional Offices: Two Parties (Pakistan and Iraq), have requested to receive the project funds (sub-allotments) through the UNEP Regional Offices. The two parties have requested for UNEP's support to speed up administrative processes. This arrangement, will not in any way affect the involvement of the respective Ministries in project work. UNEP Regional Offices will act as the secretariat in the National Project Advisory Committees (NPAC) meetings Chaired by the Ministry of Climate Change (Pakistan) and the Ministry of Environment (Iraq) respectively. In such a case, the 2 projects will be considered as internally executed where the Regional Office takes the responsibility of reporting to the Economy Division.
- through UNDP Country Offices, subject to country preference.

### **Role of UNEP (Implementing Agency)**

- a) Prepare a Project Cooperation Agreement (PCA)
- b) Perform the liaison function between the project and the GEF Secretariat;
- c) UNEP shall facilitate access to information, advisory services, technical and professional support available to UNEP and shall assist the Executing Agency to access the advisory services of other United Nations Organizations, whenever necessary.
- d) Review and clear manuscripts prepared by the Executing Agency before publication, and review and agree any publishing contracts.
- e) Ensure timely disbursement/sub-allotment to executing agency, based on agreed legal document and in accordance with UNEP and GEF fiduciary standards
- f) Follow-up with Executing agency for progress, equipment, financial and audit reports
- g) Provide consistent and regular oversight on project execution and conduct project supervisory missions as per Supervision Plans and in doing so ensures that all UNEP and GEF criteria, rules and regulations are adhered to by project partners;
- h) Technically assess and oversee quality of project outputs, products and deliverables - including formal publications
- i) Provide on-objection to main TORs and subcontracts issued by the project, including selection of project manager or equivalent
- j) Attend and facilitate inception workshops, field visits where relevant, and selected steering committee meetings
- k) Asses project risks, and monitor and enforce a risk management plan
- l) Regularly monitor project progress and performance and rates progress towards meeting project objectives, project execution progress, quality of project monitoring and evaluation, and risk;
- m) Monitor reporting by project executing partners and provides prompt feedback on the contents of the report;
- n) Promptly informs management of any significant risks or project problems and takes action and follows up on decisions made;
- o) Apply adaptive management principles to the supervision of the project
- p) Review of reporting, checking for consistency between execution activities and expenditures, ensuring that it respects GEF rules,

- q) Clearance of cash requests, and authorization of disbursements once reporting found to be complete
- r) Approve budget revision, certify fund availability and transfer funds
- s) Ensure that GEF and UNEP quality standards are applied consistently to all projects, including branding and safeguards
- t) Certify project operational completion
- u) Link the project partners to any events organized by GEF and UNEP to disseminate information on project results and lessons

The Executing Agency shall:

- a) Utilize the funds and any supplies and equipment provided by UNEP in strict compliance with the project document.
- b) Ensure that the project meets its objectives and achieves expected outcomes;
- c) Ensure technical execution according to the execution plan laid out in the PIPs;
- d) Ensure technical quality of products, outputs and deliverables;
- e) Ensure compilation and submission of progress, financial and audit reporting to IA;
- f) Submit of budget revisions to IA for approval;
- g) Address and rectifying any issues or inconsistencies raised by the IA;
- h) Bring issues raised by or associated with clients to the IA for resolution;
- i) Facilitate Steering Committees and other oversight bodies of the project;
- j) Day to day oversight of project execution;
- k) Submit all technical reports and completion reports to IA (realized outputs, inventories, verification of co-finance, terminal reporting, etc.)
- l) Monitoring and evaluation of the project outputs and outcomes;
- m) Effective use of both international and national resources allocated to it;
- n) Timely availability of financing to support project execution;
- o) Proper coordination among all project stakeholders; in particular national parties;
- p) Timely submission of all project reports, including work plans and financial reports.
- q) Follow-up with, or progress, procurement, financial and audit reports;
- r) Keep accurate and up-to-date records and documents in respect of all expenditures incurred with the funds made available by UNEP to ensure that all expenditures are in conformity with the provisions of the project document. For each disbursement, proper supporting documentation shall be maintained, including original invoices, bills, and receipts pertinent to the transaction.
- s) Refrain from any conduct that would adversely reflect on the United Nations and shall not engage in any activity which is incompatible with the aims and objectives of the United Nations or the mandate of UNEP;

