



UNITED NATIONS ENVIRONMENT PROGRAMME

Programme des Nations Unies pour l'environnement Programa de las Naciones Unidas para el Medio Ambiente
Программа Организации Объединенных Наций по окружающей среде برنامج الأمم المتحدة للبيئة

联合国环境规划署



PROJECT DOCUMENT

SECTION 1: PROJECT IDENTIFICATION

1.1	Project title:	Umbrella Programme for National Communication to the UNFCCC
1.2	Project number:	GFL/ PMS:
1.3	Project type:	FSP
1.4	Trust Fund:	GEF
1.5	Strategic objectives:	
	GEF strategic long-term objective:	Climate Change Enabling Activity
	Strategic programme for GEF V:	CCM6: Support enabling activities and capacity building under the Convention
1.6	UNEP priority:	Climate change
1.7	Geographical scope:	Global: 12 Small Island Developing States and Least Developed Countries (Bahrain, Benin, Bhutan, Comoros, Cook Islands, Eritrea, Lao DPR, Nauru, Mauritius, Sao Tome and Principe, Seychelles and Tanzania)
1.8	Mode of execution:	External
1.9	Project executing organization:	12 LDCs and SIDS Parties to the UNFCCC
1.10	Duration of project:	48 months Commencing date: April 2013 Initial completion date: March, 2017
1.11	Validity of legal instrument:	September 2017

COST OF PROJECT	US\$	%
Cost to the GEF Trust Fund	6,180,000	85
Co-financing		
Cash	-	
Sub-total	0	
In-kind		
National Governments	1,008,000	13.8
UNEP/DTIE	90,000	1.2
Sub-total	1,098,000	15.0
TOTAL	7,278,000	100

1.12 Project summary

The umbrella programme targets to assist Least Developed Countries and Small Island Developing States meet their reporting obligations as outline in Article 12.1 of the United Nations Framework Convention on Climate Change (UNFCCC). This article stipulates that Parties to the UNFCCC shall communicate to the CoP through the secretariat, the following elements of information: (a) A national inventory of anthropogenic emissions by sources and removals by sinks of all greenhouse gases not controlled by the Montreal Protocol, to the extent its capacities permit, using comparable methodologies to be promoted and agreed upon by the Conference of the Parties; (b) A general description of steps taken or envisaged by the Party to implement the Convention; and (c) Any other information that the Party considers relevant to the achievement of the objective of the Convention and suitable for inclusion in its communication, including, if feasible, material relevant for calculations of global emission trends.

This reporting requirement under the UNFCCC not only offers countries the opportunity to document domestic efforts aimed at addressing climate change, but also promotes and facilitates exchange of information on measures adopted by the Parties to address climate change and its effects, taking into account the different national circumstances, responsibilities and capabilities as well as their respective commitments under the Convention. Information provided in these reports assist the Conference of Parties (COP) assess the implementation of the Convention by the Parties as well as the extent of progress made towards the achievement of the objective of the Convention.

The umbrella programme responds to relevant COP decisions requesting the GEF to ensure continuous financial and technical support to Non-Annex I Parties for the preparation of their NC. Continuous provision of technical and financial support for preparation of NCs ensures that the momentum and capacities created through previous NC formulation processes are maintained and strengthened. The project targets to provide financial and technical support to assist twelve LDCs and SIDS expeditiously prepare their project proposals and subsequently, their National Communications through a streamlined and expedited approach adopted by the United Nations Environment Programme (UNEP).

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ACRONYMS AND ABBREVIATIONS

CGE	Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention
COP	Conference of Parties
DELC	UNEP Division of Environmental Law and Conventions
DEPI	UNEP Division of Environmental Policy and Implementation
DEWA	UNEP Division of Early Warning and Assessments
DRC	UNEP Division of Regional Cooperation
DTIE	UNEP Division of Technology, Industry and Economics
EA	Executing Agency
GEF	Global Environment Facility
GHG	Green House Gas(es)
IA	Implementing Agency
INC	Initial National Communication
IPCC	Intergovernmental Panel on Climate Change
LDCs	Least Developed Countries
NAPA	National Adaptation Programme of Actions
NC	National Communication to the UNFCCC
NCSP	National Communications Support Programme
PCA	Project Cooperation Agreements
PEI	Poverty-Environment Initiative
PIR	Project Implementation Review
PMC	Project Management Cost
PMU	Project Management Unit
SBs	Subsidiary Bodies
SBI	Subsidiary Body for Implementation
SIDS	Small Island Developing States
SNC	Second National Communication
TNC	Third National Communication
TOR	Terms of Reference
UNDAF	The United Nations Development Assistance Framework
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UN-REDD	United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries
V&A	Vulnerability and Adaptation Assessment

SECTION 2: BACKGROUND AND SITUATION ANALYSIS (BASELINE COURSE OF ACTION)

2.1. Background and context

1. Non-Annex I Parties give a very high priority to the preparation of National Communications. Not only are these reports their only reporting requirement to the UNFCCC but they are also one of the main mechanism countries have in place to bring climate change related information to the attention of national policy makers, relevant institutions, the wider national audience as well as to multilateral and bilateral development partners. National Communication preparations present unique opportunities to countries to integrate climate change into national development priorities, through establishment of national institutional frameworks and coordination mechanisms.
2. With increasing recognition that climate change and development are intrinsically linked and that climate risks are a significant threat to development efforts, NCs are no longer perceived as an international obligation only but more importantly as a strategic tool to assist governments align development priorities and climate change concerns. Countries have made significant efforts to incorporate a wider range of stakeholders during NC preparation through advisory committees and consultations across different sectors. Institutional coordination among government entities and other institutions has also strengthened the political support to the NCs. This has in turn created higher awareness on climate change issues, which is currently reflected in the interest by many countries to use the NCs as a vehicle to foster actions and policies that address climate change.
3. It is important that the momentum and capacities created at national levels over the years be maintained and strengthened through timely provision of appropriate financial and technical support to non-Annex I Parties. The SBI recognized the importance of the continuity of the National Communication preparation process. In draft conclusions of the SBI's thirtieth session, under Agenda item 4 (c) *Provision of financial and technical support of National communications from Parties not included in Annex I to the Convention*, the SBI "encouraged non-Annex I Parties to submit project proposals for the funding of their subsequent national communications before completion of their current national communications, so as to avoid a lack of continuity in project financing.
4. In the same conclusions the SBI "...urged the GEF, in accordance with decision 4/CP.14, to ensure, as a top priority, that sufficient financial resources are provided to meet the agreed full costs incurred by developing country Parties in complying with their obligations under Article 12, paragraph 1, of the Convention, noting and welcoming that a number of non-Annex I Parties plan to initiate the preparation of their third or fourth national communications during the fifth replenishment of the GEF."
5. Presently there are 152 non-Annex I Parties to the Convention, out of which 49 Parties are classified as least developed countries (LDCs) by the United Nations. These Parties are given special consideration under the Convention on account of their limited capacity to respond to climate change and adapt to its adverse effects.
6. As of 19th February, 2013, one hundred and forty three (143) non-Annex I Parties had submitted their initial national communications, eighty four (84) their SNC, three (3) their TNC, one (1) Party its FNC and one (1) Party its Fifth NC. For the twelve (12) countries covered by this project, seven (7) of them have already submitted their SNC and the remaining five (5) plan to submit their SNC by March 2013, as presented in the report of the GEF to the COP on status of NCs implementation compiled by UNDP and UNEP in document FCCC/CP/2012/6/Add.1. As these

countries finalize their current round of NCs, there is concern that a funding gap may hinder the progress countries have made to consolidate the NC process.

7. Having recognized challenges faced by LDCs and SIDS in formulating and implementing National Communications projects, UNEP has initiated an umbrella programme targeted to supporting LDCs and SIDS prepare their National Communications. In addition to providing administrative related –support, and assisting in identification of experts, the programme will support the organization of nationally and sub-regionally funded workshops to train country teams on key components of the national reporting and on mainstreaming climate change into national and sectoral planning frameworks. Details of the proposed enhanced implementation functions to be performed by UNEP are outlined in the **CEO Endorsement Request, Section B1**.
8. The following is the list of the thirteen (12) LDCs and SIDS under this programme (see table 1 below), with UNEP serving as the GEF Implementing Agency. Letters of Endorsement of this programme received from respective GEF Operational Focal Points is attached. (See list of GEF Operational Focal Points in **Appendix 5**.)

Table 1: National Communications to be prepared under the project

No.	Country	First National Communication	Second National Communication	Third National Communication
1	Bahrain			✓
2	Benin			✓
3	Bhutan			✓
4	Comoros ¹			✓
5	Cook Islands			✓
6	Eritrea			✓
7	Lao DPR			✓
8	Mauritius			✓
9	Nauru			✓
10	Sao Tome and Principe			✓
11	Seychelles			✓
12	Tanzania			✓

¹ Comoros replaces Mali who decided to drop out of the Umbrella project. The LoE of Comoros is attached.

2.2. Global significance

9. Recent climate change assessments, including the Fourth Assessment Report (AR4) of the United Nations Intergovernmental Panel on Climate Change (IPCC), indicate that warming of the climate system is unequivocal and that the observed increase in global average temperatures is very likely due to anthropogenic greenhouse gas concentrations. In 1992, countries joined an international treaty, the United Nations Framework Convention on Climate Change, to cooperatively consider what they could do to limit average global temperature increases and the resulting climate change, and to cope with whatever impacts were, by then, inevitable.
10. Parties to the United Nations Framework Convention on Climate Change Convention are required to submit national reports on implementation of the Convention to the Conference of the Parties (COP). Preparation of National Communications promote and facilitate exchange of information on measures adopted by Parties to address climate change and its effects, taking into account

differing circumstances, responsibilities and capabilities as well as, avail information to assist the Conference of Parties (COP) assess progress made towards achieving of the objective of the Convention.

11. The project target to supports 12 non –Annex I Parties meet their obligation under the Convention in addition to offering these countries an opportunity to document domestic efforts aimed at addressing climate change. The project will support studies/assessments in the areas of national greenhouse gas (GHG) inventories, GHG mitigation, and Vulnerability and Adaptation to climate impacts, that lead to the development of relevant policy instruments which inform and guide formulation of cost-effective project proposals in the areas of GHG mitigation and climate change adaptation

2.3. Threats, root causes and barrier analysis

12. Preparation of National Communications is the only obligation of Non-Annex I Parties under the Convention. This makes the risk of countries not delivering the project outputs to be considered minimal. Furthermore, the majority of countries participating in this programme have already completed preparing their Initial and Second National Communications, with only a handful of countries initiating their SNC. This has led to most countries having already established a reasonable technical and institutional basis to prepare their subsequent NCs. The main project risk, however, is related to the depth and quality of the studies carried out as well as the consultation and institutional processes established for the preparation of the NCs. Although technical capacities have been developed through the previous NC process and institutional arrangements have been set up, countries still face limited capacities given the complexities of some of the areas to be addressed under the NCs. There is also a risk of high staff turnover which can in turn affect the quality of the studies.
13. To reduce these risks, UNEP will work closely with national teams and responsible institutions to ensure adequate support and follow up at the technical level. Details on project risks, f the proposed enhanced implementation functions to be performed by UNEP are outlined in **Table 2** on Project Risk Analysis and Management Measures

2.4. Institutional, sectoral and policy context

14. The proposed project will seek to strengthen the information base and institutional capacity of the national institutions involved in preparing NC in order to integrate climate change priorities into development strategies and relevant sector programs. Participating countries will document information and national processes that have been initiated, or are proposed for integrating climate change in to national development plans, policies and strategies. More comprehensive and sound National Communications serve as a strong foundation for countries to develop their national climate change strategies.
15. The national stocktaking and stakeholder consultations process is central to the NC process since countries elaborate institutional arrangements put in place for project implementation and outline measures on stakeholder engagement during and after project implementation. This enhances ownership of the National Communications process and its outputs, resulting in a NC process that is responsive to national development needs.

2.5. Stakeholder mapping and analysis

16. From the onset, the NC process involves active participation of relevant institutions and stakeholders at national and to some extent local levels. The fourteen Executing Agencies will be

expected to prepare and submit a report on stakeholders' engagement, their roles and responsibilities, and the institutional framework for the NCs process, based on areas of expertise and competencies of these stakeholders. The stakeholders may include government ministries and agencies, universities/academia/research institutions, NGOs, CBO, private sector, etc. This activity is provided for under the first component of the umbrella programme, '*national stocktaking and stakeholder consultations*', and additional guidance on the exercise is outlined in **Appendix 2**.

