



# GEF-6 REQUEST FOR PROJECT ENDORSEMENT/APPROVAL

PROJECT TYPE: MEDIUM-SIZED PROJECT

TYPE OF TRUST FUND: CAPACITY BUILDING INITIATIVE FOR TRANSPARENCY

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## PART I: PROJECT INFORMATION

Project Title: Capacity building initiative for transparency (CBIT) Global Coordination Platform			
Country(ies):	Global	GEF Project ID: <sup>1</sup>	9675
GEF Agency(ies):	UN Environment, UNDP	GEF Agency Project ID:	01512 (UN Environment)/6041 (UNDP)
Other Executing Partner(s):	UNEP DTU Partnership	Submission Date:	July 25, 2017
GEF Focal Area (s):	Climate Change	Project Duration (Months)	18
Integrated Approach Pilot	IAP-Cities <input type="checkbox"/> IAP-Commodities <input type="checkbox"/> IAP-Food Security <input type="checkbox"/>	Corporate Program: SGP <input type="checkbox"/>	
Name of Parent Program	[if applicable]	Agency Fee (\$)	95,000

### 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
CBIT	CBIT	CBIT	1,000,000	400,000
<b>Total project costs</b>			<b>1,000,000</b>	<b>400,000</b>

### B. PROJECT DESCRIPTION SUMMARY

Project Objective: To establish a global CBIT coordination platform to support the implementation of the Paris Agreement						
Project Components/Programs	Financing Type <sup>3</sup>	Project Outcomes	Project Outputs	Trust Fund	(in \$)	
					GEF Project Financing	Confirmed Co-financing
CBIT platform for coordination, learning opportunities and knowledge sharing	TA	1. Enhanced coordination and best practice sharing for transparency practitioners through the establishment of a web-based coordination platform ( <i>Lead UN Environment</i> )	1.1 A web-based coordination platform on transparency designed and operational  1.2 Self-assessment tool for countries to assess the state of their national transparency systems developed and deployed  1.3 Platform interface for self-progress reporting by national CBIT projects and other	CBIT	465,000	400,000

<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.

			transparency initiatives designed  1.4 Coordination platform populated with data and information on CBIT national projects, other transparency initiatives, and country efforts (collected from 1.2 and 1.3)  1.5 Available transparency-related emerging practices, methodologies, and guidance collected and made available through the coordination platform in 1.1			
Coordination and exchange events	TA	2. Information sharing enhanced through regional and global meetings <i>(Lead UNDP)</i>	2.1 Coordination platform launched in kick-off event  2.2 Three regional workshops on transparency organized and executed	CBIT	350,000	
CBIT Needs and Gaps	TA	3. Needs & gaps identified for enhancing transparency systems and CBIT coordination <i>(Lead UNDP)</i>	3.1 Baseline assessment of the global needs/gaps to comply with enhanced Convention transparency framework  3.2 Roadmap for Phase 2 to expand the CBIT coordination platform as per the scope of paragraph 21 of the CBIT programming paper, including: institutional arrangements, best practices and community of practice, global and regional capacity building programmes, implementation tracking tool, coordination with other platforms, etc.	CBIT	85,000	
Subtotal					900,000	400,000
Project Management Cost (PMC) <sup>4</sup> <i>(including UNDP Direct Project Service Cost: \$12,000)</i>				CBIT	100,000	0
<b>Total project costs</b>					<b>1,000,000</b>	<b>400,000</b>

<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.

### 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 Cofinancing	Amount (\$)
Others	Initiative for Climate Action Transparency	In-kind	400,000
<b>Total Co-financing</b>			400,000

### 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>(*)</sup> (b)	Total (c)=(a)+(b)
UN Environment	CBIT	Global	Climate Change	(select as applicable)	515,000 <sup>5</sup>	47,500	562,500
UNDP	CBIT	Global	Climate Change	(select as applicable)	485,000	47,500	532,500
<b>Total Grant Resources</b>					1,000,000	95,000	1,095,000

(\*) Refer to the Fee Policy for GEF Partner Agencies

### E. PROJECT'S TARGET CONTRIBUTIONS TO GLOBAL ENVIRONMENTAL BENEFITS<sup>6</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 transboundary water systems and implementation of the full range of policy, legal, and institutional reforms and investments contributing to sustainable use and maintenance of ecosystem services	Water-food-ecosystems security and conjunctive management of surface and groundwater in at least 10 freshwater basins;	<i>Number of freshwater basins</i>
	20% of globally over-exploited fisheries (by volume) moved to more sustainable levels	<i>Percent of fisheries, by volume</i>
4. Support to transformational shifts towards a low-emission and resilient development path	750 million tons of CO <sub>2e</sub> mitigated (include both Direct and Consequential)	metric tons
5. Increase in phase-out, disposal and reduction of releases of POPs, ODS,	Disposal of 80,000 tons of POPs (PCB, obsolete pesticides)	<i>metric tons</i>

<sup>5</sup> This has been agreed by both agencies, since UN Environment will lead on the Terminal Evaluation, agency fees remain the same that at the PIF stage and as presented in this document.

<sup>6</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.

mercury and other chemicals of global concern	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:</i>
	Functional environmental information systems are established to support decision-making in at least 10 countries	<i>Number of Countries:</i>

## F. DOES THE PROJECT INCLUDE A “NON-GRANT” INSTRUMENT?

(Select)

(If non-grant instruments are used, provide an indicative calendar of expected reflows to your Agency and to the GEF/LDCF/SCCF/CBIT Trust Fund) in Annex D.

N/A

## PART II: PROJECT JUSTIFICATION

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

No significant changes in the project design have been made as compared to the original PIF.

Some modifications were done to the structure of the logical framework without modifying the main results of the project. The order of the two components lead by UNDP have been inversed just to follow a logical order. In addition, Component 3 was focused on an output that was considered to be a module of the platform so it was included as output 1.5 “Available transparency-related emerging practices, methodologies, and guidance collected and made available through the coordination platform in 1.1”, under Outcome 1 that was slightly modified to reflect this inclusion “1. Enhanced coordination and best practice sharing for transparency practitioners through the establishment of a web-based coordination platform”. The related modifications are shown in table 1.

**TABLE 1: CHANGES IN PROJECT FRAMEWORK**

	Approved PIF framework	Project framework	Explanation of changes
<b>Component</b>	CBIT platform for coordination, learning opportunities and knowledge sharing		
<b>Outcome</b>	1. Enhanced coordination for transparency practitioners and donors through the establishment of a web-based coordination platform ( <i>Lead UN Environment</i> )	1. Enhanced coordination <u>and best practice sharing for transparency practitioners through the establishment</u> of a web-based coordination platform ( <i>Lead UN Environment</i> )	<i>This change reflects the inclusion of the “best practices” module included as Output 1.5, that was as a separated Component at the PIF stage.</i>

Component	Approved PIF framework	Project framework	Explanation of changes
Outputs	1.4 Coordination platform populated with data and information on donor and other transparency initiatives, CBIT national projects and country efforts (collected from 1.2 and 1.3)	1.4 Coordination platform populated with data and information on CBIT national projects, other transparency initiatives, and country efforts (collected from 1.2 and 1.3)	
	3.1 Available transparency-related emerging practices, methodologies, and guidance collected and made available through the coordination platform in 1.1	1.5 Available transparency-related emerging practices, methodologies, and guidance collected and made available through the coordination platform in 1.1	<i>This Output was moved from Component 3 in the PIF to Component 1.</i>
Component	Emerging practices and methodologies	-	<i>As a result of the change explained above, this component was deleted, as well as its only Outcome.</i>
Outcome	3. CBIT practitioners have access to emerging practices, methodologies and guidance, and guidance and methodology gaps are identified	-	

In addition, after further discussions during the preparation phase, the cofinancing provided by the Initiative for Climate Action Transparency will come as in-kind type, the amount remains the same USD 400,000 agreed at the PIF stage.

#### *A.1. Project Description*

*Elaborate on:*

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

The global community has recognized the urgency in facing climate change evidenced by the Parties' aspiration to "holding the increase in the global average temperature to well below 2 degrees Celsius above pre-industrial levels and pursuing significant efforts to limit the temperature increase to 1.5 degrees Celsius above pre-industrial levels, recognizing that this would significantly reduce the risks of impacts" as stated in Article 2 of the Paris Agreement. The Agreement entered into force on November 4th, 2016 and it is essential for countries to establish solid measurement, reporting, and verification (MRV) systems to assess the impact of climate change actions and policies and to track the implementation of the Agreement.

In preparation of the Conference of the Parties in Paris, 119 Intended Nationally Determined Contributions were submitted by October 2015, covering 147 Parties to the Convention. All Parties included information on their mitigation contributions. A total of 100 Parties, accounting for 84 per cent of the INDCs, also included an adaptation component, according to the UNFCCC INDC synthesis report. This report also highlights the importance of enhanced international support in the context of the new global agreement.

The Nationally Determined Contribution (NDC) of a country sets out its efforts to combat climate change, including its mitigation goal, corresponding to its national contribution to global mitigation efforts as well as adaptation goals and means of implementation. At the national level, NDCs will be implemented through individual policies and measures, which countries are now in

the process of designing. All these policies, actions and measures will undergo a MRV process, nationally and internationally. The information collected from the individual policies, actions and measures can be used nationally to monitor the level of achievement of the mitigation and adaptation goals stated in the NDC and thus contribute to the reporting of progress in implementing NDCs to United Nations Framework Convention on Climate Change (UNFCCC). In addition, the information collected at the country level and reported internationally will allow for the achievement of the long-term mitigation goal of the Paris Agreement, namely 'reaching global peaking of greenhouse gas emissions as soon as possible', to be tracked. In this context, the design and implementation of MRV systems at the national and international levels become an important tool to track individual countries' implementation of their NDCs.

The upcoming transparency framework under the Paris Agreement is expected to be more comprehensive and detailed than the existing UNFCCC modalities including National Communications and Biennial Update Reports. Some countries are more advanced than others in terms of NDCs implementation readiness and MRV structures and some have taken specific steps to start pre-2020 activities focusing on the importance of understanding the national requirements to report on progress.

Article 13 of the Paris Agreement provides the framework for transparency internationally and it contains guidelines of what is required by the Parties to the Conventions but it is yet to be defined *how* this will be operationalized. This flexibility is currently needed to accommodate countries' difference circumstances and levels of capacity. The pre-2020 period is a learning period but at the same it is also expected that countries begin complying with Article 13 from 2020 and onwards. Before tracking NDC progress and taking stock of the Paris Agreement trajectory advancements, it is therefore necessary to get an overview of where we are in terms of establishing a transparency system that all countries have the capacity to report on.

In absence of systematic global coordination and efficient knowledge management, the climate change community risks duplication and unharnessed synergy potentials in the development of necessary capacities. A variety of organizations are already involved in supporting transparency initiatives globally and many more are expected to follow now the Paris Agreement has been ratified. However, limited coordination and knowledge management will result in a lack of understanding of the availability of methodologies and their application in the countries. The framework dictates that developed country Parties shall, and other Parties that provide support should, provide information on financial, technology transfer, and capacity-building support provided to developing country Parties under Articles 9, 10, and 11 of the Agreement, and developing country Parties should provide information on financial, technology transfer, and capacity-building support needed and received under these Articles.

Past transparency efforts have developed valuable capacities within Parties with regard to the reporting of national Greenhouse Gases (GHG) emissions through the elaboration of national GHG inventories and sectorial or project MRV systems for Nationally Appropriate Mitigation Actions (NAMAs). Under the Global Support Programme for National Communications and the Biennial Update Reports implemented by United Nations Environment Programme (UN Environment) and United Nations Development Programme (UNDP), Parties are being supported to develop capacities for the reporting in GHG inventories and mitigation and adaptation plans and actions.

In addition, the National Adaptation Plan Global Support Program (NAP-GSP), jointly coordinated by UN Environment and UNDP aims to build capacities of developing countries to advance their National Adaptation Plans (NAPs). The NAPs process, established in 2010, prepares countries for reducing vulnerability to climate change, and to mainstream climate change adaptation in all levels of planning in the medium term. The process is intended to be continuous, progressive and iterative. The NAP-GSP is especially focused on including medium and long-term climate change adaptation planning as well as budgeting.

Other initiatives have also helped countries develop bottom-up MRV systems for NAMAs through e.g. the UNDP Low-Emission Capacity Building Programme and bi- and multilateral efforts and UN Environment's Facilitating Implementation and Readiness for Mitigation (FIRM). Although, these initiatives have provided countries with capacity enhancement for institutional arrangements and expertise to provide relevant information, few countries possess the capacity and required institutional set-up to track the progress of NDC implementation. While these initiatives have enhanced bottom-up capacities, these have been limited in terms of scope, countries covered and the number of stakeholders that have benefited from them.

Prior transparency-related efforts have been focused predominantly on GHG inventories and NAMA-related MRVs, but not much in streamlining processes and institutionalizing practices. Therefore, Parties will face significant barriers to ensure transparency that will need to be overcome through coordinated efforts and with international support. Various new initiatives that are more holistic in nature have therefore been established since the Paris climate negotiations to build national capacity to meet new requirements and funds have already been mobilized for the Capacity Building Initiative for Transparency (CBIT), established under the Paris Agreement, through the Global Environment Facility (GEF) and to the Initiative for Climate Action Transparency (ICAT), which will provide policymakers around the world with tools and capacity building support to measure and assess the effects of their climate actions.

The primary problem this project will address is hence the lack of a global coordination platform for information sharing and knowledge management on the enhanced transparency framework, as defined by the article 13 of the Paris Agreement. Many developing countries are facing similar challenges and currently there does not exist a platform or forum that can facilitate a discussion on lessons learned and best practices. The establishment of an online platform will together with global workshops ensure an efficient coordination of support initiatives both globally and domestically, allowing developing countries to share best practices and explore synergies to facilitate the development of capacities and transparency systems to track the implementation of their NDCs.

Many countries also find it challenging to understand what can be done now to prepare for the Paris Agreement implementation and how to link the CBIT support to article 13 requirements. The coordination and information sharing platform will therefore be accompanied by publications, workshops, webinars and discussion fora aimed at supporting countries' understanding of article 13 requirements.

## 2) *Baseline scenario or any associated baseline projects*

Paragraph 84 of the Conference of the Parties (COP) decision adopting the Paris Agreement decided to establish “a Capacity-building Initiative for Transparency in order to build institutional and technical capacity, both pre- and post-2020” that “will support developing

country Parties, upon request, in meeting enhanced transparency requirements as defined in Article 13 of the Agreement in a timely manner. The Capacity-building Initiative for Transparency, as per paragraph 85 of the COP decision adopting the Paris Agreement, will aim:

- (a) To strengthen national institutions for transparency-related activities in line with national priorities;
- (b) To provide relevant tools, training and assistance for meeting the provisions stipulated in Article 13 of the Agreement;
- (c) To assist in the improvement of transparency over time.

The aim of the CBIT initiative is hence to support countries to strengthen national institutions and build capacity to understand and meet the article 13 requirements. The CBIT support will mainly focus on national projects and the traditional GEF procedures for accessing funds also apply for CBIT. This global initiative is therefore complimentary to all the national CBIT projects that are expected to become operational over the coming years. To date there are 10 national projects with the status of concept approved with an expectation of many more to come in GEF 6 and GEF 7.

A key condition for successful implementation of the Paris Agreement's transparency requirements is the provision requiring adequate and sustainable financial support and capacity building. This will enable developing countries to significantly strengthen or scale up their efforts to build robust domestic and international measurement, tracking, reporting and verification systems, as well as more robust domestic and regulatory processes.

