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**PROJECT DOCUMENT**  
**Global Project**

**Project Title:** UNDP NDC Support Programme: Delivering Sustainability through Action on Climate Change

**Project Number:** TBD

**Implementing Partner:** DIM

**Start Date:** June 2017

**End Date:** Dec 2023

**PAC Meeting date:** 25 May 2017

**Brief Description**

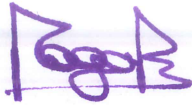
At the UN climate change conference in Paris in December 2015, 196 countries adopted the Paris Agreement – the first ever, legally binding universal pact that sets out a global action plan for limiting global warming to “well below 2°C” starting from 2020. The Agreement, which officially entered into force on 4 November 2016, built upon the foundation of climate pledges from 187 countries, known as Nationally Determined Contributions (NDCs). Countries are expected to submit updated and more ambitious NDCs every five years – meaning that they will become the main vehicle for illustrating a country’s strategic vision on climate change in the context of sustainable development.

Along with the opportunity and momentum created by the Paris Agreement comes the important challenge of transforming these NDCs into tangible actions that lead to long term, zero-carbon and climate-resilient development. As evident in the submitted NDCs, and based upon UNDP’s direct experience, most developing countries will need sustained financial, capacity building and technical support to regularly prepare, implement, and report on national actions under the Paris Agreement and more specifically against NDC targets for reducing greenhouse gases (GHGs).

The UNDP NDC Support Programme will support Governments to achieve transformational change by using NDC implementation as a mechanism to scale up investments in climate change and deliver sustainable development. The programme will be implemented in 18 countries initially. Specifically, the Programme will build on UNDP’s extensive foundational work supporting on low-emission development to help them deliver on the commitments outlined in their NDCs and, through this, on the Paris Agreement and beyond to the Sustainable Development Goals (SDGs).

|  |                                   |                    |            |  |
|--|-----------------------------------|--------------------|------------|--|
| <p><b>Contributing Outcome (UNDP Strategic Plan): Outcome 1</b><br/>Output 1.4 Scaled-up action on climate change adaptation and mitigation across sectors which is funded and implemented</p> <p><u>Indicative Output(s) with gender marker:</u></p> <ul style="list-style-type: none"> <li>-Leadership strengthened and championed to promote ambitious climate change vision (GEN2)</li> <li>-Integrated governance enhanced to deliver NDC outcomes (GEN2)</li> <li>-Evidence-based design and planning of mitigation actions delivered (GEN2)</li> <li>-Capacities developed to design climate-friendly investment opportunities, address investor risk, and blend and catalyze climate finance (GEN2)</li> <li>-Enabling environment enhanced for private sector engagement (GEN2)</li> <li>-Strengthened evidence-based knowledge for learning and advocacy (GEN2)</li> </ul> | <b>Total resources required:</b>  | 54,159,985         |            |  |
|  | <b>Total resources allocated:</b> | <b>UNDP TRAC:</b>  | 0          |  |
|  |                                   | <b>BMUB:</b>       | 18,796,992 |  |
|  |                                   | <b>BMZ:</b>        | 2,148,228  |  |
|  |                                   | <b>Government:</b> | 0          |  |
|  |                                   | <b>In-Kind:</b>    | 0          |  |
|  | <b>Unfunded:</b>                  | 33,214,765         |            |  |

Agreed by UNDP:



Print Name: Magdy Martínez-Solimán, Assistant Administrator and Director of the Bureau for Policy and Programme Support

Date:

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## I. DEVELOPMENT CHALLENGE

As noted in UNDP's Global Programme (2014-2017), climate change and natural disaster risks present a growing threat to the development trajectories of programme countries and increasingly demand a step change in the way they are being tackled. Addressing climate change can create benefits for national economies in terms of green jobs and more resilient sectors and industries. If we do not act, climate change could displace up to 150-250 million people within the next decades, lead to declines in crop and livestock production, impact upon health in multiple ways (reduced food security, rise in vector-borne diseases, lower air quality), render large tracks of coastal areas uninhabitable through sea level rise, and put infrastructure, livelihoods and lives at risk in ever-expanding cities around the world.

A major achievement toward addressing climate change at scale is the international agreement on climate change that was adopted at the UNFCCC Conference of Parties in Paris in December 2015 and officially entered into force on 4 November 2016. Known as the Paris Agreement, this was the first-ever universal, legally binding climate deal that set out a plan to put the world on track to avoid dangerous climate change by limiting global warming to "well below 2°C" starting from 2020. Together with Agenda 2030 and the Sendai Framework for Disaster Risk Reduction, the Paris Agreement provides an unprecedented opportunity to create an integrated development approach to foster inclusive, resilient economies with a zero-carbon footprint by 2100. This is because implementation of the Paris Agreement is not only about achieving risk-informed climate action, but also about delivering on Agenda 2030 through economic development and decent employment, eliminating poverty and hunger, achieving food security, affordable clean energy, advancing gender equality, improving health and delivering basic health and education services, delivering resilient infrastructure and sustainable industrialization and protecting the environment (UNDP climate change commitment, 2015). Additionally, UNDP firmly believes that the achievement of climate-resilient, zero-carbon development will protect populations from increasing displacement, migration, conflict, inequities, and ill-health exacerbated by climate change.

The Paris Agreement built upon submissions from 189 countries for national climate pledges known as Intended Nationally Determined Contributions (INDCs). which become a binding Nationally Determined Contributions (NDC) when a country ratifies the Paris Agreement. NDCs reflect a country's ambition for reducing greenhouse gas (GHG) emissions, considering domestic circumstances and capabilities, and the majority have also included adaptation goals. Under the provisions of the Paris Agreement, countries are expected to submit updated and more ambitious NDCs every five years. NDCs are thereby expected to become the main vision by which national, subnational and sectoral climate change policies and actions are aligned with national development priorities and the Sustainable Development Goals (SDGs).

The entry into force of the Paris Agreement only 11 months after it was formally adopted signifies the importance being placed on the NDCs for addressing climate change. However, the current pledges fall short of the 2°C goal, with literature suggesting a temperature rise closer to 3°C if the emissions gap cannot be closed. The critical role of unlocking private sector capital to raise ambition is well recognised and documented. Substantial investments in clean energy are occurring (\$287.5 billion in 2016 after the record investment of \$348.5 billion in 2015, per Bloomberg New Energy Finance<sup>1</sup>) but more action is required to unlock and redirect vaster quantities of private climate finance. IFC<sup>2</sup> identified three key actions for attracting private sector investment in developing countries: 1) achieve NDC goals by quickly integrating NDC commitments into national strategies and budget processes; 2) strengthen the investment environment; and 3) strategically using limited public finance to mobilize private capital.

The implementation of truly ambitious NDCs will therefore require Governments to define and mainstream a long-term strategy for climate-resilient development, strengthen legislative and institutional frameworks, and improve understanding of where and how to access, catalyse and redirect scarce public domestic resources to reduce risks for climate-friendly investments and technologies and

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<sup>1</sup> Clean Energy Investment: End of Year 2016. <https://about.bnef.com/clean-energy-investment/>

<sup>2</sup> Climate Investment Opportunities in Emerging Markets: an IFC Analysis (2016)

address economic and market barriers. Governments must signal opportunities to contribute to NDC targets through the implementation of priority NDC mitigation actions and strategically apply policy tools to reduce investor risks with the overall goal of reducing the climate vulnerability of their nations.

These IFC findings are in line with the results of a February 2016 UNDP survey of 58 developing countries on NDC support needs, as well as the feedback from the 38 countries participating in UNDP's *Low Emission Capacity Building (LECB) Programme (2011-17)*, which has supported public and private sector capacity building to design NDCs, Low Emission Development Strategies (LEDS) and Nationally Appropriate Mitigation Actions (NAMAs). The survey identified several key support areas for laying the foundation for NDC implementation and the Paris Agreement:

- *NDC implementation plans and institutional structures*: Countries require assistance to develop national implementation plans for their NDCs. This includes establishing agile and coherent whole of government institutional structures to facilitate effective implementation both horizontally and vertically (national to sub-national).
- *Measurement, reporting, and verification (MRV)*: Countries need support to strengthen their MRV capacity and national data-sharing mechanisms to better analyse and communicate progress against NDC targets and mitigation actions, including NAMAs and LEDS, in a systematic and efficient manner. Improved systems can also support improved tracking of SDG targets and inform policy planning.
- *Mitigation actions aligned to NDCs*: Countries need to transform NDC targets into concrete actions and to increase ambition, as feasible. Through NAMAs, LEDS, and other mitigation initiatives, countries can scale up their mitigation ambition within the 2016-2020 period, to be ready for NDC implementation and to demonstrate adaptation co-benefits. NAMAs constitute a key implementation tool for NDCs and the use of NAMAs to achieve outlined NDC targets is a practical, actionable approach to NDC implementation.
- *Finance structures and private sector engagement*: There is a significant gap in capacities to develop structured financial models for scaled-up mitigation efforts and to identify implement financial market mechanisms and risk-reduction measures that will remove barriers to large-scale finance and public and private investments in mitigation actions.

UNDP played a central role in the preparation of INDCs in the lead-up to the Paris Agreement that included direct technical and financial support to 43 countries – including 25 supported through the LECB Programme and the EU-funded sister project, *Support to Developing Countries on Intended Nationally Determined Contributions*. UNDP has also organised 2 global and 15 regional Technical Dialogues in collaboration with the UNFCCC and other development partners to build technical capacity and exchange experiences on NDC design and implementation, and developed pioneering guidance in 2015 with the World Resources Institute (WRI) on [Designing and Preparing Intended Nationally Determined Contributions](#). Among the key lessons learned on NDC planning and implementation to date are:

- NDCs encourage a more holistic approach to climate and sustainable development that should be treated in an integrated manner at the national level. NDC implementation will require a new institutional framework that moves climate action beyond the sole purview of ministries of environment toward more inclusive approaches with clearly defined inter-ministerial coordination mechanisms, roles and responsibilities as well as engagement of non-state actors.
- Lead sectoral ministries and sub-national authorities must be empowered to lead technical implementation of NDC actions and local capacities promoted for this purpose.
- There is a lack of recognition of the important roles that women can play in both climate change adaptation and mitigation that presents a needless barrier to successful national climate action, not to mention full achievement of the SDGs.
- A flexible, demand-driven approach to project design and national ownership are instrumental for ensuring that human, technical and institutional capacities are built and sustained within partnering government agencies and other national champions. Sustained impact can only be achieved through a country-driven process in which governments and other key national stakeholders are

empowered to identify and implement climate change actions in a coherent manner vis-à-vis national/sectoral policies and the SDGs.

- Longer-term policy frameworks and an enabling environment that encourages private sector investment are key success factors in catalysing scarce public finance to scale up private climate finance.
- Carbon markets can be a successful and cost-effective way to accelerate low carbon investments in developing countries. Early action will be key to increasing the confidence of actors in new market mechanisms as proposed under Article 6 of the Paris Agreement, along with guidance and support to navigate the new rules and regulations.
- Finally, there is already an important foundation in-country upon which the NDC implementation can build – ranging from NAMAs, CDM projects and LEDS, to existing monitoring and reporting systems and processes.

### Gender equality and women's empowerment

UNDP conducted a review in May 2016 to assess the degree to which the NDCs recognized and/or integrated gender equality<sup>3</sup>. The analysis found that of the 161 INDCs submitted at that time, only 40% (65 countries) made at least one reference to gender equality and women's empowerment. Those references were primarily related to the role of women in adaptation, but without specific mention of key sectors or women's roles. Only a few countries recognized the role of women in mitigation. The report concluded with a series of recommendations for comprehensively integrating gender considerations into NDC planning and implementation by considering seven entry points,, which have been integrated into the design of this project:

- 1) **Analyse the national context** for gender trends, sex-disaggregated data and differing situations of women and men and the resulting identification of key sectors, strategies and mechanisms for policy and action.
- 2) Assess **institutional gender equality frameworks and coordination mechanisms**, including the integration of women's leadership and inputs into national policy, as well as into approaches to interministerial coordination and cooperation.
- 3) **Integrate gender equality into climate change policy and planning instruments and processes**, including NAPs, LEDS, NAMAs, REDD+ and other UNFCCC processes, as well as other national policy and planning instruments.
- 4) Engage in **multi-stakeholder consultations** with women and women's organizations, as well as a range of stakeholder groups at local, subnational and national levels.
- 5) Support **capacity development** of different groups, including communities, women's organizations, and government officials at the national and subnational levels.
- 6) **Monitoring and evaluation**, and the use of sex-disaggregated data and indicators.
- 7) **Gender-responsive climate finance mechanisms** through national and global climate funds as well as innovative climate financing tools that target women's grassroots enterprises and sustainable development outcomes.

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## II. STRATEGY

The Programme goal is to support governments to achieve transformational change by scaling up public and private investments in climate change actions to deliver long-term sustainable development and championing the benefits of zero-carbon, climate-resilient development. This will be achieved by supporting countries to use their NDCs as a tool for realizing zero-carbon and climate-resilient

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<sup>3</sup> Gender Equality in National Climate Action: Planning for Gender-Responsive Nationally Determined Contributions (UNDP, 2016)

development that is sustainable, and fully inclusive – and one where the empowerment of women is integral to success. An inclusive approach that incorporates whole of government will be encouraged to advance a human-rights based approach, identify investment barriers to mitigation actions, and to put in place the needed enabling environment to attract climate financing that creates equal opportunities

The NDC Support Programme necessarily builds on UNDP’s strong foundation and \$2.8 billion portfolio, expertise, and lessons learned from climate change mitigation and adaptation programmes and projects, as well as UNDP work on National Communications, transparency, REDD+ (reducing emissions from deforestation and forest degradation in developing countries), gender, health, and climate change governance. In the Arab States region, there are also emerging experiences on climate change in fragile and crisis contexts that can be shared as a way of bridging the humanitarian-development nexus. The Programme will capitalise on this ongoing work and UNDP’s areas of competitive advantage to support national governments to use their NDCs as a chapeau for bringing together the various strands of climate action in-country under a single long-term vision.