The following provides a short description of the EAs role in climate change

Country	Appointed Executing Agency for NCs and/or BUR
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Country	Appointed Executing Agency for NCs and/or BUR
1. Antigua and Barbuda	<p>Executing Agency: Department of Environment, Ministry of Health and the Environment</p> <p>The Division works closely with other departments of Government, NGOs, and coordinates tasks of the National Coordinating Mechanism (NCM) on Environmental Conventions, an entity that reports to cabinet on implementation of all Multi-Lateral Environmental Agreements (MEAs), including the UNFCCC, UN Convention on Biological Diversity (UNCBD), and the UN Convention to Combat Desertification (UNCCD)</p>
2. Bahamas	<p>Executing Agency: The Bahamas Environment, Science and Technology (BEST) Commission, under the Ministry of Environment and Housing'</p> <ul style="list-style-type: none"> <li>- The Bahamas Environment, Science and Technology (BEST) Commission coordinates national efforts to:</li> <li>- protect, conserve and responsibly manage the environmental resources of The Bahamas</li> <li>- develop national environmental strategies and related action plans;</li> <li>- identify suitable scientific and technological advances that can contribute to the development of The Bahamas;</li> <li>- propose legislation to enforce the provisions of the national environmental plans and policies;</li> <li>- identify and make application for technical assistance and financial grants to meet the Bahamas' obligations under international conventions, treaties, protocols and agreements relating to the environment.</li> </ul>
3. Burundi	<p>Executing Agency: Ministry of Water, the Environment, Land Management and Urban Planning through the Burundian Office for the Protection of the Environment (OBPE)</p> <p>The project will be executed by the OBPE, in collaboration with the Geographic Institute of Burundi (IGEUBU), the National Environment Commission, the Sectoral Group on Water, Sanitation and the Environment (GSEAE), the National Water Partnership (PNE-Bu), and the National Platform for Risk Prevention and Disaster Management</p>
4. Chad	<p>Executing Agency: Ministry of Environment and Fisheries (MEF)</p> <p>This project will be executed through the Climate Change Coordination Focal Point of the MEF. Stakeholder involvement and political buy-in will be enhanced through the involvement of the re-established inter-disciplinary and inter-sectoral National Climate Committee (NCC) under the Minister's leadership. The committee has representatives from key government ministries, research institutions, private sector and environmental NGO</p>
5. Cameroon	<p>Executing Agency: Ministry of Environment, Protection of Nature and Sustainable Development</p> <p>MINEPDED is responsible for co-ordination of climate change activities and policies. A 2009 Presidential Decree established the National Climate Change Observatory (ONACC) under the authority of MINEP (now under MINEPDED), with a broad mission, including: to establish climate indicators; to monitor and forecast climate change and to provide climate information to the government and to all sectors affected by climate change; to propose mitigation and adaptation measures to the government; to serve as the instrument for co-operation with regional and international initiatives; and to help other organizations build the capacity to collect climate change-relevant information.</p>

Country	Appointed Executing Agency for NCs and/or BUR
6. Central African Republic	<p>Executing Agency: Ministry of Environment, Water, Forest and Sustainable Development</p> <p>Ministry has an oversight of programs for biodiversity protection, management and conservation, and to finance public awareness raising and training, and climate change issues. The Ministry evaluates how to integrate the principle of sustainable environmental management into all government policies, institutions and national development plans;</p>
7. Congo	<p>Executing Agency: Ministry of Tourism and Environment</p> <p>An inter-disciplinary and inter-sectoral National Climate Change Committee (NCCC) established under the ministry will provide guidance to technical experts working on different components of the project. Technical experts will be drawn from president's office, different ministries, research organizations, and civil societies</p>
8. Democratic Republic of Congo	<p>Executing Agency: The Sustainable Development Directorate: - Direction de Développement Durable (DDD)</p> <p>A Project Steering Committee (PSC) established in the DDD, with a balanced representation of key ministries, academic institutions, environmental NGOs, and private sector will facilitate coordination of project activities and ensure high level support and sustainability of project results.</p>
9. Djibouti	<p>Executing Agency: Ministry of Habitat, Urban Planning, Environment, &amp; Town Planning</p> <p>The Ministry on behalf of the government of Djibouti prepared and submitted the initial and second national communication to the UNFCCC in 2002 and in 2014 respectively. The same team will be involved in preparing Djibouti's TNC, BUR, Green economy strategy, and a national strategy on climate change that draws on a number of priority adaptation and resilience actions identified in both the National Adaptation Plan (NAP) and the National Adaptation Programme of Action (NAPA) reports</p>
10. Iraq	<p>Executing Agency: Office of West Asia (ROWA) in collaboration with the Ministry of Environment (UN Environment – Regional)</p> <p>The Ministry coordinated the preparation of Iraq's INC, and has requested UN Environment's technical support in the execution of its second NC and BUR1. UN Environment will work with representatives of Iraq's government through its post-conflict office in Bahrain (Regional Office for West Asia (ROWA)).</p>
11. Kyrgyzstan	<p>Executing Agency: State Agency for Environment Protection and Forestry of the Kyrgyz Republic</p> <p>The State Agency for Environment Protection and Forestry (SAEPF) will lead this process, in collaboration with other sectoral ministries and bodies, such as the Ministry of Economics, Ministry of Energy and Industry, Ministry of Transport and Communication, Ministry of Agriculture, Ministry of Health will participate in NCs and BUR processes. Other relevant stakeholders, such as the academia, private sector, NGOs and relevant organizations will be included in the process through the participatory approach, as well participate in the training activities</p>