The existing UNFCCC accounting system is separated between developed and developing economies. Under the Convention, GHG inventories are required each year for industrialised countries, while these are included in national communications submitted every four years for developing nations. The Paris Agreement establishes an "enhanced transparency framework for action and support," with built-in flexibility to take into account national capacities. Under this framework each party must submit a national greenhouse gas inventory report, and information necessary to track progress made in implementing and achieving its nationally determined contribution under Article 4. The Paris Agreement also states that countries should provide information on climate change impacts and adaptation under Article 7 of the Agreement.

On market-based mechanisms, the Subsidiary Body for Scientific and Technologic Advice (SBSTA) will develop and recommend guidance on how to apply "robust accounting" for cooperative approaches, for adoption at the first session of governing body of the Paris Agreement, known as the CMA. How to determine if a country's accounting is consistent is not clarified in the Paris agreement, though it will likely be reviewed as part of the new transparency system.

The Clean Development Mechanism (CDM), for instance, provides a comprehensive package of tools to measure the impact of mitigation projects. The CDM was developed under the Kyoto Protocol to credit and thus incentivize emission reduction projects in developing countries. The CDM transparency infrastructure can potentially be part of the solution when monitoring, reporting and verifying climate action under the Paris Agreement.

Although, these capacities have provided countries with enhanced institutional arrangements and expertise to provide top-down information, this is insufficient to track the progress of NDC implementation through climate change policies and actions. While these initiatives have



enhanced bottom-up capacities, they have been limited in terms of scope, countries covered and the number of stakeholders that have benefited from them. Coordination efforts would need to be improved to ensure that support from different initiatives are complementary and avoid duplication. This coordination would also enhance capacity creation and the global understanding of gaps and needs as well as the progress to comply with the enhanced transparency framework.

The latter also holds true for methodologies that could be readily applied by Parties. A multiplicity of organizations has been or is developing methodologies related to transparency; however, with limited coordination, this may result in a lack of understanding of the availability of methodologies and their application in the countries.

*3) Proposed alternative scenario, GEF focal area strategies, with a description of the objective, components, expected outcomes, outputs and activities of the project*

This proposal targets the CBIT Programming directions paragraphs 20 and 21. The CBIT program envisages to establish a Global Coordination Platform (GCP) that will engage countries, the GEF Partner Agencies, and other relevant entities and institutions with related program activities to enhance partnership of national, multilateral, and bilaterally-supported capacity-building initiatives (paragraph 20).

The additional elements that the project will address include undertaking assessments of capacity needs and achievements, organizing global and regional capacity building workshops, and maximizing learning opportunities and knowledge sharing to facilitate transparency enhancements (paragraph 21). The need for close linkage with the UNFCCC work streams and IPCC is also necessary at the global level. Therefore, the project will retain enough flexibility to integrate evolving guidance on the Modalities, Procedures, and Guidelines for the implementation of the Paris Agreement.

The aims of the CBIT as stated in the COP decision were introduced as follows: *a. To strengthen national institutions for transparency-related activities in line with national priorities; b. To provide relevant tools, training and assistance for meeting the provisions stipulated in Article 13 of the Agreement; and c. To assist in the improvement of transparency over time.* The GCP will facilitate a more efficient operationalisation of the above mentioned areas of work and increase the impact of the existing and emerging transparency initiatives. To reach that target, will the GCP keep track of national CBIT projects, and other national transparency projects and initiatives, address the lack of national transparency capacities and limited coordination efforts through three pillars: (I) the centralization of an easy-access to information platform through a web-based transparency coordination platform; (II) coordination through the platform and related events, (III) the identification of gaps and needs for enhanced transparency systems. By doing so, best practices and synergies will be identified benefitting the transparency activities globally.

The objective of this project is therefore to establish and manage a CBIT Global Coordination Platform for sharing and obtaining information, disseminate knowledge about the Paris Agreement transparency framework for more efficient CBIT country support, easy and free access to knowledge and ultimately strengthen national transparency systems responding to article 13 of the Paris Agreement. The operationalization of the GCP will be accompanied by regional workshops for knowledge sharing and needs and gaps assessments to inform a more coordinated and efficient capacity building effort.

## **Project Outcomes and Expected results**

### **Project Outcome 1 (lead UN Environment)**

*Enhanced coordination and best practice sharing for transparency practitioners through the establishment of a web-based coordination platform*

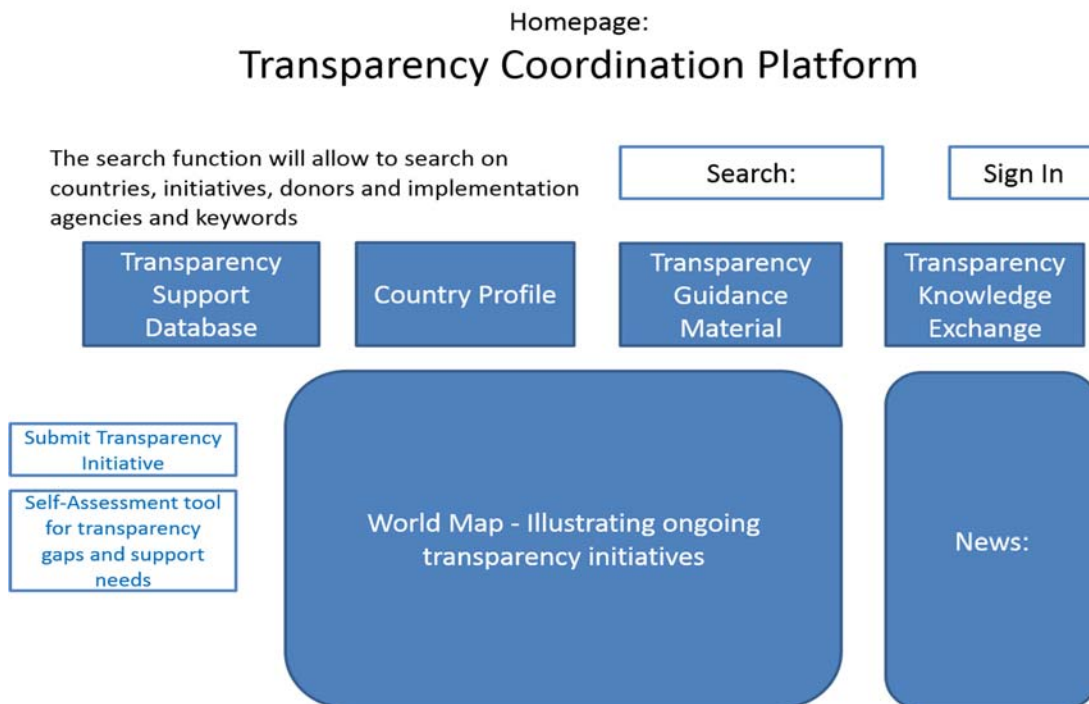
#### **Output 1.1 A web-based coordination platform on transparency designed and operational**

The CBIT proposal will finance the design of a web-based coordination platform that centralizes all relevant information on transparency, becoming a user-friendly, one-stop shop for practitioners on enhanced knowledge-sharing in transparency issues. Moreover, the platform will provide information on CBIT support efforts and country needs, increase coordination and reduce transaction costs of transparency activities by identifying countries' needs and priorities on transparency. The coordination platform will be managed in close coordination with the GEF secretariat. The platform will have a user interface that will allow CBIT national projects to provide and update their progress and other information. This interface will also allow other certified users to input and update their information related to transparency activities. The platform will start-off with four modules providing information on ongoing and upcoming (I) in-country, regional and global transparency initiatives through a project database; (II) country profiles with information on status, needs and CBIT national projects; (III) practices, methodologies, and guidance, including Consultative Group of Experts (CGE) guidance materials; and (IV), information exchange including south-south exchange and lessons learned through topic-specific and expert moderated online discussions. In subsequent phases, these modules can be expanded, institutionalizing the platform as the go-to destination for transparency practitioners as an all-encompassing information source.

To develop this alternative scenario, GEF-CBIT will finance the establishment of the web-based platform with its four described modules. This involves the platform's design, platform, a strategy for continuous updating, ensuring the continuous value to practitioners, and a tool that generates a regular "transparency snapshot". A close partnership with UNFCCC and in particular CGE and Global Support Programme for National Communications and Biennial Update Reports (GSP), will guide the structure of the knowledge sharing facilities and training/capacity-building packages available in the knowledge repository. Building on existing initiatives is key to allow for sustainable and long-term impact. In addition, training materials need to be revised regularly to reflect the most recent science and any developments in the reporting of developing country Parties under the Convention. It will also be presented in a way so developing countries perceive this as not only a reporting process but more of a strategic and policy support tool to meet their needs for national planning and decision-making.

The design and programming of the website will focus on user-friendliness and high quality and innovative ways to present transparency information and facilitate knowledge sharing among countries.

Figure 1 below is a simplified illustration of the main components described above:



**Figure 1: Illustration of the Components of the Content of the online platform**

The web-based coordination platform will allow countries to not only focus on national stand-alone transparency projects but to be part of a more integrated and supportive network of practitioners in the same area and fostering a common understanding of regional and sectoral needs leading to enhanced support.

The activities under this Output are the following:

- 1.1.1 Design website
- 1.1.2 Programme website
- 1.1.3 Maintain and update the technical content of the website
- 1.1.4 Facilitate expert-moderated online discussions

**Output 1.2 Self-assessment tool for Countries to assess the state of their national transparency systems developed and deployed**

To ensure immediate value to practitioners, GEF-CBIT will support the initial population of the platform through multiple mechanisms. Given the limited resources, a self-assessment tool in form of a questionnaire for countries to assess the state of their national transparency systems will be designed and deployed. The self-assessment will allow countries to properly define the state of their national transparency systems and corresponding gaps and needs through guiding questions and complementary information. The initial version of the self-assessment tool (questionnaire) is appended as Annex P. The assessment tool will support the assessment of “Quality of MRV Systems” and the “Qualitative Assessment of Institutional Capacity for Transparency Related Activities” from the Annex III & Annex IV of CBIT Programming Directions Document respectively. The tool includes questions on measurement, reporting, and verification for each country to assess their level of quality of MRV systems using the GEF ratings, and questions on the existing institutional capacity on transparency in the country. The

questionnaire will be deployed at the beginning of the project, to set the baseline, and at the end of the project, to measure change.

The draft self-assessment tool (Annex P) will be further developed in collaboration with targeted countries and UNFCCC to ensure its relevance and user-friendliness. Its design will also benefit from and build on the stock-taking and surveys undertaken by other initiatives as such by the GSP, Pillar 1 of the Initiative for Climate Action Transparency (ICAT), NDCs –dialogues amongst others. The tool will be deployed through the GCP website, emails, regional workshops, as well as through the National Communications and Biennial Update Report (NC/BUR) team of networks and other initiatives on transparency. Information obtained from the self-assessment tool will simultaneously inform the in-country "state" and "needs" modules of the platform, as well as the qualitative indicator number 10 from the GEF tracking tool (Annex J).

The activities under this Output are the following:

- 1.2.1 Develop and refine the self-assessment tool
- 1.2.2 Programme the self-assessment tool as part of GCP website
- 1.2.3 Administer the assessment tool through emails, during workshops and other means

### **Output 1.3 Platform interface for self-progress reporting by national CBIT projects and other transparency initiatives designed**

The initial population of platform's modules with data will be done by the GCP expert team through desk-research and by systematically reaching out to countries. CBIT funded countries will be approached to gather the information necessary to make the website operational and relevant for stakeholders. Once the website is operational, a self-reporting interface will be activated and countries encouraged to update the information pertinent to them. The GCP expert team will provide guidance to countries on how to edit and submit information to the platform through the self-reporting interface. The GCP staff will edit and curate content and, where necessary, make suggestions on suitable text for countries to use.

Throughout the duration of the project, the GCP expert team will work with Implementing Agencies and countries to ensure that the content in the platform is up-to-date, especially with respect to information on implementation of CBIT projects. Focal points of countries and GEF Implementing Agencies will systematically be approached and encouraged to create a profile, in order to verify the existing content and provide additional up-to-date information through the self-reporting interface.

The platform will automatically send email requests to focal points of countries and focal points of implementing agencies, prompting them to give an update on the implementation of CBIT projects, and share lessons learnt. These update requests will be sent every 6 months, alternatively to different groups of countries. Progress reports received will be used to develop, in collaboration with implementing agencies and countries, short country stories to be featured in the quarterly transparency snapshots, and blog posts. It is expected that the self-progress reporting mechanism will encourage countries to establish ownership links with the platform as well as ensure that the information in the platform is accurate and up-to-date.

The activities under this Output are the following:

- 1.3.1 Design and programme input template for self-progress reporting
- 1.3.2 Provide guidance to countries on the use of self-reporting tool
- 1.3.3 Carry out awareness campaign to engage countries to apply the self-reporting tool

#### **Output 1.4 Coordination platform populated with data and information on transparency initiatives, CBIT national projects and country efforts (collected from 1.2 and 1.3)**

The transparent sharing of information in the platform aims to promote coordination and alignment between CBIT and other related initiatives. Before the launch of the platform, the GCP expert team will populate the different modules with information obtained through desk research. CBIT funded countries and existing networks will be approached to enhance the country profiles in the platform and other pertinent information. The information available on the website will be reviewed and updated regularly to incentivize users to access the website frequently. The content for the FrontPage of the website will be updated weekly and will include a 'news' section offering information about upcoming workshops, trainings, webinars and guidance material.

A project database will be populated by reaching out to CBIT implementing agencies and also to countries. A template of the project database, populated with some exemplary data, is provided in annex O.

The activities under this Output are the following:

- 1.4.1 Populate platform through desk-research.
- 1.4.2 Collect transparency data from countries and other initiatives by reaching out by email and phone.
- 1.4.3 Edit and curate platform content to ensure relevancy
- 1.4.4 Create and manage a CBIT Project database
- 1.4.5 Develop outreach materials for the website (flyers, brochures, factsheets etc.)

#### **Output 1.5 Available transparency-related emerging practices, methodologies, and guidance collected and made available through the coordination platform**

A top-down collection of available transparency methodologies, including training and guidance materials developed by the CGE, Intergovernmental Panel on Climate Change (IPCC), including Taskforce on National Greenhouse Gas Inventories and other initiatives supporting UNFCCC processes will provide the groundwork for a one-stop shop for relevant guidance and tools. This will include the existing reporting guidelines for Biennial Update Reports (BURs) and National Communications (NCs). Links will be provided for accessing MRV and transparency related resources and methodologies.

This information will be inserted in the global coordination platform in the module on emerging practices, methodologies, and guidance. Materials presented during the CBIT workshops will be included in this module. During its initial phase, this module will provide a systematic snapshot of the available transparency methodologies and serve as a dynamic and continuously updated knowledge centre. This is expected to improve both the countries and other practitioners understanding of available methodologies and constitute a first step in a global knowledge sharing of methodologies in a centralized manner. The availability of a continuously growing

number of methodologies, practices, and guidance will provide countries with an array of options to learn from and potentially make use of. This will be complemented with webinars that will draw on sharing lessons learned by countries. This output aims at enhancing national and subnational capacities to make informed decisions through improved access to transparency information.

The coordination and capacity-generating efforts of this website will be made easily digestible for all practitioners through a regular output: the "transparency snapshot". This knowledge will be disseminated through a factsheet, providing a regular summary of needs and gaps in line with information available in the platform's database.

The GCP will also facilitate peer-to-peer discussions among countries with limited capacity through a forum ('Experts Corner') facilitated by both development partners and developing country Parties. An interactive set-up will be established and a number of highly relevant topics will be selected to guide the knowledge sharing process. The topics will change after two months and the information provided through the discussions can thereby serve as part of the content in the quarterly transparency snapshot.