2.6. Baseline analysis and gaps

17. Pursuant to Articles 4.1 and 12 of the UNFCCC, all Parties must report on the steps they are taking or intend to undertake to implement the Convention. The preparation and submission of national communication is the most important provisions of the Convention of making climate relevant information available to the CoP of the UNFCCC. In accordance with the principle of "common but differentiated responsibilities" enshrined in the Convention, the required contents of these national communications and the timetable for their submission are different for Annex I and non-Annex I Parties. These reports include information on: sustainable development and the integration of climate change concerns into medium-and long-term national planning frameworks; inventories of anthropogenic emissions by sources and removals by sinks of greenhouse gases; measures contributing to addressing climate change; research and systematic observation; climate change impacts, adaptation measures and response strategies; and education, training and public awareness.
18. In order to make the necessary funding provision for these countries and in alignment with GEF Policies and Procedures, the proposed new umbrella project under GEF-5 will guarantee timely access to GEF resources for fourteen LDCs and SIDS that have chosen to be supported by UNEP for their NC projects. Similar to the GEF-4 NC umbrella project, these NCs will continue to provide detailed and improved greenhouse gas emission inventories, mitigation analysis and vulnerability and adaptation assessments. Based on the agreements reached on new NC reporting requirements by the CoP and the ongoing intergovernmental negotiations under the Conventions, Parties will be advised on potential adjustments to the project design and implementation, as appropriate. In the meantime, the existing UNFCCC User Manual will guide countries to prepare their National Communications of non-Annex I Parties.

2.7. Linkages with other GEF and non-GEF interventions

19. The project is in conformity with the GEF's strategy to support enabling activities and capacity development in climate change and is fully consistent with GEF 5 priorities of enhancing national ownership of climate change activities and strengthening countries' capacities to fulfill their reporting commitments under the Convention. The project supports preparation of NC reports containing information on: sustainable development and the integration of climate change concerns into medium-and long-term national planning frameworks; inventories of anthropogenic emissions by sources and removals by sinks of greenhouse gases; measures contributing to addressing climate change; research and systematic observation; climate change impacts, adaptation measures and response strategies; and education, training and public awareness.
20. The project will coordinate closely with the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention (CGE) and will draw on their work regarding guidelines and training materials for the preparation of NC. The project will use methodologies recommended by the UNFCCC (see reference to the UNFCCC User Manual) and will build on the work carried out under previous NC, as well on the workshops and guidance

materials developed by the National Communication Support Programme (NCSP). Where appropriate, coordination will be ensured with other projects/programmes such as: Technology Needs Assessments, National Adaptation Programmes of Action (NAPA) Poverty-Environment Initiative (PEI); the UN Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries (UN-REDD) and other relevant initiatives, to avoid the duplication of work.

21. Through the UNEP Regional Offices and the one UN process, the programme will link to the UN Development Assistance Framework (UNDAF) process, especially for those countries that will be reviewing or commencing preparation of their UNDAF during this period. UNEP staff, representing all relevant Divisions, will be involved in the review of the various components of the National Communications to enable them contribute effectively to the process of including the outputs of the NCs into the UNDAF process.

SECTION 3: INTERVENTION STRATEGY (ALTERNATIVE)

3.1. Project rationale, policy conformity and expected global environmental benefits

22. GEF's enabling activities in the climate change focal area have tended to provide a solid basis for capacity building at the country level for the effective implementation of the UNFCCC and its related legal instrument. Better reports and enhanced capacities of non-Annex 1 countries means a better response to the implementation process of the UNFCCC and its treaties.
23. This project directly addresses Article 12.1 of the UNFCCC which stipulates that Parties to the UNFCCC shall communicate to the CoP through the secretariat, the following elements of information: (a) A national inventory of anthropogenic emissions by sources and removals by sinks of all greenhouse gases not controlled by the Montreal Protocol, to the extent its capacities permit, using comparable methodologies to be promoted and agreed upon by the Conference of the Parties; (b) A general description of steps taken or envisaged by the Party to implement the Convention; and (c) Any other information that the Party considers relevant to the achievement of the objective of the Convention and suitable for inclusion in its communication, including, if feasible, material relevant for calculations of global emission trends.
24. At national level, countries set up national climate change committees and climate change units, usually supported by a formal institutional structure, to facilitate preparation of their NC on a continuous basis. The climate change enabling activity projects continue to play a pivotal role in the consolidation and continuation of these institutional structures. In addition, NCs are increasingly used by national governments to inform and guide priority mitigation and adaptation actions and policies as well as foster integration of climate change into development strategies and sector programs.

3.2. Project goal and objective

25. The project will provide financial and technical support for the preparation of National Communications (NCs) to the United Nations Framework Convention on Climate Change (UNFCCC) in 12 non-Annex I Parties that have completed preparation of their current national communications. The proposed project will seek to strengthen the information base and institutional capacity of the national institutions involved in the development of national communications in order to integrate climate change priorities into development strategies and relevant sector programs. The project will ensure that LDCs and SIDS not covered under the current National Communications umbrella project under GEF-4, and which seek support from

UNEP will have expedited access to financial resources for their National Communications. It will also ensure continuity in the strengthening of national capacities and institutional mechanisms for the preparation of National Communications by building on previous achievements and addressing gaps

3.3. Project components and expected results

26. The proposed project will consist of the two components namely:

- Component 1: National stocktaking and stakeholder consultations
- Component 2: Preparation of National Communication

While these two components are bottom-up and support activities at country level, UNEP will provide enhanced administrative and technical support to eligible LDC/SIDS in the course of implementing Components 1 and 2 to support realization of the programme's objective to have the 12 LDCs and SIDS submit good quality National Communications reports to the UNFCCC, which comply with Convention reporting obligations and meet national development planning needs.

27. Component 1: National stocktaking and stakeholder consultations: During the first phase (6 months maximum), participating countries will receive up to \$20,000 for stocktaking and national consultations, in accordance with the GEF Operational Procedures, to carry out a self-assessment and prepare their project documents for their NC. The output of this phase is a detailed national work plan and project document, endorsed by the national GEF and UNFCCC focal points. The project document will be based upon a simplified format, but will include timelines, benchmarks and indicators to show how each project output is linked to capacity development for reporting to the UNFCCC. Project outputs will follow the UNFCCC Guidelines for National Communications for Parties not included in Annex I to the Convention (Decision 17/CP.8). It is expected that this phase will enhance national ownership of the NC and improve preparation of National Communications project proposals responsive to national development needs.

28. Component 2: Preparation of National Communication: Once the project document prepared under component 1 has been agreed and signed between the country and UNEP, the enabling activity funding will be made available to the country, and the second phase (up to 3 years) of the project will commence. It is expected that preparation of NC will strengthen linkages between climate change and development priorities/planning processes and build capacities for relevant institutions to use/apply recommended tools and methodologies for quality reporting.

29. Provision of enhanced administrative and technical support for LDCs and SIDS – (Covered by Project Management Cost): Recognizing the limited expertise in LDCs and SIDS countries and in an effort to ensure that a good quality project document is prepared in the shortest time possible during implementation of component 1, UNEP will assist Countries prepare ToRs for consultants to be engaged in preparing the project document and assist national governments in identifying qualified experts/consultants to prepare reports that meet the requirements of the UNFCCC and national and sectoral planning needs.

30. Under component 2, UNEP will provide the following range of administrative and technical support to the participating countries, recognizing the unique challenges faced by LDCs and SIDS in meeting their reporting obligation under the UNFCCC. Most LDCs and SIDS are still in need of qualified experts that are capable of preparing good quality reports that meet the requirements of the UNFCCC and national and sectoral planning needs. UNEP will assist to:

- i. Conduct search for suitable national and sub-regional/ international climate change experts (by means of advertisements, website, and roster of experts) capable of carrying

out the requisite thematic assessments in the areas of GHG Inventories, Mitigation Analysis and Adaptation strategies.

- ii. Prepare Terms of References and help in supervising performance/work outputs of local and regional consultants as well as national experts.

As a result of very high staff turnovers, a number of project managers in LDCs and SIDs are still not proficient in progress and financial reporting which undermines effective work delivery and consequent delays in project completion. UNEP will:

- i. provide comprehensive support to country level project management teams on compliance with technical and financial reporting guidelines/standards through the development of and dissemination of guidance notes to enable countries meet their reporting obligations to GEF and UNFCCC

UNEP will support nationally funded country level and sub-regional workshops by assisting countries:

- i. Identify and appraise technical skill and expertise of trainers to ensure they deliver high quality and targeted training support
- ii. Assist in the design of course/workshop agenda and review course/workshop training materials

- 31. UNEP will assist in the development of training programmes but will not be able to attend all these workshops.

- 32. Need for additional Support Programme: Although the scope of assistance go a long way to help countries address some of the challenges they face during NCs preparations, as outlined by the Group of Experts (CGE) reports - FCCC/SBI/2011/5/Add.2 and FCCC/SBI/2011/5/Rev.1, they are far less than what must be provided to these countries to prepare national reports that can be used for planning purposes at the national, sectoral and community level to address the problems of climate change. Assistance will therefore need to be provided through a separate request for a support programme which would include amongst others: the provision of technical backstopping on thematic assessments, technical review of assessment reports, and onsite visits to countries to provide hands-on-training on tools and methodologies for cross-sectoral assessments, mainstreaming of climate change issues into development plans, etc.

3.4. Expected outcomes and activities

- 33. National project activities for eligible countries may include: a) a stakeholder consultation to formulate the national work plans; b) stocktaking and c) technical assessments, workshops and monitoring and evaluation using capacity indicators and benchmarks. The key outputs will be: a) national project documents, including detailed work plans, documented stocktaking exercises and stakeholder consultations; b) technical reports for each thematic component of the National Communication that is undertaken and c) a final draft of the National Communication to be submitted to UNEP. Linkages between the national outputs and follow-up activities will be identified and implemented, where possible.

- 34. A Project Inception Workshop at the national level will be held within 3 months of start of project. This will involve all key stakeholders identified during the national consultation process. The Inception Workshop is crucial to building ownership for the project results and to review and finalize the first year annual work plan. The Inception Workshop should address a number of key issues including:

- a. Assist all partners to fully understand and take ownership of the project. Detail the roles, support services and complementary responsibilities of UNEP staff vis-à-vis the project team. Discuss the roles, functions, and responsibilities within the project's decision-

- making structures, including reporting and communication lines, and conflict resolution mechanisms. The TOR for project staff will be discussed again as needed.
- b. Based on the project results framework finalize the first annual work plan. Review and agree on the indicators, targets and their means of verification, and recheck assumptions and risks.
 - c. Discuss financial reporting procedures and obligations, and arrangements for annual audit.
 - d. Between 2 and 3 Project Steering Committee meetings are held within the first 12 months following the inception workshop.
35. An Inception Workshop report must be prepared and shared with participants to formalize various agreements and plans decided during the meeting. UNEP will conduct a visit to project site based on the agreed schedule in the project's Inception Report/Annual Work Plan to assess first hand project progress. A Field Visit Report/Mission Report will be prepared by Task Manager and will be circulated after the visit.
36. For a list of potential national activities, refer to **Appendix 2** on Guidance provided to Countries for preparation of Project Documents (Component I). To assess programme results, a unified monitoring and evaluation system of deliverables and indicators will be developed to chart progress and to serve as a management tool, as shown in **Table 2**.

Table 2: UNEP Deliverables during the Global Umbrella Programme Lifetime

Deliverable	Indicator	Target	Timeframe
COMPONENT 1: NATIONAL STOCKTAKING AND STAKEHOLDER CONSULTATIONS:			
Stakeholder consultation initiated	No. of consultations	12	3- 6 months
Stocktaking exercise initiated	No. of stocktaking exercises	12	
Enhance support to PMUs to facilitate preparation of project proposals responsive to national development planning needs	At least 50% of PMUs supported, upon request, to prepare ToRs and in the identification of consultants to guide in the preparation of good quality project proposals	6	
Project document prepared, including detailed 3-year work plan	No. of project documents	12	
COMPONENT 2: PREPARATION OF NATIONAL COMMUNICATION:			
Enhance support to PMUs to facilitate preparation of National Communication reports that meet the Convention reporting obligations and national development planning needs	No. of Countries supported to prepare ToRs and identify international and national experts to prepare NCs	12	Continuous
	Financial guidance materials prepared and disseminated to 12 countries	Guidance materials	Continuous
	National and/or regional workshops organized by EAs, with the help of UNEP	12	Continuous

Deliverable	Indicator	Target	Timeframe
Final version of National Communication provided to IA	No of national communications	12	Up to 3 years after project document prepared

37. UNEP will compile up to date reports to the GEF Secretariat, on status of national communications implementation from Parties not included in Annex I to the Convention, supported by UNEP.

