



**United Nations Development Programme**  
GLOBAL ENVIRONMENT FACILITY (GEF)



**To:** Mr. Avani Vaish,  
GEF Secretariat

**Date:** 10 March 1997

**From:** Richard Hosier  
Principal Technical Adviser  
Climate Change

**Subject:** Revised Versions of Enabling Activities for Africa

Dear Avani:

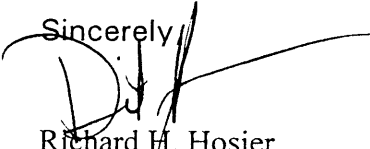
Enclosed please find revised versions of the enabling activity briefs for the following countries:

- 1) Cape Verde;
- 2) Gambia;
- 3) Malawi;
- 4) Nigeria; and
- 5) Swaziland:

To this memo, we have also attached brief notes documenting the changes that were made for four of the above, the exception being Malawi. In addition to what is listed in these brief notes, careful editing has been undertaken and the budget has been carefully reviewed for consistency and revised according to the new guidelines.

I hope that they are all in order now.

Sincerely,

  
Richard H. Hosier

**UNITED NATIONS DEVELOPMENT PROGRAMME**

**GLOBAL ENVIRONMENTAL FACILITY**

**PROPOSAL FOR REVIEW**

<b>Country:</b>	Malawi
<b>Project Title:</b>	Enabling Malawi to prepare its first communication in response to its commitments to the UNFCCC
<b>GEF Focal Area:</b>	Climate Change
<b>Country Eligibility</b>	Convention ratified on April 21, 1994
<b>Total Project Costs:</b>	\$193,640.00
<b>GEF Financing:</b>	\$193,640.00
<b>Associated Project:</b>	U.S. Climate Change Country Study
<b>GEF Implementing Agency;</b>	UNDP
<b>Executing Agency:</b>	Malawi Ministry of Research and Environmental Affairs
<b>Estimated Approval Date:</b>	February 1997
<b>Project Duration:</b>	2 years

## **BACKGROUND AND PROJECT CONTEXT**

### **Country Context**

1. Malawi is a landlocked, densely populated country in the Eastern and Southern Africa region where approximately 10 million people live in an area of about 120,000 km<sup>2</sup>. The surface waters, dominated by Lake Malawi, cover some 20% of the country. The climate ranges from semi-arid to sub-humid. Agriculture, the primary means of subsistence and the mainstay of the economy, is largely rainfed. There are four main urban centres in Malawi: Lilongwe, the capital; Blantyre, the commercial centre and largest city; Zomba, a centre for research and education; and Mzuzu, the most important government and commercial centre in the North.

2. The lack of capacity of many Malawians to meet their basic needs such as food, primary health care, education and employment, along with a booming population and weak institutional structures, are some of the main reasons for poverty. Approximately 60 % of the rural and 65 % of the urban population are currently below the poverty level. A number of reports highlight this situation, including: "Collaborative programming for Poverty Alleviation" and "Situation Analysis of Poverty in Malawi" (GOM/UNDP, 1993).

3. About 90% of the country's primary energy supplies comes from fuelwood. The majority of the total population (90%) live in the rural areas where most of the energy consumed is derived from wood. Some urban dwellers rely solely on woodfuel as the costs of electricity and electrical appliances are too high for them. It has been estimated that if Malawi is to regain a balance between the annual sustainable supply and current annual demand for wood, then approximately one million hectares would need to be planted today and another two million hectares by the year 2000. Due to the rapid rate of population growth of 3.5% per annum, Malawi does not have the available land to embark on such a programme. The implication is that current rates of wood use will continue to diminish wood supplies. Malawi has no fossil fuel resources except for a small amount of coal which is mainly used in industries.

4. In June 1994, Malawi completed a comprehensive participatory review of the key environmental concerns facing Malawi. The National Environmental Action Plan (NEAP) identified the following key problems:

- increasing pressure on natural resources from high population growth;
- soil erosion due to poor land management practices and overstocking;
- deforestation leading to scarcity of fuelwood, soil erosion, flooding and siltation;
- climate change;
- water pollution from agro-chemicals and industrial and sewage effluent;
- depletion of fish resources from water pollution and overfishing;
- loss of biological diversity;
- human habitat degradation; and,
- air pollution.

5. The consequences of not addressing the above problems will be increasing environmental degradation which will hamper sustainable development in Malawi. The rural and urban poor stand to suffer most from this situation, especially women and children.

### **Description of Sub-Sector**

#### ***National development strategies and objectives***

6. Sustainable and equitable development is the central objective of Government's overall development policy. This is to be achieved through rapid and sustained economic growth that will alleviate poverty while ensuring the sustainable use of the environment and the natural resource base for the benefit of the present and future generations. The overall approach taken in pursuing this objective has three main elements: (1) a focus on poverty alleviation; (2) the decentralization of the processes of policy development, planning, implementation, monitoring and evaluation; and, (3) the facilitation of popular (community) participation in decision-making.