The topics of discussion will be suggested by countries and could be related to:

- Identification of lead agency/organization for data collection/management with clear mandates/authority/designation and coordinating institutional structure/mechanism with clear, designated roles/responsibilities
- Issues related to designated or "permanent" staff and high turnover of skilled people including budgeting for training and support to maintain "pool" of skilled staff
- Integration of transparency activities into ministerial work programs/budgets
- Experience applying tools to facilitate GHG inventory compilation, project emissions, determine/update NDCs, and tracking of NDC progress in a sustainable manner

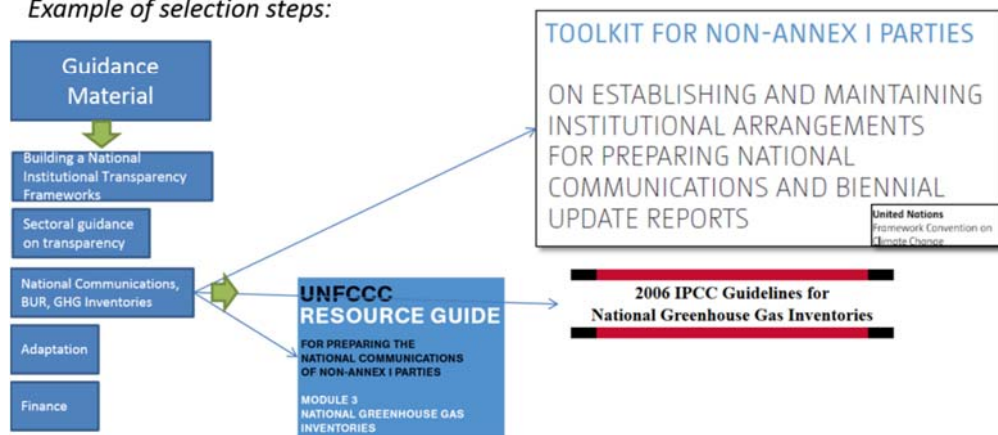
Figure 2 presents is a simplified depiction of this module.

# Transparency Guidance Material



- The topics will bring the user to a list with a filter function which will assist in identifying the most appropriate product based on the specific needs. The website will link to the external products available

*Example of selection steps:*



**Figure 2: Illustration of the Transparency Guidance Module**

The online library will include a toolkit of web-based and downloadable instruments and will be linked to the discussion forum and allow user-to-user interaction for recommending methodologies, seeking out best practices, sharing lessons learned and forge new partnerships

The activities under this Output are the following:

- 1.5.1 Search for existing literature and tools
- 1.5.2 Identify gaps in the existing literature and knowledge base on transparency
- 1.5.3 Populate with guidance, methodologies, emerging practices
- 1.5.4 Update content of the knowledge repository
- 1.5.5 Develop transparency publication (published before the “facilitative dialogue” global stocktake meeting in 2018)
- 1.5.6 Develop transparency publications (best practices in different regions/sectors)

By introducing this information and coordination platform the global effort towards preparing countries for the article 13 requirements will become coordinated, efficient and coherent and ultimately have more impact at country levels.

## **Project Outcome 2 (lead UNDP):**

*Information sharing enhanced through regional and global meetings*

### **Output 2.1 Coordination platform launched in kick-off event**

The key outcome of this project will be enhanced coordination across support initiatives and countries. In order to achieve this outcome, it is necessary to complement the transparency coordination platform with coordination and outreach events. These events will serve a variety of purposes in addition to enhanced coordination, inter alia:

- Serve as on-site capacity building exercises for practitioners from all countries,
- Raise awareness of available transparency-related knowledge products, tools and material,
- Facilitate the flow of information from practitioners back to the GEF-CBIT global coordination platform team,
- Promote the creation of informal networks between practitioners that extend beyond the coordination platform.

A kick-off event, together with the first technical workshop, was organized to launch the GEF-CBIT global coordination project and the transparency coordination platform. The launch was held in April, 2017 in Copenhagen and targeted high-level policy and decision-makers. The Coordination Meeting and kick-off event was meant provide a space for (i) discussing CBIT expected results, (ii) strengthening coordination among support initiatives and implementing organizations, and (iii) introducing the CBIT Global Coordination Platform. The event was attended by approximately 37 participants. UNDP covered the travel costs of the participants.

The activity under this Output was

#### 2.1.1 Prepare kick-off meeting

### **Output 2.2 Three technical workshops on transparency organized and executed**

The project also envisions a total of three workshops that will build upon the initial kick-off event.

The first Technical Workshop was held jointly with the kick off launch in Denmark. It aimed at strengthening national transparency capacities by (i) presenting the CBIT to developing Parties who had already expressed initial interest in the initiative, (ii) identifying gaps and needs for enhanced transparency systems, and (iii) presenting technical support available, including the launch of the CBIT Global Coordination. The Technical Workshop was attended by an estimated 70 participants, and UNDP covered the travel costs of the participants.

The additional two regional and/or global workshops may be held jointly or back-to-back with either BUR workshops, CGE events, or NDC Implementation Dialogue follow-up workshops such as the Facilitative Sharing of Views; Parties will also be informed via side events to be held alongside SBSTA/COP meetings in 2017 and 2018. For this purpose, the project will start by identifying national CBIT focal points building on the existing network created for the GSP NC and BUR. The workshops' purpose is to extend general capacity on transparency and to share the results generated under Component 1.3. All the materials presented at the workshops will be available in the platform's module on emerging practices, methodologies, and guidance. Workshops will also provide a forum to assess usability, user acceptance, and discuss the



usefulness of the platform. To assess these aspects, a questionnaire will be administered during the workshops. This feedback will be useful for continuous improvement of the platform.

The activities under this Output are the following:

- 2.2.1 Organize first technical workshop and coordination meeting
- 2.2.2 Prepare side events at SB46, COP 23, SB48, and COP24
- 2.2.3 Organize second technical workshop based on needs and to assess progress at country and global level
- 2.2.4 Organize third technical workshop based on lessons learned, results and priorities for future work
- 2.2.5 Prepare workshop material, including guidance to countries on presentations and discussions
- 2.2.6 Prepare workshop reports summarizing key discussion points and recommendations

### **Project Outcome 3 (lead UNDP):**

*Needs & gaps identified for enhancing transparency systems and CBIT coordination*

#### **Output 3.1 Needs & gaps identified for enhancing transparency systems and CBIT coordination**

One of the four modules the coordination platform will start-off with will provide information on countries' status and needs, and information on CBIT national projects. To ensure immediate value to practitioners, this project will support the initial population of the platform through multiple mechanisms. Under Output 1.3, a self-assessment tool in form of a questionnaire for countries to assess the state of their national transparency systems will be designed and deployed. These national self-reports will be further integrated with new information, thanks to additional support provided by the project team, who will interact directly with a selected number of developing countries (e.g. those attending the Platform workshops) in order to assist Parties in the generation of specific and holistic inputs and views on gaps and needs for Enhanced Transparency Frameworks. The self-assessment tool and the inputs generated with the additional support from the project will allow countries to properly define the state of their national transparency systems and corresponding gaps and needs through guiding questions and complementary information. As mentioned before, the tool's deployment will occur through the kick-off event and through the other workshops, as well as through the National Communications and Biennial Update Report (NC/BUR) team of networks and other initiatives on transparency including ICAT and others. The self-assessment has the potential to be applied repeatedly by the countries, supporting their capacity in self-identifying the status of their national transparency systems.

Further, the project will also interact directly with CBIT implementing agencies and other key stakeholders in order to support the elaboration of complimentary information, in order to have a more precise regional and global understanding of gaps and needs.

The information rich material generated under these two activities will then be synthesized and analysed in a needs & gaps report, covering both national and global dimensions, which will then represent one of the key documents for the elaboration of a roadmap, as described in the following output.

The activities under this Output are the following:

3.1.1 Provide desk support to countries in further integrating information on needs and gaps both through the self-assessment tool as well as through additional means (e.g. interviews, emails and other kind of direct communication)

3.1.2 Interact continuously with key stakeholders engaged in the enhanced transparency framework, in order to elaborate and report on complimentary information on support and gaps

3.1.3 Compile analysis of Needs & Gaps reporting to highlight existing capacities and barriers faced by Parties and key stakeholders alike in the implementation of the enhanced transparency framework, as key analytical tool for the establishment of roadmap to phase 2 of the CBIT Coordination Platform.

**Output 3.2 Roadmap for Phase 2 to expand the CBIT coordination platform as per the scope of paragraph 21 of the CBIT programming paper, including: institutional arrangements, best practices and community of practice, global and regional capacity building programmes, implementation tracking tool, coordination with other platforms, etc.**

The compilation and systematization of the self-assessment undertaken by country representatives with the additional desk support provided by this project, as well as the data collected on other initiatives constitute a significant information source to build an overarching view on all elements under CBIT Programming Directions Paragraph 21. This will constitute a first-level analysis in form of a report to highlight existing capacities and barriers faced by Parties and key stakeholders alike, in the implementation of the enhanced transparency framework, as key analytical tool for the establishment of roadmap to phase 2 of the CBIT Coordination Platform.

Based on the inputs included inter alia in this report, the CBIT Global Coordination Project will include a roadmap for key elements to be included in a project's second phase. This roadmap will build and constitute a natural extension and continuation to this first phase in line with CBIT Programming Directions Paragraph 21. Key elements to be outlined by the roadmap include the identification of regional and global areas of common interest or capacity building needs, an analysis of support opportunities with high replicability potential, and the review of the potential for a CBIT Implementation Tracking Tool that monitors the progress of CBIT projects. The roadmap will lay out potential elements of the Tracking Tool, e.g. baseline indicators on CBIT implementation, CBIT Impact Evaluation Datasheets, user guidelines, etc.

In line with the important role that the coordination and outreach events will play, the roadmap will further depict opportunities for global and regional capacity building programmes, which include enhanced north-south and south-south experience and lessons learnt exchange. Knowledge-sharing on best practices, exchange of practitioners, etc. constitute a substantial potential in advancing the national transparency systems and should therefore be systematically fostered.

The activities under this Output are the following:

3.2.1 Identify key elements to be included in the second phase of the program

3.2.2 Produce CBIT Coordination Platform Second Phase Roadmap

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

The proposal focuses on the generation of global public goods in form of coordination, knowledge generation, and the creation of a public knowledge repository, which by definition is free of access but still associated with a cost for the goods. In absence of CBIT funding, it is highly likely that no funding will be made available for these global public goods despite the imminent need for them. Moreover, baseline initiatives, including those indicated for co-financing, are generating valuable, though dispersed, and transparency capacities. By creating coordinating activities, this proposal will be able to leverage the individual ongoing and future initiatives by centralizing knowledge and making it broadly available. Consequently, this proposal provides an incremental value to a wide-ranging number of initiatives and efforts.

In addition to leveraging existing initiatives, the global coordination project will build on existing global support programmes and other transparency-related initiatives. Through the Global Support Programme (GSP) for National Communications (NC) and Biennial Update Report (BUR), the global coordination project can build on an extended network of practitioners that will constitute a valuable information source and facilitate the coordination and outreach for events. Transparency-related initiatives like the Initiative for Climate Action Transparency (ICAT) and others will support the identification of emerging transparency-related knowledge like methodologies and prior assessments of in-country gaps and needs assessments. ICAT, for example, through its Pillar 1 work is developing methodologies and guidance documents for numerous sectors, MRV for support, the measuring of sustainable development co-benefits and transformational change.

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

This project will ultimately contribute to enhanced ambitions in reducing GHG emissions. Improved coordination will generate synergies and avoid duplication across support initiatives and efforts, freeing resources for additional efforts in the global aim to keep global warming below 2 degrees Celsius. Similarly, the enhanced availability of knowledge through a centralized coordination platform will help countries increase their transparency capacity and, as a result, their capacity to report progress on their NDCs and long-term policy planning, providing for increased ambition.

#### *6) Innovativeness, sustainability and potential for scaling up*

##### *Innovativeness*

The concept of a topic-centered, knowledge-encompassing, and coordinating platform is per se not innovative. In the context of climate change transparency, however, the implementation of a coordination platform merits consideration as an innovative approach. In view of the baseline situation in which information is highly dispersed and efforts are not coordinated, the coordination platform must be considered innovative.

##### *Sustainability*

The global coordination of CBIT efforts and the coordinated effort to make knowledge available will contribute to a more sustainable development of capacities within countries through CBIT's national support and the support provided by other initiatives. The first step to make the impact of the project sustainable, is to ensure country participation and engagement which can only be achieved if the coordination platform provides updated and relevant information. The country ownership of the platform will be a key priority and operationalized through the extensive

outreach, the coordination workshops and the global networks of UN Environment, UNEP DTU Partnership and UNDP.

In addition, a roadmap for phase II of the CBIT Global Coordination Platform justifying the need for an extension will be designed under component three and discussed with GEF in parallel with the implementation of the project. While it cannot be ensured that subsequent funds will be available to extend this Global Coordination GEF-CBIT project, its value in increasing sustainability overall through the provision of global public goods is evident. UNEP DTU Partnership has more than 10 year's experience operating similar platforms (e.g. the CDM Bazaar and the CDM Loan Scheme) and has in all cases continued hosting the platforms after the projects supporting the platforms have ended.

#### *Potential for scaling up*

This proposal includes a roadmap, preparing for a potential scaling-up of the initiatives initiated as part of this proposal. Specifically, the transparency coordination platform could be scaled-up to include best practices, an overview of national institutional arrangements for transparency, extended information on methodologies, as well as needs. The needs and gaps module could be scaled-up by enhancing it through information provided by a CBIT Implementation Tracking Tool applied in CBIT beneficiary countries. This would generate an automatic gaps and needs assessment at conclusion of the CBIT project, providing an independent and informed assessment on remaining gaps and needs, as well as a reliable source of data for practitioners.

Similarly, the outreach and coordination events could be restructured and scaled-up in order to start creating capacities. In a second phase, the Global Coordination would aim at enhancing mechanisms for North-South and South-South exchange of practitioners.

#### *A.2. Child Project?*

*If this is a child project under a program, describe how the components contribute to the overall program impact.*

Not applicable

#### *A.3. Stakeholders.*

*Identify the key stakeholders and elaborate on how their engagement is incorporated in the preparation and implementation of the project. Mention whether they include civil society organizations and indigenous peoples.*

The global coordination project will target a multitude of stakeholders through its transparency coordination platform and its coordination and outreach events. The primary target group for the proposed project is all Parties to the Convention. Practitioners from developed and developing countries will have access to a centralized information source that will provide valuable information on emerging practices, methodologies and guidance. This information can further be extended through other elements like institutional arrangements, best practices, etc.

Simultaneously, practitioners will actively contribute to the global coordination efforts through the provision of self-assessments, informing a global understanding of needs and gaps and thereby potentially CBIT's future work foci. The provision of this information will help countries

and initiatives to coordinate support and by that, will avoid duplication while creating synergies, leading to a more efficient allocation of resources for transparency efforts in the future. This will also promote alignment and coordination with on-going transparency initiatives.

Non-governmental actors and non-state actors will benefit through the knowledge facilitated by the platform and coordination events. These actors shall be actively included to strengthen the identification of gaps and needs, in particular considering the potential future extension of transparency requirements to non-state actors. Table 2 below shows the key stakeholders of the Global Coordination Platform.

**TABLE 2: KEY STAKEHOLDERS**

<b>Stakeholders Type</b>	<b>Name of Institution</b>	<b>Role in the Project</b>
GEF implementing agencies	UN Environment, UNDP, FAO, Conservation International, and other	The GEF implementing agencies will play a key role in facilitating coordination and knowledge sharing among national CBIT projects
Other support initiatives	ICAT, Partnership on Transparency in the Paris Agreement, International Partnership on Mitigation and MRV	The information available in the virtual library will be coordinated with a network of existing transparency support initiatives
Countries with CBIT projects	Several	Provide information regarding their national CBIT project, participate in knowledge exchange, collaborate in the creation of content for the platform
Development partners	International Organisations, institutes and NGOs	Coordinate existing and upcoming support to develop national capacity globally to support countries meeting the Paris Agreement article 13 requirements.
Parties to the UNFCCC	All countries	All parties to the UNFCCC are expected to provide information and participate in the discussion fora

#### *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.*

In the first 12 UNFCCC COPs, only one decision made reference to women or gender equality. By COP 21, this number had increased to 45 decisions. Some of these decisions promote the discussion of gender equality and women empowerment in the context of climate change.