3.5. Intervention logic and key assumptions

38. The project is based on a phased approach, where the first component on national stocktaking and consultations is a lead up activity to the full implementation of the NC process. Key assumptions made are that there will be a comprehensive stakeholder mapping and analysis undertaken during implementation of the first component of the project to guarantee stakeholder engagement right from the onset of project activities. It is assumed that the NC development process will be inclusive at all stages and that stakeholders would be interested in participating in the different steps of the NC process.
39. As the participating countries have at least completed and submitted their INC, it is assumed that there is an existing database/network of national experts and institutions involved in the preparation of previous NC and that the project will focus on strengthening these institutions and building the capacities of these national experts, in addition to new members. In addition, it is assumed that there would be very low institutional and staff turnover during project implementation.
40. Since the ultimate goal of the project is to integrate information obtained from studies and assessments during the NC process into national development processes, it is assumed that there exists a strong commitment, both at political and technical levels of government, to integrate climate issues within the NC project proposals.
41. The project assumes that countries will complete their NC preparation process in three years, which, experience shows may be optimistic for some countries. UNEP proposes to provide limited targeted support to address specific country needs and conditions, with the intention of ensuring that these countries are supported in completion of project activities on time.

3.6. Risk analysis and risk management measures

Table 3: Project Risk Analysis and Management Measures

Risk	Level of Risk	Commentary and Mitigating Strategies and Actions
1. Financial and Technical reporting challenges: As a result of very high staff turnovers, and limited professional expertise, a number of project managers in LDCs and SIDs are still not proficient in technical progress and financial reporting which undermines effective work delivery and consequent delays in project completion.	Moderate	<ul style="list-style-type: none"> Administrative support by UNEP: Project personnel will be assisted by UNEP staff and provided additional guidance in an effort to speed up funds disbursement to countries and thus ensuring flow of funds for project activities. All these support will be provided through e-mails and phone follow-ups to help countries meet basic UNEP reporting standards. Through regular monitoring of project activities at the national level and identification of technical bottlenecks, UNEP will advise countries on access to methodological tools, development of terms of references for national and international experts to undertake technical studies, and coordination with relevant stakeholders, etc in an effort to ensuring effective and timely work delivery
2. Lack of opportunities in accessing hands-on-training and on-the-job training in preparing various components of the national report.	Moderate	<ul style="list-style-type: none"> UNEP will continue to support and provide capacity building workshops and on the job training on key NC thematic assessment, for the local experts in an effort to enhance their reporting quality.
3. Limited technical expertise and data availability/accessibility: National experts do face difficulties in enhancing the depth and quality of assessments to be carried out under this project due to limited capacities and lack of adequate climate relevant data, information and appropriate analytical tools in almost all thematic areas but especially in the areas of vulnerability and adaptation and mainstreaming climate change issues into national and sectoral planning frameworks.	Moderate	<ul style="list-style-type: none"> UNEP will support training of country teams through nationally funded country level and sub-regional workshops through designing the course agenda, reviewing training materials and vetting trainers to ensure they deliver high quality and targeted training on GHG methodologies, use of climate and socio-economic scenarios, use of bio-physical models for V&A assessments in water resources, agriculture, forestry and rangelands, fisheries, etc and integration of climate change issues into national and sectoral planning frameworks. UNEP will raise the level of project supervision and work closely with the Consultative Group of Experts on National Communications from Non-Annex I countries (CGE) to help countries identify regional centres of excellence in both Annex I and non-Annex I countries to help countries access climate relevant data, information and appropriate analytical tools particularly in the areas of vulnerability and adaptation. These centres of excellence will provide technical assistance to country teams to enhance overall quality of the National Communication reports. Additionally, UNEP would encourage peer support by linking up country teams to exchange data and information, tools and methodologies, lessons learnt and good practices to enhance the quality and utility of national reports. Even in countries where capacity of national experts is a constraint, every effort will be made to ensure that the project outputs are based on sound science and well established technologies

Risk	Level of Risk	Commentary and Mitigating Strategies and Actions
<p>4. Limited consultations and weak participation process amongst stakeholders due to institutional rivalries and rigidities which hamper responsiveness of project outputs to national development needs as well as effective work delivery and quality of the outputs.</p>	Moderate	<ul style="list-style-type: none"> ▪ A set of guidance notes for stocktaking and national consultations will be provided to countries. The project document will outline roles and responsibilities of all stakeholders during implementation of the NC. National Project Coordinators will be requested to report on stakeholders' engagement, practitioners and/or the general public in all facets of project proposal development and in the implementation of project activities in their quarterly progress reports which will be regularly reviewed by UNEP Task Manager. ▪ It is important to ensure that project is supported both at the technical and political, to facilitate integration of the NC process to national planning processes. Efforts will be made to ensure that the project addresses both short term needs of the convention requirement and also achieves results with a long term perspective of helping countries address climate change issues in a more sustainable manner
<p>5. Institutional structures and experienced staff: Inadequate incentives and difficulties in retaining staff involved in the preparation of previous or current national communications. This has resulted in high staff turnover in many countries have tended to affect not only the quality of the studies but also the timeliness of delivery of project outputs. The delays in completing project activities within the stipulated time frames imply that:</p> <ol style="list-style-type: none"> a. national executing agencies will have to find additional funds from their limited financial resources to cover additional project management costs at the national level b. UNEP will also have to find additional funds to continue meeting their oversight and supervision responsibilities. 	Moderate	<ul style="list-style-type: none"> ▪ As a result of recent increased interest in climate change issues by national governments, countries will be encouraged to set up permanent and adequately staffed climate change offices to ensure sustainability of the national communications process including easy access to information, data and tools used for climate change studies. ▪ Executing Agencies will be encouraged to actively involve other institutions, through various channels – e.g. sub-contracting, - to implement particular components of the project, in their core mandate/speciality, in an effort to enhance interlinkages between institutions, promote information sharing and capacity building across these institutions, and thereby institutionalizing the NC process. ▪ UNEP will continue to insist on national project coordinators meeting their quarterly reporting requirements and highlighting clearly in these reports emerging challenges and risks mitigating effective delivery of project outputs ▪ Wherever there is evidence that project output delivery are affected by politically motivated choices, appropriate mitigation provisions in the project document will be applied to promptly address the problem
<p>6. The introduction of new reporting guidelines with greater reporting obligations after the commencement of this project</p>	Low	<ul style="list-style-type: none"> ▪ UNEP will work the GEF Secretariat to enhance the scope of this project in terms of its deliverables together with its associated budget so as to adequately meet the needs of countries with respect to the increased reporting obligations under the UNFCCC.
<p>7. Political risks: It is expected that political unrest/instability in any of the Countries, will impede implementation of project activities and completion of the project within the stipulated time frame.</p>	Low	<ul style="list-style-type: none"> ▪ UNEP will make use of its Post-Conflict & Disaster Management Offices and/or other UN Offices to liaise with the national government to assess the situation and put measures in place to ensure that the project incurs minimum losses and that project activities resume once the political environment is favourable

Risk	Level of Risk	Commentary and Mitigating Strategies and Actions
8. Environmental risks/hazards: Occurrences of extreme weather events – floods, hurricane, droughts etc will slow/stop implementation of project activities and completion of the project within the stipulated time frame.	Low	<ul style="list-style-type: none"> ▪ National teams will be encouraged to create more awareness on climate change related hazards/disasters and advice on short-term and long-term measures to be put in place, including providing advice on policy measures for policy makers.

3.7. Consistency with national priorities or plans

42. There is an increasing recognition that NC process and outputs can also support national efforts to link climate change with development needs and planning processes. Studies and assessments supported through this project provide an important basis for countries to formulate project proposals under the mitigation and adaptation to climate change in addition to supporting the goals of technology transfer activities, as it will closely link to countries efforts to prioritize their technology needs through robust Technology Needs Assessments and preparation of national technology action plans. Executing Agencies will therefore be encouraged to actively involve members of the TNA National Steering Committees in the NC process in an effort to align project goals with national development priorities
43. The NC project activities are designed to complement, without duplicating, other on-going and planned projects and programmes, and countries are encouraged to identify synergies with other on-going projects to increase cost-effectiveness and enhance consistencies with various national development priorities and programmes undertaken by participating countries such as:
- Poverty reduction strategies/plans;
 - Regional and national programmes and strategies to address climate change in a more concerted manner, where appropriate;
 - Adaptation projects, the National Adaptation Programme of Actions (NAPA);
 - Mitigation projects
 - Reducing emissions from deforestation and forest degradation (REDD) projects
 - National Capacity Self- Assessment Projects
 - Preparation of national Human Development Reports in the context of the climate change threats;
 - National UN Development Assistance Framework (UNDAF) processes
 - initiatives to tackle climate change at different levels, including national, sectoral, local levels including development of water management strategies, development drought resistant crops, and development of renewable energy resources
 - The capacity building efforts by national governments for effective participation in climate change negotiations;
 - The climate change mainstreaming initiatives to enhance national decision-making processes on climate change;
 - Linkages with other reporting frameworks or requirement as may be adopted by the CoP such as the preparation and implementation of Nationally Appropriate Mitigation Action (NAMAs), Biennial Update Reports (BURs) containing “updates of national greenhouse gas inventories including a national inventory report”.

3.8. Incremental cost reasoning

44. NCs contain information on emissions and removals of greenhouse gases (GHGs) and details activities that a Party has and/or envisages undertaking to implement the Convention. Under the NCs programme, countries are supported to conduct an inventory of anthropogenic emissions by sources and removals by sinks of all greenhouse gases (GHGs) not controlled by the Montreal Protocol. Based on the outcomes of national GHG inventory, countries assess GHG mitigation options and elaborate programmes containing measures to mitigate climate change by addressing anthropogenic emission by sources and removals by sinks of all relevant greenhouse gases especially CO₂, CH₄ and N₂O. Countries also do carry out impact analysis and vulnerability assessment in climate sensitive sectors of the national economy and the environment and identify measures to facilitate adequate adaptation to climate change. In many cases, these analyses provide the basis for formulating project proposals for funding and promoting development and

transfer of climate change technologies. In addition, NCs provide information on national circumstances, and any other information considered relevant to the achievement of the objective of the Convention in these countries, such as, climate change research and systematic observations, information, networking, capacity building, education, training and public awareness at country level.

45. Even though incremental reasoning is not applicable to this kind of project, NCs can indirectly be associated with global benefits through capacity development mainly in the areas of GHG inventories and emission reductions. In the absence of the project, once countries complete their current National Communication, the teams and the structures created in most of the cases on project basis, will be spread out and may be lost. Timely funds availability, through this project will contribute to an enhanced and maintained capacity of the non-Annex 1 countries as well as a better quality of subsequent National Communication report. Better reports and enhanced capacities of non-Annex 1 countries means a better response to the implementation process of the UNFCCC and its treaties.

3.9. Sustainability

46. Financial sustainability: UNEP would work closely with the executing agencies to ensure an effective timing and financing arrangements for the preparation of national communications so that country teams are maintained and resourced to continue preparing all components of the national reports on a continuing basis.
47. Individual and institutional sustainability: Various national committees and working group will be re-constituted to prepare this report. In most countries these committees and structures are already in existence and have been used for previous enabling activities. The NC will target to further built and maintain individual and institutional capacities through various capacity building workshops, trainings, and information sharing and networking. The programme will also co-ordinate and co-operate closely with relevant initiatives such as the Consultative Group of Experts and the National Communication Support Programme.

3.10. Replication

48. At the global level, considering that this project targets to support only 12 LDCs and SIDS, the project will be replicated, for any additional LDCs and SIDS Parties that will express their interest to work with UNEP, as and when they are ready to initiate their subsequent NC. UNEP as the Implementing Agency will provide the range of administrative and capacity building support to these additional countries.
49. At the national level, the project will support strengthening of institutions involved in project implementation through training, experience sharing and capacity building and promote establishment of institutions to be engaged in subsequent national reporting. Thus, countries will be expected to strengthen the established institutions and their level of expertise on NC reporting to be reflected through improved the quality of subsequent NC reporting

3.11. Public awareness, communications and mainstreaming strategy

50. The NC preparation process is designed to enhance public participation and create awareness on climate change issues, promote information sharing and networking amongst all relevant institutions and stakeholders at national and local levels. Each of the 12 Countries parties will outline public awareness, communication and mainstreaming activities to be undertaken during

NC preparation and clearly outline roles and responsibilities of these stakeholders. Parties will indicate, in cases where applicable, national climate change communication strategies that have been put in place, or that are proposed to enhance the general understanding of climate change issues and integration of the same in national development planning processes

3.12. Environmental and social safeguards

51. Activities under the proposed project are expected to generate no or limited adverse environmental effects, since most activities of the project are considered to support preventive measures. The Project will, generally, have positive environmental and social impacts as the project targets to support LDCs and SIDS countries meet their reporting obligation under the UNFCCC, in addition to generating a wealth of climate change related data to guide in designing priority adaptation and mitigation policies and actions to inform development strategies and sector programs.