7. From an environmental perspective, the development objectives guide the development process towards achieving a sustained and equitable human development by maximizing food production and income transfers while halting and reversing natural resource degradation, and ensuring that local communities are fully involved in resource management.

#### **National Programme Strategy**

8. The Malawi Government, using a participatory approach, produced a National Environmental Action Plan (NEAP) which was formally launched in December 1994. The NEAP was prepared with input from 18 task forces, based on sectors, resources or environmental concerns. Members of the task forces were drawn from government ministries, parastatals, NGOs, the private sector and academic institutions in Malawi. The NEAP describes the environmental problems existing in Malawi and advances a set of actions that should be taken in order to redress environmental concerns to enable the sustainable utilization of natural resources. In order to maximize and gravitate donor support to Malawi's environmental needs, a national programme for environmental protection, termed the Environmental Support Programme (ESP), is being prepared following the participatory NEAP approach. The ESP is in the final stages of preparation by MOREA, assisted by the World Bank.

9. The main objective of the ESP is to support Malawi's efforts to further develop and implement the NEAP. The programme will utilize and build Malawi's national environmental management capacity to conceive, plan and implement programmes and investments, and monitor and enforce priority policies. The ESP will also work to improve the understanding of environment and sustainability issues for the various segments of the population in all regions.

10. The ESP is expected to help strengthen the capacity of MOREA as the coordinating and facilitating institution responsible for environmental protection and conservation and enhance the capacity of individuals and institutions at all levels to be effective vehicles for environmental management. The national environment programme acknowledges that line ministries, district institutions, NGOs and local communities must be fully involved in all aspects of resource

management. This is in line with the prevailing decentralization policy and the policy for poverty alleviation.

11. The national programme has three main focal areas, following a programmatic approach to incorporate and encourage multi-donor support, under the overall direction of MOREA:

- Environmental Policy and Institutional Strengthening: this focus includes 5 primary areas: strengthening MOREA's capacity for the coordination and management of the environment; strengthening the environmental management capacity in key line ministries; introducing environmental impact assessment (EIA) procedures (for private and public sectors); increased capacity for environmental monitoring and information systems; and, strengthening decentralized community-level capacity to undertake integrated environment/economic development planning.
- Priority Environmental Programmes and Investment Projects: this focus supports the implementation of priority projects which address the main environmental concerns with special emphasis on the following areas: soil conservation; forestry; water; and, biodiversity. In addition, ESP strategy and activities will address priority environmental concerns in related areas involving population, waste management, air pollution and climate change.
- Community Environmental Microprojects: special emphasis is to be given to promoting community-initiated, planned, developed and managed microprojects that address priority environmental concerns with technical input from relevant ministries, NGOs and other stakeholders.

12. To achieve these three priority areas, MOREA will draw upon technical and financial assistance from a broad range of donors and work with the resources allocated under the Government of Malawi's budget allocation process. The main components of the national programme will be:

- The Environmental Support Component - whose preparation has been supported by the World Bank - is to coordinate overall environmental support activities, strengthen institutional capacity, develop the National Environmental Policy, implement key environmental investments, undertake a comprehensive training needs assessment, encourage co-management of natural resources and facilitate the development of Community Environmental Microprojects;
- The Malawi Environmental Monitoring Programme (MEMP) and the comprehensive NATURE programme, assisted by USAID to undertake baseline environmental assessments, monitor the impact of on-going development activities, and evaluate the implications of policy shifts in other sectors;
- The Institutional Support for Environmental Management component (ISEM), assisted by UNDP, to strengthen the Capacity of MOREA and other key line ministries, and develop a network of environmental focal points in line ministries, the private sector, NGOs, and parastatals;

- The Environmental Law and Institutions in Africa component, supported by UNDP, UNEP and FAO, to enhance the legal framework for environmental management in Malawi, and ensure that sufficient human and institutional capacity exists to implement and enforce the environmental legislation;
- The proposed Capacity 21 component, supported by Capacity 21 and UNDP, to ensure that local communities and institutions have the capacity and understanding to integrate environmental considerations into the development planning process;
- The GEF Project to facilitate Enabling Activities to Respond to the United Nations Framework Convention on Climate Change (if approved); and,
- Numerous sector-linked environmental education initiatives, such as population and environment, agriculture and forestry supported by UNDP, UNFPA, FAO and other donor agencies.

### **Related On-going Activities**

13 Malawi, alongside other countries, signed the Framework Convention on Climate Change at the Earth Summit in Rio in June 1992, and has since ratified it. The ultimate objective of the convention is "the stabilization of greenhouse gas concentration in the atmosphere at a level that would prevent dangerous anthropogenic interference with the climate system. Such a level should be achieved within a time-frame sufficient to allow ecosystems to adapt naturally to climate change, to ensure that food production is not threatened and to enable economic development to proceed in a sustainable manner" (UNEP/WMO, 1992).