Currently, the Paris Agreement, has underlined gender equality and women's empowerment as a guiding principle and called for adaptation and capacity-building actions to be implemented in a gender-responsive manner. In 2016, 40% of the INDCs mention "women and/or "gender" in the context of their national priorities and ambitions for reducing emission. Due to the growing

recognition that climate change impacts women differently and disproportionately than men gender are closely related to adaptation (13% of INDCs mention “women and/or “gender” exclusively in their adaptation sections), but 33% of the INDCs go beyond adaptation or just a mention in their introduction and they actually identify gender as a cross-cutting policy priority, or commit to either integrate or mainstream gender in all climate change actions and strategies<sup>7</sup>.

Despite the emerging of gender in the International Climate Negotiations, the presence of women in decision-making positions regarding climate actions still needs to be significantly improved at a global level. According to the Environment and Gender Index<sup>8</sup>, On average 24% of members of the governing bodies of the major multilateral climate financing mechanisms are women. At the national level, across 881 national environmental-sector ministries from the 193 UN Member States, only 12% of Ministers are women, and across the Finance Ministers only 7%. This gap is also visible in the Rio Convention Conferences of the Parties. For instance, in the 2014 UNFCCC COP only 36% of the Government delegates and 27% of Bureau Members were women.

Regarding the enhanced transparency framework, there is an urgent need to integrate further gender considerations. So far few NCs and BURs and methodologies have included this type of considerations and analyses.

The proposed project will take into consideration gender as a cross-cutting element during the implementation of the project. The "transparency snapshot" will include gender considerations, where possible, for example in the displayed initiatives, collected methodologies, and country status. When identifying the baseline of global gaps and needs in the enhanced transparency framework, particular attention will be paid to gender differentiation within transparency systems. In this context, the Gender Responsive National Communications Toolkit<sup>9</sup> developed by the Global Support Programme could provide the basis for gender consideration in the Transparency Framework. This toolkit makes the process of reporting more transparent in terms of whose involved, whose views are represented, gender-differentiated risks, and the types of support men and women need to influence climate adaptation, mitigation, policymaking and reporting. It can also be used to build capacity for gender analysis of key climate change issues that are reported on in NCs. The toolkit presents rationales for gender-responsive NCs and approaches for integrating gender into NC reports. It also provides context and information on a range of issues; good practice examples; and lessons learned.

The project will have further gender considerations as listed below:

- The platform will highlight any publication from partners focusing on gender and climate actions relationship or the role of women in the capacity building initiatives
- Gender parity will be promoted on panels at coordination and outreach events including the Steering Committee Meetings and panels and participants of the workshops and online fora of the website.

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<sup>7</sup> International Union for Conservation of Nature and United States Agency for International Development (2016)

<sup>8</sup> Environment and Gender Index is a platform created by the International Union for Conservation of Nature’s to convey the value of gender-responsive environmental conservation and sustainable development through data and analysis.

<sup>9</sup> The Gender Responsive National Communications Toolkit is accessible through this link: [http://www.un-gsp.org/sites/default/files/documentos/undp\\_gender\\_responsive\\_national\\_communications\\_toolkit.pdf](http://www.un-gsp.org/sites/default/files/documentos/undp_gender_responsive_national_communications_toolkit.pdf)

- Gender equality will be promoted during all project's recruitment of personnel/consultants. All advertised positions will be equally opened to both genders and the text on term of references will be carefully checked to avoid any gender stereotypes.

#### 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):

<b>Risk description</b>	<b>Mitigation Measure</b>	<b>Level of Risk</b>
The baseline assessment is not completed by many/most countries.	Ensuring a sufficient response rate to the baseline assessment will be accomplished by supporting the assessment from existing undertakings and through the global and regional workshops envisioned as part of this project. The assessment's design will benefit from and build on the stock-taking undertaken as part of the Global Support Programme for National Communications and Biennial Update Reports, and work undertaken under Pillar 1 of the Initiative for Climate Action Transparency (ICAT), and NDCs amongst other initiatives. The tool's deployment will occur through the kick-off event and through the regional workshops, as well as through the National Communications and Biennial Update Report (NC/BUR) team of networks and other initiatives on transparency including ICAT and others.	Moderate
The platform is not perceived as being relevant by the users.	The project ensures weekly update of content and ongoing discussions with users	Low
The global coordination will rely heavily on inputs provided country representatives, other support initiatives, and other practitioners in order to establish a centralized, all transparency-related platform. Upfront it cannot be ensured that these practitioners will provide the information necessary to make the platform relevant for stakeholders.	Measures to mitigate these risks are manifold and include: (I) the significant network established by the implementing agencies through its network of practitioners for the GSP for NC and BUR; (II) the incentive of more efficient resource allocation for transparency; and (III) the coordination and outreach events.	Low
The initial population of the platform is too limited in order to attract interest by transparency practitioners.	The practitioners' interest will be attracted through two measures: (I) the kick-off event that will serve as a global launch introducing the global coordination platform; and (II) the close collaboration with existing initiatives that will ensure the rapid population of basic information, in particular other initiatives and support efforts provided.	Low
The kick-off event fails to attract sufficient high-level decision makers and practitioners.	The project has already started sending out invitations for practitioners and decision makers, leaving sufficient time to attract the required participation.	Low
Regional workshops fail to attract sufficient high-level decision makers and	The attractiveness of the regional workshops will be impacted directly by the success of the global workshop. The success of the global workshop will be supported by ensuring high-level	Low

<b>Risk description</b>	<b>Mitigation Measure</b>	<b>Level of Risk</b>
practitioners	participation at the kick-off event and through concerted efforts to incorporate feedback received during the kick-off workshop into the agenda and structure of regional workshops.	

#### *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.*

As part of the Paris Agreement, Parties to the United Nations Framework Convention on Climate Change (UNFCCC) have agreed to establish a *Capacity-building Initiative for Transparency (CBIT)*. The CBIT will aim to strengthen the institutional and technical capacities of developing countries to meet the enhanced transparency requirements in the Paris Agreement, leading up to 2020 and beyond.

The Paris Agreement requested the GEF to support the establishment of the CBIT through voluntary contributions during GEF-6 and future replenishment cycles.

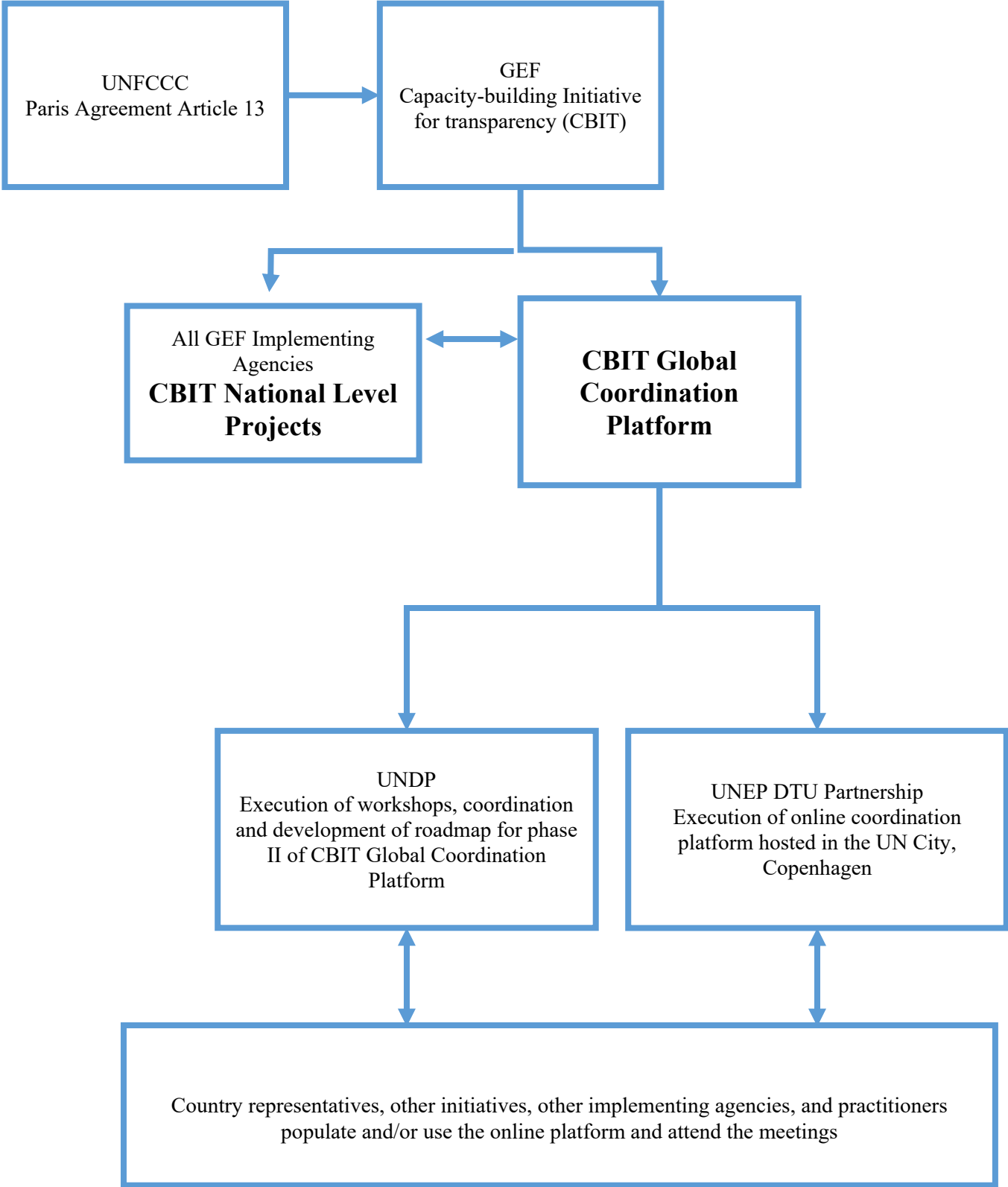
UNDP and UN Environment will be the GEF Implementing Agencies (IAs) for this initiative and are responsible to the GEF for the use of project resources as written in the project document, or any amendments agreed. UN Environment will have the IA role for Component 1 and UNDP for Component 2 and 3.

UNDP will be responsible for also executing Component 2 and 3 and UN Environment will delegate the execution to its collaboration centre UNEP DTU partnership for Component 1. As Executing Agencies, they will be responsible for day to day management of the project, including financial management and project reporting. Project administration will follow the procedures of the respective Executing Agencies, including for procurement, contracting, recruitment.

The scope of the work is divided in a way so UN Environment is responsible the online transparency platform and UNDP for coordinating three global/regional workshops and for developing a roadmap for phase II of the initiative. The roadmap will be based on the experiences from operating the online platform.

Due to the importance of good coordination between the two Executing Agencies, the project will establish a small Project Management Unit including only the two project managers, but also an Executive Management Group that includes also the task managers of the Implementing Agencies and finally a Project Steering Committee including additional key stakeholders. This is further developed under Annex H.





Linkages will also be made to on-going UNDP, UN Environment projects and programmes, including the Global Support Programme and the ICAT project. The online platform will be hosted by UNEP DTU in the UN City in Copenhagen

The implementing agencies UN Environment/UNDP have a comparative advantage through its existing GEF funded Global Support Programme in NC and BURs, and their immediate capacity to coordinate the global coordination platform with these existing efforts. The coordination with other initiatives will play a fundamental role to allow the global coordination platform to successfully leverage existing efforts. Through the agencies' participation in various initiatives, the coordination will be facilitated. Similarly, UN Environment's collaborating centre UNEP DTU Partnership, an executing agency of these projects and managing the ICAT will ensure a continuous exchange with this initiative, providing an additional gateway to in-country information and methodological knowledge.

The GEF funded preparation of NCs and

BURs in non-annex I countries provides a big share of the existing work on transparency in many countries that needs to be coordinated and uploaded to the online CBIT platform. Upcoming CBIT/GEF funded national transparency projects will benefit from the information sharing and methodologies available through the platform. Finally, will the GEF funded NDC support programme executed by UNEP DTU provide a source of information that can be utilized when populating the online platform.

#### *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 Paris Agreement requires countries to be more transparent about their climate actions than ever before, and has new provisions to hold them accountable. Countries are universally required to report their progress on reducing greenhouse gas emissions, building climate resilience, and better tracking the support they provide or receive. The Paris Agreement established a process to verify the data and information on both climate actions and ways countries provide support for a transition to a zero-carbon and climate-resilient economy.

- Strong transparency and accountability rules under the Paris Agreement have implications for the corporate sector as well. Businesses' ability and willingness to shift finance flows to climate-compatible investments and resilience strategies depends on how confident they are that the countries they operate in are taking serious measures to achieve their climate targets. Done right, transparency and accountability rules can result in a reinforcing cycle of verified action that builds confidence among governments, investors and shareholders.
- To build capacity most effectively, the new transparency initiatives should leverage the lessons, experience and work undertaken so far by UNFCCC thematic bodies, UNFCCC training programs and existing global transparency-related initiatives or partnerships.
- On a national and local level improved transparency systems will enable countries to design more accurate development strategies including costed implementation plans and actions. A transparent data collection and management system can support governments to develop a

sounder implementation plan emphasizing the domestic financial constraints beyond the existing conditional and non-conditional NDC targets. More detailed understanding of how external funding can contribute to a country's effort to reach its NDC target will improve the probabilities of accessing funding and thereby serve as a tool to enhance resource mobilization for NDC implementation.

#### *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.*

Knowledge management is at the core of this CBIT proposal. Most relevant information will be sourced from existing projects and initiatives that will be complemented through additional efforts. Making this knowledge available in a centralized, user-friendly fashion through the transparency coordination platform and coordination and outreach events will constitute an excellent manner to share knowledge, experiences, and expertise across a wide range of relevant stakeholders. In addition to making up to date information about transparency available free of charge at the online platform, will the project organize workshops to increase information sharing, conduct webinars to reach as many stakeholders as possible and publish publications aiming at building capacity for stakeholders.

### **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.:*

The online CBIT Global Coordination Platform will be hosted by the UNEP DTU Partnership in Copenhagen and will be guided by the CBIT principles as outlined in the Paris Agreement and described above. It is directed towards building on existing projects and initiatives and closing gaps and needs in setting-up national transparency systems. This proposal will support CBIT in identifying the global gaps and needs in line with enhanced transparency framework and will thereby be able to inform CBIT's future work globally. In addition, the following institutional frameworks will provide the policy context of the platform:

The Transparency Coordination Platform is aligned with the UN Environment and UNDP's approach to the Agenda 2030 and the Mid-term strategy 2014-17. Specifically, the platform will contribute to the strategic focuses on climate change and environmental governance.

The United Nations Framework Convention on Climate Change (UNFCCC) coordinates the efforts of 195 signatory countries to mitigate and adapt to climate change within a global response. The climate change adaptation and mitigation strategies of signatory nations are

prioritised and developed through a set of stocktaking and reporting mechanisms under the UNFCCC. For example, all signatories to the convention produce periodic National Communications (NCs) which report national greenhouse gas inventories and describe national activities to implement the Convention including for adaptation to climate change.

This project is in particular contributing to the Sustainable Development Goals 13 and 17. The platform will be the underlying mechanism to track progress of the Paris Agreement on Climate Change (goal 13) and at the same time provide a forum encouraging partnerships among relevant actors.

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

UN Environment will be responsible for managing the Terminal Evaluation. The Project Manager and partners will participate actively in the process.