Country	Appointed Executing Agency for NCs and/or BUR
12. Maldives	<p>Executing Agency: Ministry of Environment and Energy through its Climate Change Department</p> <p>The Climate Change department will involve other relevant stakeholders, ensuring that a national representation is met in the reporting process. The department will be responsible for reporting back to UN Environment and GEF the results of the BUR and NC projects.</p>
13. Mauritania	<p>Executing agency: Ministry in Charge of Environment and Sustainable Development (MDEDD)</p> <p>Ministry of Environment and Sustainable Development (MEDD is responsible for implementation of international environment treaties (including UNFCCC) to which Mauritania is a Party. The project will be executed through the Coordination Unit of National Programme for Climate Change – CCPNCC of the Ministry</p>
14. Nauru	<p>Executing Agency: Department of Commerce, Industry and Environment</p> <p>The Nauru Department of Commerce, Industry and Environment has oversight and responsibility over issues concerning the environment, climate change, and commerce.</p>
15. Nepal	<p>Executing agency: Ministry of Population and Environment</p> <p>The project will be under the Climate Change Management Division in the Ministry of Population and Environment. The Division will work in close collaboration with (i) the REDD Implementation Centre under the Ministry of Forest and Soil Conservation which is dedicated to developing necessary prerequisites for the effective implementation of the UNFCCC provisions; and the (ii) The Recovery and Reconstruction Authority, which was established to rebuild infrastructures and settlements devastated by the earthquake of April 2015 and make Nepal greener and more resilient to natural hazards. Several non- governmental and community-based organizations will be engaged in strengthening national and local entities to provide services to the climate vulnerable communities</p>
16. Niger	<p>Executing Agency: National Council for Environment and Sustainable Development (NCESD)</p> <p>The NCESD is charged with a number of other climate change programmes such as: -</p> <ul style="list-style-type: none"> <li>▪ Supporting Integrated Climate Change Strategies</li> <li>▪ Advancing Cross-sectoral Climate Resilient Livelihoods</li> <li>▪ Ecosystem-Based Adaptation</li> <li>▪ Fostering Resilience for Food Security</li> <li>▪ Climate Resilient Integrated Water Resource and Coastal Management</li> <li>▪ Promoting Climate Resilient Infrastructure and Energy</li> </ul>
17. Pakistan	<p>Executing Agency: Office of Asia Pacific (ROAP) in collaboration with the Ministry of Climate Change, Islamabad</p> <p>The Ministry of Climate Change has been vested with the mandate to comprehensively address Disaster Management along with spearheading national climate change initiatives both in adaptation and mitigation. It is the focal point for all international obligations under various Multilateral Environmental Agreements (Conventions, Protocols, Treaties etc.). The Ministry deals with current and emerging International Environmental Funds, (GEF, Green Climate Fund, Adaptation Fund, Climate Investment Fund, REDD+, MLF, ABS, GSF, SWA NPRI etc.) and acts as Focal Point for One UN Joint Programme on Environment.</p>

Country	Appointed Executing Agency for NCs and/or BUR
18. Saudi Arabia	Executing Agency: Ministry of Energy, Industry and Mineral Resources
19. Swaziland	<p>Executing Agency: Ministry of Tourism and Environmental Affairs</p> <p>The department of meteorology, under the Ministry hosts the Climate Change Unit, which coordinates climate change activities in the country. The department coordinates government-led climate change activities in the country including the ongoing development of the TNC and the National Climate Change Policy and Implementation Strategy. The department will provide day to day management of the project and ensure close collaboration of the Project Teams with those of the TNC and National Climate Change Policy and Implementation Strategy to ensure the processes inform each other as well as avoid duplication of efforts.</p>
20. St. Kitts & Nevis	<p>Executing Agency: Ministry of Agriculture, Human Settlement, Cooperatives and Environment</p> <p>Ministry of Agriculture, Human Settlement, Cooperatives and Environment is responsible for implementation of international environment treaties (including UNFCCC) to which St. Kitts and Nevis is a Party. The Ministry is responsible for the overall environmental policy and regulation, formulation, coordination and monitoring of environment policy implementation in the country</p>
21. Tanzania	<p>Executing Agency: Division of Environment - The Vice President's Office</p> <p>The Division of Environment is responsible for the overall environmental policy and regulation, formulation, coordination and monitoring of environment policy implementation in the country. The Environmental Natural Habitats Conservation section coordinates all Global Environment Facility (GEF) supported activities.</p>
22. Turkmenistan	<p>Executing Agency: Ministry of Nature Protection of Turkmenistan</p> <p>The project will be executed by the Ministry of Nature Protection. The same Ministry has coordinated preparation of the first, second and third NCs on behalf of the Government of the Turkmenistan. In order to facilitate project activities co-ordination, provide transparency and guidance, and ensure high-level support and sustainability of project findings, the Project Steering Committee that served during the preparation of the Third National Communication (TNC), will also oversee implementation of the NC4 and BUR1 activities.</p>
23. Uganda	<p>Executing Agency: Ministry of Water and Environment, Climate Change Department</p> <p>The Climate Change Department (CCD), formerly Climate Change Unit (CCU) was created in 2008, directly under the office of the Permanent Secretary within the Ministry of Water and Environment. The CCD is in charge of Coordinating implementation of national climate change actions (Mitigation and Adaptation) in different sectors, including the creation of awareness among various stakeholders to enable them internalize their roles and responsibilities under the Convention and its Kyoto Protocol.</p>