The proposed approach for the Programme directly builds upon and draws significantly on the experience and lessons learned from the \$40M LECB Programme (2011-17), funded by the European Commission and governments of Germany and Australia, that is supporting 38 countries to strengthen the technical, institutional and systemic capacities of public and private sectors to design NDCs, LEDS and NAMAs, as well as the underlying national GHG inventory systems and MRV systems. The Programme comprised a Global Support Unit (GSU) that provided technical support to national project teams in the 38 countries. Some the key results of the LECB Programme, as of June 2016, are captured in Table 1.

*Table 1: Key results of the LECB Programme (June 2016)*

| <b>Anticipated global programme results</b>                                    | <b>Select results achieved to date</b>   |
|--|--|
| Up to 60 NAMA concepts prepared, including MRV systems                         | <ul style="list-style-type: none"> <li>• 65 NAMAs in LECB portfolio (16 finalised, 14 advanced)</li> <li>• 14 registered in UNFCCC NAMA Registry</li> </ul>                          |
| 13 national/sectoral LEDS designed, including MRV systems                      | <ul style="list-style-type: none"> <li>• 7 LEDS finalized/at advanced stage</li> <li>• Used for INDC target setting in 2 countries</li> </ul>  |
| 17 national GHG inventory systems established and/or enhanced                  | <ul style="list-style-type: none"> <li>• 10 national systems documented</li> <li>• 9 data collection systems designed</li> <li>• 110+ trainings, 30+ consultations</li> </ul>        |
| 15 countries actively engaging the private sector on mitigation related topics | <ul style="list-style-type: none"> <li>• 1 NAMA investor guide prepared</li> <li>• 4 countries mapping private climate finance flows</li> </ul>                                      |
| Preparation of 26 INDCs supported  | <ul style="list-style-type: none"> <li>• 26 INDCs submitted</li> </ul>   |
| Lessons learned disseminated   | <ul style="list-style-type: none"> <li>• 20 webinars</li> <li>• 6 annual global meetings</li> <li>• 8 regional thematic meetings</li> <li>• 7 flagship knowledge products</li> </ul> |

A mid-term evaluation of the LECB Programme, conducted in 2015, concluded that the Programme played an important role in bringing sectorial institutions together to collaborate on mitigation actions and LEDS, with the GSU providing valuable strategic guidance and technical support to country teams. The Programme was also recognised for its guidance materials and knowledge products and opportunities for south-south sharing of experiences through workshops, webinars, and case studies. Therefore, a similar management structure is proposed for the NDC Support Programme. The Programme strategy also draws upon lessons learned during the 2016 survey of developing countries on NDC support needs as noted in the prior section.

To support the national development process and to ensures linkages and synergies to regional and international processes, the GSU will provide global oversight and coordination, technical assistance and quality assurance to country projects. The GSU will also codify and disseminate best practices and knowledge products to national project teams and the international community through partner networks

and ensure coordination with donors and other development partners. The GSU will work closely with the UNDP Regional Hubs and UNDP country offices, who are the direct counterparts responsible for the monitoring and supervision of the projects at the national level.

Countries selected for direct financial and technical assistance under the NDC Support Programme will be drawn initially from those currently participating in the LECB Programme, given that this is a continuation of their work under the LECB Programme, which was used as a core input to their INDCs and provides substantive inputs to the new activities. (See Annex 8)

However, to ensure that all UNDP Country Offices (COs) can benefit from the Programme, a new NDC Help Desk will be launched through which COs can request remote, targeted technical advisory services related to NDC implementation. The Help Desk may also be used to disseminate best practices and relevant resources emerging from the Programme as well as from UNDP’s other ongoing work on adaptation, mitigation, finance, gender and REDD+.

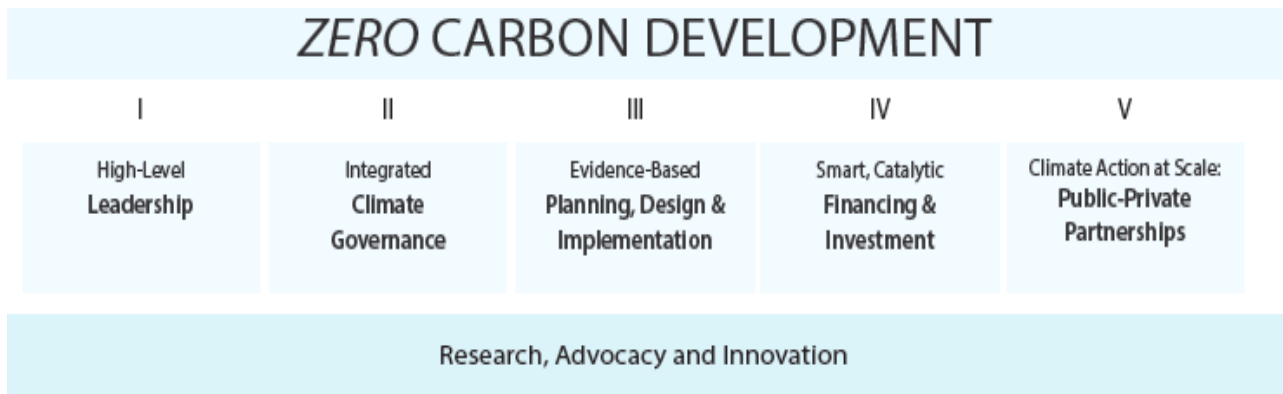
Gender equality and women’s empowerment

NDCs need to recognize and support the role of women as active agents in climate change mitigation and adaptation. Insufficient women’s involvement presents a needless barrier to successful national climate action, not to mention full achievement of the SDGs. The Programme has earmarked funding to integrate gender needs into NDC planning and implementation processes in 10 Programme countries . In this context, the NDC Support Programme also builds directly upon the experiences of the Global Gender Responsive Climate Change Programme, which focused on integrating gender equality and women’s empowerment and leadership in climate change negotiations, raising awareness, building capacity and providing technical support to bring gender perspectives into the climate policy framework at the national level.

Core building blocks

Based on the needs identified in Section 1, the Programme will be delivered using a “menu” base approach through five complementary and interlinked building blocks of support to address underlying causes of climate inaction (Figure 1) to support governments to adopt fully inclusive, zero-carbon pathways to deliver on NDC targets in the context of sustainable development. This theory of change assumes that supporting national institutional and technical capacities within strategic and pivotal areas of work will help to achieve long term, sustainable and self-driven climate change mitigation at national, sectoral and sub-national levels by improving the business case for climate action, encouraging design of financing mechanisms and strengthening the enabling environment to encourage private sector engagement and investments. The programme’s rich knowledge will be distilled and disseminated through partner networks to scale up ambition for the Paris Agreement. Please refer to Annex 6 for more on the theory of change.

Figure 1: The building blocks of UNDP’s NDC Support Programme



The Programme’s building blocks, which will be tailored to countries’ context, priorities, and budgets, will provide support to governments to address six fundamental challenges to using NDCs as tools for scaling up climate change mitigation ambition:

- *High-level leadership:* Many governments used a broad consultative process as a mechanism for elevating the issue of climate change to the highest political levels during the design of their NDCs. Strong leadership is still urgently required to leverage support across sectors to maintain momentum for NDC implementation and to encourage integrated climate governance. The Programme will support and champion high-level leaders to build consensus and commitment on an ambitious vision to address climate change within a sustainable development context. Particular attention will be paid to elevate leadership roles for women.
- *Integrated climate governance:* It is increasingly recognised that governments must move from siloed responses to more holistic climate change action. Robust institutional frameworks are pre-conditional for achieving zero carbon development and transformational change. The cross-cutting nature of climate change and NDC implementation requires an integrated, collective institutional response and inclusion of a broad range of stakeholders in finding appropriate national solutions, and including the key sectors relevant to global development in this work, such as gender and health, to maximize synergies for SDG implementation. The Programme will support policy makers through a whole-of-government approach to strengthen capacities, institutions and systems to engage, plan, coordinate and deliver climate targets and to implement, track and report progress towards climate change and sustainable development targets in an efficient and systematic manner.
- *Evidence-based planning, design and implementation:* While climate targets in the NDCs provide a national collective vision for climate-informed development, NDC implementation requires that decision makers have confidence that adaptation and increased mitigation ambition can deliver fully transformative, zero carbon development. The Programme will support countries to design robust, evidence-based mitigation actions and strategies.
- *Smart, catalytic financing and investment:* The transformation of economies to be climate resilient and zero carbon emitters will require enormous new investment as well as shifts in existing finance flows to create a long-term, stable investment environment for delivering action at scale. De-risking frameworks are needed for market-transformative initiatives and the business case must be demonstrated for zero-carbon, climate-resilient investments. Governments will be supported to blend and catalyze climate finance sources, and to apply policy and financial levers to scale up climate action. LDCs and SIDS will be supported to increase capacities and address climate investment barriers of less mature markets.
- *Public-Private Partnerships:* Business can make its contributions most effectively within an overall policy framework that is transparent and predictable and encourages competitive market-based options and innovations. The engagement of private entities throughout the NDC process – from design to implementation – is critical to ensure that private incentives are fully aligned with a country's sustainable development vision. The Programme will support systems and platforms through which the public and private sector can work in a trusting, collaborative manner to create conditions for competitive, market-based solutions to climate change that also deliver sustainable development dividends.
- *Research, Advocacy and Innovation:* Applying innovative insights alongside more traditional research and policy analysis will allow governments to have greater confidence in their decisions as they move to the more adaptive, whole of government approach that NDC implementation demands. Furthermore, experience has shown that countries benefit to a high degree from exchange among peers, advancing their own innovative solutions to climate change and drawing on indigenous knowledge. The Programme will foster structured peer-to-peer learning. Knowledge and lessons learned will be identified, analysed and disseminated through existing UNDP and partner networks.

The key assumptions are:

- political support for NDCs and the Paris Agreement does not diminish and governments endeavour to align the climate change and SDG agendas;



- governments are willing to engage a broad range of stakeholders through a whole of government approach to progress towards NDC implementation and to address barriers to institutional collaboration;
- governments have the capacities to design robust mitigation actions and strategies and can successfully negotiate climate targets with key sectors;
- governments will be keen to showcase concrete success stories and/or learn from examples that have been successfully implemented elsewhere to speed up NDC implementation;
- the financial sector and investors will be interested in supporting and/or adapting government-promoted NDC mitigation actions;
- the private sector will be increasingly aware of the relevance of the national climate action and development agendas for both business continuity and development, and will understand that early participation and engagement in NDC implementation will deliver long-term security for a wide range of inter-locking business interests.

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### III. RESULTS AND PARTNERSHIPS

#### *Expected Results*

The Paris Agreement is a universal international agreement with global goals enshrining ambition, sovereignty and flexibility that is underpinned by the nationally determined NDCs. Climate change is a complex problem that requires countries to identify solutions that are customized to domestic circumstances, needs and priorities. UNDP understands that national ownership is the foundation for systemic change. Through this initiative, UNDP will work closely with national governments to plan for and implement their NDCs in a consensus-driven and inclusive manner.

The UNDP NDC Support Programme goal is to support governments to undertake fully inclusive, zero-carbon development pathways to deliver on NDC targets in the context of sustainable development. The Programme will support up to 35 countries to:

- Promote high-level leadership and championing of climate ambition;
- Strengthen and promote inclusive national governance systems for NDC implementation;
- Elaborate evidence-based mid-century LEDS and mitigation actions that directly support NDC targets;
- Design innovative financing and market based mechanisms to de-risk and attract private sector investment in zero-carbon pathways.

Through five broad lines of technical support to countries, underpinned by research and advocacy, the Programme strategy is to provide participating governments with a comprehensive but flexible package of support that can be tailored to national priorities and developments under the UNFCCC. Thus, Outputs 1 to 5 are perceived as primarily country-level support areas that national teams will deliver with GSU technical backstopping, while Output 6 focuses on GSU actions to share, codify, and disseminate knowledge and learning through UNDP and partner networks.

Capacity development must bring about transformation that is generated and sustained over time from within. Through this Programme, UNDP will encourage development of capacities that enable institutional and policy reforms. Value is placed on 'best fit' for a context over 'best practice' as one size does not fit all. Technical assistance will be tailored to the participating countries' needs and will build upon previous efforts, especially those delivered through the LECB Programme, but also through UNDP's wide-ranging foundational work on climate change and development.

Given the budget available, and the specific and diverse requirements of countries, the activities below should be considered as a menu of offerings. It is not anticipated that every country will undertake every line of support or output proposed within the framework of this initiative. At the outset of national project design, an inclusive stakeholder-led mapping of existing and planned NDC implementation activities

supported by UNDP and other development partners will be conducted to identify a tailored package of support that meets national needs, while taking into consideration all other supported efforts on NDC implementation.

Participating countries will be invited to submit proposals in a competitive bid for additional funding to incorporate gender-focused activities into their workplans. Ten countries will be selected and the results disseminated through UNDP and partner networks (see page 6). All countries that undertake the gender work will be required, as a first step, to conduct an in-depth gender analysis that examines legal, policy, and institutional frameworks related to climate change and gender with special consideration given to activities necessary to achieve and enhance NDC commitments. The analysis will be used to refine the country's proposed activities under the various outputs below.