In-line with UN Environment/UNDP Evaluation Policy and the GEF's Monitoring and Evaluation Policy the project will be subject to a Terminal Evaluation commissioned by the UN Environment Evaluation Office. The Evaluation Office of UN Environment will be responsible for the TE and will liaise with the Task Manager and Executing Agencies 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 TE will be coordinated by the Evaluation Office of UN Environment (EOU) in close collaboration with UNDP Regional Technical Advisor and UN Environment Task Manager. The Terms of Reference for this TE will be prepared by the EOU in close collaboration with UN Environment and UNDP. UN Environment Evaluation Office will select an independent consultant(s), in consultation with the UNDP Regional Technical Advisor. The draft Terminal Evaluation report will be sent by the UN Environment 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.


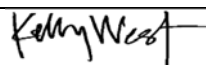
The project performance will be assessed against standard evaluation criteria using a six-point rating scheme. The final determination of project ratings will be made by the Evaluation Office when the report is finalised and further reviewed by the GEF Independent Evaluation Office upon submission. The evaluation report will be publicly disclosed and may be followed by a recommendation compliance process. The management response and the evaluation will be uploaded to UN Environment and UNDP corporate systems (PIMS and to the UNDP Evaluation Office Evaluation Resource Centre). A summary of M&E activities envisaged is provided in

Annex G. When relevant, M&E activities will assess gender mainstreaming. The GEF contribution for M&E activities is USD 30,000.

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

**GEF Agency(ies) certification**

<p><b>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.</b></p>
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<b>Agency Coordinator, Agency Name</b>	<b>Signature</b>	<b>Date (MM/dd/yy yy)</b>	<b>Project Contact Person</b>	<b>Telephone</b>	<b>Email Address</b>
Adriana Dinu, UNDP GEF, Executive Coordinator		05/11/2017	Yamil Bonduki	+1-212-906-6659	yamil.bonduki@u ndp.org
Kelly West, Senior Programme Manager & Global Environment Facility Coordinator Corporate Services Division		May 17, 2017	Geordie Colville	+254207623257	geordie.colville @unep.org

<sup>10</sup> GEF policies encompass all managed trust funds, namely: GEFTF, LDCF, SCCF and CBIT  
GEF6 CEO Endorsement /Approval Template-August 2016

## **ANNEX A: PROJECT RESULTS FRAMEWORK**

(either copy and paste here the framework from the Agency document, or provide reference to the page in the project document where the framework could be found).

<b>Project objective: Establish a global CBIT coordination platform to support the implementation of the Paris Agreement</b>					
	<b>Indicators</b>	<b>Baseline</b>	<b>Targets at the end of the project</b>	<b>Source of verification</b>	<b>Risks and Assumptions</b>
<b>Project objective</b> Establish an online platform supporting countries to understand and implement the transparency framework of the Paris Agreement. The platform will both provide development partners with an overview of existing initiatives to coordinate support efficiently and countries with knowledge and information forums for sharing best practices.	A) Number of partners using the platform's services every quarter (in average) when developing/strengthening their national transparency systems	zero	40 partners per quarter	Online counting mechanism  Online very brief survey to confirm the main objective when using the platform	It is crucial to ensure support by government counterparts to use the platform services and to provide information to keep the website up to date. An example could be that countries are encouraged to prioritise the transparency self-assessment exercise during regional workshops and trainings.
<b>Project Outcome 1</b> <i>Enhanced coordination and best practice sharing for transparency practitioners through the establishment of a web-based platform.</i>	B) Number of partners using methodologies/tools listed on the platform  C) Number of entities and institutions using the platform to enhance partnerships	Zero  Zero	40  10	Website statistic information  Collected responses from questionnaires during the project workshops	It is expected that there will be a substantial need for knowledge sharing and coordination because of the new transparency framework under the Paris Agreement. While the need is significant it is also vital to keep the platform relevant for all stakeholders and a feedback mechanism will

					hence be implemented to update the platform as per the users' feedback. Success stories from other countries shared.
<b>Project outcome 2 Information sharing enhanced through regional and global meetings</b>	D) Number of regional and global meetings held	Zero	3 workshops	Workshops held	The success of the workshops will be heavily influenced by the success of the kick off meeting and the first technical workshop, which will in turn be highly influenced by both the design of the assessment tool and the workshop dynamic
	E) Meeting attendance (per event, disaggregated by gender)	Zero	Average of 60 attendees per event	Attendees	
<b>Project outcome 3 Needs &amp; gaps identified for enhancing transparency systems and CBIT coordination</b>	F) Number of countries with needs & gaps identified through participating in the self-assessment tool	Zero	40 countries have completed needs and gaps identification through the use of the tool	Online counting mechanism	The needs and gaps analysis depends directly on the number of assessments filled out by countries
	G) Number of knowledge products developed based on insights from analysing the self-assessment tool results	Zero	Up to 3 number of knowledge products (reports, briefings, webinars, etc.)	Online counting mechanism (number of publications)	The capacity to produce knowledge products depends on the quality of the information provided through the assessment. This relates to both assessment design and support during assessment implementation.



## **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).



### **GEF-6 GEF SECRETARIAT REVIEW FOR FULL-SIZED/MEDIUM-SIZED PROJECTS THE GEF/LDCF/SCCF TRUST FUND**

GEF ID:	<b>9675</b>		
Country/Region:	<b>Global (Global)</b>		
Project Title:	<b>CBIT Global Coordination Platform</b>		
GEF Agency:	<b>UNEP and UNDP</b>	GEF Agency Project ID:	<b>1512 (UNDP)</b>
Type of Trust Fund:	<b>Capacity-building Initiative for Transparency</b>	GEF Focal Area (S):	<b>Climate Change</b>
GEF-6 Focal Area/ LDCF/SCCF Objective (s):	<b>CBIT-1;</b>		
Anticipated Financing PPG:		Project Grant:	<b>\$1,000,000</b>
Co-financing:	<b>\$400,000</b>	Total Project Cost:	<b>\$1,400,000</b>
PIF Approval:	<b>November 04, 2016</b>	Council Approval/Expected:	
CEO Endorsement/Approval		Expected Project Start Date:	
Program Manager:	<b>Dustin Schinn</b>	Agency Contact Person:	<b>Yamil Bonduki</b>

<b>PIF Review</b>			
<b>Review Criteria</b>	<b>Questions</b>	<b>Secretariat Comment</b>	<b>Agency Response</b>
<b>Project Consistency</b>	1. Is the project aligned with the relevant GEF strategic objectives and results framework? <sup>11</sup>	MGV/RM November 4, 2016: Yes. The project is aligned with the Capacity Building for Transparency Initiative (CBIT).	
	2. Is the project consistent with the recipient	MGV/RM, November 4, 2016: Yes,	

<sup>11</sup> For BD projects: has the project explicitly articulated which Aichi Target(s) the project will help achieve and are SMART indicators identified, that will be used to track the

project's contribution toward achieving the Aichi Target(s)?  
GEF6 CEO Endorsement /Approval Template-August 2016

PIF Review			
Review Criteria	Questions	Secretariat Comment	Agency Response
	country's national strategies and plans or reports and assessments under relevant conventions?	the project is a global project to assist CBIT coordination.	
<b>Project Design</b>	3. Does the PIF sufficiently indicate the drivers <sup>12</sup> of global environmental degradation, issues of sustainability, market transformation, scaling, and innovation?	MGV/RM, November 4, 2016: Yes, the project is in its first stage and can be scaled up for wider implementation and will address countries' capacity needs for transparency.	
	4. Is the project designed with sound incremental reasoning?	MGV/RM, November 4, 2016: Yes, the project will allow countries to meet their commitments under the Paris Agreement. It will coordinate with other existing initiatives.	
	5. Are the components in Table B sound and sufficiently clear and appropriate to achieve project objectives and the GEBs?	MGV/RM, November 4, 2016: Yes.	
	6. Are socio-economic aspects, including relevant gender elements, indigenous people, and CSOs considered?	MGV/RM, November 4, 2016: Gender and CSOs are considered.	
<b>Availability of Resources</b>	7. Is the proposed Grant (including the Agency fee) within the resources available from (mark all that apply):		
	<ul style="list-style-type: none"> <li>The STAR allocation?</li> </ul>	MGV/RM, November 4, 2016: N/A. Resources will come from the CBIT trust fund.	
	<ul style="list-style-type: none"> <li>The focal area allocation?</li> </ul>		

<sup>12</sup> Need not apply to LDCF/SCCF projects.  
GEF6 CEO Endorsement /Approval Template-August 2016

PIF Review			
Review Criteria	Questions	Secretariat Comment	Agency Response
	<ul style="list-style-type: none"> <li>The LDCF under the principle of equitable access</li> </ul>		
	<ul style="list-style-type: none"> <li>The SCCF (Adaptation or Technology Transfer)?</li> </ul>		
	<ul style="list-style-type: none"> <li>Focal area set-aside?</li> </ul>		
<b>Recommendations</b>	8. Is the PIF being recommended for clearance and PPG (if additional amount beyond the norm) justified?	MGV/RM, November 4, 2016: Yes. PM Recommends CEO Approval. By CEO Endorsement, please ensure that the coordination platform is open to inputs from other related national projects and initiatives.	
<b>Review Date</b>	Review	November 04, 2016	
	Additional Review (as necessary)		
	Additional Review (as necessary)		

CEO endorsement Review			
Review Criteria	Questions	Secretariat Comment at CEO Endorsement	Response to Secretariat comments
<b>Project Design and Financing</b>	1. If there are any changes from that presented in the PIF, have justifications been provided?	MGV/DS, June 1, 2017: The proposal very much aligns with the proposed approach at PIF approval stage. We welcome the timely preparation of CEO Endorsement Request and believe the proposed approach is based on sound and clear technical reasoning.	
	2. Is the project structure/ design appropriate to achieve the expected outcomes and outputs?	MGV/DS, June 1, 2017: The project structure is overall sound and clear, however, a few issues could benefit from further refinement, including: Overall  (1) More broadly, the platform needs to primarily benefit recipients, as useful resources for developing countries. However, in addition, the website can collect information that is useful for coordination across different initiatives and donors at the same time. The website could have a "project database" that could be sorted by country. In order for the website to be up to date and useful in a timely and continuous fashion, the GCP staff will need to have capacity to edit and curate content and perhaps even suggest suitable text for countries that they can approve, rather than expecting recipients to write everything. In addition, of course, those CBIT projects that	(1) Sharing of knowledge and resources on the enhanced transparency framework of the Paris Agreement is at the core of this project. As such, we see this project primarily benefiting recipients in terms of the resources that will be made available through the platform. Additionally, two of the outputs of this project (1.3. and 1.4.) aim at collecting data on national CBIT projects, other transparency initiatives, and country efforts on transparency. With the gathering of this information, we believe that the possibility of creating a comprehensive project database and coordination between different

CEO endorsement Review			
Review Criteria	Questions	Secretariat Comment at CEO Endorsement	Response to Secretariat comments
		<p>have allocated budget for sharing of lessons learned etc, would be expected to contribute more proactively to the GCP website.</p> <p>(2) Related to the above, the CBIT</p>	<p>transparency initiatives will be strengthened. A template of the project database, with some exemplary data, is provided in Annex O.</p> <p>The GCP staff will ensure that the information in different components of the platform is complete and updated at all times and will, when necessary, collect data to complete the information required in the country profiles.</p> <p>Under output 1.3, additional text has been inserted detailing how the platform will automatically send requests to focal points of countries and focal points of implementing agencies, prompting them to give an update on the implementation of CBIT projects, and share lessons learnt through the platform – Page 13. Country teams, will be guided by the GCP staff, in collaboration with the IAs, when filling in any requested information in the website. A corresponding activity in Output 1.3 reads as follows: - 1.3.2 <i>‘Provide guidance to countries on the use of self-reporting tool’</i> - in page 13</p>

CEO endorsement Review			
Review Criteria	Questions	Secretariat Comment at CEO Endorsement	Response to Secretariat comments
		<p>Programming Directions clearly states that the CBIT was established "to support developing country Parties, upon request, in meeting enhanced transparency requirements as defined in Article 13 of the Agreement." Further, the global coordination platform "will engage countries, the GEF Partner Agencies, and other relevant entities and institutions with related programming activities to enhance partnership of national, multilateral, and bilaterally supported capacity-building initiatives." Thus, while developed country Parties and other Parties that provide support should report on this information under Article 13, the CBIT was not established to support that mechanism. As such, we would rather see references made to countries, GEF Agencies and other relevant entities and institutions rather than donors throughout the document. In addition, along these lines the text on page 7 needs to be edited with regards to "the lack of a platform for Parties to disclose information related to capacity building support provided," and "The platform will also provide clarity on support provided and received by relevant individual Parties and thereby be a key tool to inform the "global stocktake." Similar references are made on page 8. Please review and revise accordingly.</p>	<p>(2) References to donors were checked throughout the document and substituted, in context, by references to entities, institutions and initiatives. It is now clearer that the focus of the platform is to support developing countries and in particular, countries with CBIT projects. The project database (Annex O) will be used to gather information on all existing CBIT projects for use by GEF Partner Agencies, and other relevant entities and institutions working on transparency and MRV related initiatives. GEF IAs will also be requested to support the GCP staff in obtaining information on CBIT country-level information as indicated in output 1.3 page 12.</p> <p>The text on page 7 and 8 have been edited accordingly</p>

CEO endorsement Review			
Review Criteria	Questions	Secretariat Comment at CEO Endorsement	Response to Secretariat comments
		<p>(3) On Page 6, please clarify whether "National Action Plan" means National Adaptation Plan and change wording as needed;</p> <p>(4) As regard the Global Coordination Platform overall, it will be important to maintain flexibility to be responsive to, and integrate, evolving COP guidance related to the Modalities, Procedures and Guidelines under the Paris Agreement, and as it relates to NDCs. Similarly, the GEF receives guidance from the COP and the Global Coordination Platform will need to be flexible to adjust its approach based on any evolving guidance the GEF receives.</p> <p>A link between the GEF and the platform on a more permanent basis is hence deemed essential. Please include a provision to this effect.</p>	<p>(3) The wording has been corrected to National Adaptation Plan. <i>(see page 7 para 1)</i></p> <p>(4) A provision for this has been included on page 9, under the second para of the proposed alternative scenarios, stating that: "the project will retain enough flexibility to integrate evolving guidance on the Modalities, Procedures, and Guidelines for the implementation of the Paris Agreement." <i>(see page 9)</i></p> <p>Since The GEF is part of the Steering Committee (as depicted in Annex H), a permanent link with the platform is ensured, which allows for the provision of guidance as necessary, with the consequent adjustment in the Global Coordination Platform's approach.</p>

CEO endorsement Review			
Review Criteria	Questions	Secretariat Comment at CEO Endorsement	Response to Secretariat comments
		<p>(5) On Page 23, in the organigram, please include a box flowing out of GEF CBIT to national level projects. National level projects (by all GEF implementing agencies who are involved in CBIT implementation) would then have a separate box in the organigram, connected to both GEF CBIT (upstream) and CBIT Global Coordination Platform (downstream), running in parallel to the connection between GEF CBIT and CBIT GCP. This way, it would become clearer that GEF CBIT directly interacts with and approves national-level implementation projects, instead of the GCP approving them.</p> <p>(6) When discussing transparency, it may be useful to specify the enhanced transparency framework as defined in Article 13 of the Paris Agreement –not just transparency or MRV in general. For example, on page 7, it states "The primary problem this project will address is hence the lack of a global transparency coordination among development partners, information sharing and knowledge management in the area of MRV."</p>	<p>(5) The organigram has been edited accordingly. A clarification has been provided on the UNDP role: - i.e. that UNDP is tasked with the development of a road map for Phase II of the CBIT Global Coordination Platform (<i>see page 25</i>).</p> <p>(6) References to transparency and to MRV have been checked for consistency, and their meaning clarified in context. For example, the text in page 7 para 4 has been edited and changed to: "The primary problem this project will address is hence the lack of a global coordination platform for information sharing and knowledge management on the enhanced transparency framework, as defined by the article 13 of the Paris Agreement."</p>