Country	Appointed Executing Agency for NCs and/or BUR
24. Uzbekistan	<p>Executing Agency: The Centre of Hydrometeorological Service at the cabinet of Ministers of the Republic of Uzbekistan (UZHYDROMET)</p> <p>This is the national designated authority for coordinating the climate change activities in Uzbekistan and fulfilling the obligations of Uzbekistan to the UNFCCC. The project will be executed by Uzhydromet in close collaboration with other stakeholders. It will provide overall direction and oversight for implementation of the project. Also responsible for reporting back to UN Environment and GEF the results of the NCs and BUR projects.</p>
25. Zimbabwe	<p>Executing Agency: Climate Change Management Department; Ministry of Environment, Water and Climate</p> <p>The Government of the Republic of Zimbabwe has entrusted the Ministry of Environment, Water and Climate to guide fulfillment of the country's commitments to the UNFCCC. The Ministry, through its National Climate Change Management Division has executed the INC, SNC, TNC and the proposed BUR and INDC projects will be under this department.</p>

**ANNEX I-1: DETAILED PROJECT WORKPLAN SHOWING DELIVERABLES AND BENCHMARKS**

NC AND BUR PROJECT ACTIVITIES	Yr. I (2016)		Yr. II (2017)				Yr. III (2018)				Yr. IV (2019)				Yr. V (2020)			Deliverables	Benchmarks
	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3		
Project Implementation Plans for NC and BUR completed																		<ul style="list-style-type: none"> <li>13 NCs PIPs prepared and approved by UN Environment</li> <li>18 BUR PIPs prepared and approved by UN Environment</li> </ul>	<ul style="list-style-type: none"> <li>EAs receive enhanced support to facilitate preparation of NC/BUR PIPs,</li> </ul>
Organize a NC/BUR inception workshop																		<ul style="list-style-type: none"> <li>25 inception workshop reports</li> <li>List of workshop participants</li> </ul>	Support and guidance provided to country teams in workshop organization
Preparation of NC																		<ul style="list-style-type: none"> <li>13 NCs completed</li> </ul>	Enhance support to facilitate NC and BUR reporting
Preparation of BUR																		<ul style="list-style-type: none"> <li>20 BURs completed</li> </ul>	Financial support and technical guidance on NC/BURs provided to 25 countries
Publication and submission of NCs to UNFCCC																		<ul style="list-style-type: none"> <li>13 NCs submitted to the UNFCCC</li> <li>20 BURs submitted to the UNFCCC</li> </ul>	Participation in national and/or regional workshops on NC/BURs
Publication and submission of BURs to UNFCCC																		<ul style="list-style-type: none"> <li>25 national workshops on identifying gender-equity measures in NC and BUR processes held</li> </ul>	Support in development of ToRs and identification of experts to assist in NC BUR preparation
Stocktaking assessment and institutional arrangements for preparation of subsequent NCs and BURs completed																		<ul style="list-style-type: none"> <li>25 stocktaking assessment reports</li> </ul>	
Monitoring, Evaluation and reporting																		Quarterly financial and technical progress reports submitted to UN Environment	NC/BUR reporting and feedback provided to team
Independent Audit																		Annual financial audits and Final Audit at end of project	



**ANNEX J: FOCAL AREA TRACKING TOOL**

Excel sheet attached separately

## ANNEX K: OFP LETTERS OF ENDORSEMENT

PDF attached separately.

A Record of Endorsement Letters from 25 Parties:

<b>PARTY</b>	<b>NAME</b>	<b>POSITION</b>	<b>MINISTRY</b>	<b>DATE</b>
<b>1. Antigua and Barbuda</b>	H.E. Ms. Diann Black - Layne	Director, Department of Environment	MINISTRY OF HEALTH AND ENVIRONMENT	05/02/2016
<b>2. Bahamas</b>	Mr. Philip S. Weech	GEF Operational focal Point	THE BAHAMAS ENVIRONMENT, SCIENCE AND TECHNOLOGY COMMISSION	12/06/2016
<b>3. Burundi</b>	Ms. Antoinette Macumi	Minister Advisor	MINISTRY OF WATER, ENVIRONMENT, LANDS MANAGEMENT AND URBAN PLANNING	01/11/2016
<b>4. Cameroon</b>	Mr. Nantchou Ngoko Justin	Director	MINISTRY OF ENVIRONMENT, PROTECTION OF NATURE AND SUSTAINABLE DEVELOPMENT	07/09/2016
<b>5. Central African Republic</b>	Mr. Desire Florentin Ngaibona	Administrator Civil	MINISTRY OF ENVIRONMENT, WATER, FOREST AND SUSTAINABLE DEVELOPMENT	10/26/2016
<b>6. Chad</b>	Mr. Hakim Djibril	Director for Forest and Fight Against Desertification	MINISTRY OF ENVIRONMENT AND FISHERIES	01/12/2016
<b>7. Congo</b>	Mr. Benjamin Dzaba - Bounou	Director General of Environment	MINISTRY OF TOURISM AND ENVIRONMENT	01/11/2016
<b>8. Democratic Republic of Congo</b>	Mr. Vincent Kasulu Seya Makonga	Director, Sustainable Development	MINISTRY OF ENVIRONMENT, NATURE CONSERVATION, WATER AND FORESTS	12/31/2015
<b>9. Djibouti</b>	Mr. Dini Abdallah Omar	Secretary General	MINISTRY OF HABITAT AND ENVIRONMENT	12/17/2015
<b>10. Iraq</b>	Dr. Jasim Abdulazeez Humadi	Technical Deputy	MINISTRY OF ENVIRONMENT	01/14/2016
<b>11. Kingdom of Saudi Arabia</b>	Mr. Khalid M. Abuleif	UNFCCC National Focal Point, Chief Negotiator for Climate Agreements	MINISTRY OF ENERGY, INDUSTRY AND MINERAL RESOURCES	01/23/2017

<b>PARTY</b>	<b>NAME</b>	<b>POSITION</b>	<b>MINISTRY</b>	<b>DATE</b>
<b>12. Kyrgyzstan</b>	Mr. Sabir Atadjanov	Director	STATE AGENCY ON ENVIRONMENT PROTECTION AND FORESTRY	02/03/2016
<b>13. Maldives</b>	Ms. Miruza Mohamed	Director	MINISTRY OF ENVIRONMENT AND ENERGY	12/24/2015
<b>14. Mauritania</b>	Dr. Mohamed - Yahya Lafdal Chah	GEF Operational Focal Point	MINISTRY OF ENVIRONMENT AND SUSTAINABLE DEVELOPMENT	12/18/2015
<b>15. Nauru</b>	Mr. Sasikumar Paravan	A/Secretary for Commerce, Industry and Environment	DEPARTMENT OF COMMERCE, INDUSTRY AND ENVIRONMENT	03/09/2016
<b>16. Nepal</b>	Mr. Madhu Kumar Marasini	GEF Operational Focal Point	MINISTRY OF FINANCE	01/04/2016
<b>17. Niger</b>	Mr. Seydou Yaye	Director General for Planning and Prospective	MINISTRY OF PLANNING	11/01/2016
<b>18. Pakistan</b>	Mr. Syed Abu Ahmad Akif	Federal Secretary	MINISTRY OF CLIMATE CHANGE	10/21/2016
<b>19. Swaziland</b>	Mr. Stephen Zuke	Executive Director Swaziland Environment Authority	MINISTRY OF TOURISM AND ENVIRONMENTAL AFFAIRS	12/21/2015
<b>20. St. Kitts &amp; Nevis</b>	Lavern Queen	Director, Economics Affairs and PSIP/GEF Operational Focal Point	MINISTRY OF SUSTAINABLE DEVELOPMENT	03/02/2017
<b>21. Tanzania</b>	Mr. Richard S. Muyungu	AG. Director of Environment	VICE PRESIDENT'S OFFICE	10/19/2016
<b>22. Turkmenistan</b>	Mr. Batyr Ballyyev	Head of Environment Protection Department	MINISTRY OF NATURE PROTECTION OF TURKMENISTAN	01/07/2016
<b>23. Uganda</b>	Patrick Ocailap	Deputy Secretary to the Treasury	MINISTRY OF FINANCE, PLANNING AND ECONOMIC DEVELOPMENT	12/07/2016
<b>24. Uzbekistan</b>	Prof. Mr. Sergey Myagkov	Deputy Director, Hydro meteorological	HYDRO METEOROLOGICAL RESEARCH INSTITUTE OF UZHYDROMET	01/05/2016
<b>25. Zimbabwe</b>	Mr. Irvin D.	Director,	MINISTRY OF	12/21/2015

<b>PARTY</b>	<b>NAME</b>	<b>POSITION</b>	<b>MINISTRY</b>	<b>DATE</b>
	KUNENE	Environment and Natural Resources	ENVIRONMENT, WATER AND CLIMATE	

# ANNEX L: UN ENVIRONMENT CO-FINANCING LETTER

Attached separately in pdf format



## UNITED NATIONS ENVIRONMENT PROGRAMME

Programme des Nations Unies pour l'environnement    Programa de las Naciones Unidas para el Medio Ambiente  
Програма Опколишна Опастаността Иницијатива на организацијата    برنامج الأمم المتحدة للبيئة

联合国环境规划署



Date: 07 December 2016

**Subject:** UN Environment Co-finance for the project *Umbrella Programme for Preparation of National Communications and Biennial Update Reports to the United National Framework Convention on Climate Change (UNFCCC)*

  
Dear Ms. Van Dyke,

I have the pleasure to confirm the support of the UN Environment to the project "Umbrella Programme for Preparation of National Communications and Biennial Update Reports to the United National Framework Convention on Climate Change (UNFCCC)".