14. The convention commits each signatory, among other things, to develop, periodically update, publish and make available to the Conference of Parties (COP), national inventories of anthropogenic emissions by sources and removals by sinks of all greenhouse gases not controlled by the Montreal Protocol. The Parties have also committed to formulate and implement national, and where appropriate, regional programmes containing measures to mitigate climate change by addressing anthropogenic greenhouse gas emissions by sources and removals by sinks, and measures to facilitate adequate adaptation to climate change.

15. It is in this light that Malawi embarked on a Greenhouse Gas (GHG) Inventory whose objectives are to identify greenhouse gas sources and sinks within its territory, to make inventories of greenhouse gas emissions and removals by sinks, and to use the inventory to forecast future greenhouse gas emissions with a view to institute policy and systematic abatement measures. The GHG Inventory is an integral part of an on-going Malawi Climate Change Country Studies, funded by the United States Government. A report entitled *Malawi's Preliminary Inventory of Greenhouse Gas Emissions and Sinks for 1990* has been prepared as part of this project. The project proposal contained here will build upon this work.

## **PROJECT OBJECTIVES**

16. The immediate objective of the project is to facilitate the preparation of the first national communication of Malawi to the Conference of the Parties (CoP) in accordance with the Article 12 of the UN Framework Convention on Climate Change and with the guidelines adopted by the CoP2 for the preparation of initial communications by parties not included in Annex I to the Convention (see Annex IV).

17. The project is also expected to enhance general awareness and knowledge of climate change related issues in Malawi thus enabling it to take these issues into account in planning and strategy formulation for different economic and technical sectors in general, and to strengthen its role in international scientific forums and negotiation processes related to climate change. A part of this task is to enhance the existing institutional mechanisms and frameworks, and to strengthen the dialogue, information exchange and cooperation among all the relevant stakeholders including governmental, non-governmental, academic, private and "grassroots" sectors.

## **PROJECT DESCRIPTION**

18. The activities proposed for inclusion in this project have been identified as being necessary to help Malawi satisfy the above-mentioned objectives. In the following discussion of activities, the relationship of this project to the work undertaken with the support of the US Country Studies Programme (USCSP) have been emphasized.

19. The project work will be organized by:

- (i) identifying and hiring a competent project manager;
- (ii) establishing a Project Steering Committee (building upon the framework established under the USCS Project);
- (iii) preparing a detailed work plan for the project; and
- (iv) organizing a project initiation workshop to do the following:
  - to present to participants from all relevant sectors the objectives of the project;
  - to take stock of other relevant ongoing national and international activities; and
  - to clarify the institutional and other practical arrangements that will facilitate a successful implementation of the project.

20. By building on the UNDP's SDNP initiative, the project will establish an information network among the participating institutions, and identify international sources of information from which the project can benefit, (such as IPCC, CC: INFO; CC: TRAIN, etc.):

- Specific attention will be paid to dissemination of and public access to the available information (as well as to the results of this project) in order to enable a wide participation and involvement of all the interested individuals and organizations both during and after the project. Support for this task will be drawn from SDNP staff with direct input from experts of the specific fields related to the project (meteorology & atmospheric physics, renewable energy sources & energy efficiency; forestry, etc.).

- It is foreseen that the network will continue to operate after the project, thus, facilitating interested parties in Malawi to learn about other national or international activities, and also facilitating interested individuals and institutions outside Malawi to get information on ongoing, planned or finalized climate change related activities in Malawi. In this context, the project will cooperate with the FCCC Secretariat's CC:INFO/Web initiative.

22. By building upon the vulnerability assessment funded by the USCSP, the project will undertake an assessment of stage I adaptation options and prepare a national adaptation strategy with respect to the specific geographical and climatological characteristics of Malawi. The work of the USCSP has focused on four sectors: agriculture, forestry, water resources and national parks and wildlife resources. The impacts of climate change on these sectors will be varied, but interlinked. Hence, the adaptation options will be evaluated in a holistic manner, and will also address how natural and societal systems will adapt to climate change on their own. For example, they will address whether vegetation can migrate with climate change and/or whether farmers can maintain production levels by changing practices. The following steps have been identified to achieve these goals:

- take stock of and analyze the results of the vulnerability assessment done under the USCSP in the sectors concerned, and finalize the vulnerability assessment for the remaining sectors;
- analyze the sensitivity and effectiveness of current policies in coping with anticipated impacts of climate change;
- identify and evaluate the feasibility of the potential (stage I) adaptation options and policies to cope with the anticipated impacts of climate change evaluating, *inter alia*, their technical feasibility, costs, environmental and social impacts; and
- in consultation with all the relevant stakeholders, formulate a draft national strategy to adapt to climate change, and identify policies (if any) which are in most need of immediate revision or implementation.