SECTION 4: INSTITUTIONAL FRAMEWORK AND IMPLEMENTATION ARRANGEMENTS

52. UNEP will provide financial and technical support to 12 national governments to prepare their NCs. The project will be implemented by the Division of Technology, Industry and Economics (DTIE), of the United Nations Environment Programme, (UNEP). Funds will be disbursed from UNEP Headquarters in Nairobi, Kenya to countries either (i) through direct cash transfers to Countries where EAs provide their banking details in the Third Party Form Template - **Appendix 10**; (ii) through sub-allotments made to UNEP Regional Offices, or (iii) through UNDP Country Offices, subject to country preference.
53. To ensure effective work delivery within UNEP, DTIE will set up an institutional framework to enable other divisions of UNEP namely the Division of Early Warning and Assessments (DEWA), Division of Regional Cooperation (DRC), Division of Environmental Policy and Implementation (DEPI), and Division of Environmental Law and Conventions (DELC) place their technical expertise at the disposal of countries, to guide the national communication process. The following is a summary of the mandates and strengths of these Divisions of UNEP:
 - DELC as UNEP's lead division supporting the implementation of MEAs and facilitating interlinkages and synergies between the MEAs has a growing portfolio of activities relating to Policy and Interlinkages, Climate and Energy Law which will result in mutual strengthening the implementation of the national communications report.
 - Division of Environmental Policy and Implementation (DEPI) has an on-going work in the area of adaptation to climate change, ecosystem services and economics, fresh water and terrestrial ecosystems, marine and coastal ecosystems as well as environmental education and training and will work to strengthen V&A assessments within the framework of the TNC/SNC preparation.
 - Division of Early Warning and Assessments' (DEWA) has the role of identifying emerging environmental threats and conducting rigorous scientific assessments to inform the science-policy interface is an asset for the GEF Enabling Activities which draw from existing information and numerous environment assessments to inform national policy processes. Due to its cross-cutting nature and existing regional presence, the division will provide support upon request to help strengthen the scientific basis of the thematic assessment work of national communication process.
 - UNEP's strategic presence and close interface with countries through its Division of Regional Coordination (DRC) is well able to help in identifying regional, subregional and national priorities and trends which effectively contribute to the development and delivery of appropriate interventions. This capability undoubtedly will provide an important platform for strengthening the coordination and implementation of Umbrella project. The division's

support and coordination of UNEP's engagement in UN common country programming processes provides an excellent conduit for linking UNDAF process to national communication project.

54. At country level, the projects will designate a national lead agency responsible for the oversight and implementation of the self-assessment exercise and project implementation. Executing Agencies differ from one Country to another. Most non-Annex I Parties have the Ministries of Environment, Forests and/or Water, Nature Services and/or Meteorology Department act as Executing Agencies (EAs). The EAs work in close consultation with the Ministries of Foreign Affairs, Energy, Planning, Finance, Agriculture, Water, Health, Education, Transport, Science and Technology, Research Institutions, Academia, Non- Governmental Organizations, Community Based Organizations etc for policy and technical guidance during National Communication process in line with existing national planning documents. Details on institutional structures, and their roles and responsibilities during the NC preparation process, is elaborated by each of the EAs during the Project Document preparation phase (Component I of the Programme).
55. It is expected that the same institutional structure put in place for the previous NC project will be adopted, adjusted where needed, and enhanced to ensure a smooth continuation of the NC process. The National Steering Committees that countries have also established to advise on and monitor the project's progress will continue to serve these functions or be reactivated, as required. The involvement of the relevant stakeholders, their support as well as their commitment to the implementation of the proposed activities, will ensure a successful achievement of NCs. The Director/Coordinator/Manager of the NC project, within the designated institution, will be responsible for the coordination of project activities in close consultation with the Steering Committee, technical teams, consultants and the IAs. This general project structure may vary from country to country.

SECTION 5: STAKEHOLDER PARTICIPATION

56. Executing Agencies are expected to design a strategy that involves all relevant stakeholders in the NC process, based on their areas of interest/expertise, in addition to formulating a communication strategy to keep all the stakeholders informed. The primary stakeholders are the national climate change teams, while secondary stakeholders are the broader range of institutions that are consulted at different stages of NC preparation process. As outlined in Para 54, Section 4 on Institutional Framework, the NC process takes cognizant of the diverse national circumstances and processes and provide an opportunity for countries to elaborate measures to be put in place for an effective stakeholder engagement process. This ensures that the NC preparation process is appropriate and that ownership over the main products is enhanced. It will also help design the optimal institutional arrangements and coordination mechanisms for the NCs and facilitate efforts to integrate climate change into relevant national and sectoral planning processes. **Appendix 2** details guidance provided to Countries on the National Stocktaking and Stakeholder Consultations process

SECTION 6: MONITORING AND EVALUATION PLAN

57. The project will follow UNEP standard monitoring, reporting and evaluation processes and procedures. Substantive and financial project reporting requirements are summarized in **Appendix 13 – Quarterly Progress Report**; **Appendix 14 – Final Report** and **Appendix 15 – Quarterly**

Expenditure Statement Templates. Reporting requirements and templates are an integral part of the UNEP legal instrument to be signed by the executing agency and UNEP.

58. The project M&E plan is consistent with the GEF Monitoring and Evaluation policy. The Global Umbrella Project Results Framework presented in **Appendix 1** includes SMART indicators for each expected outcome as well as end-of-project targets. These indicators along with the key deliverables and benchmarks outlined in **Table 1** will be the main tools for assessing project implementation progress and whether project results are being achieved. Other M&E related costs are presented in **Appendix 4** on the Costed Monitoring and Evaluation Plan.
59. The M&E plan will be reviewed and revised as necessary during the project inception workshop to ensure project stakeholders understand their roles and responsibilities vis-à-vis project monitoring and evaluation. Indicators and their means of verification may also be fine-tuned at the inception workshop. Day-to-day project monitoring is the responsibility of the project management team but other project partners will have responsibilities to collect specific information to track the indicators. It is the responsibility of the Project Manager to inform UNEP of any delays or difficulties faced during implementation so that the appropriate support or corrective measures can be adopted in a timely fashion.
60. The UNEP *climate change enabling activities team* will receive periodic reports on progress, templates provided in **Appendix 13** and **Appendix 15**; and will make recommendations to UNEP concerning the need to revise any aspects of the Results Framework or the M&E plan. Project oversight to ensure that the project meets UNEP and GEF policies and procedures is the responsibility to the Task Manager in UNEP-GEF. The Task Manager will also review the quality of draft project outputs, provide feedback to the project partners, and establish peer review procedures to ensure adequate quality of scientific and technical outputs and publications.
61. Project supervision will take an adaptive management approach. The Task Manager will develop a project supervision plan at the inception of the project which will be communicated to the project partners during the inception workshop. The emphasis of the Task Manager supervision will be on outcome monitoring but without neglecting project financial management and implementation monitoring.
62. A mid-term management review will take place in the second year of each country project. The review will be carried out using a participatory approach whereby parties that may benefit or be affected by the project will be consulted. The project Steering Committee will participate in the mid-term review and develop a management response to the review recommendations along with an implementation plan. It is the responsibility of UNEP Task Manager to monitor whether agreed recommendations are being implemented.
63. An independent terminal evaluation will take place at the end of umbrella project implementation. The Evaluation and Oversight Unit (EOU) of UNEP will manage the terminal evaluation process. A review of the quality of the evaluation report will be done by EOU and submitted along with the report to the GEF Evaluation Office not later than 6 months after the completion of the evaluation.

SECTION 7: PROJECT FINANCING AND BUDGET

7.1. Overall project budget

64. The overall project GEF budget is USD 6,798,000 comprising a total project cost of US\$ 6,180,000 and the Agency fee of US\$ 618,000. The following is the project financing plan for the

project: The GEF will allocate US\$ 240, 000 to UNEP to support 12 LDCs and SIDS to carry out the 1st component of the project on national stocktaking and consultations exercises. At the end of this activity, countries will have produced a project document, including a detailed work plan and a report of stakeholder consultations and stocktaking, for approval by UNEP. The GEF will then allocate US\$ 5,760, 000 to UNEP, under the 2nd component for use by the Executing Agencies in preparation of National Communications. In addition, the GEF will allocate US\$ 180,000 to UNEP as project management costs; the breakdown, including co-financing is presented in **Table 4**.

Table 4: Total Project Budget and Financing Sources

Project components	Project Budget (US\$)	
	GEF Funding	Co-finance
Component 1: National stocktaking and stakeholder consultations	240,000	48,000
Component 2: Climate Change enabling activities	5,760,000	960,000
Project Management Cost (Provision of administrative and technical support for LDCs and SIDS)	180,000	90,000
Total	6,180,000	1,098,000

7.2. Project co-financing

65. This is a Climate Change Enabling Activity and in accordance with convention guidance is implemented on an agreed full cost basis requiring only in-kind contribution by GEF-eligible countries. The project responds to a specific UNFCCC decision regarding the GEF support to non-Annex I Parties for the preparation of their National Communications to the UNFCCC.

7.3. Project cost-effectiveness

66. The project is cost-effective in its design, as it aims to strengthen existing human and institutional capacities on various facets of climate change at national level. Policy changes and greater integration and coordination amongst governmental institutions, would strengthen cross sectoral inputs during project implementation and overall integration of project outputs into national decision making processes.

APPENDICES

Appendix 1: GLOBAL UMBRELLA PROJECT RESULTS FRAMEWORK

Project Framework	Indicator	Baseline	Targets End of Project	Source of Verification	Risks and Assumptions
Project Objective: 12 LDCs and SIDS submit good quality National Communications reports to the UNFCCC, which comply with Convention reporting obligations.	Number of countries that submit good quality National Communications reports to the UNFCCC that meet the Convention reporting obligations	National Communications previously submitted to the UNFCCC by most Countries have information and data gaps	All 12 Countries submit NCs to the UNFCCC that fully meet the Convention reporting obligations	Reports of the CGE on NCs submitted to UNFCCC secretariat.	- Poor political or institutional support for preparation of NCs - High institutional and staff turnover
Project Component 1: National stocktaking and stakeholder consultations for formulation of NC project proposals					
Outcome 1: Enhanced national ownership of the NC process.	Number of key stakeholders (policy makers) involved in different stages of the NC preparation	Not quantifiable at the global level as this can only be established at the national level. However, reports of consultations/ stakeholders indicate low level of stakeholder participation	At least 25% increase of stakeholder active participation in the NCs preparation processes at the national level, compared to previous NCs	Self-assessments; stakeholder consultation documents, project documents, NC reports.	- NC development process is not inclusive at all stages.
	Level of stakeholder satisfaction in the NC project proposal that address national climate change concerns	Key stakeholders (policy makers) do not make reference to the NC for guidance during policy formulation and national development planning processes	At least 25% of countries outline measures put in place to integrate NC into national development planning processes	Reports of stakeholder consultation, project documents, NC reports.	- Stakeholders do not make reference to the NC to guide national development planning processes

Project Framework	Indicator	Baseline	Targets End of Project	Source of Verification	Risks and Assumptions
Outcome 2: Improved NC project proposals responsive to national development needs.	Number of NC project proposals which explicitly include strategies aimed at enhancing integration of climate change issues into national development planning frameworks	Very limited number of previous national communications project proposals that explicitly addressed the area of climate change integration	At least 50% of NC project proposals outline strategies aimed at enhancing integration of climate change issues into national development planning frameworks	Project proposals for next NC approved by UNEP, and in line with national development planning documents.	- Strong commitment of national teams to integrate climate issues within the NC project proposals.
Project Component 2: Preparation of National Communications					
Outcome 3: Improved relevance and quality of NC reports submitted by LDCs and SIDS to the UNFCCC that meet the Convention reporting obligation and national development planning needs	Percentage of LDCs and SIDS Countries that demonstrate improved relevance and quality of NC reports submitted to the UNFCCC	Compilation and Synthesis reports of previous NCs indicate that many LDCs and SIDS have significant information and data gaps in their NC reports	At least 50% of NC reports demonstrate improved relevance and quality of NC reports submitted to the UNFCCC	Compilation and Synthesis reports of the UNFCCC Secretariat	- Lack of technical expertise for NCs preparation - Poor political or institutional support for the preparation of the NCs

Appendix 2: GUIDANCE PROVIDED TO COUNTRIES FOR FORMULATION OF NC PROJECT PROPOSALS DURING NATIONAL STOCKTAKING AND STAKEHOLDER CONSULTATIONS PROCESS – (PROJECT COMPONENT 1)

The guidance below is intended to serve as a practical advice on how to carry out a stock-taking (self-assessment) exercise for the preparation of National Communications project proposals under the UNFCCC. This exercise includes two closely linked elements namely: stocktaking of work carried within the framework of the previous National Communication and national level stockholders consultations

Countries are not expected to strictly follow the guidance step-by-step but rather to use it within the context of their national circumstances so as to enhance greater national ownership and also to respond to reporting guidelines provided by the UNFCCC

Important Note: This guidance applies to countries that are preparing their National Communication project proposals under GEF Expedited procedures. For the purpose of this guidance, these National Communications will be referred as NCs

2.1. GENERAL GUIDANCE ON FORMULATION OF A PROJECT PROPOSAL:

The self-assessment exercise may include the following:

- Work carried out under previous climate change enabling activities: Brief summary of activities and results achieved under the previous NC. This assessment is the central element of the stocktaking, as it will ensure that proposals for next NCs build upon what has been achieved to avoiding duplication of work.
- Synergies with related programmes and institutions: The stocktaking should also identify, when applicable, how the NCs will build on other on-going enabling activities e.g. (NCSA, NAPA if applicable), relevant regional projects, and national activities under other relevant international conventions (e.g. biodiversity, land degradation).
- Lessons learned during previous NC: This may include technical issues but also experiences of process management /institutional arrangements adopted under the previous NC that could provide lessons or best practices for the preparation of the NCs. Identify major challenges especially as they range from cross sectoral assessments to mainstreaming climate change into National Development Planning frameworks and processes.