### **Output 1: Leadership strengthened and championed to promote ambitious climate change vision**

Strong leadership is urgently required to leverage support across sectors (including social, economic, private, academic and civil society) to maintain momentum for NDC implementation and drive integrated climate governance. Eminent persons and climate change leaders – men and women – will be supported to promote a vision for achieving ambitious national and sub-national climate change targets. Youth, media, and parliamentarians will also be targeted. South-South exchanges will be used to encourage and support decision makers to adopt and promote ambitious responses to climate change and results disseminated through UNDP's global network as a mechanism to promote ambitious change-makers on the international stage and within regions.

*1.1: High-level leaders supported to build consensus and promote commitment on ambitious climate change vision*

#### Activities:

- 1.1.1: Country champions supported to further define high-level vision for climate change that maintains momentum for NDC implementation
- 1.1.2: Women's leadership in NDC ambition setting strengthened at national and sub-national level, including setting of gender equality targets
- 1.1.3: Climate change champions promoted in regional/international for a
- 1.1.4 Leadership and coordination capacity of National Development Agencies enhanced for effective NDC implementation oversight, including alignment with Agenda 2030

### **Output 2: Integrated governance enhanced to deliver NDC outcomes**

The cross-cutting nature of climate change requires an integrated development response and increased ownership of a broad range of stakeholders in finding solutions. This output promotes a whole-of-government approach that brings together relevant lines of ministries and parliamentarians at national and/or sub-national level as well as non-state actors (private sector representatives, NGOs, youth leaders, vulnerable communities, academia, and other development practitioners) to work in a coordinated and adaptive response to climate change. Governments will be supported to build upon existing national structures to define a streamlined and coordinated approach to NDC implementation, and to mainstream climate change into sectoral strategies, programmes, and budgets. Policies and institutional frameworks will be strengthened to mainstream national mitigation policies and targets in the context of NDCs and SDGs, and to enhance gender integration into climate planning and policy processes/bodies. Institutional coordination is essential for efficient and transparent monitoring and reporting of progress towards NDC targets, including linkages to the SDGs. Governments will be assisted to set up robust monitoring systems for GHG emissions, market-based registries and tracking of sustainable development impacts of priority NDC actions. Countries addressing gender issues in their work will use the results of the gender analysis to decide on how to better integrate gender considerations into Institutional frameworks and coordination mechanisms for NDC implementation.

Training and guidance can be provided on gender-sensitive and gender-responsive practices to mainstream gender in climate planning.

### *2.1: Institutional frameworks formalised and strengthened*

#### Activities

- 2.1.1: Participatory process established to deliver inclusive planning approach to NDC implementation at either national, sub-national or local level that expands on “whole-of-government” and a people centred approach;
- 2.1.2: Climate change integrated in national development plans, priority sectoral development strategies and programmes and aligned with SDG targets;
- 2.1.3: Budget processes strengthened to deliver on NDC commitments and to guide and ensure climate change expenditures are incorporated in sectoral programming.

### *2.2: Gender-responsive approaches integrated into institutional frameworks for NDC implementation (10 target countries)*

#### Activities:

- 2.2.1: NDC institutional frameworks analysed to identify key entry points for gender-responsive NDC implementation (see also 3.2);
- 2.2.2: Institutional capacities developed to articulate gender-responsive policies in the context of NDC implementation;
- 2.2.3: Institutional frameworks and coordination mechanisms established/strengthened to integrate gender into NDC planning and implementation processes.

### *2.3: Monitoring and transparency systems for NDC implementation enhanced*

#### Activities:

- 2.3.1: National MRV system and coordination bodies designed or strengthened;
- 2.3.2: Sectoral MRV systems designed or strengthened to ensure transparent MRV of multiple impacts, including SDG targets;
- 2.3.3: Gender equality tools, indicators and data systems established/developed to track and report on gender-responsive mitigation measures (up to 10 target countries).
- 2.3.4: National registries established for accounting and linking of Internationally Transferred Mitigation Outcomes (ITMOs), as relevant;
- 2.3.5: Private sector GHG emission reporting platforms formalised.

## **Output 3: Evidence-based design and planning of mitigation actions delivered**

While climate targets provide the national collective vision for climate-informed development, many countries have not yet assessed how to disaggregate national targets to sectoral level to deliver on their mitigation ambitions. Under this output, participating countries will define achievable and ambitious mitigation targets and a long-term vision for reducing GHG emissions within a sustainable development context. Sectoral roles and responsibilities will be agreed in a fully inclusive manner and implementation timelines defined. Line ministries will be supported to engage with the private sector to develop technically sound and financially viable priority NDC mitigation actions. For select countries, barriers to women’s effective participation and integration of gender equality and women’s empowerment considerations at the early stages of LEDS and NAMA implementation will be identified and addressed. Social and environmental safeguards will also be reviewed and strengthened in NAMA and LEDS design.

### *3.1: NDC mitigation targets refined and/or disaggregated*

#### Activities:

- 3.1.1: Economy-wide NDC mitigation targets refined and disaggregated as sectoral targets and achievable actions

- 3.1.2: Sectoral mitigation plans developed to achieve targets;
- 3.1.3: Sustainable development impacts of NDC mitigation actions assessed to assist policy makers in prioritisation of NDC mitigation actions;
- 3.1.4: Gender-responsive NDC implementation roadmap defined, including roles, responsibilities and timeline;
- 3.1.5: NDC implementation investment plans developed and financial strategies (e.g. for national/international or public/private sources of finance) assessed.

### *3.2: Gender analysis conducted (10 target countries)*

#### Activities:

- 3.2.1: National conditions analysed to understand gender context of NDC implementation;
- 3.2.2: Gender assessment of existing climate planning/policy/ and reporting instruments and mechanisms (e.g., NAPs, NAMAs, REDD+, DRR, NCs/BUR) undertaken to identify strengths and weaknesses;
- 3.2.3: Relevant sector policies, strategies analysed/prioritised from gender equality perspective;
- 3.2.4: Action plan developed to incorporate findings, including measures/strategies to transform gender stereotypes in priority sectors.

### *3.3: Mid-century national or sectoral LEDES designed*

#### Activities:

- 3.3.1: Long-term national strategic vision for mitigation defined for key sectors and actors in the context of sustainable development (barriers/capacity needs for gender mainstreaming identified/addressed in up to 10 target countries);
- 3.3.2: Mid-century mitigation potential analysed;
- 3.3.3: Mitigation policies and actions identified and costed;
- 3.3.4: Low-Emission Development Strategy (LEDS) defined and sensitized as a main tool for achieving the NDC;
- 3.3.5: Implementation and institutional coordination capacities strengthened.

### *3.4: Prioritized NAMAs strengthened and promoted*

#### Activities:

- 3.4.1: Detailed technical profiles for prioritized NDC actions developed through feasibility analyses;
- 3.4.2: Line ministries supported to identify service providers for key technologies;
- 3.4.3: Business case for prioritized NDC actions articulated using cash-flow analysis and financial structuring;
- 3.4.4: Implementation barriers addressed (including those for gender mainstreaming in up to 10 target countries);
- 3.4.5: Prioritized NDC actions promoted at different levels, targeting relevant private sector stakeholders.

## **Output 4: Capacities developed to design climate-friendly investment opportunities, address investor risk, and blend and catalyze climate finance**

This output recognizes that de-risking frameworks are needed for market-transformation initiatives and for demonstrating the business case for zero-carbon, climate-resilient investment. Countries will be supported to identify and prioritize investment-ready opportunities and apply appropriate financial and policy levers to minimize investor risks. A key underpinning element of this Output will be the design of gender-responsive sustainable financing mechanisms that leverage limited public resource expenditures and increase access to funding for the private sector for prioritised mitigation actions, eventually allowing for decreased reliance on public funds. All areas of climate finance need to be gender responsive to ensure that climate finance is effective and equitable. Therefore, mainstreaming of gender perspectives, principles will be ensured/ promoted in all levels of climate finance mechanisms' governance structures, procedures, processes and operations. Countries with high GHG-emitting

sectors that have indicated an intention to use market-based mechanisms to deliver their NDC targets will be supported to put in place key elements that respond to Article 6 of the Paris Agreement.

#### 4.1: Investors risks assessed and barriers removed

##### Activities:

- 4.1.1: Climate finance flows mapped to assess climate finance investment trends and leveraging effects of public policies;
- 4.1.2: NDC investor risks identified or quantified and financial and policy levers applied to improve returns;
- 4.1.3: Feasibility studies for policy and financial instruments promoting investments in prioritized NDC mitigation actions designed;
- 4.1.4: National actors (public and private) capacitated to access, blend, catalyse and coordinate climate finance.

#### 4.2: Gender-responsive sustainable finance mechanisms established to scale up NDC mitigation action

##### Activities:

- 4.2.1: Purpose, scope and design of financing mechanisms determined, based on prioritised NDC mitigation actions;
- 4.2.2: Mechanism operating procedures defined, including eligibility criteria (that encourage women's, youth and/or vulnerable people's empowerment), application and disbursement processes, management rules, and systems for capturing sex and age-disaggregated data;
- 4.2.3: Framework for sustainability of financing mechanism elaborated (i.e., public, institutional, and/or private sources defined), if applicable.

#### 4.3: Market-based mechanisms supported

##### Activities:

- 4.3.1: Regulatory and policy approaches identified that encourage market-based solutions to NDC implementation
- 4.3.2: Sectoral standardized baselines developed for priority NDC sectors;
- 4.3.3: Robust national verification standards developed for accounting of mitigation outcomes in priority sectors;
- 4.3.4: Capacity of nationally accredited verifiers developed for transparent verification of mitigation outcomes as per the national standards.

### **Output 5: Enabling environment enhanced for private sector engagement**

Public-private partnerships must be encouraged to create an environment of trust, openness and informational symmetry and help governments to address regulatory and legislative hurdles that are impeding zero-carbon investments. Under this output, business platforms (roundtables) will be established to create a proactive and participatory approach to identifying the areas in which the private sector can best contribute to NDC implementation and support the transparency and credibility of efforts. Regulatory and policy approaches that can best encourage financial stability and market-based solutions will be identified and adopted.

#### 5.1: Private sector systematically engaged on inclusive NDC investment opportunities

##### Activities:

- 5.1.1: Business roundtables established/strengthened to provide regular public-private engagement on NDC design and implementation and promote benefits of low-emission, risk-informed actions;
- 5.1.2: Women's roles in management and private sector decision-making promoted to enhance women's access to non-traditional jobs;
- 5.1.2: Inclusive policy instruments identified to reduce risks and incentivize participation of private sector in NDC implementation;
- 5.1.3: Non-Party stakeholder initiatives mapped and emission reductions quantified against emission reference level in NDC;

- 5.1.4: Partnerships with state and non-state actors formalised for inclusive NDC investment opportunities.

**Output 6: Strengthened platform for evidence-based learning, advocacy and exchange of knowledge and experiences.**

The goal of this output is to enhance the impact and sustainability of the country-level activities and to contribute positively to both national and global goals of mitigation. A mid-term evaluation of the Low Emission Capacity Building (LECB) Programme found that it was providing valuable strategic guidance, knowledge products, technical support and opportunities for exchange of experiences. Similar efforts will be conducted under the NDC Support Programme to identify examples of challenges, good practices and solutions that can be replicated in participating countries and promoted through knowledge networks. Knowledge and learning will be systematically codified, analysed and packaged in various formats for broad dissemination to practitioners and the broader international community. Findings that promote gender equality and women's empowerment will be a priority theme.

By tapping into the important partner networks created under the Low Emission Capacity Building Programme, these knowledge exchange and advocacy efforts will build momentum for ambitious mitigation actions while also contributing to the efforts of establishing common, effective frameworks and approaches for mitigation. Best practices on adaptation that emerge from UNDP and partner activities will also be disseminated via the platform, given the high importance to the topic for many developing countries. Similarly, best practices from UNDP regional bureau programmes will be disseminated where relevant.

A central feature of Programme support will be the creation of an internal and external Help Desk serving UNDP Country Offices and the external NDC Partnership and IKI NDC Support Cluster (Annex 9) to drive the value of the initiative both within partner countries and beyond and to systematise south-south peer exchange. The Help Desk can also serve as a platform to engage the community of users in south-south peer exchange, recognising that users can inspire action through sharing of lessons and results.

*6.1. Good practices promoted to strengthen technical capacities and impact*

Activities:

- 6.1.1. "Learn-from-the-expert" activities delivered in collaboration with strategic partners through technical workshop clinics, webinars, and interviews (with gender targets);
- 6.1.2. Existing communities of practice engaged to facilitate group-based learning, inside and outside the Programme, especially those that promote women's and/or youth empowerment;
- 6.1.3. South-South peer-to-peer exchange and mentoring promoted (with gender targets);
- 6.1.4. Good practices for NDC implementation codified in, user-focused knowledge products and tools and disseminated through strategic partner networks, UNDP and beyond (with specific gender equality targets);
- 6.1.5. Flagship knowledge product on addressing gender equality issues in NDC implementation and decision-making;
- 6.1.6. NDC Help Desk support provided for UNDP Country Offices and in context of strategic partnerships (NDC Partnership and IKI NDC Support Cluster)

*6.2. Strategic communication and advocacy conducted to advance visibility and influence policy*

Activities:

- 6.2.1. Linkages between communications and research focal points at UNDP, donors and related initiatives (NDC P) established for joint visibility planning;
- 6.2.2. Periodic analysis of emerging trends conducted to inform project teams and high-level events;
- 6.2.3. High-level events conducted to raise visibility of results and advocate for adoption of key lessons;

- 6.2.4. High-impact activities identified and shared through flagship products with partners, organizational leaders, technical networks and media to advance mitigation design/motivation , gender equality and women’s empowerment;
- 6.2.5. Programme expertise and partnerships leveraged through participation in technical events and strategic communications outlets.

Full compliance with UNDP’s Branding Guidelines will be followed, as well as the branding policies and visibility requirements of donors. These requirements will be communicated to programme countries. Full engagement of key donors in-country is also expected.