CEO endorsement Review			
Review Criteria	Questions	Secretariat Comment at CEO Endorsement	Response to Secretariat comments
		<p>(7) Regarding the references made to the "MRV group of friends," since it is an informally organized group and there is no formal link between the CBIT, the CBIT Global Coordination Platform and the "MRV groups of friends.", it may be best to limit references to engagement with it as with other partners working in relevant initiatives or institutions for coordination and knowledge-sharing.</p> <p>(8) Outcome 1            (8a) Building on overall comments, please remove outputs on information on donor support, including on self-reporting. Please make sure this is removed from the Results Framework as well. Instead, suggest to include information on relevant initiatives/partnerships.</p>	<p>(7) Explicit references to MRV Group of Friends and to other partners or institutions have been removed. We have retained references to other transparency initiatives, without particularizing any, throughout the text.</p> <p>(8) Project output 1.4 has been edited and references to information on donor support removed. In line with that, project outcome 1. has been edited to: “Enhanced coordination and best practice sharing for transparency practitioners through the establishment of a web-based coordination platform”. References to self-reporting by donors have also been removed. We have therefore changed the indicator in Annex A on ‘donors using the platform to make funding decisions’ to ‘Number of entities and institutions using the platform to enhance partnerships’ (see page 30)</p> <p>(8b) Figure 1 has been edited and changed</p>

CEO endorsement Review			
Review Criteria	Questions	Secretariat Comment at CEO Endorsement	Response to Secretariat comments
		<p>(8b) There is no mechanism for the platform to handle support requests, so please do not include this option on the website (as illustrated in Fig 1).</p> <p>(8c) Please clarify the inclusion of the Facilitative Sharing of Views as one source of information exchange, as we do not believe it is relevant for the web-platform. Please ensure there is no overlap with the UNFCCC website and resources—just linkages where relevant.</p> <p>(8d) In addition to indicator 10 from the GEF tracking tool, please consider the indicator QUALITATIVE ASSESSMENT OF INSTITUTIONAL CAPACITY FOR TRANSPARENCY RELATED ACTIVITIES from the CBIT Programming Directions document.</p> <p>(8e) The transparency snapshot idea is interesting but it could have unforeseen</p>	<p>accordingly (<i>see page 11</i>)</p> <p>(8c) The reference to Facilitative Sharing of Views in the context of information exchange has been removed. The Global Coordination Platform will not only include links to the UNFCCC website and resources, but it will also consult the UNFCCC Secretariat and its constituted bodies during the project implementation. This is included in output 1.1 pg. 10; &amp; Output 1.2 pg. 12.</p> <p>(8d) This indicator on institutional capacity for transparency has been added in the Self-assessment tool as described under output 1.2 in <i>page 11</i>. Data collected through the self-assessment tool will inform the Indicators in the tracking tool. The tracking tool has been updated – to the new CBIT tracking tool named “Tracking tool for GEF6 CBIT Projects” (appended as Annex J).</p> <p>(8e) The focus of the transparency snapshot is not the financial amounts associated with transparency initiatives. Rather, the snapshot</p>

CEO endorsement Review			
Review Criteria	Questions	Secretariat Comment at CEO Endorsement	Response to Secretariat comments
		<p>political impacts if it is presented disaggregated by countries Please make sure it is presented very generally in terms of transparency initiatives/efforts and with no associated financial amounts.</p> <p>(8f) Consider using other learning modules in addition to the peer exchange forum, such as webinars and webcasts of country presentations.</p> <p>(9) Outcome 2: Please ensure that material presented during workshops is fed-back to the online platform, as well as to use the workshops as an opportunity of assess the user friendliness and usefulness of the online platform.</p>	<p>will present transparency initiatives/efforts as well as new guidance, methodologies on transparency related work. CBIT success story will also be featured here. There will not be any information on financial amounts displayed in the website, as this information will not be collected - refer to the attached data/information collection tools as appended in Annex O &amp; Annex P.</p> <p>(8f) Included a provision for webinars that explore how practitioners can best use the knowledge exchange module of the platform, and webinars that will draw on sharing lessons learned by countries”, (<i>see Output 1.4 page 13 and output 1.5 page 14</i>).</p> <p>(9) All the materials presented at the workshops will be available in the platform’s module on emerging practices, methodologies, and guidance. A survey questionnaire to assess usability, usefulness, and user acceptance of the online platform will be administered during the workshops (<i>see Output 2.2 page 16</i>).</p>

CEO endorsement Review			
Review Criteria	Questions	Secretariat Comment at CEO Endorsement	Response to Secretariat comments
		<p>(10) Outcome 3: Please provide the self-assessment tool as an Annex.</p> <p>(11) Stakeholders: Please provide additional details on the specific stakeholders and partners the project is working with. Please ensure reference is made to other GEF Implementing Agencies and countries with national CBIT projects. Please also include other initiatives/organizations that are relevant (such as ICAT, etc.).</p> <p>(12) Gender: Please submit the Gender Toolkit for NCs and BUR as an Annex.</p>	<p>(10) The initial version of the self-assessment tool is appended as Annex P. The tool will be further developed to ensure its relevance throughout the project duration.</p> <p>(11) More detailed information on stakeholders in A.3. added (<i>see page 20-21</i>).</p> <p>(12) A link to the Gender Responsive National Communications Toolkit is included in page 22. The toolkit is also appended as Annex Q.</p>
	3. Is the financing adequate and does the project demonstrate a cost-effective approach to meet the project objective?	MGV/DS, June 1, 2017: Yes.	
	4. Does the project take into account potential major risks, including the consequences of climate	MGV/DS, June 1, 2017: Yes.	

CEO endorsement Review			
Review Criteria	Questions	Secretariat Comment at CEO Endorsement	Response to Secretariat comments
	change, and describes sufficient risk response measures? (e.g., measures to enhance climate resilience)		
	5. Is co-financing confirmed and evidence provided?	MGV/DS, June 1, 2017: Yes.	
	6. Are relevant tracking tools completed?	MGV/DS, June 1, 2017: See comment (8d) under Question 2 above.	
	7. <i>Only for Non-Grant Instrument</i> : Has a reflow calendar been presented?	N/A	
	8. Is the project coordinated with other related initiatives and national/regional plans in the country or in the region?	MGV/DS, June 1, 2017: See comments under Question 2 above.	
	9. Does the project include a budgeted M&E Plan that monitors and measures results with indicators and targets?	MGV/DS, June 1, 2017: Yes.	
	10. Does the project have descriptions of a knowledge management plan?	MGV/DS, June 1, 2017: Knowledge management is at the heart of the proposed project.	

CEO endorsement Review			
Review Criteria	Questions	Secretariat Comment at CEO Endorsement	Response to Secretariat comments
<b>Agency Responses</b>	11. Has the Agency adequately responded to comments at the PIF <sup>13</sup> stage from:		
	• GEFSEC	MGV/DS, June 1, 2017: Yes.	
	• STAP		
	• GEF Council		
	• Convention Secretariat		
<b>Recommendation</b>	12. Is CEO endorsement recommended?	MGV/DS, June 1, 2017: Not yet. Please address comments under Question 2 above and submit revised CEO Endorsement Request.	
<b>Review Date</b>	Review	June 01, 2017	
	Additional Review (as necessary)		
	Additional Review (as necessary)		

<sup>13</sup> If it is a child project under a program, assess if the components of the child project align with the program criteria set for selection of child projects.  
GEF6 CEO Endorsement /Approval Template-August 2016

**ANNEX C: STATUS OF IMPLEMENTATION OF PROJECT PREPARATION ACTIVITIES AND THE USE OF FUNDS<sup>14</sup>**

Not applicable

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

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

<sup>14</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.  
GEF6 CEO Endorsement /Approval Template-August 2016

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

Not applicable

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



**ANNEX E: CONSULTANTS TO BE HIRED FOR THE PROJECT USING  
GEF/LDCF/LCCF RESOURCES**

<i>Position Titles</i>	<i>\$/ Person Week</i>	<i>Estimated Person Weeks</i>	<i>Tasks To Be Performed</i>
<b>For Project Management</b>			
Local			
N/A			
International			
N/A			
Justification for travel, if any:			
<b>For Technical Assistance</b>			
Local			
N/A			
International			
Design and Software Programmer	2,000 USD/week	37.5 weeks	<ul style="list-style-type: none"> <li>▪ Develop operational online Global Coordination Platform</li> <li>▪ Develop and design technical content structure developed, maintained and updated throughout the project lifetime</li> <li>▪ Develop self-assessment tool designed and interface for self-progress developed</li> <li>▪ Design illustrations and features of the discussion forum, online library and the country profile site.</li> </ul>
Justification for travel, if any:			

**ANNEX F1: DETAILED GEF BUDGET (GEF FUNDS ONLY, US\$)**

Provided in separate file: Annex F-1 & F-2 - Detail GEF and Co-Finance Budget.xls

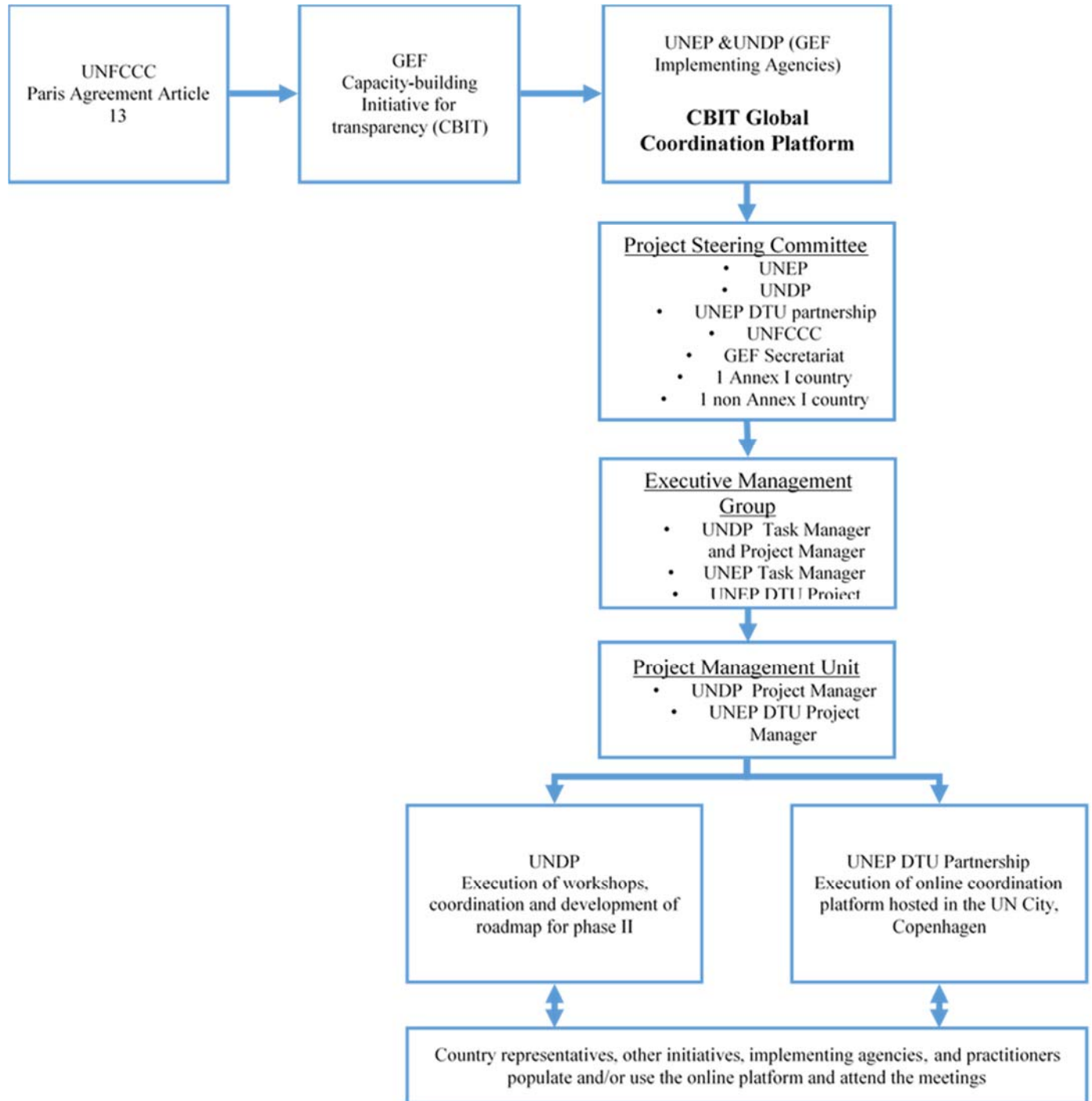
**ANNEX F2: DETAILED COFINANCE BUDGET (US\$)**

Provided in separate file: Annex F-1 & F-2 - Detail GEF and Co-Finance Budget.xls

## **ANNEX G: M&E BUDGET AND WORK PLAN**

<b>M&amp;E Activity</b>	<b>Description</b>	<b>Responsible Parties</b>	<b>Timeframe</b>	<b>Indicative budget (USD)</b>
Half-yearly progress report; Quarterly financial reports;	Part of UN Environment procedures for project monitoring. Quarterly financial: Detailed financial reports (in Excel), with justification of any change;  Bi-annual progress:	Execution: Project Manager	Two (2) bi-annual reports for any given year (July 31 and January 31);  Quarterly financial reports	Part of Project Manager tasks
	Analyses project performance over the reporting period UN Environment; Describes constraints experienced in the progress towards results and the reasons		Last progress & financial Reports within 60 days of project closure of operations	
	Describes Work Plan for the next period in an Annex and the detailed budget divided per output and inputs (budget lines)			
Project Implementation Review (PIR)	Analyses project performance over the reporting period UN Environment; Describes constraints experienced in the progress towards results and the reasons  Draws lessons and makes clear recommendations for future orientation in addressing the key problems in the lack of progress. The PIR is discussed at PSC meetings	Execution: Project Manager	Yearly, by 31 July latest	Part of Project Managers tasks
Final Report	The project team will draft and submit a Project Final Report, with other docs (such as last PIR) can serve as Project Final Report to UN Environment and UNDP, at least two weeks before the PSC meeting for their review and comments; this meeting decides whether any action is needed to achieve the sustainability of project results; and draws lessons to be captured into other projects;  Comprehensive report summarizing all activities, achievements, lessons learned, objectives met or not achieved structures and systems implemented, etc. Lays out recommendations for any further steps that may need to be taken to ensure the sustainability and replication of project activities.	Execution: Project Manager	Final report at least two-three months of the project completion date;	
Terminal Evaluation	Looks at the impacts and sustainability of the results, including the contribution to capacity development and the achievement of global environmental goals.	Execution: UN Environment Evaluation Office  Support: Project Manager	One-three months prior to the end of the project	GEF: 30,000
<b>TOTAL indicative COST</b> <b>(Excluding project team staff time and UN Environment staff and travel expenses)</b>			<b>GEF Grant for M&amp;E: USD 30,000</b>	

**ANNEX H: PROJECT IMPLEMENTATION ARRANGEMENTS**



### **Project Management Unit**

The Project Management Unit (PMU) which constitutes of a UNDP Project Manager and a UNEP DTU Project Manager will be responsible for day to day management of the project. The two Project Managers will be responsible for execution of the respective project components under the CBIT project. The project managers will also be expected to identify critical links and synergies between the components of the project through biweekly meetings.

### **Executive Management Group**

The executive management group (EMG) will comprise representatives from:

- UN Environment (task manager),
- UNDP (project manager and task manager),
- UNEP DTU (project manager)

The EMG will oversee the implementation of the project through monthly meetings. Its main functions will be to approve management decisions and ensure timely delivery of quality outputs. The main purpose of the EMG is to establish a very close coordination between UN Environment and UNDP in order to ensure the execution of the activities of the three components as one single project. The two project managers will act as the EMG Secretariat.