The UN Environment affirms its desire to support the implementation of this project through an in-kind contribution of USD 20,000 over the 36 months of the Project commencing April 2017. UN Environment's contribution will comprise travel, staff and personnel time of the Chief of the Branch, as well as support from UNEP's regional offices in West Asia, Africa and Asia.

The UN Environment welcomes this important initiative and is pleased to be part of it.

Yours Sincerely,  


Mark Radka  
Chief, Energy, Climate, and Technology Branch

Ms. Brennan Van Dyke  
Chief, Strategic Donor Partnerships and Global Funds Coordination  
United Nations Environment  
Nairobi  
Kenya

---

ECONOMY DIVISION  
PO Box 30562, Nairobi, Kenya  
Paris office: 1 rue Miollis, Building VII, 75015 Paris, France • Tel: +33 (0)1 44 37 14 50 • Fax: +33 (0)1 44 37 14 74  
E-mail: [unep.dbo@unep.org](mailto:unep.dbo@unep.org) • Website: [www.unep.org/dbo](http://www.unep.org/dbo)

## ANNEX M: ENVIRONMENTAL AND SOCIAL SAFEGUARDS CHECKLIST

As part of the GEFs evolving Fiduciary Standards that Implementing Agencies have to address ‘Environmental and Social Safeguards’. To fill this checklist:

- STEP 1: Initially assess E&S Safeguards as part of PIF development. The checklist is to be submitted for the CRC.
- STEP 2: Check list is reviewed during PPG project preparation phase and updated as required
- STEP 3: Final check list submitted for PRC showing what activities are being undertaken to address issues identified

### UN Environment/GEF Environmental and Social Safeguards Checklist

<b>Project Title:</b>	<b><i>Umbrella Programme for Preparation of National Communication (NC) and Biennial Update Report (BUR) to the United National Framework Convention on Climate Change (UNFCCC)</i></b>		
<b>GEF project ID and UN Environment ID/IMIS Number</b>	<i>GEF ID: 9442 UN Environment ID:</i>	<b>Version of checklist</b>	<b>REQUEST FOR CEO ENDORSEMENT</b>
<b>Project status (preparation, implementation, MTE/MTR, TE)</b>	<i>CEO ENDORSEMENT REQUEST</i>	<b>Date of this version:</b>	<i>April, 2017</i>
<b>Checklist prepared by (Name, Title, and Institution)</b>	<i>Geordie Colville, Senior Programme Officer UN Environment/Economy Division GEF CCM Unit</i>		

*In completing the checklist both short- and long-term impact shall be considered.*

### Section A: Project location

If negative impact is identified or anticipated the Comment/Explanation field needs to include: Project stage for addressing the issue; Responsibility for addressing the issue; Budget implications, and other comments.

	<i>Yes/No/N.A.</i>	<i>Comment/explanation</i>
- Is the project area in or close to -		
- densely populated area	N/A	
- cultural heritage site	N/A	
- protected area	N/A	
- wetland	N/A	
- mangrove	N/A	
- estuarine	N/A	
- buffer zone of protected area	N/A	
- special area for protection of biodiversity	N/A	
- Will project require temporary or permanent support facilities?	Yes	The project involves some level of field data collection across the country.

*If the project is anticipated to impact any of the above areas an Environmental Survey will be needed to determine if the project is in conflict with the protection of the area or if it will cause significant disturbance to the area.*

**Section B : Environmental impacts**

If negative impact is identified or anticipated the Comment/Explanation field needs to include: Project stage for addressing the issue; Responsibility for addressing the issue; Budget implications, and other comments.

	<i>Yes/No/ N.A.</i>	<i>Comment/explanation</i>
- Are ecosystems related to project fragile or degraded?	N/A	
- Will project cause any loss of precious ecology, ecological, and economic functions due to construction of infrastructure?	N/A	
- Will project cause impairment of ecological opportunities?	N/A	
- Will project cause increase in peak and flood flows? (including from temporary or permanent waste waters)	N/A	
- Will project cause air, soil or water pollution?	N/A	
- Will project cause soil erosion and siltation?	N/A	
- Will project cause increased waste production?	N/A	
- Will project cause Hazardous Waste production?	N/A	
- Will project cause threat to local ecosystems due to invasive species?	N/A	
- Will project cause Greenhouse Gas Emissions?	N/A	
- Other environmental issues, e.g. noise and traffic	N/A	
<i>Only if it can be carefully justified that any negative impact from the project can be avoided or mitigated satisfactorily both in the short and long-term, can the project go ahead.</i>		

**Section C: Social impacts**

If negative impact is identified or anticipated the Comment/Explanation field needs to include: Project stage for addressing the issue; Responsibility for addressing the issue; Budget implications, and other comments.