*Strategic linkages to UN/DP programming*

The Programme will ensure that global and national deliverables have the necessary linkages to the UNDAF, UN One Plans (where relevant) and UNDP’s Strategic Plan 2014-2017. The work packages described above directly contribute to the Global Programme by:

- advancing climate change data collection and transparency and support of Agenda 2030;
- supporting and advancing options for integrating low-emission, climate-resilient objectives into country plans, investment programmes, and national and sectoral development planning;
- helping programme countries identify policy and institutional options that can maximize their readiness to access, sequence, combine, implement and evaluate the use of an emerging range of climate finance options;
- significantly strengthening partnerships with the private sector;
- advancing gender equality and empowering women by mainstreaming gender considerations into NDC implementation;
- advancing youth empowerment and mainstreaming equity considerations for persons with disabilities and vulnerable populations; and
- encouraging innovation through cross-country partnerships (especially South-South), ‘seed’ funding, experimentation and learning.

The Programme has applied UNDP’s mandatory Social and Environmental Standards (Annex 2) to integrate the overarching principles (human rights, gender equality and environmental sustainability) into project design. The Programme is also guided by UNDP’s Gender Equality Strategy (2014-17), which seeks to advance gender equality and empower women as agents of change and leaders in the development processes that shape their lives to achieve a more inclusive, sustainable and resilient world. Also, UNDP’s [Empowered Youth, Sustainable Future strategy](#) 2014-17 which is about resilience, sustainable and human development, and effective and democratic governance, calls on the young generations to become even more committed agents of change in the development processes.

***Resources Required to Achieve the Expected Results***

The proposed budget is \$50 million for the seven-year Programme that would support up to 35 participating countries up to the first global stocktake under the Paris Agreement in 2023. The proposed funding amount is based upon the \$40M LECB Programme (2011-17), which supported 38 countries (to differing degrees) in the design of INDCs, NAMAs, LEDS, and national inventory and MRV systems. A resource mobilisation plan is outlined in Annex 7.

To date, EUR 17.5 million has been mobilised through IKI/BMUB to support 18 of the 38 countries that participated in the LECB Programme through to December 2019 (see Annex 8 for more information on the countries, scope, and funding). Those countries are: Bhutan, Costa Rica, Chile, Colombia, Democratic Republic of the Congo, Ecuador, Ghana, Kenya, Lao PDR, Lebanon, Morocco, Peru, Philippines, Thailand, Trinidad & Tobago, Uganda, Vanuatu, and Zambia. Crucially, a significant portion of funding (EUR 7.5 million) has been earmarked to incorporate gender equality and women’s

empowerment into NDC implementation and the 18 countries will be invited to apply competitively for this funding.

EUR 2 million has been secured from BMZ to design NDC implementation roadmaps in six LECB countries under the umbrella of the NDC Partnership that was launched by the governments of Morocco and Germany at the UNFCCC Conference of the Parties in 2016. A pre-requisite is that countries selected for this funding must also be NDC Partnership members (<http://www.ndcpartnership.org/partners>).

As noted above, the Programme will also function as a Help Desk and technical advisory service for UNDP Country Offices that do not benefit directly from Programme funds.

### ***Partnerships***

The Programme will maintain, and build upon, the strategic partnerships initiated under the LECB Programme. These include:

- The [IKI NDC Support Cluster](#) (formerly the Enhanced NAMA Coordination Group), in which UNDP participates alongside seven institutions (World Resource Institute, Climate and Development Knowledge Network (CDKN), Energy Research Centre of the Netherlands (ECN), Ecofys, New Climate Institute, CCAP, and GIZ) to improve coordination of technical support to select countries. UNDP has been requested by IKI to serve as lead coordinating agency for two countries: Kenya and Colombia (see Annex 9);
- The [NDC Partnership](#), launched in November 2016, to help countries achieve their national climate commitments and ensure financial and technical assistance is delivered as efficiently as possible/ UNDP sits on the steering committee and is one of five core implementing partners;
- the UNDP/UNFCCC **Regional Technical Dialogues on NDCs**, through which 2 global and 15 regional Technical Dialogues have been held since 2014 in collaboration with other development partners to advance thinking on NDC design and implementation. UNDP acts as secretariat for donors;
- The [Partnership on Transparency in the Paris Agreement](#) (formerly the International Partnership on Mitigation and MRV) serves as a key dissemination network for Programme activities. The UNDP LECB Programme collaborated twice with the Partnership on [Good Practice Guidance](#) on LEDS, NAMAs, MRV and NDCs;
- The [LEDS Global Partnership](#) and its regional platforms in Africa, Asia-Pacific and LAC. UNDP sits on the steering committee and participates in select working groups;
- The [Initiative for Climate Action Transparency](#) (ICAT): newly-launched initiative by WRI and UNEP-DTU. UNDP participates in three technical working groups preparing methodological guidance
- The GEF's [Capacity Building Initiative for Transparency](#). UNDP is supporting efforts through the UNDP/UNEP Global Support Programme and in several countries;
- World Bank's [Partnership for Market Readiness](#) (PMR). LECB has endeavoured to create synergies in common project countries;
- the [Climate Technology Centre and Network](#) (CTCN): UNDP signed an MOU with CTCN in 2016 to allow for increased access to support for countries for technology solutions, capacity building and advice on policy, legal and regulatory frameworks;
- the [Global Climate Change Alliance](#): a key programme of the EC;
- The [Nairobi Framework Partnership](#). UNDP sits on steering committee;
- [UN Women](#): works for the elimination of discrimination against women and girls; empowerment of women; and achievement of equality between women and men as partners and beneficiaries of development, human rights, humanitarian action and peace and security.



- [Global Gender and Climate Alliance](#) (GGCA): works to ensure that climate change policies, decision-making, and initiatives at the global, regional and national levels are gender responsive which is critical to solving the climate crisis. Also includes **Energia**, an international network focused on gender and energy issues; and
- [International Union for Conservation of Nature](#) (IUCN) Global Gender Office: Provides technical support, policy development and capacity building to a wide range of partners – including IUCN members, offices, commissions, and networks – ensuring gender equality is central to sustainable global environmental solutions.

At the global level, the initiative will maintain, and build upon, the strategic partnerships highlighted above to ensure that the latest learning flows to Programme countries, while also providing an important mechanism for collating and disseminating Programme results back to strategic partners in a more streamlined and efficient manner.

At the national level, where a government is receiving NDC implementation support from a number of development partners, a key principle will be to leverage opportunities and coordinate to the maximum extent possible to deliver on the goals of the NDC Partnership for a more systematic and programmatic approach to NDC support.

#### *UNDP synergies*

At the global level, the Programme will also seek synergies and exchange of best practices and tools with key UNDP projects and initiatives on climate change that are relevant for NDC implementation, and more broadly with UNDP’s extensive support to countries on climate change mitigation and adaptation, funded primarily through the vertical funds, among others, on support and joint activities that increase efficiency of delivery of technical and financial support to countries. Among the key initiatives are:

- the Green Climate Fund Readiness Programme,
- Governance of Climate Change Finance,
- Climate Vulnerable Forum and V20
- REDD+,
- UNDP/UNEP Global Support Programme for National Communications and Biennial Update Reports,
- Small Grants Programme,
- Integrating Agriculture in NAPs Programme, and the National Adaptation Plan (NAP) Support Programme, which has recently integrated gender dimensions into their training programme and developed a module specifically on gender.

The Programme will also work closely at the national level with UNDP’s REDD+, energy access and gender teams on the development of national strategies to reduce forest-related emissions, enhance carbon sinks, and enhance equitable access to energy within the Sustainable Energy for All framework.

UNDP national climate change policy advisors hired under the Strategic Initiative to Address Climate Change in Least Developed Countries (“Boots on the Ground” Programme) will also be an important constituency for knowledge sharing and support from the GSU through the NDC Help Desk. The Help Desk will also disseminate experiences and insights from the UNDP-GEF and REDD+ teams.

Given the critical importance of aligning climate change efforts with the broader sustainable development agenda, the GSU will ensure that national projects identify linkages between the NDCs with national development plans and seek to align efforts wherever possible. In this context, efforts will be made to ensure the national projects take on board the results of Mainstreaming, Acceleration and Policy Support (MAPS) missions for Implementation of the 2030 Agenda.

Finally, UNDP is the host agency of the informal Interagency Task Team on Sustainable Procurement in the Health Sector which through a transparent and inclusive engagement process, leveraging its normative and market power and lowering the environmental impact of its procurement, has a final aim of improving human health and well-being. In this context, a number of tools have been developed to address the nexus of health, environmental degradation and climate change within the framework of the UNDP HIV, Health and Development Strategy 2016-2021 that may be relevant in some countries, depending on sectoral priorities ([https://issuu.com/informal\\_int\\_task\\_team\\_sphs](https://issuu.com/informal_int_task_team_sphs)). Learning from two new regional projects on building resilience of health systems to climate change in the Pacific Islands and Asian LDCs will also be assessed for insights for Programme support.

### ***Risks and Assumptions***

Key risks and assumptions are summarised in the table below. For the full risk log, see Annex 3.

| <b>Risks</b>  | <b>Risk level (H/M/L)</b> | <b>Mitigating measures</b>   |
|---|---------------------------|--|
| Weak support by government counterparts and private sector stakeholders to NDC implementation.  | M                         | Obtain strong buy-in of all key stakeholders through early engagement to ensure sufficient and sufficiently-capable resources are obtained.  |
| Lack of active participation of business associations, private sector and financial sector to finance, support and implement technically sound and financially viable mitigation actions.   | H                         | Ensure that the prioritization process of mitigation actions includes business associations and private sector to secure buy-in as well as technical, social, and environmental review of options.<br>Continuous advocacy of public, private and financial sectors to overcome mistrust and increase common understanding of mutual benefits to the achievement of NDC targets and SDGs. |
| Lack of willingness of developing country governments to implement ambitious NDCs and incorporate best practice examples.   | M                         | Demonstrate that the benefits of more ambitious NDC targets will accelerate development initiatives and processes (e.g. women’s empowerment, youth employment, health improvements, etc).  |
| <b>Assumptions</b>  |                           |  |
| <p>Political support for NDCs and the Paris Agreement does not diminish. Governments will endeavour to align the climate change and SDG agendas and be willing to engage a broad range of stakeholders to progress towards NDC implementation. Governments will be keen to showcase concrete success stories and co-benefits through the NDC Partnership and/or learn from examples that have been successfully implemented elsewhere to speed up the implementation process.</p> <p>Private sector will be increasingly aware of the relevance of the national climate action and development agendas for both business continuity and development, and will understand that early participation will deliver long-term security for a wide range of inter-locking business interests. Private sector will thus welcome the opportunity to participate in NDC implementation.</p> <p>Financial sector will be interested in providing new products if a critical mass of technically qualified national and international enterprises will engage in governmental promoted NDC actions with completed pre-feasibility studies.</p> |                           |  |

### ***Stakeholder Engagement***

The Programme will target stakeholders in both the public and private sectors as summarised below. The Programme supports countries to put in place inclusive processes to ensure that the key stakeholders are engaged throughout the Programme's duration.

- **Government entities** at national and sub-national level are essential to ensure national ownership and complementarity of NDC implementation with the national sustainable development agenda. Because this requires an inclusive “whole of government” approach, the initiative will target a range of key line Ministries beyond the Ministry in charge of climate change, including: the key sectoral ministries that will be implementing climate mitigation targets and actions; the Ministry of Finance, for assessing public expenditures on climate change; the Ministry of Planning, as a key coordination entity for sustainable development; the Ministry of Foreign Affairs, if leading climate change negotiations; and parliamentarians, who are responsible for ratifying legislation.
- **Women and women's groups:** NDCs, need to recognize and support the role of women as active agents in addressing and responding to climate change. Through a gender-focused workstream, 10 countries will be supported to conduct an in-depth gender analysis to identify potential political and regulatory barriers and entry points that may exist to empowering women in NDC implementation and then address these barriers through specific projects activities (e.g., “green” jobs programmes, more women in decision-making bodies, climate finance tools that support women's grassroots enterprises, etc).
- The **private sector** will be vital partners for implementing and financing climate mitigation actions and promoting access to sustainable energy. This includes both domestic actors, such as small and medium enterprises, energy companies, and business associations, as well as international actors seeking opportunities for larger-scale financial and technological investments, including through future market-based mechanisms.
- Other important **national actors** for defining a long-term vision for zero-carbon, climate-resilient development, as well as the barriers to this vision, include finance providers, civil society organizations, the research and academic sector, and non-governmental organisations.

Secondary stakeholders are **vulnerable communities** who are central to the sustainable development solution will be key beneficiaries of this initiative. For example, access to sustainable energy can open critical pathways for local economic development and provide a key role for community based organizations in NDC implementation.

### ***South-South and Triangular Cooperation (SSC/TrC)***

South-South cooperation and triangular cooperation (SSC/TrC) are expected to play an important role in this Programme as complements to traditional North-South or multilateral cooperation for sharing experiences on NDC implementation. SSC/TrC best practices will be identified and applied to create a fostered and systematic approach to technical and political peer exchange learning between governments, the private sector, academia and civil society. Knowledge and lessons learned will be proactively identified, analysed and disseminated through existing UNDP and partner networks.

### ***Knowledge***

In order to capture and codify key results and good practices, knowledge management and learning will be a core component of the Programme. The Programme will draw upon the experiences of the LECB Programme to define the most useful types of knowledge products. In addition to flagship knowledge products, it is proposed to use informal mechanisms such as blogs, newsletter updates and webinars to share learning, trends and good practices in “real time”. The learning gained through the Programme will be disseminated through partner networks and the NDC Help Desk as the internal knowledge platform. Where possible, knowledge products will be elaborated with key partners in UNDP, the IKI NDC Support Cluster, and the NDC Partnership to ensure the most efficient use of resources.