### **Project Steering Committee**

The Project Steering Committee (PSC) will comprise representatives from:

- UN Environment,
- UNDP,
- UNEP DTU partnership
- UNFCCC representative
- GEF Secretariat representative
- 1 Annex I country representative
- 1 non Annex I country representative

The Committee will be responsible for reviewing project progress, approving annual work plans, budget and providing strategic guidance to the EMG. The PSC will meet annually, unless one of the committee members call for ad hoc interim meeting. It will allow users as well as the key donor and the UNFCCC to participate in the decision-making process. The PSC meetings will be organized back to back with some of the other workshops or side events organized by the project.

### **Implementing Agencies (UN Environment and UNDP)**

- Ensure timely disbursement/sub-allotment to executing partner (UNEP DTU partnership), based on agreed legal document and in accordance with UN Environment and GEF fiduciary standards
- Follow-up with Executing partner for progress, equipment, financial and audit reports
- Provide consistent and regular oversight on project execution and conduct project supervisory missions as per Supervision Plans and in doing so ensures that all UN Environment, UNDP and GEF criteria, rules and regulations are adhered to by project partners;

- Technically assess and oversee quality of project outputs, products and deliverables – including formal publications
- Provide no-objection to main ToRs and subcontracts issued by the project, including selection of project manager or equivalent
- Attend and facilitate inception workshops, field visits where relevant, and selected steering committee meetings
- Assess project risks, and monitor and enforce a risk management plan
- Regularly monitors project progress and performance and rates progress towards meeting project objectives, project execution progress, quality of project monitoring and evaluation, and risk;
- Monitor reporting by project executing partners and provides prompt feedback on the contents of the report;
- Promptly informs management of any significant risks or project problems and takes action and follows up on decisions made;
- Apply adaptive management principles to the supervision of the project
- Review of reporting, checking for consistency between execution activities and expenditures, ensuring that it respects GEF rules,
- Clearance of cash requests, and authorization of disbursements once reporting found to be complete
- Approve budget revision, certify fund availability and transfer funds
- Ensure that GEF, UN Environment and UNDP quality standards are applied consistently to all projects, including branding and safeguards
- Certify project operational completion
- Link the project partners to any events organised by GEF, UN Environment and UNDP to disseminate information on project results and lessons
- Manage relations with GEF

#### **Executing Agencies (UNEP DTU Partnership and UNDP)**

- Proper achievement of the objectives of the Project;
- Monitoring and evaluation of the project outputs and outcomes;
- Effective use of resources allocated to it;
- Timely availability of financing to support project implementation;
- Proper coordination among all project stakeholders; in particular coordination between both executing agencies
- Timely submission of all project reports, including work plans and financial reports.

## **ANNEX I: PROJECT WORK PLAN AND DELIVERABLES**

Provided in separate file: Annex I Project Work plan and Deliverables

**ANNEX J: TRACKING TOOL FOR GEF-6 CBIT PROJECTS**

Provided in separate file: Annex J Tracking tool for GEF6 CBIT projects



**ANNEX K: OFP ENDORSEMENT LETTERS**

Not applicable

## ANNEX L: CO-FINANCING LETTERS FROM PROJECT PARTNERS

24 February 2017  
Mrs. Naoko Ishii  
CEO and Chairperson  
Global Environment Facility  
1818 H Street, NW, Mail Stop P4-400  
Washington, DC 20433



### **Support for the 'CBIT Global Coordination Platform' Initiative**

I have the pleasure to confirm UNEP DTU's support to the project "CBIT Global Coordination Platform" which we believe will support overcoming the lack of national transparency capacities and limited coordination efforts through three pillars: (I) the centralization of and easy-access to information through a web-based transparency coordination platform; (II) the identification of gaps and needs for enhanced transparency systems; and (III) coordination through workshops and the platform.

The UNEP DTU Partnership (UDP), earlier known as UNEP-Risø Centre on Energy, Climate and Sustainable Development, supports UN Environment in its aim to incorporate environmental and development aspects into climate change planning and policy worldwide, with special emphasis on assisting developing countries. Under its overarching mandate to support UN Environment in implementing its climate change strategy, UDP's mission is to facilitate a shift towards low-carbon energy, transport, waste management and agro-forestry systems and support climate resilient sustainable development. With the ratification of the Paris Agreement, UDP has furthermore increased its support to developing countries in the area of measuring, reporting and verification (MRV) of national climate action plans and *transparency* as outlined in article 13 of the Paris Agreement.

In line with its commitments and overall mandate, UDP affirms its role as the executing agency of the "CBIT Global Coordination Platform" project and UDP will through the "Initiative for Climate Action Transparency" (ICAT) make an in-kind contribution from our existing activities with a value of USD 400,000 over the 18 months lifetime of the project.

A team of 13 experts already involved in the ICAT project will form a key component of the "CBIT Global Coordination Platform" initiative and provide technical assistance through the project. The experts will provide support in the areas listed below, but should not be limited to these areas if needs or opportunities for other types of engagement arise.

- Promote self-assessment tool for countries to assess the state of their national transparency
- Support population of the coordination platform with data, methodologies and lessons learned from ICAT



UNEP DTU Partnership  
Department of Management Engineering  
Technical University of Denmark – DTU  
UN City, Marmorvej 51  
DK-2100 Copenhagen Ø, DENMARK

Phone +45 4533 5250  
unep@dtu.dk  
www.unepdtu.org

UDP welcomes this important initiative of the GEF and UN Environment, and is pleased to be a part of it. Our team looks forward to working with UN Environment and UNDP to enhance coordination for MRV and *transparency* development partners and practitioners.

Yours sincerely,



**Peter Skotner**  
**Deputy Director**  
**UNEP-DTU Partnership**

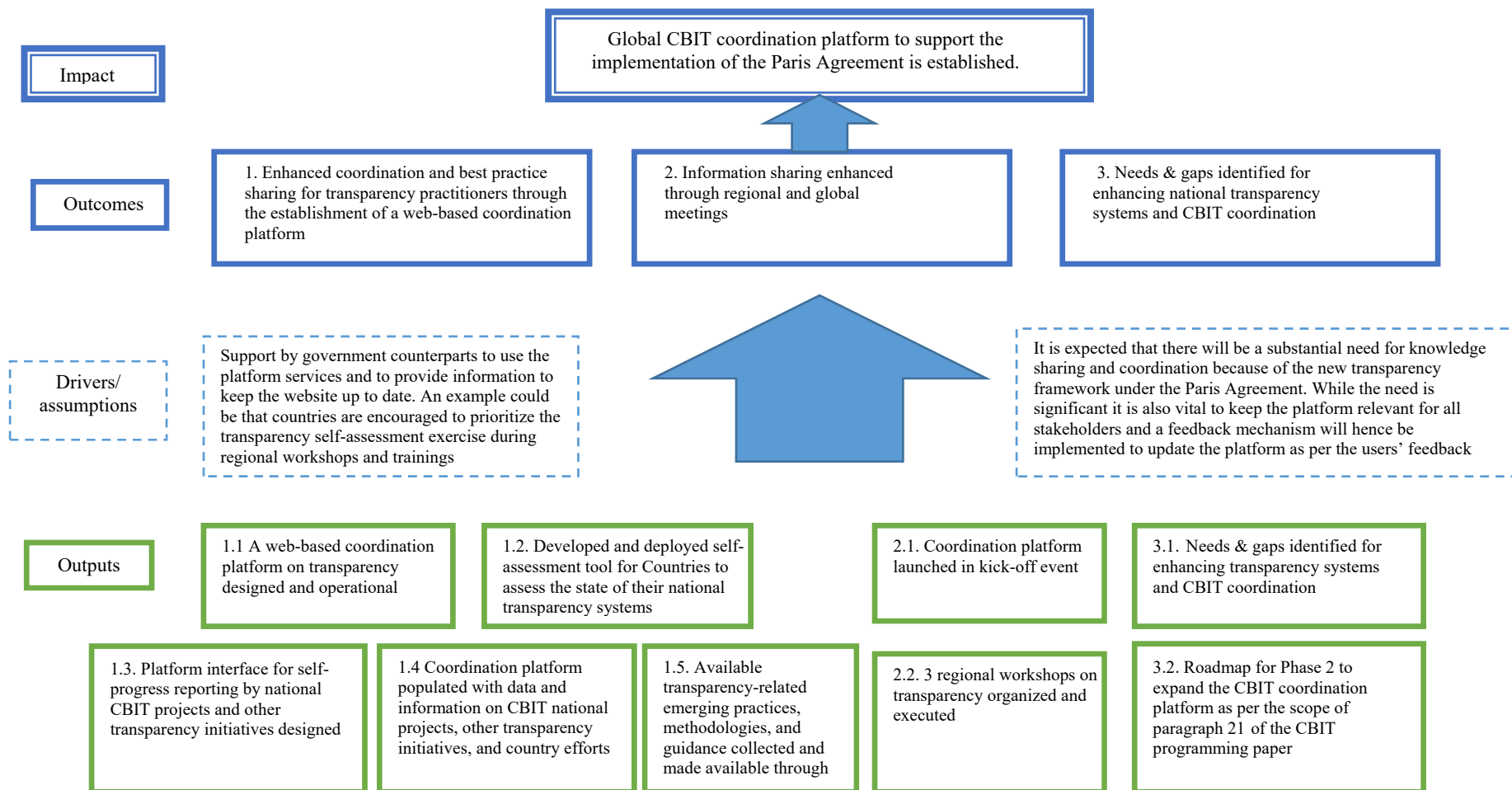


UNEP DTU Partnership  
Department of Management Engineering  
Technical University of Denmark – DTU  
UN City, Marmorvej 51  
DK-2100 Copenhagen Ø, DENMARK

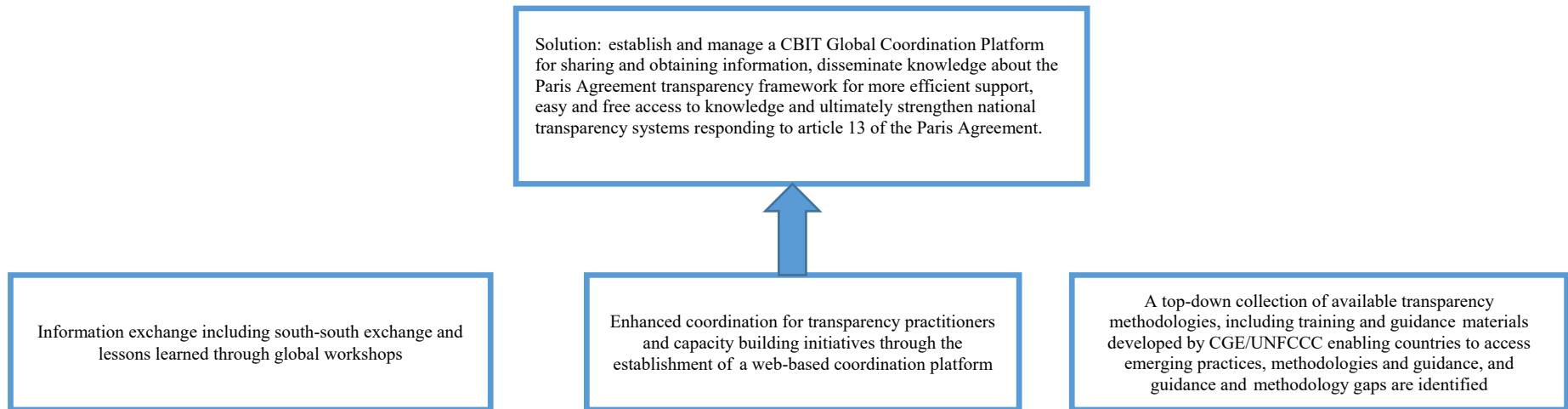
Phone +45 4533 5250  
unep@dtu.dk  
www.unepdtu.org

# ANNEX M: PROBLEM TREE AND THEORY OF CHANGE

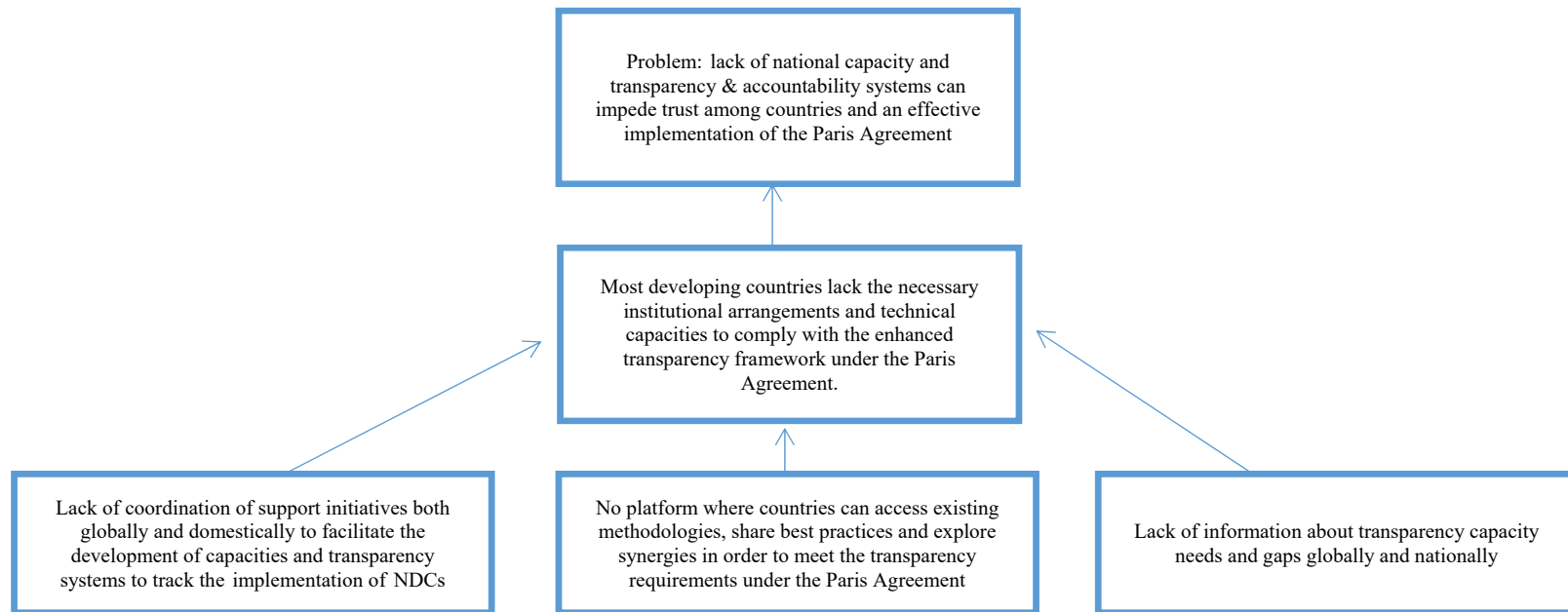
## Theory of Change



## Solution Tree



## Problem Tree



## **ANNEX N: ENVIRONMENTAL AND SOCIAL SAFEGUARDS CHECKLIST**

### UN Environment Environmental, Social and Economic Review Note (ESERN)

#### I. Project Overview

<b>Identification</b>	<b>01512</b>
Project Title	Project preparation proposal for CBIT Global Coordination Platform
Managing Division	
<b>Type/Location</b>	Global
<b>Region</b>	Global
List Countries	Global
Project Description	<p>The objective of the project is to establish a global Capacity Building Initiative for Transparency coordination platform to support the implementation of the Paris Agreement.</p> <p>The Global Coordination GEF project will support overcoming the lack of national transparency capacities and limited coordination efforts through three pillars: (I) the centralization of and easy-access to information through a web-based transparency coordination platform; (II) the identification of gaps and needs for enhanced transparency systems; and (III) coordination through events and said platform.</p>
Estimated duration of project:	18 months
Estimated cost of the project :	USD 1,000,000 from GEF Grant, USD 400,000 from co-finance

## II. Environmental Social and Economic Screening Determination

### A. Summary of the Safeguard Risks Triggered

Safeguard Standard Triggered by the Project	Impact of Risk <sup>15</sup> (1-5)	Probability of Risk (1-5)	Significance of Risk (L, M, H)
SS 1: Biodiversity, natural habitat and Sustainable Management of Living Resources	1	1	L
SS 2: Resource Efficiency, Pollution Prevention and Management of Chemicals and Wastes	1	1	L
SS 3: Safety of Dams	1	1	L
SS 4: Involuntary resettlement	1	1	L
SS 5: Indigenous peoples	1	1	L
SS 6: Labor and working conditions	1	1	L
SS 7: Cultural Heritage	1	1	L
SS 8: Gender equity	1	1	L
SS 9: Economic Sustainability	1	1	L
Additional Safeguard questions for projects seeking GCF-funding (Section IV)			

### B. ESE Screening Decision<sup>16</sup> (Refer to the UN Environment ESES Framework (Chapter 2) and the UN Environment's ESES Guidelines.)