23. Fill the gaps in the GHG inventory undertaken in the USCS project. The main emphasis of this work will be on finalizing the inventory of greenhouse gas emissions from mobile sources. Activities will include:

- identification of all motor vehicles by class (passenger cars, light trucks, heavy trucks, diesel vehicles, motor cycles, etc.);
- assessment of amount of fuel consumed from 1990 and subsequent years;
- assessment of operation characteristics of the vehicles, emission controls used, maintenance procedures and the age of the fleet; and,
- estimation of greenhouse gases emitted under the above conditions.



24. Evaluate and assess options and strategies that can help to reduce or prevent anthropogenic emissions of greenhouse gases in all relevant sectors, including energy, transport, industry, agriculture, forestry and water management. Activities will include:

- an evaluation of the national GHG inventory with a view to identifying areas of concern;
- on the basis of the inventory, estimate the future emissions of different sectors as well as to study the effect of different policies and technological options;
- identification of potential options to abate the increase in greenhouse gases emissions in the sectors concerned, and the feasibility of those options by evaluating, *inter alia*, their technical feasibility, economics, regulatory and legislative framework, tariff and fiscal policies, and environmental and social impacts. The studies will build upon work just initiated within Malawi to investigate and encourage the use of alternative energy sources;
- formulation of a draft strategy to implement the most promising measures. The focus of the work will be on “win-win” measures, measures which represent the best options to meet the most urgent national development goals, but also address the global climate change issue; and
- a workshop (involving all the relevant stakeholders) to present the results of the studies together with results or status of other ongoing projects relevant to the issue, and to discuss the results with an objective to finalize and agree on a national strategy for the abatement of greenhouse gases in accordance with the effort to meet the national development goals.

25. Using the outputs of this and other projects, project participants will agree on the content, and prepare the first communication of Malawi to the Conference of the Parties.

26. The activities will be carried out in sequence so that tasks building on the results of prior activities are only undertaken if these prior steps have been taken. For instance, the greenhouse gas abatement analysis will build on the results of the inventory, and the national greenhouse gas abatement plan will build on the results of the abatement analysis. Similarly, the adaptation analysis will build on the results of the vulnerability assessment.

27. With these activities the project is expected to cover all the steps needed to prepare the first national communication of Malawi to the CoP.

### **RATIONALE FOR GEF SUPPORT**

28. The project is consistent with the GEF Operational Strategy and the GEF Operational Criteria for Enabling Activities to provide coordinated and timely assistance to countries to fulfill their commitments to the UNFCCC. The project responds to such objectives by implementing an activity needed to enable Malawi to prepare its first national communication to the CoP.

### **SUSTAINABILITY AND PARTICIPATION**

29. The Government of Malawi fully supports the objectives of this project and gives a very high priority to it. The government has also endorsed that the output of the project will be the first national communication in compliance with the UN Framework Convention on Climate Change.

30. To ensure wide participation, a national Project Steering Committee will be established with representatives from the Ministry of Research and Environmental Affairs and other relevant governmental or non-governmental organizations, research institutes, international experts working in the country. The proposed membership of the Project Steering Committee is presented in Annex II.

### **LESSONS LEARNED**

31. The importance of involvement and cooperation of all the relevant stakeholders including key government ministries, NGO's, academic institutions and private sector has been noted and duly reflected in the proposal. The project recognizes the importance of exchanging information and experience at the national, regional and international levels.

32. In implementing the different activities, the project will follow the internationally adopted guidelines, use the existing methodologies and tools whenever available and follow appropriate sequencing of activities. Technical assistance will be provided by regional and local experts whenever possible.

### **PROJECT FINANCING AND BUDGET**

33. As an enabling activity related to the communication obligations of Malawi under the UNFCCC, the "agreed full costs" of the project will be funded by GEF. A detailed budget presented in the format consistent with the cost norms of the GEF Operational Criteria for Enabling Activities is presented as Annex I.

### **INSTITUTIONAL FRAMEWORK AND PROJECT IMPLEMENTATION**

34. The executing agency of the project will be the Ministry of Research and Environmental Affairs. The Project Steering Committee will be charged with overseeing and advising project execution and will have decisionmaking power over all aspects of the project. The project will also collaborate closely with all the other relevant ongoing projects in Malawi, in particular the US Country Study Programme, both through the Project Steering Committee and between the research teams in order to enable an effective information change between the projects and full utilization of their results in the formulation of a national climate change strategy. A project coordinator will be hired to take charge of, and coordinate the day to day activities of the project.