### ***Sustainability and Scaling Up***

The Programme has been designed to be country-driven and country-owned, with technical and institutional capacities developed through a learning-by-doing approach. National government ownership of project implementation and achieved results is considered instrumental for ensuring that human, technical, and institutional capacities are built and sustained within partnering governments and other national champions. National capacities will be built via a coherent and strategic implementation of activities which will yield sustainable long term impact at national, sub-national, and sectoral levels.

The Programme specifically supports UNDP's Strategic Plan objective to enhance Planning, policy frameworks and institutional capacities to substantially reinforce action on climate change<sup>4</sup> by supporting integrated governance and transparency systems. A focus on private sector engagement and sustainable financing mechanisms will support governments to scale up and sustain mitigation actions that support zero-carbon development.

As a central element to the implementation strategy, strong emphasis will be provided to ensure replicability and sustainability of results beyond the Programme's scope and duration. Through strengthening of institutional capacities and policy mechanisms, countries will create an enabling environment that reduces investment risks, creates the conditions for reduced dependency on grant-funded initiatives by instead attracting private finance, and ensure gender responsiveness of national climate action. Mainstreaming of mitigation policies and NDC targets through improved institutional and policy frameworks will anchor the Programme's results in the broader national systems.

As noted earlier, to allow all UNDP Country Offices to benefit from the Programme, an NDC Help Desk is proposed to be delivered in collaboration with UNDP's regional hubs whereby COs can request remote, targeted technical advisory services related to NDC implementation from the GSU and regional synergies can be maximised. The Help Desk would also be used to disseminate best practices and relevant resources emerging from the Programme.

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## IV. PROJECT MANAGEMENT

### *Cost Efficiency and Effectiveness*

The Programme will apply the same management approach as that used under the LECB Programme. A mid-term evaluation found that the LECB Programme was both efficient and generally effective. The main recommendations (incorporated into this Programme's design) were to promote more country-to-country support and to address private sector engagement and finance barriers. The global nature of the Programme allows for extraction and sharing of best practices that assist all countries in project implementation, while the Help Desk function will provide some technical support to countries that are not receiving financial benefits.

Through agreements with the IKI NDC Support Cluster and the NDC Partnership, the Programme will also engage in collaborative programming where possible at the national level to provide more effective and coordinated assistance to countries, including joint workshops and training and preparation of knowledge products.

### *Programme Management*

The Programme management structure includes **global** and national **elements**:

- A Global Support Unit (GSU), based in New York, provides technical assistance and quality assurance to national project teams and ensures that knowledge, lessons, and best practices are disseminated. The GSU sits within the Climate Change and Disaster Risk Reduction unit of the Bureau for Policy & Programming Services, but works closely with other relevant projects, especially the UNDP-Global Environment Facility (GEF) mitigation team, the UNDP-UNEP

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<sup>4</sup> UNDP Strategic Plan 2011 – 2017. Page 25.

Global Support Programme for National Communications and Biennial Update Reports, and UN-REDD. In addition, the GSU will work with UNDP's regional hubs to ensure that country efforts are reflected in upstream policy dialogues concerning regional climate change agendas and to encourage alignment of activities with national development priorities and the SDGs.

- At the national level, UNDP country offices are the direct counterparts responsible for the monitoring and supervision of the national projects, which will be implemented using UNDP's National Implementation Modality.

## V. RESULTS FRAMEWORK

**Intended Outcome as stated in the Global Programme Results and Resource Framework:** SP Outcome 1: Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded

**Outcome indicators as stated in the Global Results and Resources Framework, including baseline and targets:**

**Applicable Output(s) from the UNDP Strategic Plan:**

1.4 Scaled-up action on climate change adaptation and mitigation across sectors which is funded and implemented

- GPI 1.4.1: System / mechanism identified, tested and ready for application for countries to maximize readiness to access, deliver, monitor, report on and verify use of climate finance (including UNREDD)
- GPI 1.4.2. No and type of gender-sensitive policies and solutions identified, tested and scaled up for integrating low-emission climate resilient objectives into plans/ strategies/ policies/ programmes / budgets through cross-country partnerships (especially South-South & Triangular Cooperation)

**Project title and Atlas Project Number:** NDC Support Programme

| EXPECTED OUTPUTS   | OUTPUT INDICATORS <sup>5</sup>  | DATA SOURCE  | BASELINE |      | TARGETS (cumulative, by frequency of data collection) |      |      |      |      |      | DATA COLLECTION METHODS & RISKS |   |
|--|---|--|----------|------|---|------|------|------|------|------|---------------------------------|---|
|  |   |  | Value    | Year | 2017  | 2018 | 2019 | 2020 | 2021 | 2022 |                                 | 2023  |
| <b>Output 1:</b><br>Leadership strengthened and championed to promote ambitious climate change vision (GEN2) | 1.1 Number of political leaders promoting climate change ambitions (disaggregated by gender)    | White papers, policy documents<br>Peer exchange visits | 5        | 2017 | 0   | 0    | 1    | 2    | 3    | 4    | 4                               | Government changes result in new policies or vision                 |
| <b>Output 2</b><br>Integrated governance enhanced to deliver NDC outcomes (GEN2)                             | 2.1 Number of new or improved institutionalised structures and processes for NDC implementation | Documented policies and processes (reviewed annually)  | 5        | 2017 | 1   | 2    | 3    | 4    | 4    | 4    | 5                               | <i>Formal adoption of institutional frameworks may be difficult</i> |

<sup>5</sup> It is recommended that projects use output indicators from the Strategic Plan IRRF, as relevant, in addition to project-specific results indicators. Indicators should be disaggregated by sex or for other targeted groups where relevant.

|  |  |  |    |      |   |    |    |    |    |    |    |   |
|--|--|--|----|------|---|----|----|----|----|----|----|---|
|  | <b>2.2</b> Number of gender-responsive approaches integrated into institutional frameworks                               | Gender analysis implemented  | 0  | 2017 | 0 | 2  | 4  | 6  | 6  | 6  | 6  | <i>There may be resistance to implementing a gender-sensitive agenda</i>  |
|  | <b>2.3</b> Number of monitoring and transparency systems enhanced for NDC implementation                                 | Monitoring systems & guidance documents MOUs or executive orders for data collection | 10 | 2017 | 0 | 1  | 2  | 3  | 4  | 5  | 5  | <i>Ensuring full Ministerial engagement in MRV systems may be difficult to achieve without formal mandates</i>                    |
| <b>Output 3</b><br>Evidence-based design and planning of mitigation actions delivered (GEN2) | 3.1 Number of countries disaggregating economy-wide mitigation targets into sectoral targets or NDC implementation plans | <i>National reports/analysis</i>   | 4  | 2017 | 0 | 1  | 2  | 3  | 3  | 3  | 3  | <i>Countries may find needed data is lacking and/or have lack of support from key Ministries for proposed targets</i>             |
|  | <b>3.2</b> Number of countries undertaking gender-sensitive analysis in the context of NDC design and implementation     | Gender analysis  | 0  | 2017 | 7 | 10 | 10 | 10 | 10 | 10 | 10 | <i>There may be resistance to implementing a gender-sensitive agenda.</i>   |
|  | 3.3 Number of countries preparing long-term national or sectoral LEDS (including gender-sensitive considerations)        | Long-term LEDS<br>Gender analysis  | 3  | 2017 | 0 | 1  | 1  | 1  | 1  | 1  | 1  | <i>Countries may lack data and/or technical expertise for long-term forecasting; government may change and reject LEDS vision</i> |

|   |   |   |    |      |   |   |   |   |   |   |   |  |
|---|---|---|----|------|---|---|---|---|---|---|---|--|
|   | <b>3.4</b> Number of prioritised NAMAs <sup>6</sup> strengthened and promoted                         | NAMA documents<br>Feasibility analysis              | 16 | 2017 | 2 | 3 | 4 | 4 | 5 | 5 | 5 | <i>Some feasibility studies may be too costly to undertake</i>   |
|   |   |   |    |      |   |   |   |   |   |   |   |  |
| <b>Output 4</b><br>Capacities developed to design climate-friendly investment opportunities, address investor risk, and blend and catalyse climate finance (GEN2) | <b>4.1</b> Number of countries undertaking risk analysis and implementing barrier removal strategy    | Investor risk analyses                              | 1  | 2017 | 0 | 1 | 2 | 3 | 3 | 4 | 4 | <i>UNDP has derisking methodologies. May be difficult to put in place measures to address identified barriers &amp; risks.</i> |
|   | <b>4.2</b> Number of gender-responsive financing mechanisms established to support NDC implementation | Financing mechanisms and rules of procedure defined | 0  | 2017 | 1 | 2 | 3 | 4 | 4 | 4 | 4 | <i>Country may not have capacities for designing appropriate financial instruments</i>   |
|   | <b>4.3</b> Number of countries taking measures to address barriers for market-based mechanisms        | Market analysis<br>Baselines & standards published  | 0  | 2017 | 0 | 0 | 0 | 2 | 3 | 3 | 3 | <i>Countries may be reluctant to invest time until carbon markets rebound</i>  |

<sup>6</sup> Also includes future forms of mitigation actions agreed under Convention to support Paris Agreement.



|   |   |   |   |      |   |   |   |   |   |    |    |  |
|---|---|---|---|------|---|---|---|---|---|----|----|--|
| <b>Output 5</b><br>Enabling environment enhanced for private sector development. (GEN2)   | <b>5.1</b> Number of countries systematically engaging private sector on inclusive NDC investment opportunities | Roundtable minutes<br>Private sector mapping          | 6 | 2017 | 0 | 1 | 2 | 3 | 4 | 4  | 4  | <i>Private sector may be unwilling to partner with governments on mitigation actions</i> |
| <b>Output 6</b><br>Strengthened platform for evidence-based learning, advocacy and exchange of knowledge and experiences (GEN2) | <b>6.1</b> Number and type of knowledge products generated and disseminated (including gender targets)          | Knowledge products                                    | 6 | 2017 | 0 | 2 | 4 | 6 | 9 | 10 | 12 | Good practices may take time to emerge   |
|   | <b>6.2</b> Number of south-south exchanges brokered through NDC Help Desk                                       | Help desk responses                                   | 0 | 2017 | 1 | 1 | 1 | 1 | 1 | 1  | 1  | Expectation of demand might be over-estimated  |
|   | <b>6.3</b> Number and types of advocacy   | Media reports, blogs, editorials, briefs, newsletters | 8 | 2017 | 2 | 3 | 4 | 5 | 6 | 7  | 8  | May be difficult to ensure media traction  |

## VI. MONITORING AND EVALUATION

In accordance with UNDP's programming policies and procedures, the project will be monitored through the following monitoring and evaluation plans:

### Monitoring Plan

| Monitoring Activity                       | Purpose   | Frequency  | Expected Action   | Partners (if joint)     | Cost (if any) |
|---|---|--|---|-------------------------|---------------|
| <b>Track results progress</b>             | Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs.   | Quarterly at national level; every six months at global level                | Slower than expected progress will be addressed by project management.  | N/A                     | 0             |
| <b>Monitor and Manage Risk</b>            | Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk. | Quarterly  | Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken. | N/A                     | 0             |
| <b>Learn</b>                              | Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.  | Flagship products annually; more frequent learning via blogs, Help Desk, etc | Relevant lessons are captured by the project team and used to inform management decisions.  | IKI NDC support cluster | 420,000       |
| <b>Annual Project Quality Assurance</b>   | The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.  | Annually   | Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.  | N/A                     | 0             |
| <b>Review and Make Course Corrections</b> | Internal review of data and evidence from all monitoring actions to inform decision making.   | At least annually  | Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.  | N/A                     | 0             |
| <b>Project Report</b>                     | A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual  | Annually, and at the end of the project (final report)                       | In addition to written reports, key results packaged as infographics and visuals for social media   | N/A                     | 10,000        |

|                                       |  |  |  |     |        |
|---------------------------------------|--|--|--|-----|--------|
|                                       | targets at the output level, the annual project quality rating summary, an updated risk long with mitigation measures, and any evaluation or review reports prepared over the period.  |  |  |     |        |
| <b>Project Review (Project Board)</b> | The project's governance mechanism (i.e., project board) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences. | In person, annually, with at least one additional virtual meeting per year | Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified. | N/A | 25,000 |

## Evaluation Plan

The goal of the mid-term evaluation is to assess progress and identify strengths and weaknesses to Programme design so that course corrections can be made. The final evaluation will serve to assess key results and generate learning for future work.

| <b>Evaluation Title</b>          | <b>Partners (if joint)</b> | <b>Related Strategic Plan Output</b> | <b>UNDAF/CPD Outcome</b> | <b>Planned Completion Date</b> | <b>Key Evaluation Stakeholders</b>                  | <b>Cost and Source of Funding</b> |
|----------------------------------|----------------------------|--------------------------------------|--------------------------|--------------------------------|---|-----------------------------------|
| Mid-Term Evaluation <sup>7</sup> | N/A                        | 1.4                                  | N/A                      | Oct 2019                       | National partners<br>Programme GSU<br>Project board | \$40,000 (donor)                  |
| Final evaluation                 | N/A                        | 1.4                                  | N/A                      | Oct 2023                       | National partners<br>Programme GSU<br>Project board | \$60,000 (donor)                  |

<sup>7</sup> If insufficient funds are mobilized, the mid-term evaluation will serve as the final evaluation.