The sections below provide some general guidance on how to conduct the stocktaking exercise and national stakeholder consultations. More detailed discussion and guidance is provided in Section III.

A. STOCKTAKING EXERCISE

- Prepare clear terms of reference for the stocktaking exercise and for the consultants that will facilitate or manage the exercise - *Refer to Example of Terms of Reference for a facilitator for stocktaking exercise and Project Document preparation in No.2.2.*
- Survey the relevant reports and technical studies to be utilized during the stocktaking process
- Identify and prioritize the assessments reports and the studies to be considered or analyzed
- Spend more time on the substantive areas of work such as the thematic areas of GHG

inventory, mitigation, vulnerability and adaptation, as well as awareness raising and mainstreaming climate change issues into planning frameworks

- Avoid getting into detailed analysis of issues at this stage. Focus on generating ideas and understanding of technical and process issues that would help you identify key national priorities and define the scope your work
- Keep in mind that the purpose is to provide a concise picture of:
 - What has been done during previous national communication process and how they were done (e.g. areas covered and approaches used)
 - Where are the gaps in knowledge and scope (e.g. areas not addressed and uncertainties of previous studies)
 - What are the needs for new studies (e.g. new areas of work, improvements on the basis of new approaches/information)
 - What are the national priorities (e.g. allocation of efforts and resources on the basis of agreed set of priorities)
 - What were the recommendations of the previous NCs particularly in the area of mainstreaming climate change issues into national developments?
- Identify synergies with other related initiatives (e.g. desertification/land degradation, biodiversity convention, NAPA, NCSA)
- Identify lessons learned that could provide good practices in the preparation of your National Communication
- Plan your activities and timeline to set realistic goals
- Consider the institutional arrangements, information and networking
 - What are the challenges and lessons learned in mainstreaming climate change issues into national and sectoral planning?
 - What institutional framework/ collaboration in preparing the NCs exist and how can it be improved and widened to enhance cooperation for the preparation of NC on a continuing basis?
 - How can activities relating to GHG inventories, vulnerability and adaptation assessments, and mitigation analysis be streamlined to ensure effective use of time and financial resources?
 - What regional research and educational centers exist and how can they be better utilized and strengthened to support the NC process?
 - Was the climate change project steering committee effective in supporting the NC process and what specific actions are required to improve their effectiveness?
 - How could access to climate change relevant information be improved?
- Ensure effective use of financial and technical resources:
 - What capacity exists and/or requires reinforcement to perform the different studies planned under the NC project?
 - What are the specific training needs required for the preparation of the next national communications? What would the budget be?
 - Is there any need for external consultants? In what areas? How can the terms of reference ensure adequate selection of external consultants?

The stocktaking exercise is not a stand-alone activity and it is, therefore, important to note the linkages

between the outcomes of previous work to the identification of priority areas to be considered for the preparation of the NC project proposal.

Tools that may be considered for the stocktaking work

- In depth analysis of previous national communications
- Desk review of relevant documents
- E-discussions among previous and new stakeholders
- Interviews with targeted stakeholders
- Questionnaires
- Consultative meetings (mini-workshops)

B. STAKEHOLDERS CONSULTATIONS

- Develop a preliminary list of stakeholder and their potential roles in the NC process and report on them in stakeholder consultation report
- Design a strategy to involve all relevant stakeholders. Stakeholders may be grouped on the basis of areas of interest/expertise and level of involvement. A communication strategy to keep the stakeholders informed would be needed
 - Key group of stakeholders to be actively involved throughout the preparation of next NC
 - Secondary group of stakeholders that will consult at different stages of next NC preparation process
- Ensure focused stakeholder consultations
- Keep stakeholders informed throughout the process

The consultation process will help determine who should be involved in the NC project and how to involve each stakeholder. The stakeholder consultation is essential to ensuring that the *process* to prepare the NCs is appropriate, and ownership over the main products enhanced. It will also help design the optimal institutional arrangements and coordination mechanisms for the NCs and facilitate efforts to integrate climate change into relevant national and sectoral planning processes

GUIDANCE FOR STOCKTAKING

This guidance below follows the main sections of national communications in order to facilitate discussions on what to look for during the stocktaking and how to use this information in the design of NC proposals.

NATIONAL CIRCUMSTANCES

- Identify the sections under national circumstances that would need to be improved or updated for next NC
 - Focus on those areas and reporting timeframes where new information may be available or where there is a need for update. For instance, as a result of new national development priorities or changes in social and economic circumstances.
 - Determine the areas where no further efforts are required. In some areas the information provided in previous NC may still be adequate, e.g. general description of geography, climate, unless there is updated information or needs for further elaboration.
- Keep in mind that description of national circumstances should be relevant to other sections of the national communication

- When determining needs for new or improved information, think of how this information could provide a better understanding of mitigation and adaptation priorities or needs for research studies
- Assess the experience and adequacy of the institutional arrangements adopted for the preparation of previous NCs
 - what worked
 - what did not work and why
 - what would be needed to strengthen institutional arrangements for the preparation of the NC

GREENHOUSE GAS INVENTORIES

- Assess data needs for improvements by source categories
 - Identify data gaps and main sources of uncertainties in the GHG inventory of previous NC
 - Focus on emission sources that are significant to the national emission totals and with higher level of uncertainties when determining data filling needs
 - Assess whether data sources used in previous NC would need to be expanded
 - Identify needs for improving data compilation systems
 - Engage all the experts involved in the preparation of the inventory for the previous NC
 - Consult with other experts on information availability and needs
- Assess options for new and improved GHG inventories
 - Use the Revised 1996 IPCC Guidelines and Uncertainty Management in National Greenhouse Gas Inventories; IPCC Good Practice Guidelines: improve and update GHG inventory data through the use of the IPCC-GPG 2000 and the IPCC-GPG LULUCF 2003
 - Agree on the reporting periods, if additional years are wished to be reported
 - Identify sources and gases not reported to in previous NC so that these are addressed in the next NC, if appropriate
 - Present Key Category analysis
 - Assess, by source categories and gases, whether methodologies used were appropriate
 - On the basis of previous experience, determine whether higher tiers (IPCC) or national methods for the new inventories would be adopted. If so, ensure that minimal requirements and resources constraints, including technical capacity, are understood.
 - If new/improved emission factors are to be proposed for specific sources, ensure that priorities are addressed and that available capacity and resources are adequately considered.
 - Identify activities on emission factors carried out under the Top-up, if applicable
 - Involve the relevant institutions and experts when determining strategies for data compilation and generation
 - Set clear activities and realistic targets to improve inventory data, focusing on main sources of emissions.
- Review inventory system proposed under previous NC for data managing and archiving
 - Assess experience in its implementation, if any
 - Identify needs for updating/creating a new inventory management system on the basis of current institutional arrangements or changes in regulatory framework
- Examine approaches used to report levels of uncertainty of the previous inventory
 - Identify constraints in the estimation and reporting of uncertainties of the inventory in

- previous NC
- Determine needs for addressing uncertainty in the next NC. In doing so, decide on whether the IPCC Good Practice Guidelines would need to be applied.
- Outline QA/QC procedures, inventory uncertainty assessments and documentation of procedures and centralized archiving processes initiated
- On the basis of the analysis, outline specific activities to be undertaken in the current NC to provide or improve information on National GHG inventory. Activities to be undertaken in providing or improving information on national inventory of anthropogenic emissions by sources and removals by sinks of Greenhouse Gases (GHGs) should be summarized and costed.
- The National GHG Inventory Chapter should be prepared, should include and not be limited to the following GHG reporting requirement:
 - Make reference to the Revised 1996 IPCC Guidelines and Uncertainty Management in National Greenhouse Gas Inventories; IPCC Good Practice Guidelines: improve and update GHG inventory data through the use of the IPCC-GPG 2000 and the IPCC-GPG LULUCF 2003; and use of the UNFCCC Software
 - Use time series including most recent years, for understanding emission trends
 - Assess quality of inventories regarding Key category analysis; Uncertainty Management; and Quality assurance/quality control (QA/AC)
 - Describe institutional arrangements established to sustain the greenhouse gas inventory process (e.g. documentation, QA/QC, archiving system and inventory improvement plan);
 - Develop and use country-specific emission factors for key categories identified through key category analysis, to the extent possible
 - Describe methodologies, emission factors and activity data used in Party's emission factors and activity data used for in Party's estimation of emissions/removals, as appropriate

GENERAL DESCRIPTION OF STEPS TAKEN OR ENVISAGED TO IMPLEMENT THE CONVENTION

This section provides information on programmes containing measures to mitigate climate change by addressing anthropogenic emission by sources and removals by sinks of Greenhouse Gases, and measures to facilitate adequate adaptation to climate change. Proposed activities that will guide in general description of steps taken or envisaged to implement the Convention should be summarized and costed.

PROGRAMMES CONTAINING MEASURES TO FACILITATE ADEQUATE ADAPTATION TO CLIMATE CHANGE

- Provide a brief overview of the vulnerability studies carried out under previous NC, where applicable
 - Sectors covered (e.g. agriculture, water, forest, health)
 - Sub-sectors addressed (e.g. types of crops, forest types, diseases)
 - Scale of the studies (national, regional, local)
 - Gaps and uncertainties of the studies, if feasible

- Methodology and tools used
- Type of studies (qualitative, quantitative)
- Explain whether adaptation assessments were carried out
 - Methodological approaches used (e.g. whether rigorous assessment of adaptation or a list of potential options)
 - Type of studies (qualitative, quantitative)
 - Weakness of adaptations analysis
 - Linkages with national priorities or critical sectors
 - Barriers analysis of adaptations options identified
 - Technical capacity constraints in adaptation assessments
 - On the basis of the above analysis, determine areas of work/studies to be addressed in the next NC, making reference to the compendium on methods and tools to evaluate impacts of, vulnerability and adaptation to, climate change, updated in 2008; in addition to the latest revised methods and tools. In doing so, the following should be discussed to the extent possible
 - Sectors/areas to be addressed
 - Justification of the assessments, e.g. linkages with national priorities, improvement of previous studies, new sectors/areas
 - Scale of the assessments, e.g. national, regional, local
 - Scope of the assessments, e.g. adaptation programmes
 - Approaches to be adopted, if feasible
 - Develop and use, as appropriate, national climate vulnerability indices in vulnerability assessments,
 - Use climate scenarios and, as appropriate, socio-economic scenarios for assessment of impact of climate change
 - Use the Regional Climate Models (RCMs) together with statistical downscaling for climate scenario construction and impact assessments
 - Use Rclidmex for Quality Control and indices calculation

PROGRAMMES CONTAINING MEASURES TO MITIGATE CLIMATE CHANGE

- Provide a brief overview of the mitigation analysis carried out under previous NC, where applicable
 - Sectors covered (e.g. energy, agriculture, LUCF, waste) and approaches used in the analysis
 - Methodology and tools used for mitigation analysis
 - Gaps and uncertainties
 - Scope, scale, type (qualitative, quantitative) of the analysis
 - Mitigation priorities identified
 - Recommendations for additional analysis, if any
- On the basis of the above overview, determine additional mitigation analysis to be addressed in next NC. In doing so, the following should be discussed to the extent possible
 - Provide information on the objective and implementation of mitigation measures
 - Scope of the analysis and proposed methodologies
 - Establish linkages with national priorities on the basis on previous GHG inventories and other national development objectives
 - Present information on avoided emissions, the abatement of the rate of increase in greenhouse gas emissions, and the enhancement of removals by sinks

- Include qualitative and/or quantitative indicators (e.g. improvement of emission factors)
- Justification of new studies, e.g. areas not addressed in previous NC, improvements of previous analysis, new approaches available

OTHER INFORMATION CONSIDERED RELEVANT TO THE ACHIEVEMENT OF THE OBJECTIVE OF THE CONVENTION

- Describe how this would build on the information reported under previous NC and other relevant enabling activities, as appropriate

INTEGRATION OF CLIMATE CHANGE INTO NATIONAL DEVELOPMENT PRIORITIES

- Indicate ways in which climate change issues (adaptation, mitigation and national greenhouse gas inventories) are considered/intended to be considered in relevant planning frameworks at the national and sectoral levels;
- Outline National climate change policies, strategies and programmes that have been enacted, including the institutional structures for their implementation.
- Assess extent to which climate change is taken into account in National and sectoral policies and plans
- Assess synergies between climate risks and adaptation and mainstreaming
- Identify measures and policies identified in previous national communication that can ensure sustainable development and design a road map on how to achieve the introduction of them in the development plans of the country.