35. While no local project coordinator post has been established under the USCSP, a national Project Steering Committee has been proposed with participants from all relevant sectors. Most of these parties and individuals have already been active in undertaking work under the USCSP. The Ministry of Research and Environmental Affairs (MOREA) has a mandate to facilitate the effective operation of this committee and will act as the secretariat. A series of bi-monthly meetings are proposed to ensure effective implementation of this project and preparation of the first national

communication of Malawi to the Conference of Parties. This Committee will ensure that tasks are coordinated and completed and information is disseminated both during and after the project. A listing of the Steering Committee Membership is contained in Annex III.

36. Regarding the international collaboration, working links with relevant regional and international expert institutions will be created, and among others IPCC and UNEP will be consulted when selecting the methodologies for, and implementing the specific activities of the project. The project will also utilize results and lessons learnt from other ongoing or finalized international projects like UNEP Country Case Studies on Climate Change Impacts and Adaptation Assessment, CC:TRAIN and US Country Study Programme to avoid duplication of effort. As means of identifying and disseminating information, the project will utilize, to the extent feasible, electronic networks such as Internet and cooperate with the CC:INFO and CC:INFO/WEB initiative of the UNFCCC Secretariat.

39. Regarding regional cooperation, links to other countries with ongoing or finalized enabling activities will be created, and areas for collaboration such as regional training or information exchange workshops will be identified, and, if seen feasible, organized.

### **Monitoring and Evaluation**

38. After the detailed work plan has been prepared, an external review of it will be undertaken. The purpose of the review is to identify in the very early stage of the project the eventual gaps, overlaps and other risks to the successful implementation as well as to identify potential partners and sources of information of which the project could benefit. Also during the various stages of the project, relevant experts and other country study teams will be requested to review and to provide comments on the various activities being undertaken.

39. The Project Steering Committee, together with the agencies, will be responsible for monitoring the project on a continuous basis. In order to do this, the project manager will prepare regular reports on the progress of the project as a whole and the different sub-tasks under it.

40. For the remaining part, the project will rely on common UNDP monitoring and evaluation practices including a mid-term evaluation and a tripartite review to be held within the first 12 months of the start of the full implementation of the project.

41. The project will last two years; the workplan will be developed during the project formulation and will be the object of the first activity in the project execution phase.

**ANNEX I**  
**COVERAGE OF THE ACTIVITIES IN MALAWI TO PREPARE**  
**THE INITIAL NATIONAL COMMUNICATION**

Information to be included into the national communication	Enabling activity to produce the information needed	Type of Activity		
		Planning & execution	Capacity Building	
			Institutional	Human
<b>1. National circumstances</b>	Compilation of the information from existing sources	X	X	X
<b>2. Greenhouse gas inventory (incl. CO<sub>2</sub>, CH<sub>4</sub> and N<sub>2</sub>O) for:</b> - all energy sources - industrial processes - agricultural processes - land use change and forestry - other sources	Data gathering and inventory of GHG emissions from: - all energy sources - industrial processes - agricultural processes - land use change and forestry - other sources	USCSP USCSP USCSP USCSP X	USCSP USCSP USCSP USCSP X	USCSP USCSP USCSP USCSP X
<b>3. General description of steps taken or envisaged to implement the Convention including, as appropriate:</b>	An assessment of potential impacts of climate change in the country	X[US]	X[US]	X[US]
(a) programs related to sustainable development, research, public awareness, etc.;	An analysis of potential options to adapt to the impacts of climate change.	X	X	X
(b) policy options for monitoring systems and response strategies;				
(c) policy frameworks for implementing adaptation measures and response strategies;	An analysis of potential options to abate the increase in GHG emissions and enhance the sinks.	X	X	X
(d) building capacity to integrate climate change into planning;				
(e) programs to address climate change and its adverse impacts, including the abatement of increase in GHG emissions and enhancement of sinks	Formulation of programs and policy frameworks for implementing the identified response measures.	X	X	X
<b>4. Other information including, as appropriate:</b>				
a) Financial and technological needs and constraints associated with the implementation of the Convention under articles 4 and 12.	Based on the results of the studies compilation and preparation of the additional information that the country wants to present in its national communication	X	X	X
b) projects for financing				
c) material relevant for calculation of global emission trends				
<b>5. Compilation and production of the initial national communication</b>	Preparation, translation and publication of the national communication (incl. exec. summary)	X	X	X

**Legend:**

X activities covered by the proposed project

X[US] activities of the proposed project complementing the activities undertaken by the USCSP

USCSP Activities already undertaken by the US Country Studies Programme

## ANNEX II

### BUDGET FOR EXPEDITED PROCESSING OF THE ENABLING ACTIVITY PROPOSAL FOR PREPARING THE INITIAL NATIONAL COMMUNICATION OF MALAWI