## VII. MULTI-YEAR WORK PLAN

| EXPECTED OUTPUTS   | PLANNED ACTIVITIES   | PLANNED BUDGET BY YEAR <sup>8</sup> |            |           |           |           |           |           | RESPONS. PARTY | PLANNED BUDGET |                                   |            |
|--|--|-------------------------------------|------------|-----------|-----------|-----------|-----------|-----------|----------------|----------------|-----------------------------------|------------|
|  |  | 2017                                | 2018       | 2019      | 2020      | 2021      | 2022      | 2023      |                | Funding Source | Budget Description                | Amount     |
| 1: Leadership strengthened and championed to promote ambitious climate change vision | 1.1 High-level leaders supported to build consensus and promote commitment on ambitious climate change vision  | 177,115                             | 309,950.52 | 265,672   | 132,836   | 289,755   | 217,316   | 217,316   | UNDP           | IKI<br>BMZ     | Nat. & Int. Consultants Workshops | 1,609,960  |
| 2: Integrated climate governance enhanced to deliver NDC outcomes                    | 2.1 Institutional frameworks formalised and strengthened<br>2.2 Gender-responsive approaches integrated into institutional frameworks (10 target countries)<br>2.3 Monitoring and transparency systems enhanced for NDC implementation | 708,458                             | 1,239,802  | 1,062,687 | 531,344   | 1,159,019 | 869,264   | 869,264   | UNDP           | IKI<br>BMZ     | Nat. & Int. Consultants Workshops | 6,439,840  |
| 3: Evidence-based design and planning  | 3.1 NDC mitigation targets refined   | 1,771,146                           | 3,099,505  | 2,656,719 | 1,328,359 | 2,897,548 | 2,173,161 | 2,173,161 | UNDP           | IKI<br>BMZ     | Nat. & Int. Consultants Workshops | 16,099,600 |

<sup>8</sup> GMS (8%) incorporated across outputs.

|  |   |         |         |         |         |         |         |         |      |            |  |            |
|--|---|---------|---------|---------|---------|---------|---------|---------|------|------------|--|------------|
| of mitigation actions delivered  | and disaggregated<br>3.2 Gender-responsive analysis conducted<br>3.3 Long-term national or sectoral LEDS designed<br>3.4 Prioritized NAMAs strengthened and promoted<br>3.5 Market-based mechanisms supported |         |         |         |         |         |         |         |      |            |  |            |
| 4: Capacities developed to design climate-friendly investment opportunities, address investor risk, and blend and catalyze climate finance | 4.1 Investor risks assessed and barriers removed<br>4.2 Sustainable finance mechanisms established to scale up NDC mitigation action  | 531,344 | 929,852 | 797,016 | 398,508 | 869,264 | 651,948 | 651,948 | UNDP | IKI<br>BMZ | Nat. & Int. Consultants Workshops                    | 4,829,880  |
| 5: Enabling environment enhanced for private sector engagement   | 5.1 Private sector systematically engaged on inclusive NDC investment opportunities   | 354,229 | 619,901 | 531,344 | 265,672 | 579,510 | 434,632 | 434,632 | UNDP | IKI<br>BMZ | Nat. & Int. Consultants Workshops                    | 3,219,9200 |
| 6: Strengthened evidence-based knowledge for learning and  | 6.1. Good practices promoted to strengthen technical capacities and   | 0       | 628,016 | 641,917 | 656,513 | 671,838 | 687,930 | 704,827 | UNDP | IKI<br>BMZ | Staff Nat. & Int. Consultants Workshops Publications | 3,991,041  |

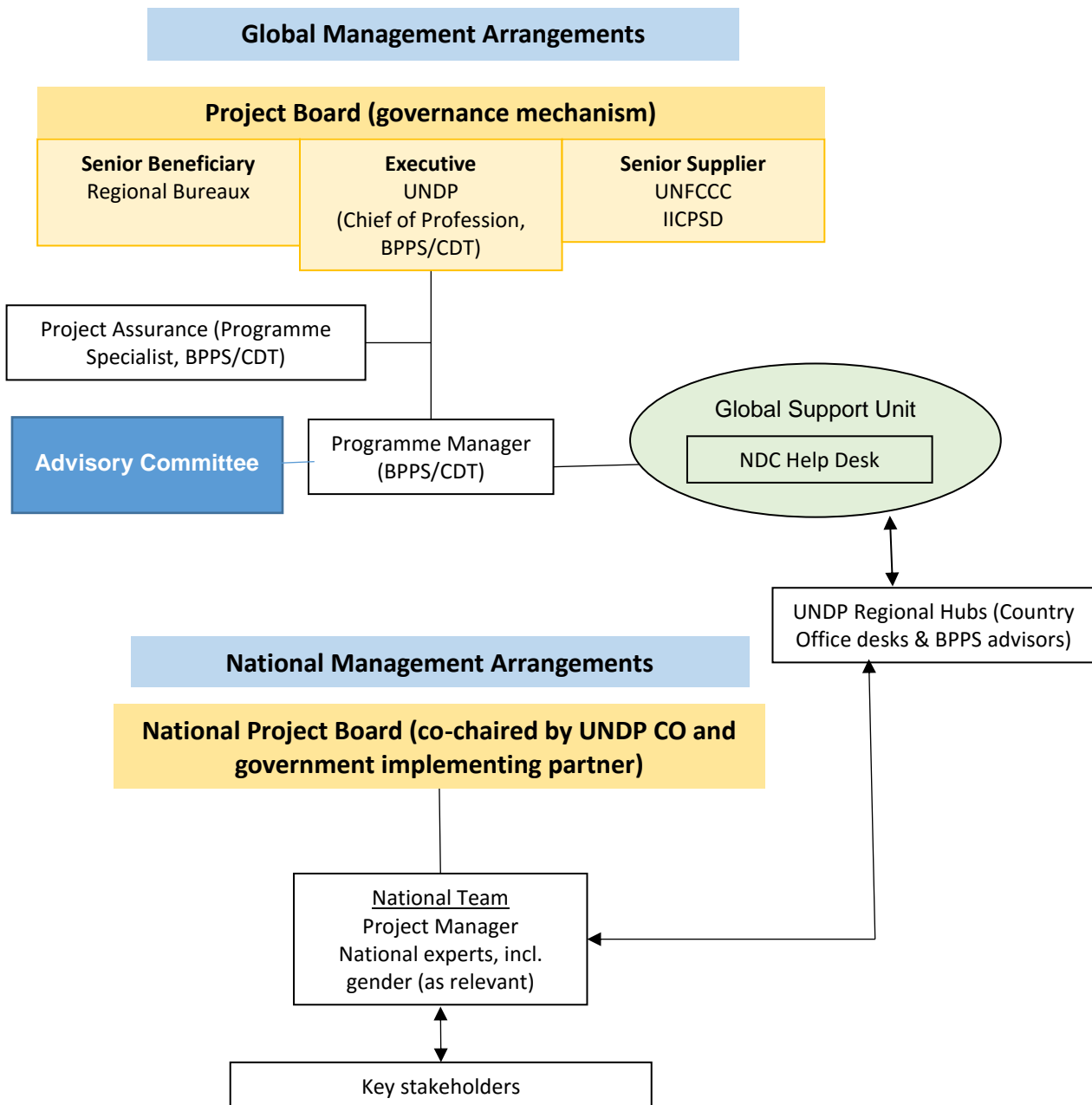
|  |  |                  |                  |                  |                  |                  |                  |                  |      |            |   |                   |
|--|--|------------------|------------------|------------------|------------------|------------------|------------------|------------------|------|------------|---|-------------------|
| advocacy                               | impact<br>6.2. Strategic<br>communication<br>and advocacy<br>conducted to<br>advance<br>visibility and<br>influence policy |                  |                  |                  |                  |                  |                  |                  |      |            | AV  |                   |
| Project<br>Management <sup>9</sup>     |  | 0                | 689,535          | 724,012          | 760,212          | 798,223          | 838,134          | 880,041          | UNDP | IKI<br>BMZ | Staff<br>Office<br>supplies<br>Office<br>rental | 4,690,157         |
| Global<br>Support Unit<br>(country TA) |  | 0                |                  |                  |                  |                  |                  |                  | UNDP | IKI<br>BMZ | Staff<br>Int.<br>Consultants<br>Companies       | 13,179,587        |
| Evaluation                             |  | 0                | 0                | 40,000           | -                | -                | -                | 60,000           | UNDP | IKI        | Companies                                       | 100,000           |
| <b>TOTAL</b>                           |  | <b>3,542,292</b> | <b>9,700,753</b> | <b>8,984,268</b> | <b>6,140,035</b> | <b>9,406,578</b> | <b>8,092,378</b> | <b>8,293,681</b> |      |            |   | <b>54,159,984</b> |

<sup>9</sup> Project management and GSU costs in 2017 funded through LECB Programme.

## VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

The NDC Support Programme comprises both global and national governance components (Figure 2).

Figure 2: Programme governance and management arrangements



At the global level, a Programme Manager (P5) oversees a Global Support Unit (GSU) that supports the regional hubs to provide technical backstopping and quality assurance to participating countries to

deliver national projects and products, codify and disseminate best practices and lessons learned, and provide strategic coordination with donors and other development partners. The GSU will also provide a Help Desk function so that any UNDP Country Office can benefit from guidance on NDC implementation. The GSU currently comprises five climate technical specialists (3 P4s and 2 P3s), one programme analyst (P1) and one knowledge management and communications specialist (P3). A member of the gender team will provide 50% of time to the gender work stream in 2017 to initiate the gender workstream activities; a full-time P4 gender specialist is expected to be hired for 2018-19. Should additional resources be mobilized and demand from countries grow, the Programme will assess the need for specialists on structured finance and private sector engagement, governance, and/or M&E.

The Programme Manager reports to the Principal Advisor of the Low-Emission, Climate Resilience Development Strategies Unit of BPPS/CDT and will provide regular updates to the Project Board and strategic partners. The day-to-day operational role of the GSU will be complemented by international technical assistance, as required, for specific, targeted support needs using a coordinated, demand-driven approach like the LECB Programme's NAMA-NET consortium of technical assistance providers.

National ownership and a country-driven process are fundamental to success of the Programme and to ensuring that human, technical and institutional capacities are built and sustained within partnering governments and other national champions. As under the LECB Programme, national projects will be executed by government partners under UNDP National Implementation Modality (NIM) following UNDP Programme and Policy Procedures (POPP). UNDP country offices act as the direct counterparts responsible for the monitoring and supervision of the projects at the national level. A national project manager will be seated within the Ministry of Environment and coordinate with other key line Ministries, including Planning, Finance, Energy, etc. He/she will be supported by a national gender expert in those countries undertaking the targeted gender work.

At the regional level, the Programme will support regional hubs to disseminate information on NDC implementation as well as to identify synergies with regional initiatives and opportunities.

While the bulk of financial support will support countries, some funding will be allocated to ensuring that best practices, learning and innovative practices are captured, documented and disseminated, thereby increasing the global impact of the Programme while also raising the visibility of Programme donors. The CDT unit's external engagement team will be a key advisor on visibility and communications efforts.

Key roles at the global level are described as follows (see also Annex 5):

- **Global Programme Manager:** The Programme Manager is responsible for day-to-day project management and regular monitoring of global results and risks, including social and environmental risks. The Manager will ensure that all programme staff maintain a high level of transparency, responsibility and accountability in M&E and reporting of results. The Programme Manager will inform the Project Board of any delays or difficulties as they arise during implementation so that appropriate support and corrective measures can be adopted.
- **Project Board:** The Project Board will take corrective action as needed to ensure the project achieves the desired results. The Project Board will hold project reviews to assess the performance of the project and appraise the Annual Work Plan for the following year. In the project's final year, the Project Board will hold an end-of-project review to capture lessons learned and discuss opportunities for scaling up and to highlight project results and lessons learned with relevant audiences. This final review meeting will also discuss the findings outlined in the project terminal evaluation report and the management response.
- **Advisory Committee:** The Project Manager will also report twice a year to a donor committee that will advise on potential strategic partnerships and coordination opportunities. The meetings will also be used to provide updates on project progress and apprise donors of emerging technical assistance needs and gaps.

Key roles at the regional level are described as follows:

- **Country desk officers:** The Regional Bureaux country desk officers remain the primary interface between Country Offices and the Programme, ensuring that any Programme



activities are fully aligned with, and support, regional priorities. Technical support missions to countries will be discussed with desk officers to ensure that they are appropriately timed and planned.

Key roles at the national level are described as follows (see also Annex 5):

- UNDP Country Offices: The UNDP CO will act as the main liaison between the Core Project Team and the GSU, while at the same time co-chairing the National Steering Committee. The UNDP CO will be responsible for project level administration, progress reporting, budget maintenance, and country-level communication and outreach. The UNDP Country Office is responsible for complying with all UNDP national project-level M&E requirements as outlined in the [UNDP POPP](#). This includes ensuring the UNDP Quality Assurance Assessment during implementation is undertaken annually; that annual targets at the output level are developed, and monitored and reported using UNDP corporate systems; the regular updating of the ATLAS risk log; and, the updating of the UNDP gender marker on an annual basis based on gender mainstreaming progress reported in the UNDP ROAR. The CO will also support efforts to ensure donor visibility, encourage donor participation in national project events, and ensure that donors are updated regularly on national project progress.
- Programme Implementing Partners: The designated government institution endorsing the project will be tasked with overseeing its implementation and co-chairing the National Steering Committee. More specifically, it will be responsible for ensuring on-the-ground implementation of the project through collaboration between government ministries and UNDP. In each country, a high-level official will be appointed as the project focal point, thus ensuring country ownership and the steering of the project towards findings that are of relevance and interest to the country.
- National project managers: At the national level, the same functions apply as those of the Global Programme Manager at global level. A key task will be ensuring that donors are fully appraised of project status and fully engaged in promoting key results. The GSU will develop and share visibility guidelines so that donors are reflected appropriately in project outputs and activities.
- National Project Boards: At the national level, a Project Board will be established with the same functions as those referenced above. el

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## IX. LEGAL CONTEXT AND RISK MANAGEMENT

### LEGAL CONTEXT

This project forms part of an overall programmatic framework under which several separate associated country level activities will be implemented. When assistance and support services are provided from this Project to the associated country level activities, this document shall be the “Project Document” instrument referred to in: (i) the respective signed SBAs for the specific countries; or (ii) in the [Supplemental Provisions](#) attached to the Project Document in cases where the recipient country has not signed an SBA with UNDP, attached hereto and forming an integral part hereof. All references in the SBA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

This project will be implemented by UNDP in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

## RISK MANAGEMENT

1. UNDP as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)
2. UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the project funds are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via [http://www.un.org/sc/committees/1267/aq\\_sanctions\\_list.shtml](http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml). This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.
3. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
4. UNDP as the Implementing Partner will: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
5. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.
6. UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor and sub-recipient:
  - a. Consistent with the Article III of the SBAA [*or the Supplemental Provisions to the Project Document*], the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP's property in such responsible party's, subcontractor's and sub-recipient's custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:
    - i. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
    - ii. assume all risks and liabilities related to such responsible party's, subcontractor's and sub-recipient's security, and the full implementation of the security plan.
  - b. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the responsible party's, subcontractor's and sub-recipient's obligations under this Project Document.
  - c. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, subcontractors and sub-recipients in implementing the project or programme or using the UNDP funds. It will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.