	<i>Yes/No/N.A.</i>	<i>Comment/explanation</i>
- Does the project respect internationally proclaimed human rights including dignity, cultural property and uniqueness and rights of indigenous people?	Yes	The project does respect the human rights including dignity, cultural property and uniqueness and rights of indigenous people in the 25 participating countries
- Are property rights on resources such as land tenure recognized by the existing laws in affected countries?	N/A	

	<i>Yes/No/N.A.</i>	<i>Comment/explanation</i>
- Will the project cause social problems and conflicts related to land tenure and access to resources?	No	
- Does the project incorporate measures to allow affected stakeholders' information and consultation?	Yes	The project incorporates activities for information dissemination such as workshops and meetings where stakeholders will participate. This does not represent a risk for the project.
- Will the project affect the state of the targeted country's (-ies') institutional context?	No	
- Will the project cause change to beneficial uses of land or resources? (incl. loss of downstream beneficial uses (water supply or fisheries)?	No	
- Will the project cause technology or land use modification that may change present social and economic activities?	No	
- Will the project cause dislocation or involuntary resettlement of people?	No	
- Will the project cause uncontrolled in-migration (short- and long-term) with opening of roads to areas and possible overloading of social infrastructure?	No	
- Will the project cause increased local or regional unemployment?	No	
- Does the project include measures to avoid forced or child labour?	N/A	
- Does the project include measures to ensure a safe and healthy working environment for workers employed as part of the project?	N/A	
- Will the project cause impairment of recreational opportunities?	No	
- Will the project cause impairment of indigenous people's livelihoods or belief systems?	No	
- Will the project cause disproportionate impact to women or other disadvantaged or vulnerable groups?	No	
- Will the project involve and or be complicit in the alteration, damage or removal of any critical cultural heritage?	No	
- Does the project include measures to avoid corruption?	Yes	The 25 participating countries will elaborate stringent financial management guidelines and Protocols in the project

	<i>Yes/No/N.A.</i>	<i>Comment/explanation</i>
<i>Only if it can be carefully justified that any negative impact from the project can be avoided or mitigated satisfactorily both in the short and long-term, can the project go ahead.</i>		

**Section D: Other considerations**

If negative impact is identified or anticipated the Comment/Explanation field needs to include: Project stage for addressing the issue; Responsibility for addressing the issue; Budget implications, and other comments.

	<i>Yes/No/N.A.</i>	<i>Comment/explanation</i>
- Does national regulation in affected country (-ies) require EIA and/or ESIA for this type of activity?	No	
- Is there national capacity to ensure a sound implementation of EIA and/or SIA requirements present in affected country (-ies)?	N/A	
- Is the project addressing issues, which are already addressed by other alternative approaches and projects?	No	
- Will the project components generate or contribute to cumulative or long-term environmental or social impacts?	No	
- Is it possible to isolate the impact from this project to monitor E&S impact?	N/A	