Information to be included into the national communication	Enabling activity to produce the information needed	Type of Activity			Total Costs in US\$
		Planning/execution	Capacity Building		
			Inst.	Training	
<b>1. National circumstances</b>	Compilation of the info from existing sources	-	-	-	-
<b>2. Greenhouse gas inventory</b>	Data gathering and an inventory of GHG emissions	15,000		10,000	25,000
<b>3. General description of steps</b> (a) programs related to sustainable development, research, public awareness, etc.; (b) policy options for monitoring systems and response strategies for impacts; (c) policy frameworks for implementing adaptation measures & response strategies; (d) building capacity to integrate climate change concerns into planning; (e) programs to address climate change and its adverse impacts, including the abatement of increase in GHG emissions and enhancement of sinks	An assessment of potential impacts of climate change in the country	15,000			15,000
	An analysis of potential options to adapt to the impacts of climate change	15,000	6,000	11,000	32,000
	An analysis of potential options to abate the increase in GHG emissions and enhance sinks.	11,000	5,000	5,000	21,000
	Formulation of programs and policy frameworks for implementing the identified response measures.	5,000			5,000
		6,000		4,000	10,000
<b>4. Other information:</b> a) Financial and technological needs & constraints associated with the implementation of the Convention under art. 4 and 12 b) projects for financing c) material for calculation of global emission trends	Based on the results of the studies, compilation and preparation of the additional information that the country wants to present in its national communication	6,000		4,000	10,000
<b>5. Compilation and production of national communication</b>	Preparation, translation, and publication of national communication.	11,000		6,000	17,000
<b>Project management</b>		34,000	8,000	11,000	53,000
<b>Monitoring/Evaluation</b>		10,000			10,000
<b>Subtotal</b>		<b>122,000</b>	<b>19,000</b>	<b>47,000</b>	<b>188,000</b>
<b>Project support services (3%)</b>		5,640			5,640
<b>GRAND TOTAL</b>		<b>129,640</b>	<b>17,000</b>	<b>47,000</b>	<b>193,640</b>
<b>Percentage of total budget</b>		<b>64.3%</b>	<b>11.9%</b>	<b>23.8%</b>	<b>100%</b>

**ANNEX III**  
**STEERING COMMITTEE MEMBERSHIP**

1. Department of Meteorology (Chair);
2. Ministry of Research and Environmental Affairs (Secretary);
3. Ministry of Agriculture and Livestock Development;
4. Ministry of Irrigation and Water Development;
5. Ministry of Economic Planning and Development;
6. Department of Forestry;
7. Department of National Parks and Wildlife;
8. Bunda college of Agriculture;
9. Polytechnic;
10. Congoma or CURE (NGO);
11. Chamber of Commerce;
12. Chancellor College; and,  
Ministry of Energy and Mining.

## ANNEX IV

### **COP GUIDELINES FOR THE PREPARATION OF INITIAL COMMUNICATIONS BY PARTIES NOT INCLUDED IN ANNEX I TO THE CONVENTION**

**[Source: FCCC/CP/1996, decision 10/CP.2, Annex.]**

1. The guidelines for the preparation of initial communications by Parties not included in Annex I to the Convention (non-annex I Parties) have five principle objectives, taking into account Article 4.7:

(a) To assist non-Annex I Parties in meeting their commitments under Article 12.1;

(b) To encourage the presentation of information in ways that are, to the extent possible, consistent, transparent and comparable as well as flexible, and to take into account specific national situation and requirements for support to improve the completeness and reliability of activity data, emission factors and estimations;

(c) To serve as policy guidance to the interim operating entity of the financial mechanism for the timely provision of financial support needed by the developing country Parties to meet the agreed full costs in complying with their obligations under Article 12.1, as referred to in decision 11/CP.2;

(d) To facilitate the process of preparation, compilation and consideration of the communications, including the preparation of compilation and synthesis documentation; and

(e) To ensure that the Conference of the Parties has sufficient information to carry out its responsibilities to assess the overall aggregated effects of the steps taken by the Parties in the light of the latest scientific assessments concerning climate change, and to assess the implementation of the Convention.

#### **Scope**

2 In accordance with Article 12.1, the communication should include:

(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.



## **National Circumstances**

3. In presenting the information, non-Annex I Parties should specify their national and regional development priorities, objectives and circumstances on the basis of which they will address climate change and its adverse impacts. The description of these circumstances can cover a wide range of information. In addition to information which can be conveniently presented in a table (see table I below), Parties may present basic economic, geographic and climatic information, as well as other factors relevant to climate change of any nature, such as, for example, features of their economy which may affect their ability to deal with climate change.

4. Parties may provide a brief description of existing institutional arrangements which are relevant to the preparation of the inventory on a continuing basis, or a list of perceived deficiencies in this area.