DEVELOPMENT AND TRANSFER OF ENVIRONMENTALLY SOUND TECHNOLOGIES (ESTS)

- Ensure that the work on technology needs assessment under the top-up, if applicable, is adequately considered. In doing so, review the scope of the assessment, main outcomes and constraints.
- Describe how this information would feed into next NC, including other areas of technology transfer activities, which were not covered by previous NC, where applicable

CLIMATE CHANGE RESEARCH AND SYSTEMATIC OBSERVATION

- Provide information on the status of national and/or regional programmes for RSO, including any gaps identified and difficulties encountered;
- Indicate the level of international assistance required to address needs and priorities for RSO (meteorological, oceanographic and atmospheric).
- If climate-observing system was addressed under the top-up, ensure that this information will provide the basis for reporting in the NC. If additional work is needed, explain why.

INFORMATION ON RESEARCH PROGRAMMES

- Outline information on climate change research programmes in the areas of mitigation and adaptation, and on the development of emission factors and activity data at the national and/or regional level, including opportunities for strengthening these programmes;
- present details of bilateral and multilateral support received for the implementation of projects and programmes in the above-mentioned areas;

EDUCATION TRAINING AND PUBLIC AWARENESS

Provide a brief description of:

- Activities undertaken to implement Article 6 of the Convention, including the institutional and/or legal frameworks, and the means to monitor and assess their effectiveness;
- Analyze level of awareness and understanding of climate change issues at all levels
- Existing activities and plans to incorporate climate change issues into national (formal and non-formal) educational programmes;
- Existing and/or planned public-awareness programmes and campaigns and level of involvement of relevant stakeholders;
- Identified gaps, needs and priorities in relation to climate change education, training and public awareness, including international assistance needed;
- Processes involved in vulnerability and adaptation assessments, including national adaptation programmes of action (NAPAs), as appropriate, and the linkages of a country's NAPA with national efforts in relation to education, training and public awareness.

CAPACITY BUILDING

- Where applicable, reporting on capacity building should build on information under the National Capacity Self-assessment (NCSA) and top-up activity. Given the cross cutting nature of capacity building issues, ensure the design of these reporting activities are consistent with the relevant sections for the national communication.

INFORMATION AND NETWORKING

Provide a brief description of:

- Efforts made to facilitate information-sharing within countries, including existing channels, to ensure efficient flow of information to grass-roots level;
- Efforts made to facilitate information-sharing between developing countries and regions;
- Level of participation in international information networking, including centers of excellence;
- Constraints encountered in facilitating information sharing, dissemination and networking arrangements as described above.

CONSTRAINTS AND GAPS, AND RELATED FINANCIAL, TECHNICAL AND CAPACITY NEEDS

- Identify needs to update information provided in the NC, including relevant initiatives that may have taken place after the finalization of the NCs.
 - Assess whether some of the reported constraints or gaps and related financial, technical and capacity needs have been addressed.
 - Assess what areas would need to be updated on the basis of descriptions provided in the previous NCs

Determine whether new information would need to be reported (not previously covered)

2.2. EXAMPLES OF TERMS OF REFERENCE OF A FACILITATOR FOR STOCKTAKING EXERCISE AND PROJECT DOCUMENT PREPARATION

The overall role of the facilitator is to provide independent guidance for the stocktaking and stakeholder consultations. The specific aims of the facilitator are to identify relevant individuals and institutions and to develop and organise the stocktaking and consultation exercise, such as through a well-planned and focussed workshop. The facilitator would also prepare a summary report with findings from exercise that can be used to prepare the national communication proposal and associated activities.

Roles and Responsibilities

The specific roles and responsibilities of the facilitator are as follows:

- a. Identify relevant existing and new stakeholders in the climate change and development context.
- b. Develop a workplan for the consultations, including, for example, type of consultations required, working groups, presentations and resource persons required, sources and provision of information, timeline and budget.
- c. Review the stakeholder analysis, identify gaps in stakeholder coverage and recommend the further approaches that should be made to individuals and organisations to fill those gaps.
- d. To draft a report for approval by project manager or steering committee and translate into English language as appropriate

Relevant Skills, Knowledge and Experience

The facilitator should have the following skills:

- a. Good written and oral communication skills in relevant languages.
- b. Experience dealing with multi-stakeholder groups in the public and private sectors.
- c. Ability to work in groups and lead group discussions in order to collect relevant information.

The facilitator should have knowledge of and experience in:

- a. Climate change issues
- b. National planning processes in the country.
- c. Networking with national/international institutions as well as civil society groups in the country.
- d. Country development plans and priorities, especially in the area of environment and development and preferably in climate change issues.
- e. Identifying, assessing and summarising key information based of specific objectives.

Appendix 3: GUIDANCE PROVIDED TO COUNTRIES FOR DRAFTING TERMS OF REFERENCES FOR PREPARATION OF NATIONAL COMMUNICATIONS – (PROJECT COMPONENT II)

UNEP provides the following guidance to Parties for preparation of Terms of References for experts/consultants and members of the PMU to be involved in the Preparation of the NC:

NATIONAL COMMUNICATION NATIONAL PROJECT COORDINATOR

A National Project Coordinator (NPC) will be recruited by the EA to oversee project implementation, under the UNEP supervision. He/she will be responsible for the overall management of all aspects of the project, and will provide technical assistance to the national technical expert groups.

The candidate should be highly motivated, enthusiastic, and capable of working independently. He/she should have a strong scientific/technical and policy background. The NPC should have experience in preparation of National Communication on Climate Change and/or in other climate change enabling activities. The ability to work with a wide variety of people from governments, agencies, non-governmental organizations, and research institutions is essential.

Duties:

The National project Coordinator in consultation with NC steering committee will be responsible for the day- to-day management, co-ordination and supervision of the implementation of the project. The coordinator duties will include among others:

- Co-ordinate all project activities with heads of technical expert groups, and a range of institutions and agencies, including UNEP, IPCC, UNFCCC secretariat, GEF, and national institutions to ensure smooth and appropriate execution of project activities
- Prepare a detailed project workplan and terms of reference for the project consultants
- Liaise with the relevant ministries, national and international research institutes, NGOs, and other relevant institutions in order to involve their staff in the project activities, and to gather and disseminate information relevant to the project.
- Identify, interview and recruit national and international consultants to work for the project.
- Promote and establish links with related national and regional projects, and other international programmes.
- Prepare the periodic progress reports on project implementation and ensure that all national project outputs are sent to UNEP.
- Manage the project expenditures according to the project budget.
- Identify training needs of the contracted national consultants and other project stakeholders, and identify appropriate courses and trainings for national capacity building.
- Organize national workshops and trainings according to the project workplan. Attend, whenever possible, the relevant regional and international workshops, trainings and conferences.
- Review all materials generated during the project
- Ensure the publication and dissemination of the reports identified as project outputs.
- Coordinate negotiations on co-operation with Government and financing institutions in order to identify and mobilize sources for the follow-up activities.

Qualifications:

- An advanced degree (at least MSc. or Ph.D.) in environmental science or other related field
- Relevant experience in the field of climate change
- Familiarity with national communications, and with international negotiations and processes under the UNFCCC
- Substantial experience in government and in interdepartmental procedures
- Familiarity with computers and word processing
- Good command of national and UN and UN official language

Duty Station: The project office will be housed at the offices of the EA

Duration: 3 years

ADMINISTRATIVE ASSISTANT

An Administrative Assistant (AA) will provide assistance to the National Project Coordinator to facilitate smooth implementation of the project. The AA will be recruited by EA. Her/his involvement in previous activities under Climate Change is a major precondition. The AA will work on a full-time basis and perform the following duties:

Duties:

- To assist the National Project Coordinator in managing the project activities.
- Assist the NPC in allocation and re-allocation of the project funds and in controlling the project expenditures.
- Assist the NPC in preparing a work plan
- Assist the NPC in preparing the quarterly progress report of the project
- Facilitate the process of recruitment of the project personnel (draft terms of reference and vacancy announcement, arrangement of interview, maintenance of roster of national consultants, preparation of recruitment package, etc.)
- Arrange purchasing of office equipment for the project purposes on a competitive basis. Maintain inventory of non-expendable equipment.
- Provide substantial support to the project workshops and trainings. Attend, whenever possible, regional and international trainings relevant to climate change.
- Set up and maintain the project filing system.
- Provide general administrative support to project activities.
- Perform other project-related duties as requested by National Project Coordinator.
- Ensure that there is proper accountability of project funds
- Prepare the expenditure statements in line with the UNEP budget code;
- Prepares quarterly financial statement

Qualifications:

- A university degree in economics or environmental management
- A minimum of 3 years of relevant experience in a field related to climate change.
- Work experience with international organizations
- Knowledge of computers and word processing
- He/ she must have worked on a climate change related activities.

Duty Station: The project office will be housed at the offices of EA.

Duration: 3 years

ACCOUNTANT

An Accountant will be recruited to work on a part-time basis. The Accountant will work under the direct supervision of the NPC and in cooperation with AA. The responsibilities of the Accountant will be:

- Execute the work of book keeping
- Track payment/invoices/receipts and reconcile all expenditures of funds
- Ensure proper accountability of funds
- Prepare the expenditure statements in line with the UNEP budget code
- Advise on the proper utilization of funds and sign on the accuracy of the expenditures along with the NPC

Qualifications

- A university degree in accounting/economics/management
- A minimum of three years of working experience with international agencies
- Knowledge of computers and be able to work with Micro Soft Excel 2003 and Microsoft Word
- Excellent of national language

Duty Station: The project office will be housed at the offices of EA.

Duration: According to the project work plan and terms of reference.

TECHNICAL EXPERT GROUPS (TEGs)

A team leader will head each technical group consisting of experts consultants from relevant sectors, including government agencies, academic institutions, NGOs, and private sector. The TEGS will be answerable to the National Project Coordinator (NPC). The NPC and the head of each working group will form the Project Management Team. The TWG will develop the work plan of the group's relevant activity areas and sectors. They will provide technical assistance for project activities and guidance training on scientific or methodological aspects of project work.

The NPC will manage all technical assistance and recruitment of consultants for day-to-day project work. The TEGs will have the following duties:

1. GHG INVENTORY TECHNICAL EXPERT GROUP

Duties:

- Assist the NPC in preparation of a work plan as part of the relevant activity.
- Advise on selection and application of appropriate inventory methodologies.
- Assist in data quality assistance and key source analysis.
- Recommend the ways of improvement of the national emission actors.
- Contribute substantially to development of the *National Inventory Report* and identify the follow-up activities.
- Assist the NPC in arrangement of the national review and training workshops on improving quality of the national GHG inventory.

- Suggest on technical capacity building and participate in the subregional, regional and international training on GHG inventory.

2. VULNERABILITY AND ADAPTATION ASSESSMENT TECHNICAL EXPERT GROUP

Duties:

- Assist the NPC in preparation of a work plan as part of the relevant activity.
- Advise on selection of appropriate methodologies to assess vulnerability and adaptation.
- Oversee the development of climatic scenarios and selection of relevant methodologies.
- Supervise an assessment of vulnerability and climate change impact.
- Contribute substantially to development of the National Strategy on Adaptation to Climate Change and identify the follow-up activities.
- Help organize the national review and training workshops on vulnerability and adaptation measures.
- Suggest on capacity building and participate in the subregional, regional and international trainings on integrated assessment modeling.

3. MITIGATION ANALYSIS TECHNICAL EXPERT GROUP

Duties:

- Assist the NPC in preparation of a work plan relevant to the activity;
- Assist the NPC in search and choice of appropriate training courses on applying macro-economic models;
- Advise on selection of macro-economic models for evaluating mitigation options and measures for GHG emission reduction;
- Overview and select measures to mitigate climate change and identify the follow-up activities;
- Assist the NPC in arranging the national review and training workshops on climate change mitigation measures;
- Suggest on technical capacity building and participate in the subregional, regional and international trainings on mitigation measures analysis.

OTHER INFORMATION:

4. ENVIRONMENTALLY SOUND TECHNOLOGIES (EST) TECHNICAL EXPERT GROUP

Duties:

- Assist the NPC in preparation of a work plan as part of the relevant activity.
- Advise on selection of priority technological needs.
- Analyze the cost-effectiveness of the technologies and the opportunities for their application.
- Assess the existing endogenous technologies for further promotion within the context of national circumstances.
- Contribute substantially to the establishment of a database for ESTs, including both mitigation and adaptation technologies.
- Identify the follow-up activities
- Assist in arranging the national review and awareness raising workshops on ESTs and participate in the subregional, regional and international trainings on ESTs.