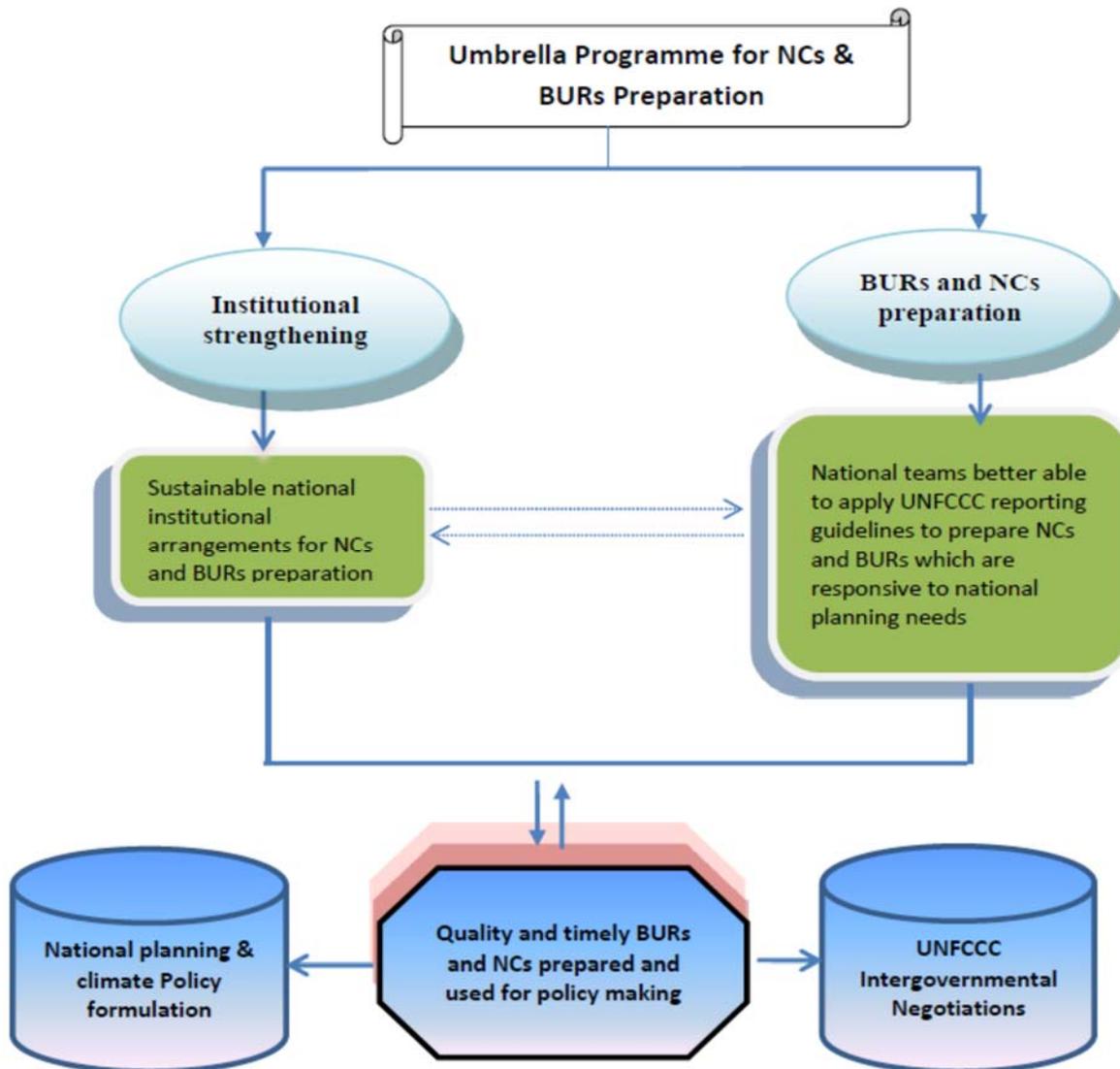
## ANNEX N: ACRONYMS AND ABBREVIATIONS

AR5	Fifth Assessment Report
BUR	Biennial Update Report
CCM	Climate Change Mitigation
CGE	The Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention
CoP	Conference of Parties
EAs	Executing Agencies
EFs	Emission Factors
EOU	UN Environment Evaluation Office
FMO	Funds Management Officer
GCF	Green Climate Fund
GEF	Global Environment Facility
GHGs	Greenhouse Gases
GPG	Good Practice Guidance
GSP	Global Support Programme
IA	Implementing Agency
ICA	International Consultation and Analysis
INC	Initial National Communication
INDC	Intended Nationally Determined Contributions
IPCC	Intergovernmental Panel on Climate Change
LDCs	Least Developed Countries
LECB	Low Emission Capacity Building
LEDs	Low Emission Development Strategies
LULUCF	Land Use, Land-Use Change and Forestry
M&E	Monitoring and Evaluation
MEAs	Multilateral Environmental Agreements
MRV	Measurement, Reporting and Verification
MTR	Mid-Term Review
NAMAs	Nationally Appropriate Mitigation Actions
NAPAs	National adaptation programmes of Action
NCs	National Communications
NCSAs	National Capacity Self-Assessments
NGO	Non-Governmental Organization
NIPs	National Implementation Plans
NPAC	National Project Advisory Committee
PC	Programme Coordinator
PEI	Poverty-Environment Initiative
PIF	Project Identification Form
PIP	Project Implementation Plan
PIR	Project Implementation Review
PMC	Project Management Cost
PMU	Project Management Unit
PoW	Programme of Work
PRSPs	Poverty Reduction Strategy Papers
SIDS	Small Island Developing States
SNC	Second National Communication
TA	Technical Assistance
TE	Terminal Evaluation
TEG	Technical Expert Groups
TM	Task Manager

TNAs	Technology Needs Assessments
TNC	Third National Communication
ToR	Terms of Reference
TWG	Thematic Work Groups
UN-REDD	UN Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries
UNCTs	United Nations Country Teams
UNDAF	UN Development Assistance Framework
UNDP	United Nations Development Programme
UN Environment	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change

## ANNEX O : THEORY OF CHANGE

Considering that 25 participating countries have at least completed and submitted their INC and SNC, it is assumed that there is an existing database/network of national experts and institutions involved in the preparation of previous NC and BUR and that the project will focus on strengthening these institutions and building the capacities of these national experts, in addition to new members. 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.



**FIGURE 3: SCHEMATIC REPRESENTATION OF THE THEORY OF CHANGE FOR NCS AND BURS**

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