Low risk  Moderate risk  High risk  Additional information required

### C. Development of ESE Review Note and Screening Decision:

Prepared by: \_\_\_\_\_ Name: Tania Daccarett \_\_\_\_\_ Date: 16/02/2017 \_\_\_\_\_

Safeguard Advisor: \_\_\_\_\_ Name: \_\_\_\_\_ Date: \_\_\_\_\_

<sup>15</sup> Refer to UN Environment, Environment, Social and Economic Sustainability (ESES): Implementation Guidance Note to assign values to the Impact of Risk and the Probability of Risk to determine the overall significance of Risk (Low, Moderate or High).

<sup>16</sup> **Low risk:** Negative impacts negligible: no further study or impact management required.

**Moderate risk:** Potential negative impacts, but less significant; few if any impacts irreversible; impact amenable to management using standard mitigation measures; limited environmental or social analysis may be required to develop a ESEMP. Straightforward application of good practice may be sufficient without additional study.

**High risk:** Potential for significant negative impacts, possibly irreversible, ESEA including a full impact assessment may be required, followed by an effective safeguard management plan.

Project Manager:            Name: _____ Date: _____
<b>D. Recommended further action from the Safeguard Advisor:</b>



**III. ESES Principle and Safeguard checklist**

(Section III and IV should be retained in UN Environment)

<b>Precautionary Approach</b>
The project will take precautionary measures even if some cause and effect relationships are not fully established scientifically and there is risk of causing harm to the people or to the environment.
<b>Human Rights Principle</b>
The project will make an effort to include any potentially affected stakeholders, in particular vulnerable and marginalized groups; from the decision making process that may affect them.
The project will respond to any significant concerns or disputes raised during the stakeholder engagement process.
The project will make an effort to avoid inequitable or discriminatory negative impacts on the quality of and access to resources or basic services, on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups. <sup>17</sup>

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

<sup>17</sup> Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to “women and men” or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

Will the proposed project activities result in soils deterioration and land degradation?		
Will the proposed project interventions cause any changes to the quality or quantity of water in rivers, ponds, lakes or other wetlands?	N	
Will the proposed project possibly introduce or utilize any invasive alien species of flora and fauna, whether accidental or intentional?	N	
<b>Safeguard Standard 2: Resource Efficiency, Pollution Prevention and Management of Chemicals and Wastes</b>		
Will the proposed project likely result in the significant release of pollutants to air, water or soil?	N	
Will the proposed project likely consume or cause significant consumption of water, energy or other resources through its own footprint or through the boundary of influence of the activity?	N	The on-line platform and the travels for workshops from representatives from countries all around the world will lead to energy consumption. However, these impacts are not considered significant.
Will the proposed project likely cause significant generation of Green House Gas (GHG) emissions during and/or after the project?	N	On the contrary, the project aims to contribute to enhanced ambitions in reducing GHG emissions from the countries.
Will the proposed project likely generate wastes, including hazardous waste that cannot be reused, recycled or disposed in an environmentally sound and safe manner?	N	
Will the proposed project use, cause the use of, or manage the use of, storage and disposal of hazardous chemicals, including pesticides?	N	
Will the proposed project involve the manufacturing, trade, release and/or use of hazardous materials subject to international action bans or phase-outs, such as DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Convention on Persistent Organic Pollutants or the Montreal Protocol?	N	
Will the proposed project require the procurement of chemical pesticides that is not a component of integrated pest management (IPM) <sup>18</sup> or integrated vector management (IVM) <sup>19</sup> approaches?	N	
Will the proposed project require inclusion of chemical pesticides that are included in IPM or IVM but high in human toxicity?	N	

<sup>18</sup> "Integrated Pest Management (IPM) means the careful consideration of all available pest control techniques and subsequent integration of appropriate measures that discourage the development of pest populations and keep pesticides and other interventions to levels that are economically justified and reduce or minimize risks to human health and the environment. IPM emphasizes the growth of a healthy crop with the least possible disruption to agro-ecosystems and encourages natural pest control mechanisms <http://www.fao.org/agriculture/crops/thematic-sitemap/theme/pests/ipm/en/>

<sup>19</sup> "IVM is a rational decision-making process for the optimal use of resources for vector control. The approach seeks to improve the efficacy, cost-effectiveness, ecological soundness and sustainability of disease-vector control. The ultimate goal is to prevent the transmission of vector-borne diseases such as malaria, dengue, Japanese encephalitis, leishmaniasis, schistosomiasis and Chagas disease." ([http://www.who.int/neglected\\_diseases/vector\\_ecology/ivm\\_concept/en/](http://www.who.int/neglected_diseases/vector_ecology/ivm_concept/en/))

Will the proposed project have difficulty in abiding to FAO's International Code of Conduct <sup>20</sup> in terms of handling, storage, application and disposal of pesticides?	N	
Will the proposed project potentially expose the public to hazardous materials and substances and pose potentially serious risk to human health and the environment?	N	
<b>Safeguard Standard 3: Safety of Dams</b>		
Will the proposed project involve constructing a new dam(s)?	N	
Will the proposed project involve rehabilitating an existing dam(s)?	N	
Will the proposed project activities involve dam safety operations?	N	
<b>Safeguard Standard 4: Involuntary resettlement</b>		
Will the proposed project likely involve full or partial physical displacement or relocation of people?	N	
Will the proposed project involve involuntary restrictions on land use that deny a community the use of resources to which they have traditional or recognizable use rights?	N	
Will the proposed project likely cause restrictions on access to land or use of resources that are sources of livelihood?	N	
Will the proposed project likely cause or involve temporary/permanent loss of land?	N	
Will the proposed project likely cause or involve economic displacements affecting their crops, businesses, income generation sources and assets?	N	
Will the proposed project likely cause or involve forced eviction?	N	
Will the proposed project likely affect land tenure arrangements, including communal and/or customary/traditional land tenure patterns negatively?	N	
<b>Safeguard Standard 5: Indigenous peoples<sup>21</sup></b>		
Will indigenous peoples be present in the proposed project area or area of influence?	N	
Will the proposed project be located on lands and territories claimed by indigenous peoples?	N	
Will the proposed project likely affect livelihoods of indigenous peoples negatively through affecting the rights, lands and territories claimed by them?	N	
Will the proposed project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	N	
Will the project negatively affect the development priorities of indigenous peoples defined by them?	N	
Will the project potentially affect the traditional livelihoods, physical and cultural survival of indigenous peoples?	N	
Will the project potentially affect the Cultural Heritage of indigenous peoples, including through the	N	

<sup>20</sup> Find more information from [http://www.fao.org/fileadmin/templates/agphome/documents/Pests\\_Pesticides/Code/CODE\\_2014Sep\\_ENG.pdf](http://www.fao.org/fileadmin/templates/agphome/documents/Pests_Pesticides/Code/CODE_2014Sep_ENG.pdf)

<sup>21</sup> Refer to the Toolkit for the application of the UN Environment Indigenous Peoples Policy Guidance for further information.

commercialization or use of their traditional knowledge and practices?		
<b>Safeguard Standard 6: Labor and working conditions</b>		
Will the proposed project involve the use of forced labor and child labor?	N	
Will the proposed project cause the increase of local or regional un-employment?	N	
<b>Safeguard Standard 7: Cultural Heritage</b>		
Will the proposed project potentially have negative impact on objects with historical, cultural, artistic, traditional or religious values and archeological sites that are internationally recognized or legally protected?	N	
Will the proposed project rely on or profit from tangible cultural heritage (e.g., tourism)?	N	
Will the proposed project involve land clearing or excavation with the possibility of encountering previously undetected tangible cultural heritage?	N	
Will the proposed project involve in land clearing or excavation?	N	
<b>Safeguard Standard 8: Gender equity</b>		
Will the proposed project likely have inequitable negative impacts on gender equality and/or the situation of women and girls?	N	
Will the proposed project potentially discriminate against women or other groups based on gender, especially regarding participation in the design and implementation or access to opportunities and benefits?	N	
Will the proposed project have impacts that could negatively affect women's and men's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?	N	
<b>Safeguard Standard 9: Economic Sustainability</b>		
Will the proposed project likely bring immediate or short-term net gain to the local communities or countries at the risk of generating long-term economic burden (e.g., agriculture for food vs. biofuel; mangrove vs. commercial shrimp farm in terms of fishing, forest products and protection, etc.)?	N	
Will the proposed project likely bring unequal economic benefits to a limited subset of the target group?	N	

## **UNDP Social and Environmental Screening**

### **Project Information**

<b><i>Project Information</i></b>	
1. Project Title	CBIT Global Coordination Platform
2. Project Number	6041
3. Location (Global/Region/Country)	Global

### **Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability**

#### **QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?**

##### ***Briefly describe in the space below how the Project mainstreams the human-rights based approach***

The projects is aimed at improving national capacities in understanding climate change and in implementing climate action at the national level. Through this support, Countries will be able to have a better knowledge on how climate change will impact national sustainable development, thus protecting and promoting human rights.

##### ***Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment***

Through its focus on reducing gender inequalities, the project is engaged in elaborating gender & climate guidance toolkits and in facilitating their implementation in pilot countries. so that Parties increase the integration of gender considerations into their national climate change documents.

##### ***Briefly describe in the space below how the Project mainstreams environmental sustainability***

This a global project aimed at improving national capacities on climate change, while incentivizing countries to move toward a low carbon and resilient development.

**Part B. Identifying and Managing Social and Environmental Risks**

<p><b>QUESTION 2: What are the Potential Social and Environmental Risks?</b>  <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.</i></p>	<p><b>QUESTION 3: What is the level of significance of the potential social and environmental risks?</b>  <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i></p>			<p><b>QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?</b></p>
<b>Risk Description</b>	<b>Impact and Probability (1-5)</b>	<b>Significance (Low, Moderate, High)</b>	<b>Comments</b>	<b>Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.</b>
Risk 1: ....	I = P =			
Risk 2: ....	I = P =			
Risk 3: ....	I = P =			
Risk 4: ....	I = P =			
[add additional rows as needed]				
	<b>QUESTION 4: What is the overall Project risk categorization?</b>			
	<b>Select one (see <a href="#">SESP</a> for guidance)</b>			<b>Comments</b>
	<i>Low Risk</i>	<input checked="" type="checkbox"/>	As per the annex below, this project does not entail any risk for human rights, women empowerment or environmental sustainability. No risk has been identified.	
	<i>Moderate Risk</i>	<input type="checkbox"/>		
	<i>High Risk</i>	<input type="checkbox"/>		
	<b>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?</b>			
	Check all that apply			Comments

	<i>Principle 1: Human Rights</i>	<input type="checkbox"/>	
	<i>Principle 2: Gender Equality and Women's Empowerment</i>	<input type="checkbox"/>	
	<i>1. Biodiversity Conservation and Natural Resource Management</i>	<input type="checkbox"/>	
	<i>2. Climate Change Mitigation and Adaptation</i>	<input type="checkbox"/>	
	<i>3. Community Health, Safety and Working Conditions</i>	<input type="checkbox"/>	
	<i>4. Cultural Heritage</i>	<input type="checkbox"/>	
	<i>5. Displacement and Resettlement</i>	<input type="checkbox"/>	
	<i>6. Indigenous Peoples</i>	<input type="checkbox"/>	
	<i>7. Pollution Prevention and Resource Efficiency</i>	<input type="checkbox"/>	

### Final Sign Off

<i>Signature</i>	<i>Date</i>	<i>Description</i>
QA Assessor		UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have “checked” to ensure that the SESP is adequately conducted.
QA Approver		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have “cleared” the SESP prior to submittal to the PAC.
PAC Chair		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

## **SESP Attachment 1. Social and Environmental Risk Screening Checklist**

<b>Checklist Potential Social and Environmental Risks</b>		<b>Answer (Yes/No)</b>
<b>Principles 1: Human Rights</b>		
1.	Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
2.	Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? <sup>22</sup>	No
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	No
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	No
5.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	No
6.	Is there a risk that rights-holders do not have the capacity to claim their rights?	No
7.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
8.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	No
<b>Principle 2: Gender Equality and Women's Empowerment</b>		
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	No
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No
3.	Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	No
4.	Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	No
<b>Principle 3: Environmental Sustainability:</b> Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
<b>Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management</b>		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?  <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	No
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or	No

<sup>22</sup> Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.



	recognized as such by authoritative sources and/or indigenous peoples or local communities?	
1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	No
1.4	Would Project activities pose risks to endangered species?	No
1.5	Would the Project pose a risk of introducing invasive alien species?	No
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	No
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	No
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	No
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i>	No
<b>Standard 2: Climate Change Mitigation and Adaptation</b>		
2.1	Will the proposed Project result in significant <sup>23</sup> greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	No
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No
<b>Standard 3: Community Health, Safety and Working Conditions</b>		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No

<sup>23</sup> In regards to CO<sub>2</sub>, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	No
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
<b>Standard 4: Cultural Heritage</b>		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
<b>Standard 5: Displacement and Resettlement</b>		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	No
5.3	Is there a risk that the Project would lead to forced evictions? <sup>24</sup>	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No
<b>Standard 6: Indigenous Peoples</b>		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	No
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	No
6.3	Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?  <i>If the answer to the screening question 6.3 is “yes” the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.</i>	No
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No

<sup>24</sup> Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	No
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
<b>Standard 7: Pollution Prevention and Resource Efficiency</b>		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	No
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	No
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No

**ANNEX O: PROJECT DATABASE TEMPLATE**

Provided in separate file: Annex O Project Database Template.

**ANNEX P: SELF-ASSESSMENT TOOL**

Provided in separate file: Annex P Self Assessment Tool

**ANNEX Q: GENDER RESPONSIVE NATIONAL COMMUNICATIONS TOOLKIT**

Provided in separate file: Annex Q Gender Responsive National Communications Toolkit

## **ANNEX R: ACRONYMS AND ABBREVIATIONS:**

APA	Ad hoc Working Group on the Paris Agreement
BUR	Biennial Update Report
CBIT	Capacity-building Initiative for Transparency
CDM	Clean Development Mechanism
CGE	Consultative Group of Experts
COP	Conference of the Parties
FIRM	Facilitating implementation and readiness for mitigation
GCP	Global Coordination Platform
GEF	Global Environment Facility
GHG	Greenhouse Gases
GSP	Global Support Programme
ICAT	Initiative for Climate Action Transparency
IPCC	Intergovernmental Panel on Climate Change
MRV	Measurement, Reporting, and Verification
NAMA	Nationally Appropriate Mitigation Action
NC	National Communications
NDC	Nationally Determined Contribution
SBSTA	Subsidiary Body for Scientific and Technologic Advice
UNDP	United Nations Development Programme
UN	
Environment	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change

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