5. RESEARCH AND SYSTEMATIC OBSERVATION TECHNICAL EXPERT GROUP

Duties:

- Assist the NPC in preparation of workplan in part of the relevant activity.
- Assess the existing system for early warning on extreme weather events and methods of seasonal forecasting.
- Analyze the existing barriers for development of observation systems and research, and identify the follow-up activities
- Contribute substantially to development of the *National Information Report on Research and Systematic Observation*.
- Assist in arranging the national review and awareness raising workshops on research and systematic observation, and participate in the subregional, regional and international trainings on the matter.

6. EDUCATION, TRAINING AND PUBLIC AWARENESS, INFORMATION AND NETWORKING AND CAPACITY-BUILDING

Duties

- Compile and analyze information on activities/tasks relating to the implementation of the New Delhi work program on Article 6 of the Convention;
- Compile and analyze information on activities/tasks relating to the implementation of the Capacity-building framework of the UNFCCC;
- Identify the needs and priorities for climate change education, training and public awareness and capacity-building as they relate to GHG inventory, vulnerability and adaptation assessment, mitigation, technology transfer, research and systematic observation and other emerging priorities;
- Liaise and consult with the various TEG under the NC project and the National Capacity Self-Assessment;
- Prepare a draft National plan for implementation of Article 6 of the Convention and the UNFCCC capacity building framework;
- Identify technology needs for information and networking;
- Conduct a workshop on ways to promote climate change education, training and public awareness;
- Prepare a chapter on: (i) Education, Training and Public Awareness, (ii) Information and Networking, (iii) capacity-building for inclusion in the compilation of the NC

Duration: Technical Expert Groups will be engaged according to project workplan and Terms of Reference

NATIONAL PROJECT ADVISORY COMMITTEE (NPAC)

The National Project Advisory Committee (NPAC), which comprises of various representatives, will be responsible for supervising the project implementation. This will include evaluating the project outputs to ensure project activities are being carried out in a timely manner. The NPAC will perform the following responsibilities:

- Monitor, evaluate and provide advice and guidance during the implementation of the project;

- Collaborate with the Project Management Team (PMT) in preparing the National Communication Report;
- Ensure that the development of the National Communication Document is in conformity with the UNFCCC guidelines relating to the formulation of national communications;
- Formulate necessary measures, where appropriate, to ensure that the proposed project activities and outputs accomplish the project's objectives;

Provide oversight responsibility to ensure a smooth transition from the current to subsequent National Communication reporting and any other follow-up measures

Appendix 4: COSTED MONITORING AND EVALUATION PLAN

Type of M&E activity	Responsible Parties	Budget excluding project staff time (USD)	Time frame
Measurement of Means of Verification for Project Progress on output and implementation	<ul style="list-style-type: none"> National Project Manager will prepare a 3-year workplan along with a detailed budgeted first year workplan UNEP Task Manager and FMO will review and approve workplan and budgets 	None	Annually prior to the definition of annual work plans
Periodic status/ progress reports	<ul style="list-style-type: none"> Task Manager, FMO and National Project Team 	None	Quarterly
Report on Status of project implementation submitted to the GEF for SBI and COP	<ul style="list-style-type: none"> National Project Manager in consultation with UNEP Task Manager and FMO 	None	Twice/year
Mid-term Review	<ul style="list-style-type: none"> Task Manager, FMO and national project team 	Indicative cost: US\$4,000 per country and taken from national budget	At the mid-point of project implementation.
Project Terminal Report	<ul style="list-style-type: none"> National project team Task Manager FMO 	None (Time cost of project manager)	At least three months before the project ends
Annual Audit	<ul style="list-style-type: none"> National project team 	Indicative cost for three years: US\$9,000	Yearly
Monitoring Report and Terminal Report	<ul style="list-style-type: none"> National project team Task Manager FMO The Evaluation and Oversight Unit (EOU), UNEP 	Indicative cost for three years: US\$18,000	During and at the end of project implementation
TOTAL indicative COST		US\$ 31,000 per country	

Appendix 5: ENDORSEMENT LETTERS OF GEF NATIONAL FOCAL POINTS

The following presents an overview of the twelve (12) Letters of Endorsement received from the Countries and attached as a separate PDF File to the Project Document

PARTY	GEF OFF NAME	POSITION	MINISTRY	DATE (MM/dd/yyyy)
1. Bahrain	Dr. Adel Khalifa AIZAYANI	Director General	Public Commission for the Protection of Marine resources, Environment and Wildlife	07/06/2012
2. Benin	Ms. Delphin AIDJI	Director of Programming and Prospect	Ministere de l'environnement de l'habitat et de l'urbanisme	05/05/2012
3. Bhutan	Mr. Karma TSHITEEM	Secretary	Gross National Happiness Commission	08/07/2012
4. Comoros	Mr. Ali Mohamed SOILIH	Secretary General, Vice Presidency in charge of Ministry of Production, Environment, Energy, Industry and Crafts	Ministry of Production, Environment, Energy, Industry and Crafts	09/16/2012
5. Cook Islands	Mr. Vaitoti TUPA	Director	National Environment Service	07/18/2012
6. Eritrea	Mr. Mogos Wolde YOHANNIS	Director General	Ministry of Land, Water and Environment	07/18/2012
7. Lao DPR	Khampadith KHAMMOUNHEUANG	Director General , Department of Environment and Quality Promotion	Ministry of Natural Resources and Environment (MONRE)	08/06/2012
8. Mauritius	Mr. P. Yip Wang WING	Financial Secretary	Ministry of Finance and Environment Development	06/20/2012
9. Nauru	Mr. Russ KUN	Permanent Secretary for Commerce, Industry and Environment	Department of Commerce, Industry and Environment,	05/18/2012
10. Sao Tome and Principe	Mr. Lourenco Monteur DE JESUS	Advisor to the Minister	Ministerio das Obras Publicas e Recursos Naturais	05/07/2012
11. Seychelles	Mr. Didier DOGLEY	Special Advisor to the Minister	Ministry of Environment	08/06/2012
12. Tanzania	Mr. J.K. NINGU	Director of Environment, Vice President's Office	Vice President's Office	05/22/2012

Appendix 6: DEFINITION OF TERMS

Term	Meaning
Executing Agency	Partner directly managing the project, executing project activities, monitoring project progress, sub-contracting, managing project staff and funds, and carrying out other project management functions.
GEF Implementing Agency	Agency making the funding available and providing oversight during the entire project cycle and being held accountable to the GEF Council for delivering global environmental benefits. Responsibilities include ensuring fiduciary standards are applied, and supervising the development and implementation of projects, including monitoring and reporting, on behalf of the GEF.
Project completion date	Date when substantive/technical activities carried out under the project are completed i.e. when all activities listed in the project document are satisfactorily completed, the envisaged outputs are produced and enough data is available to allow the Task Manager to prepare the final report.
Project effectiveness	Date of initial funds disbursement by the Implementing Agency.
Co-financing	These are project resources that are committed by the EA itself or by other non-GEF sources at the inception of the project, and which are essential for meeting the GEF project objectives. Meeting co-financing obligations and reporting on them is part of this legal agreement. Resources which are not committed as part of the essential financing package at the outset, but which are mobilized subsequently, are not considered “co-finance” but “leveraged” resources. Such leveraged resources will also be tracked.
Task Manager	UNEP staff assigned to oversee the project execution. He/she reports to the GEF Coordinator.
Project implementation period	The period, during which the project shall be implemented, starting from the project commencing date and ending on the project completion date.
Project inception meeting	Meeting to be organized when the project execution team is in place, the Steering Committee has been established and project partners sub-contracted. Key outputs of the inception meeting are: refined definition of roles and responsibilities among partners, agreed monitoring plan including key outcome indicators, means of verification, and plan for gathering any additional baseline data.
GEF fiscal year	The fiscal year for GEF is from 1 July to 30 June.
Project management costs	In accordance with GEF rules, project management costs should not exceed 10%. These refer to staff costs needed for project management and administration, and related office infrastructure. Any management costs in excess of the 10% would need to be borne by the EA (in-kind co-financing) or from third party co-financing.
Sub-project(s)	Project activities sub-contracted to a project partner. The EA is responsible for managing the sub-project(s).
Project closure date	Date when UNEP is able to financially close the project in UNEP’s accounting system, which shall be no later than 12 months after the project completion date.
Suspension	Refers to the temporary halt of project activities and financial disbursements. Written notification between The Parties should take place. Re-initiation of activities should also be communicated in writing.
Termination	Refers to the termination of project activities before the expected completion date and before all activities take place. Written notification between The Parties is essential and should be done at least 3 months in advance on intended termination date to allow for the orderly conclusion of activities and withdrawal of personnel.

Appendix 7: CONTACT DETAILS TEMPLATE

Correspondence on substantive and technical matters shall be addressed to:

At the Partner	At UNEP
XXXXXXXXXX XXXXXXXXXX	Ms. Sylvie Lemmet Director Division of Technology Industry and Economics United Nations Environment Programme Tel: +33 (0) 1.44.37.14.41 Sylvie.lemmet@unep.org
With a copy to: XXXXXXXXXX XXXXXXXXXX	George Manful Senior Task Manager UNEP P.O. Box 30552 Nairobi 00100 Kenya Tel: +(254-20) 762-5085 Fax: +(254-20) 762-4041 Email: George.Manful@unep.org

Correspondence on administrative and financial matters shall be addressed to:

At the Partner	At UNEP
XXXXXXXXXX XXXXXXXXXX	Chief, Corporate Services Section (CSS) P.O. Box 30552 Nairobi 00100, Kenya Tel: +(254-20) 762-5454 Fax: + (254-20) 762-3718/3568 Email: css@unep.org
With a copy to: XXXXXXXXXX XXXXXXXXXX	Martin Okun Fund Management Officer UNEP P.O. Box 30552 Nairobi 00100 Kenya Tel: +(254-20) 762-4079 Fax: +(254-20) 762-4041 Email: Martin.Okun@unep.org

Appendix 8: CASH ADVANCE STATEMENT TEMPLATE

(for projects where only the GEF project grant is channeled through UNEP)

Project title: _____
 Project number: GFL-2328-pppp-nnnn
 Project executing partner: _____
 Project implementation period: From: _____ To: _____
 Cash requirements for the period: From: _____ To: _____

GEF APPROVED BUDGET

		US\$
For use by project executing partner	A	
For use by UNEP - budget lines (insert numbers)		
Total approved GEF Trust Fund budget		-

STATEMENT OF CASH RECEIPTS AND EXPENDITURES

Cash advances for project received from UNEP to date

Advance number	Date received	US\$
1	_____	
2	_____	
3	_____	
Total cash advances received to date	B	-
Cumulative expenditures reported to date	C	
Cash balance held by executing partner	D = B-C	-

CASH ADVANCE REQUIREMENT

Estimated disbursements for the next period (as analyzed on the appended schedule)	E	
New cash advance requested	F = E-D	-

BALANCE OF GEF APPROVED BUDGET NOT YET REQUESTED

Total GEF budget approved for executing partner	A	
Total cash advances received to date	B	
New cash advance requested	F	
GEF approved budget not yet requested	H = A-B-F	-

Request approved by _____ Date _____
 Duly authorized official
 of the
 project executing partner

For UNEP official use only

	Name	Signature	Date
I certify the figures reported in A, B, C & D and totals above are correct and are properly recorded in IMIS	UNEP DGEF certifying officer		
I confirm that a cash advance of US\$ is appropriate			
in view of the progress of the project	UNEP project Task Manager		

DETAILS OF THE ESTIMATED DISBURSEMENTS FOR THE NEXT PERIOD

From: _____

To: _____

BL*	Budget Line description	Expenditure Estimate	Explanation
1101	Project Personnel		
1201	Consultant		
1301	Admin personnel		
1601	Travel on official business		
2101	Sub-contract (UN agency)		
2201	Sub-contract (supporting organization)		
2301	Sub-contract (business entity)		
3201	Group training		
3301	Meeting/Conference		
4101	Expendable equipment		
4201	Non-expendable equipment		
5101	Operations and Maintenance		
5201	Reporting		
5301	Sundry		
99	Total (as per E in Cash Statement)	-	

*Budget Lines (BL) in this report shall be exactly as specified in the approved budget of the project.

Appendix 9: THIRD PARTY FORM TEMPLATE

THIRD PARTY REQUEST FORM

Any Payee except Vendors and Persons
(Government, Other UN Entities, Field Offices, Specialized Agencies, etc.)