- d. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to each responsible party, subcontractor and sub-recipient: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. Each responsible party, subcontractor and sub-recipient agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at [www.undp.org](http://www.undp.org).
- e. In the event that an investigation is required, UNDP will conduct investigations relating to any aspect of UNDP programmes and projects. Each responsible party, subcontractor and sub-recipient will provide its full cooperation, including making available personnel, relevant documentation, and granting access to its (and its consultants', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with it to find a solution.
- f. Each responsible party, subcontractor and sub-recipient will promptly inform UNDP as the Implementing Partner in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where it becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, each responsible party, subcontractor and sub-recipient will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). It will provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

- g. UNDP will be entitled to a refund from the responsible party, subcontractor or sub-recipient of any funds provided that funds have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of this Project Document. Such amount may be deducted by UNDP from any payment due to the responsible party, subcontractor or sub-recipient under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail any responsible party's, subcontractor's or sub-recipient's obligations under this Project Document.

Where such funds have not been refunded to UNDP, the responsible party, subcontractor or sub-recipient agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to such responsible party, subcontractor or sub-recipient for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

*Note:* The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

- h. Each contract issued by the responsible party, subcontractor or sub-recipient in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from it shall cooperate with any and all investigations and post-payment audits.
- i. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project or programme, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against

all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.

- j. Each responsible party, subcontractor and sub-recipient shall ensure that all of its obligations set forth under this section entitled “Risk Management” are passed on to its subcontractors and sub-recipients and that all the clauses under this section entitled “Risk Management Standard Clauses” are adequately reflected, *mutatis mutandis*, in all its sub-contracts or sub-agreements entered into further to this Project Document.

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## **X. ANNEXES**

- 1. Project Quality Assurance Report**
- 2. Social and Environmental Screening Assessment**
- 3. Risk Analysis**
- 4. Capacity Assessment:** Results of capacity assessments of Implementing Partner (including HACT Micro Assessment)
- 5. Project Board Terms of Reference and TORs of key management positions**
- 6. Theory of change**
- 7. Resource mobilisation plan**
- 8. Country selection process and criteria**
- 9. IKI NDC Support Cluster functions**

## Annex 1: Project Quality Assurance Report

# PROJECT QA ASSESSMENT: DESIGN AND APPRAISAL

## OVERALL PROJECT

| EXEMPLARY (5)<br>●●●●●  | HIGHLY SATISFACTORY (4)<br>●●●●○   | SATISFACTORY (3)<br>●●●○○   | NEEDS IMPROVEMENT (2)<br>●●○○○   | INADEQUATE (1)<br>●○○○○  |
|---|--|---|--|--|
| At least four criteria are rated Exemplary, and all criteria are rated High or Exemplary. | All criteria are rated Satisfactory or higher, and at least four criteria are rated High or Exemplary. | At least six criteria are rated Satisfactory or higher, and only one may be rated Needs Improvement. The SES criterion must be rated Satisfactory or above. | At least three criteria are rated Satisfactory or higher, and only four criteria may be rated Needs Improvement. | One or more criteria are rated Inadequate, or five or more criteria are rated Needs Improvement. |

## DECISION

- **APPROVE** – the project is of sufficient quality to continue as planned. Any management actions must be addressed in a timely manner.
- **APPROVE WITH QUALIFICATIONS** – the project has issues that must be addressed before the project document can be approved. Any management actions must be addressed in a timely manner.
- **DISAPPROVE** – the project has significant issues that should prevent the project from being approved as drafted.

## RATING CRITERIA

### STRATEGIC

|  |   |   |
|--|---|---|
| <p><b>1. Does the project's Theory of Change specify how it will contribute to higher level change? (Select the option from 1-3 that best reflects the project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> The project has a theory of change with explicit assumptions and clear change pathway describing how the project will contribute to outcome level change as specified in the programme/CPD, backed by credible evidence of what works effectively in this context. The project document clearly describes why the project's strategy is the best approach at this point in time.</li> <li>• <b>2:</b> The project has a theory of change. It has an explicit change pathway that explains how the project intends to contribute to outcome-level change and why the project strategy is the best approach at this point in time, but is backed by limited evidence.</li> <li>• <b>1:</b> The project does not have a theory of change, but the project document may describe in generic terms how the project will contribute to development results, without specifying the key assumptions. It does not make an explicit link to the programme/CPD's theory of change.</li> </ul> <p><small>*Note: Management Action or strong management justification must be given for a score of 1</small></p>         | 3   | 2 |
|  | 1   |   |
|  | <p><b>Evidence:</b><br/>Annex 6</p>   |   |
| <p><b>2. Is the project aligned with the thematic focus of the UNDP Strategic Plan? (select the option from 1-3 that best reflects the project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> The project responds to one of the three areas of development work<sup>10</sup> as specified in the Strategic Plan; it addresses at least one of the proposed new and emerging areas<sup>11</sup>; an issues-based analysis has been incorporated into the project design; and the project's RRF includes all the relevant SP output indicators. <i>(all must be true to select this option)</i></li> <li>• <b>2:</b> The project responds to one of the three areas of development work<sup>1</sup> as specified in the Strategic Plan. The project's RRF includes at least one SP output indicator, if relevant. <i>(both must be true to select this option)</i></li> <li>• <b>1:</b> While the project may respond to one of the three areas of development work<sup>1</sup> as specified in the Strategic Plan, it is based on a sectoral approach without addressing the complexity of the development issue. None of the relevant SP indicators are included in the RRF. This answer is also selected if the project does not respond to any of the three areas of development work in the Strategic Plan.</li> </ul> | 3   | 2 |
|  | 1   |   |
|  | <p><b>Evidence</b><br/>P13 describes linkages. Doesn't address new and emerging area.</p> |   |

<sup>10</sup> 1. Sustainable development pathways; 2. Inclusive and effective democratic governance; 3. Resilience building

<sup>11</sup> sustainable production technologies, access to modern energy services and energy efficiency, natural resources management, extractive industries, urbanization, citizen security, social protection, and risk management for resilience

| RELEVANT   |   |   |
|--|---|---|
| <p><b>3. Does the project have strategies to effectively identify, engage and ensure the meaningful participation of targeted groups/geographic areas with a priority focus on the excluded and marginalized? (select the option from 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li><b>3:</b> The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. Beneficiaries will be identified through a rigorous process based on evidence (if applicable.) The project has an explicit strategy to identify, engage and ensure the meaningful participation of specified target groups/geographic areas throughout the project, including through monitoring and decision-making (such as representation on the project board) (<i>all must be true to select this option</i>)</li> <li><b>2:</b> The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. The project document states how beneficiaries will be identified, engaged and how meaningful participation will be ensured throughout the project. (<i>both must be true to select this option</i>)</li> <li><b>1:</b> The target groups/geographic areas are not specified, or do not prioritize excluded and/or marginalised populations. The project does not have a written strategy to identify or engage or ensure the meaningful participation of the target groups/geographic areas throughout the project.</li> </ul> <p>*Note: Management Action must be taken for a score of 1, or select not applicable.</p>  | 3   | 2 |
|  | 1   |   |
|  | <p><b>Evidence</b></p> <p>Review of national prodocs</p>  |   |
| <p><b>4. Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design? (select the option from 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li><b>3:</b> Knowledge and lessons learned (gained e.g. through peer assist sessions) backed by credible evidence from evaluation, corporate policies/strategies, and monitoring have been explicitly used, with appropriate referencing, to develop the project’s theory of change and justify the approach used by the project over alternatives.</li> <li><b>2:</b> The project design mentions knowledge and lessons learned backed by evidence/sources, which inform the project’s theory of change but have not been used/are not sufficient to justify the approach selected over alternatives.</li> <li><b>1:</b> There is only scant or no mention of knowledge and lessons learned informing the project design. Any references that are made are not backed by evidence.</li> </ul> <p>*Note: Management Action or strong management justification must be given for a score of 1</p>   | 3   | 2 |
|  | 1   |   |
|  | <p><b>Evidence</b></p> <p>Strategy describes logic and draws on evaluation</p>                    |   |
| <p><b>5. Does the project use gender analysis in the project design and does the project respond to this gender analysis with concrete measures to address gender inequities and empower women? (select the option from 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li><b>3:</b> A <u>participatory</u> gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men, and it is fully integrated into the project document. The project establishes concrete priorities to address gender inequalities in its strategy. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. (<i>all must be true to select this option</i>)</li> <li><b>2:</b> A gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men. Gender concerns are integrated in the development challenge and strategy sections of the project document. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. (<i>all must be true to select this option</i>)</li> <li><b>1:</b> The project design may or may not mention information and/or data on the differential impact of the project’s development situation on gender relations, women and men, but the constraints have not been clearly identified and interventions have not been considered.</li> </ul> <p>*Note: Management Action or strong management justification must be given for a score of 1</p> | 3   | 2 |
|  | 1   |   |
|  | <p><b>Evidence</b></p> <p>Global gender analysis; relevant countries will do analysis in 2017</p> |   |

|  |   |   |
|--|---|---|
| <p><b>6. Does UNDP have a clear advantage to engage in the role envisioned by the project vis-à-vis national partners, other development partners, and other actors? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> An analysis has been conducted on the role of other partners in the area where the project intends to work, and credible evidence supports the proposed engagement of UNDP and partners through the project. It is clear how results achieved by relevant partners will contribute to outcome level change complementing the project's intended results. If relevant, options for south-south and triangular cooperation have been considered, as appropriate. <i>(all must be true to select this option)</i></li> <li>• <b>2:</b> Some analysis has been conducted on the role of other partners where the project intends to work, and relatively limited evidence supports the proposed engagement of and division of labour between UNDP and partners through the project. Options for south-south and triangular cooperation may not have not been fully developed during project design, even if relevant opportunities have been identified.</li> <li>• <b>1:</b> No clear analysis has been conducted on the role of other partners in the area that the project intends to work, and relatively limited evidence supports the proposed engagement of UNDP and partners through the project. There is risk that the project overlaps and/or does not coordinate with partners' interventions in this area. Options for south-south and triangular cooperation have not been considered, despite its potential relevance.</li> </ul> <p><small>*Note: Management Action or strong management justification must be given for a score of 1</small></p> | 3   | 2 |
|  | 1   |   |
|  | <p><b>Evidence</b><br/>Describes role of key partners</p> |   |

**SOCIAL & ENVIRONMENTAL STANDARDS**

|   |   |   |
|---|---|---|
| <p><b>7. Does the project seek to further the realization of human rights using a human rights based approach? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> Credible evidence that the project aims to further the realization of human rights, upholding the relevant international and national laws and standards in the area of the project. Any potential adverse impacts on enjoyment of human rights were rigorously identified and assessed as relevant, with appropriate mitigation and management measures incorporated into project design and budget. <i>(all must be true to select this option)</i></li> <li>• <b>2:</b> Some evidence that the project aims to further the realization of human rights. Potential adverse impacts on enjoyment of human rights were identified and assessed as relevant, and appropriate mitigation and management measures incorporated into the project design and budget.</li> <li>• <b>1:</b> No evidence that the project aims to further the realization of human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered.</li> </ul> <p><small>*Note: Management action or strong management justification must be given for a score of 1</small></p> | 3   | 2 |
|   | 1   |   |
|   | <p><b>Evidence</b><br/>Human rights approach strengthened by fully inclusive stakeholder engagement process</p> |   |

|  |  |   |
|--|--|---|
| <p><b>8. Did the project consider potential environmental opportunities and adverse impacts, applying a precautionary approach? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> Credible evidence that opportunities to enhance environmental sustainability and integrate poverty-environment linkages were fully considered as relevant, and integrated in project strategy and design. Credible evidence that potential adverse environmental impacts have been identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. <i>(all must be true to select this option)</i>.</li> <li>• <b>2:</b> No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Credible evidence that potential adverse environmental impacts have been identified and assessed, if relevant, and appropriate management and mitigation measures incorporated into project design and budget.</li> <li>• <b>1:</b> No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Limited or no evidence that potential adverse environmental impacts were adequately considered.</li> </ul> <p><small>*Note: Management action or strong management justification must be given for a score of 1</small></p> | 3  | 2 |
|  | 1  |   |
|  | <p><b>Evidence</b><br/>Climate change focus but upstream. Potential for reducing poverty through projects funded as result</p> |   |

|  |                     |    |
|--|---------------------|----|
| <p><b>9. Has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks? The SESP is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of reports, coordination of events, trainings, workshops, meetings, conferences and/or communication materials and information dissemination. [if yes, upload the completed checklist. If SESP is not required, provide the reason for the exemption in the evidence section.]</b></p> | Yes                 | No |
|  | (Annex 2 of prodoc) |    |