5. Parties may also present information their specific needs and concerns arising from the adverse effects of climate change and/or the impact of the implementation of response measures, specially on:

- (a) Small island countries;
- (b) Countries with low-lying coastal areas;
- (c) Countries with arid and semiarid areas, forested areas and areas liable to forest decay;
- (d) Countries with areas prone to natural disasters;
- (e) Countries with areas liable to drought and desertification;
- (f) Countries with areas of high urban atmospheric pollution;
- (g) Countries with areas with fragile ecosystems, including mountainous ecosystems;
- (h) Countries whose economics are highly dependent on income generated from the production, processing and export, and /or on consumption of fossil fuels and associated energy-intensive products;
- (i) Landlocked and transit countries; and
- (j) Other special considerations foreseen in Article 4.9 (least developed countries) and Article 4.10 (fossil-fuel dependency), as appropriate.

6. In presenting the information, wherever applicable, Parties should present numerical indicators. For example, they might present data expressed in terms of affected percentage of land area, population, gross domestic product (GDP), etc.

## **Inventory**

7. There is a clear need for adequate and additional financial resources, technical support and technology transfer to supplement the efforts towards capacity building for preparation of the national inventories.

8. The Guidelines for the National Greenhouse Gas Inventories and Technical Guidelines for Assessing climate Change Impacts and Adaptation or the simplified default methodologies adopted by the Intergovernmental Panel on Climate Change (IPCC) should be used by non-Annex I Parties, as appropriate and to the extent possible, in the fulfillment of their commitments under the Convention.
9. Information should be provided on the following greenhouse gases: carbon dioxide (CO<sub>2</sub>), methane (CH<sub>4</sub>) and nitrous oxide (N<sub>2</sub>O), to the extent the Party's capacities permit. In addition, Parties are encouraged to include in their national inventories the full-fluorinated compounds, as appropriate. Other greenhouse gases included in the IPCC methodology may be included at the discretion of the Parties. Emissions from bunker fuels should be reported separately for national emissions.
10. Parties should strive to present the best available data (see table I), to the extent their capacities permit, and try to identify the areas where the data may be further improved in future communications through national capacity building. Additional information, such as, for example, expression of the results in terms of socio-economic, geographical indicators deemed relevant by each country, may also be provided.
11. As recognized by the IPCC in its Second Assessment Report there is still great uncertainty associated with net anthropogenic emissions resulting from activities other than combustion of fossil fuels. Such activities include, inter alia, methane emissions from agriculture and waste sectors, coal mining, biomass burning; carbon dioxide emissions from land use change and forestry; and nitrous oxide emissions from all sectors. Since the emissions resulting from these activities depend on local circumstances, and make up a large proportion of the national emissions of non-annex I Parties, such Parties should make efforts to obtain field observation data to decrease the uncertainties associated with the inventory of these emissions, taking into account the further development of the IPCC methodology.
12. It is further recognized that such improvement of the quality of emission data, in addition to improving the transparency and comparability of national emissions inventories, also improves knowledge of the relationship between global emissions and resulting atmospheric concentration of greenhouse gases, and therefore aids significantly the task of estimating the emission limitations or reductions required to achieve a given concentration level of greenhouse gases, the ultimate objective of the Convention.
13. Non-Annex I Parties are thus encouraged to formulate cost-effective national, and where appropriate regional, progress aiming at the improvement of the quality of local emission factors and appropriate data gathering, and to submit requests for financial and technical assistance to the interim operation entity of the financial mechanism of the convention in addition to their request for the preparation of their initial communications.
14. Non-Annex I Parties should provide the best available data in their inventory. To this end such data should be provided for the year 1994. Alternatively, non-Annex I Parties may provide such data for the year 1990.

### **General description of steps**

15. In accordance with Article 12.1, each non-Annex I Party should communicate a general description of steps taken or envisaged by the Party to implement the Convention. Taking into account the chapeau of Article 4.1, the initial communication should seek to include, as appropriate:

(a) Programs related to sustainable development, research and systematic observation, education and public awareness, training, etc;

(b) Policy options for adequate monitoring systems and response strategies for climate change impacts on terrestrial and marine ecosystems;

(c) Policy frameworks for implementing adaptation measures and response strategies in the context of coastal zone management, disaster preparedness, agriculture, fisheries, and forestry, with a view to integrating climate change impact information, as appropriate, into national planning processes;

(d) In the context of undertaking national communication, building of national, regional and/or sub-regional capacity, as appropriate, to integrate climate change concerns in medium and long-term planning;

(e) Programs containing measures the Party believes contribute to addressing climate change and its adverse impacts, including the abatement of increase in greenhouse gas emissions and enhancement of removals by sinks.

### **Other Information**

16. In accordance with Article 12.7 the Conference of the Parties should use the information in initial communication in arranging for the provision to developing country Parties of technical and financial support, on request, in compiling and communicating information under Article 12, as well as in identifying the technical and financial needs associated with proposed projects and response measures under Article 4.