CREATE <input type="checkbox"/>		MODIFY <input type="checkbox"/>	
ID Code:		(To be completed by UNEP)	
Long Name:		xxxxxxxx	
Short Name:			
Address:			
City:			
State or Province:			
Country:			
Postal Code:			
Contact Name:			
Phone number:			
Representing Country:			
BANKING INFORMATION			
Beneficiary Bank Name:	xxxxx	Correspondent Bank Name:	x
Beneficiary Bank Address:	xxxxx	Correspondent Bank Address:	(if applicable) x
Beneficiary Bank Account Name:	xxxxx	Correspondent Bank Account Number:	x
Bank Account Number:	xxxxx	IBAN No:	(if applicable)
Bank ABA/Swift Code:	xxxxx	Swift Code:	x
State/Province:	xxxx	Country:	x
Postal/ZIP Code:			
Country:			
(Reminder: It is important to indicate complete bank details to enable us to efficiently transfer funds to your accounts. Different countries have different codes. Example: USA - 9 digit ABA, UK – 6 digit Sort code, KEN - 6 digit BICKE)			
*****Please provide information for all boxes highlighted in yellow*****			
To be completed by UNEP	Name	Date	Signature
Requesting Officer			
Chief of Accounts Unit			
Third Party table maintenance clerk			
Treasury Unit Approving Officer			

Appendix 10: INVENTORY OF NON-EXPENDABLE EQUIPMENT PURCHASED
INVENTORY OF NON-EXPENDABLE EQUIPMENT PURCHASED
UNIT VALUE US\$ 1,000 AND ABOVE

Project title: _____

Project number: GFL-2328-pppp-nnnn Project implementation period: From _____ To _____
Report as at (ddmmyyyy): _____

Project executing partner: _____

Description (Non-expendable equipment)	Serial No.	Date of Purchase	Original Price (US\$)	Purchased/ Imported from (Name of Country)	Present Condition	Location	Remarks/ Recommendation for disposal

Total (as per Budget Line 4299) -

Description (Items of attraction)	Serial No.	Date of Purchase	Original Price (US\$)	Purchased/ Imported from (Name of Country)	Present Condition	Location	Remarks/ Recommendation for disposal

Total -

The physical verification of the items was done by:

Name: _____ Signature: _____
(duly authorized official of project executing partner)

Title: _____ Date: _____

Appendix 11: EQUIPMENT TRANSFER LETTER TEMPLATE



UNITED NATIONS ENVIRONMENT PROGRAMME

Programme des Nations Unies pour l'environnement

Programa de las Naciones Unidas para el Medio Ambiente

Программа Организации Объединенных Наций по окружающей среде

برنامج الأمم المتحدة للبيئة

联合国环境规划署



Reference: **Project Reference: GFL-2328-pppp-nnnn**

Date:

LETTER OF AGREEMENT/TRANSFER

The United Nations Environment Programme (UNEP) hereby agrees to transfer, free-of-charge, to the (name of executing partner) the items in the appended Annex purchased against the Project (title of project) it being understood that once the transfer has been acknowledged, UNEP shall no longer be responsible for any operating, insurance or maintenance costs of the said items:

On behalf of the United Nations Environment Programme (UNEP)

[Name]
Chief, Corporate Services Section (CSS)
UNEP

Date

On behalf of the Executing Partner

Name & Title
Organization Name

Date

Corporate Services Section
P.O. Box 30552, 00100 Nairobi, Kenya,
Tel: (254 20) 762 5454 . Fax: (254 20) 762 3718/3568 . E-mail: css@unep.org
www.unep.org

Appendix 12: QUARTERLY PROGRESS REPORT TEMPLATE

United Nations Environment Programme
Quarterly Progress Report
Reporting Period: From... to....

1. PROJECT GENERAL INFORMATION

Project Title:					
Executing Agency:					
Project partners:					
Geographical Scope:					
Participating Countries:					
Project actual start date		Project intended completion date		Project expected completion date	

2. PROJECT PROGRESS AND RISK MANAGEMENT

2.1 Narrative of project progress during the past semester¹

2.2 Project implementation progress²

Outputs³	Expected completion date⁴	Implementation status as of end of reporting period expressed in %	Comments if variance⁵. Describe any problems in delivering outputs
Output 1: (describe ⁶)			
Activity 1: (describe)			
Activity 2:			
Activity 3:			

¹ Briefly describe progress made during the previous six months highlighting major outcomes/benchmarks achieved during the period.

² Information provided in “Quarterly Expenditure Statement and Explanation of Expenditures Reported” should be in line with output/activity progress reported in this table.

³ Outputs and activities as described in the project log frame or in any updated project revision.

⁴ As per latest workplan (latest project revision)

⁵ Variance refers to the difference between the expected and actual progress at the time of reporting.

⁶ Information on expected date of output completion and progress made is a requirement.

Outputs ³	Expected completion date ⁴	Implementation status as of end of reporting period expressed in %	Comments if variance ⁵ . Describe any problems in delivering outputs
Output 2:			
Activity 4:			
Activity 5:			
Activity 6:			
Output 3:			
Activity 7:			
Activity 8:			
Activity 9:			
Output 4:			
Activity 10:			
Activity 11:			
Activity 12:			
Output 5:			
Activity 13:			
Activity 14:			
Activity 15:			
Activity 16:			

2.3 Action plan to address any project shortcomings.

This section should be completed if project progress was rated MS, MU, U or HU during the previous by the Mid-term Review/Reporting.

Problem(s) identified	Action(s) taken	By whom	When

2.4 Risk management

If internal or external risks were rated as **Substantial** or **High** during the previous during the Mid-term Review, please indicate what risk mitigation measures were implemented during the period and with what results:

Risk Statement	Action taken	By who	Date	Result

3. MONITORING AND REPORTING

3.1. Please describe activities for monitoring and reporting carried out during the reporting period⁷

--

4. INVENTORY OF STAFF, CONTRACTS, MEETINGS AND OUTPUTS

4.1 Staffing details of Executing Partner (Applies to personnel, experts, consultants paid by the project budget)

Functional Title	Nationality	Budget Line (1101, 1102, 1201,1301, etc)

4.2 Sub-contracts⁸

Name of contractee	Address	Budget Line (2101, 2201, 2301, etc)

4.3 Meetings⁹

Meeting type ¹⁰	Title	Venue	Dates	Convened by	Organized by	Number of participants	Report issued Yes/No	Language	Dated

⁷ Do not include routine project reporting. Examples of M&E activities include baseline data collection, stakeholder surveys, field surveys, steering committee meetings to assess project progress, peer review of documentation to ensure quality, mid-term review, etc.

⁸ Expand table if necessary

⁹ Expand table if necessary

¹⁰ Meeting types: Inter-governmental meeting, expert group meeting, project inception workshop, training workshop/seminar, partners consultation workshop, project Steering Committee meeting, other.

4.4 List(s) of meeting participants¹¹

No.	Name of participant	Nationality

4.5 Documents, other printed materials, videos, and soft products (such as CDs or websites)

No	Type ¹²	Title	Author(s) Editor(s)	Publisher	ISBN	Publication date

Name of Project Manager:		Name of Project Manager Supervisor:	
Signature:	Date:	Signature:	Date:

¹¹ Expand table if necessary

¹² Documents and printed material types are: Report to inter-governmental meeting, technical publication, meeting report, technical/substantive report, brochures, media releases, etc.

Appendix 13: FINAL REPORT TEMPLATE

1. Background Information

1.1	Project Title:
1.2	Project Number:
1.3	Responsible Divisions/Units in UNEP:
1.4	Project starting date:
1.5.	Project completion date:
1.6	Reporting Period:
1.7	Reference to UNEP Sub-Programme/GEF Strategic Priority and expected accomplishments:
1.8	Overall objectives of the project: (maximum quarter of a page)
1.9	Total Budget (US\$): (specify contributions by donor/s)
1.10	Partners and leveraged resources: Describe collaboration with partners. Specify supporting organizations as well as cooperating agencies and state their role. List the additional resources leveraged (beyond those committed to the project itself at time of approval) as a result of the project (financial and in-kind)

2. Project Status

2.1	Information on the delivery of the project		
	Activities/Outputs (as listed in the project document)	Status (complete/ongoing)	Results/Outcomes (measured against the performance indicators stated in the project document)
2.2	List lessons learned and best practices		
2.3	State how the project has nurtured sustainability. Is the project or project methodology replicable in other countries or regions? If yes, are there any concrete examples or requests?		

List of attached documents

	(For example: publications, reports of meetings/training seminars/workshops, lists of participants, etc.)
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Name and Title of Project Manager:		<u>Name of Division Director:</u>	
Signature:	<u>Date:</u>	<u>Signature:</u>	<u>Date:</u>

Appendix 14: QUARTERLY EXPENDITURE STATEMENT

QUARTERLY EXPENDITURE STATEMENT (US\$)											
Project title:											
Project number:											
Project executing partner:											
Project implementation period:		From:					To:				
Reporting period:		From:					To:				
UNEP Budget Line		GEF-approved budget		Actual expenditures incurred*						Cumulative unspent balance to-date	
		Total project budget	Current year budget	Cumulative expenditure from previous period	Jan-Mar Qtr 1	Apr-Jun Qtr 2	Jul-Sep Qtr 3	Oct-Dec Qtr 4	Current year total		Cumulative expenditures to-date
1100	Project Personnel	A	B	C	D	E	F	G	H=D+E +F+G	I=C+H	J=A-I
1101											
1200	Consultants										
1201											
1202											
1203											
1204											
1205											
1206											
1207											
1208											

Annexes to the Project Cooperation Agreement signed between IA and EA

1209											
1210											
1211											
1212											
1213											
1214											
1215											
1216											
1217											
1218											
1219											
1220											
1221											
1222											
1223											
1224											
1225											
1226											
1227											
1228											
1300	Administrative Support										
1301											
1302											
1303											
1600	Travel on Official Business										

Annexes to the Project Cooperation Agreement signed between IA and EA

1601											
3300	Meetings/Conferences										
3301											
3302											
3303											
3304											
3305											
3306											
3307											
3308											
3309											
3310											
3311											
4200	Non-expendable equipment										
4201											
5200	Reporting costs										
5201											
5202											
5203											
5301	Sundry										
5301											
5302											
5303											
5500	Monitoring & Evaluation										
	GRAND TOTAL										

Annexes to the Project Cooperation Agreement signed between IA and EA

*The actual expenditures should be reported in accordance with the specific budget lines of the approved budget (Appendix 1) of the project document in Annex 1			
The appended schedule "Explanation for expenditures reported in quarterly expenditure statement" should also be completed			
EXPLANATION FOR EXPENDITURES REPORTED IN QUARTERLY EXPENDITURE STATEMENT			
From:		Total expenditure for QUARTER	EXPLANATION
To:			
BL**	Budget Line description		
1100	Project personnel		
1200	Consultants		
1300	Administrative support		
1600	Travel on official business		
2100	Sub-contracts (UN entities)		
2200	Sub-contracts (supporting organizations)		
2300	Sub-contracts (commercial purposes)		
3200	Group training		
3300	Meeting/Conference		
4100	Expendable equipment		
4200	Non-expendable equipment		
4300	Premises		
5100	Operation and maintenance		
5200	Reporting		
5300	Sundry		
99	Total as per Expenditure Statement	-	equals total of column D, E, F or G (as relevant)

**Budget Lines (BL) in this report shall be exactly as specified in the approved budget (Appendix 1) of the project.

Name:		Title:		Name of Project Manager:	
	Authorized official of Executing Agency	Date:		Signature:	Date:
Signature:					

Appendix 15: CO-FINANCE TEMPLATE

REPORT OF PLANNED AND ACTUAL CO-FINANCE BY BUDGET LINE

Name: (Please prepare one worksheet per source of co-finance)									
Project title:									
Project number:		GFL-2328-pppp-nnnn							
Project executing partner:									
Project reporting period:		US\$	US\$	US\$	US\$	US\$	US\$	US\$	US\$
From:		Prior Year	Cash Cofinance	In-kind Cofinance	Total for year		Cumulative		
To:		Actual Total	Planned	Actual	Planned	Actual	Planned	Actual	Actual Total
UNEP BUDGET LINE*		A	B	C	D	E	F=B+D	G=C+E	H=A+G
1100	Project personnel								
1200	Consultants								
1300	Administrative support								
1600	Travel on official business								
2100	Sub-contracts (UN entities)								
2200	Sub-contracts (supporting organizations)								
2300	Sub-contracts (commercial purposes)								
3200	Group training/workshops								
3300	Meeting/Conference								
4100	Expendable equipment								
4200	Non-expendable equipment								
5100	Operation and maintenance								
5200	Reporting								
5300	Sundry								
TOTAL COSTS		-	-	-	-	-			

* The actual expenditures should be reported in accordance with the specific budget lines of the approved budget (App 2) of project document in Annex 1

Name: _____ Title: _____ Name of Project Manager: _____
 Signature: _____ Authorized official of Executing Agency Date: _____ Signature: _____
 Date: _____