17. Developing country Parties may, in accordance with Article 12.4, on a voluntary basis, propose projects for financing, including specific technologies, materials, equipment, techniques or practices that would be needed to implement such projects, along with, if possible, an estimate of all incremental costs, of the reductions of emissions and increments of reveals of greenhouse gases, as well as an estimate of the consequent benefits.

18. Non-Annex I Parties may provide any other information relevant to the achievement of the objective of the Convention, including, if feasible, materials relevant for calculation of global emission trends, constraints and obstacles, etc.

## **Financial and technological needs and constraints**

19. Non-Annex I Parties may describe the financial and technological needs and constraints associated with the communication of information. In particular, and following the evolving recommendations of the conference of the Parties through its subsidiary bodies, the description may cover needs and constraints associated with the further improvement of national communications, including reduction of the margin of uncertainty in emission and removal variables through appropriate institutional and capacity-building.

20. According to national priorities, non-Annex I Parties may include a description of financial and technological needs associated with activities and measures envisaged under the Convention.

21. Information on national technological needs related to measure to facilitate adequate adaptation to climate change may be included in the communication.

22. Information on relevant financial and technological needs relating to the assessment of national, regional and/or sub-regional vulnerability to climate change may be added in the communication. This may include, where appropriate, information related to data-gathering systems to measure climate change effects in particularly vulnerable countries or regions or to strengthen such systems; and identification of a near-term research and development agenda to understand sensitivity to climate change.

## **Timing of submission of the initial communication**

23. There is a need to take into full consideration the circumstances and vulnerabilities of developing country Parties, keeping in mind that the extent to which developing countries will effectively implement their commitments under Convention will depend on the effective implementation by developed countries of their commitments under the Convention related to financial resources and transfer of technology.

24. In accordance with Article 12.5, the timing of submission of the initial communication is within three years of entry into force of the Convention for that Party or of the availability of financial resources in accordance with Article 4.3

## **Structure and executive summary**

25. The information provided in accordance with these guidelines should be communicated by a Party to the Conference of the Parties in a single document. Any additional or supporting information may be supplied through other documents such as a technical annex.

26. The initial communication should include an executive summary that would present the key information and data from the full document. The executive summary will be translated and distributed widely. It would be useful to envisage an executive summary of no more than 10 pages.

## **Language**

27. The communications may be submitted in one of the official languages of the United Nations. Non-Annex I Parties are also encouraged to submit, to the extent possible and where relevant, a translation of their communication into English

**Table I - National Circumstances**

Criteria	1994
Population	
Relevant areas (square kilometres)	
GDP (1994 US\$)	
GDP per capita (1994 US\$)	
Estimated share of the informal sector in the economy in GDP (percentage)	
Share of industry in GDP	
Share of services in GDP (percentage)	
Share of agriculture in GDP (percentage)	
Land areas (used for agricultural purposes (square kilometres)	
Urban population as percent of total population	
Livestock population (desegregate as appropriate)	
Forest area (square kilometres, define as appropriate)	
Population in absolute poverty	
Life expectancy at birth (years)	
Literacy rate	

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ENVIRONMENTAL AFFAIRS  
P.O. BOX 30745  
LILONGWE 3

**SECRETARY FOR RESEARCH AND ENVIRONMENTAL AFFAIRS**

6th August, 1996

Resident Representative  
UNDP  
P.O. Box 30135  
Lilongwe 3  
**Attention: Mr S. Southey**

**MALAWI CLIMATE CHANGE COUNTRY STUDY PROPOSAL:  
REQUEST FOR GLOBAL ENVIRONMENTAL FACILITY (GEF)  
FUNDING**

I have the honour to submit to your office a project proposal for onward transmission to the GEF secretariat for possible funding consideration.

As you are probably aware, Malawi has already undertaken preliminary studies on climate change in accordance with the provision on the climate change convention to which she is party. In this study, an inventory of greenhouse gas emissions by source and sinks was undertaken and a report is expected to be produced within the next two months.

Funding from GEF is required to complete other aspects of the climate change study which were not adequately covered during the first phase of the Malawi Climate Change Country Study Programme. In addition, funding being requested now will be used to enhance general awareness and knowledge of climate change related issues in Malawi. It is also expected that funding from GEF will help Malawi to identify and develop concrete projects to assist the government in reducing global greenhouse gas emissions.

The Ministry of Research and Environmental Affairs is the national focal point of the Malawi Climate Change Country Study Programme but the Ministry of Transport and Civil Aviation and in particular the department of Meteorology is the technical implementation institution.

This request should be considered as a preliminary submission in order to get an indication of the willingness of GEF to support this project proposal. A formal submission for request of funds will be made by the Malawi government as and when positive funding indication has been received from GEF.

Thank you in advance for your assistance.

Yours sincerely

A handwritten signature in black ink, appearing to read "E. Meade". The signature is written in a cursive style with a large initial "E".

**E.J. MEDE (MRS)**

Attd.