## MANAGEMENT & MONITORING

|   |   |           |
|---|---|-----------|
| <p><b>10. Does the project have a strong results framework? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> The project’s selection of outputs and activities are at an appropriate level and relate in a clear way to the project’s theory of change. Outputs are accompanied by SMART, results-oriented indicators that measure all of the key expected changes identified in the theory of change, each with credible data sources, and populated baselines and targets, including gender sensitive, sex-disaggregated indicators where appropriate. <i>(all must be true to select this option)</i></li> <li>• <b>2:</b> The project’s selection of outputs and activities are at an appropriate level, but may not cover all aspects of the project’s theory of change. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of gender sensitive, sex-disaggregated indicators, as appropriate. <i>(all must be true to select this option)</i></li> <li>• <b>1:</b> The results framework does not meet all of the conditions specified in selection “2” above. This includes: the project’s selection of outputs and activities are not at an appropriate level and do not relate in a clear way to the project’s theory of change; outputs are not accompanied by SMART, results-oriented indicators that measure the expected change, and have not been populated with baselines and targets; data sources are not specified, and/or no gender sensitive, sex-disaggregation of indicators.</li> </ul> <p><small>*Note: Management Action or strong management justification must be given for a score of 1</small></p> | 3   | <b>2</b>  |
|   | 1   |           |
|   | <b>Evidence</b><br>Refer to Results Framework   |           |
| <p><b>11. Is there a comprehensive and costed M&amp;E plan in place with specified data collection sources and methods to support evidence-based management, monitoring and evaluation of the project?</b></p>  | Yes<br>(3)  | No<br>(1) |
| <p><b>12. Is the project’s governance mechanism clearly defined in the project document, including planned composition of the project board? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> The project’s governance mechanism is fully defined in the project composition. Individuals have been specified for each position in the governance mechanism (especially all members of the project board.) Project Board members have agreed on their roles and responsibilities as specified in the terms of reference. The ToR of the project board has been attached to the project document. <i>(all must be true to select this option)</i>.</li> <li>• <b>2:</b> The project’s governance mechanism is defined in the project document; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The prodoc lists the most important responsibilities of the project board, project director/manager and quality assurance roles. <i>(all must be true to select this option)</i></li> <li>• <b>1:</b> The project’s governance mechanism is loosely defined in the project document, only mentioning key roles that will need to be filled at a later date. No information on the responsibilities of key positions in the governance mechanism is provided.</li> </ul> <p><small>*Note: Management Action or strong management justification must be given for a score of 1</small></p>   | 3   | <b>2</b>  |
|   | 1   |           |
|   | <b>Evidence</b><br>Governance is clearly defined. Some members still to be nominated. |           |
| <p><b>13. Have the project risks been identified with clear plans stated to manage and mitigate each risks? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> Project risks related to the achievement of results are fully described in the project risk log, based on comprehensive analysis drawing on the theory of change, Social and Environmental Standards and screening, situation analysis, capacity assessments and other analysis. Clear and complete plan in place to manage and mitigate each risk. <i>(both must be true to select this option)</i></li> <li>• <b>2:</b> Project risks related to the achievement of results identified in the initial project risk log with mitigation measures identified for each risk.</li> <li>• <b>1:</b> Some risks may be identified in the initial project risk log, but no evidence of analysis and no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified and no initial risk log is included with the project document.</li> </ul> <p><small>*Note: Management Action must be taken for a score of 1</small></p>   | 3   | <b>2</b>  |
|   | 1   |           |
|   | <b>Evidence</b><br>Mitigation measures identified for each risk                       |           |



| EFFICIENT   |  |           |
|---|--|-----------|
| 14. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design? This can include: i) using the theory of change analysis to explore different options of achieving the maximum results with the resources available; ii) using a portfolio management approach to improve cost effectiveness through synergies with other interventions; iii) through joint operations (e.g., monitoring or procurement) with other partners.  | Yes<br>(3)   | No<br>(1) |
| 15. Are explicit plans in place to ensure the project links up with other relevant on-going projects and initiatives, whether led by UNDP, national or other partners, to achieve more efficient results (including, for example, through sharing resources or coordinating delivery?)  | Yes<br>(3)   | No<br>(1) |
| 16. Is the budget justified and supported with valid estimates?<br><br><ul style="list-style-type: none"> <li><b>3:</b> The project's budget is at the activity level with funding sources, and is specified for the duration of the project period in a multi-year budget. Costs are supported with valid estimates using benchmarks from similar projects or activities. Cost implications from inflation and foreign exchange exposure have been estimated and incorporated in the budget.</li> <li><b>2:</b> The project's budget is at the activity level with funding sources, when possible, and is specified for the duration of the project in a multi-year budget. Costs are supported with valid estimates based on prevailing rates.</li> <li><b>1:</b> The project's budget is not specified at the activity level, and/or may not be captured in a multi-year budget.</li> </ul>  | 3  | 2         |
|   | 1  |           |
|   | <b>Evidence</b><br><br>Costs based on existing programme               |           |
| 17. Is the Country Office fully recovering the costs involved with project implementation?<br><br><ul style="list-style-type: none"> <li><b>3:</b> The budget fully covers all project costs that are attributable to the project, including programme management and development effectiveness services related to strategic country programme planning, quality assurance, pipeline development, policy advocacy services, finance, procurement, human resources, administration, issuance of contracts, security, travel, assets, general services, information and communications based on full costing in accordance with prevailing UNDP policies (i.e., UPL, LPL.)</li> <li><b>2:</b> The budget covers significant project costs that are attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant.</li> <li><b>1:</b> The budget does not adequately cover project costs that are attributable to the project, and UNDP is cross-subsidizing the project.</li> </ul> <p>*Note: Management Action must be given for a score of 1. The budget must be revised to fully reflect the costs of implementation before the project commences.</p> | 3  | 2         |
|   | 1  |           |
|   | <b>Evidence</b><br><br>Assumes COs will recover costs                  |           |
| EFFECTIVE   |  |           |
| 18. Is the chosen implementation modality most appropriate? (select from options 1-3 that best reflects this project):<br><br><ul style="list-style-type: none"> <li><b>3:</b> The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted, and there is evidence that options for implementation modalities have been thoroughly considered. There is a strong justification for choosing the selected modality, based on the development context. (<i>both must be true to select this option</i>)</li> <li><b>2:</b> The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted and the implementation modality chosen is consistent with the results of the assessments.</li> <li><b>1:</b> The required assessments have not been conducted, but there may be evidence that options for implementation modalities have been considered.</li> </ul> <p>*Note: Management Action or strong management justification must be given for a score of 1</p>  | 3  | 2         |
|   | 1  |           |
|   | <b>Evidence</b><br><br>Working with existing partners. No HACT needed. |           |

|   |  |        |
|---|--|--------|
| <p><b>19. Have targeted groups, prioritizing marginalized and excluded populations that will be affected by the project, been engaged in the design of the project in a way that addresses any underlying causes of exclusion and discrimination?</b></p> <ul style="list-style-type: none"> <li>• <u>3</u>: Credible evidence that all targeted groups, prioritising marginalized and excluded populations that will be involved in or affected by the project, have been actively engaged in the design of the project. Their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change which seeks to address any underlying causes of exclusion and discrimination and the selection of project interventions.</li> <li>• <u>2</u>: Some evidence that key targeted groups, prioritising marginalized and excluded populations that will be involved in the project, have been engaged in the design of the project. Some evidence that their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change and the selection of project interventions.</li> <li>• <u>1</u>: No evidence of engagement with marginalized and excluded populations that will be involved in the project during project design. No evidence that the views, rights and constraints of populations have been incorporated into the project.</li> </ul> | 3  | 2      |
|   | 1  |        |
|   | <p><b>Evidence</b><br/>Builds on previous programme's stakeholder engagement</p> |        |
| <p><b>20. Does the project conduct regular monitoring activities, have explicit plans for evaluation, and include other lesson learning (e.g. through After Action Reviews or Lessons Learned Workshops), timed to inform course corrections if needed during project implementation?</b></p>   | Yes (3)  | No (1) |
| <p><b>21. The gender marker for all project outputs are scored at GEN2 or GEN3, indicating that gender has been fully mainstreamed into all project outputs at a minimum.</b></p> <p>*Note: Management Action or strong management justification must be given for a score of "no"</p>  | Yes (3)  | No (1) |
| <p><b>Evidence</b><br/>All outputs scored GEN2</p>  |  |        |
| <p><b>22. Is there a realistic multi-year work plan and budget to ensure outputs are delivered on time and within allotted resources? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <u>3</u>: The project has a realistic work plan &amp; budget covering the duration of the project <i>at the activity</i> level to ensure outputs are delivered on time and within the allotted resources.</li> <li>• <u>2</u>: The project has a work plan &amp; budget covering the duration of the project at the output level.</li> <li>• <u>1</u>: The project does not yet have a work plan &amp; budget covering the duration of the project.</li> </ul>  | 3  | 2      |
|   | 1  |        |
|   | <p><b>Evidence</b><br/>Workplan and budget based on existing Programme</p>       |        |

## SUSTAINABILITY & NATIONAL OWNERSHIP

|  |   |               |
|--|---|---------------|
| <p><b>23. Have national partners led, or proactively engaged in, the design of the project? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> National partners have full ownership of the project and led the process of the development of the project jointly with UNDP.</li> <li>• <b>2:</b> The project has been developed by UNDP in close consultation with national partners.</li> <li>• <b>1:</b> The project has been developed by UNDP with limited or no engagement with national partners.</li> </ul>   | <b>3</b>  | 2             |
|  | 1   |               |
|  | <p><b>Evidence</b><br/>Builds on existing Programme demonstrating high national ownership (as per evaluation)</p> |               |
| <p><b>24. Are key institutions and systems identified, and is there a strategy for strengthening specific/ comprehensive capacities based on capacity assessments conducted? (select from options 0-4 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> The project has a comprehensive strategy for strengthening specific capacities of national institutions based on a systematic and detailed capacity assessment that has been completed. This strategy includes an approach to regularly monitor national capacities using clear indicators and rigorous methods of data collection, and adjust the strategy to strengthen national capacities accordingly.</li> <li>• <b>2.5:</b> A capacity assessment has been completed. The project document has identified activities that will be undertaken to strengthen capacity of national institutions, but these activities are not part of a comprehensive strategy to monitor and strengthen national capacities.</li> <li>• <b>2:</b> A capacity assessment is planned after the start of the project. There are plans to develop a strategy to strengthen specific capacities of national institutions based on the results of the capacity assessment.</li> <li>• <b>1.5:</b> There is mention in the project document of capacities of national institutions to be strengthened through the project, but no capacity assessments or specific strategy development are planned.</li> <li>• <b>1:</b> Capacity assessments have not been carried out and are not foreseen. There is no strategy for strengthening specific capacities of national institutions.</li> </ul> | 3   | 2.5           |
|  | 2   | <b>1.5</b>    |
|  | 1   |               |
| <p><b>Evidence</b><br/>Capacity assessments are not proposed but builds on current capacity building work</p>  |   |               |
| <p><b>25. Is there is a clear strategy embedded in the project specifying how the project will use national systems (i.e., procurement, monitoring, evaluations, etc.,) to the extent possible?</b></p>  | <b>Yes (3)</b>  | No (1)        |
| <p><b>26. Is there a clear transition arrangement/ phase-out plan developed with key stakeholders in order to sustain or scale up results (including resource mobilisation strategy)?</b></p>  | Yes (3)   | <b>No (1)</b> |

## Annex 2: Social and Environmental Screening Assessment

### Project Information

| <b>Project Information</b>          |  |
|-------------------------------------|--|
| 1. Project Title                    | UNDP NDC Support Programme: Delivering Sustainability through Action on Climate Change |
| 2. Project Number                   |  |
| 3. Location (Global/Region/Country) | Global   |

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

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

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

The programme acknowledges the need to support vulnerable communities as secondary stakeholders who can benefit from governments prioritizing climate change interventions that increase access to energy and increase resilience to climate change. All prioritization exercises related to implementation of Nationally Determined Contributions (NDCs) under the Programme will be assessed through the lens of the Sustainable Development Goals to ensure that efforts are fully aligned with sustainable development planning. When national systems are designed to monitor implementation progress of NDCs, governments will be encouraged to disaggregate key data related to the SDGs and gender as good practice. One pillar of the programme focuses upon integrated governance and recommends a whole-of-government approach. This work stream will be used to support governments to put in place institutional mechanisms that allows for effective and informed participation of a wide range of stakeholders in NDC implementation.

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

UNDP conducted a review in May 2016 to assess the degree to which intended NDCs submitted by governments to the UNFCCC recognized and/or integrated gender equality, which was supported by the project developer and the gender team. Of the 161 INDCs submitted at that time, only 40% (65 countries) made at least one reference to gender equality of women. The Programme will directly address this issue in 10 countries by supporting governments and other key stakeholders to comprehensively integrate gender considerations into NDC planning and implementation processes based upon national gender gap analyses.

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

The Programme will support governments to make informed decisions about implementing climate change actions that lead to zero-carbon, climate-resilient pathways. All mitigation actions prioritised under the Programme will be assessed against sustainable development benefits to identify those that can best address poverty and inequality while maintaining and enhancing natural capital. However, the Programme focuses on the design/strengthening of mitigation actions by undertaking financial and technical feasibility studies, rather than implementation of projects. The implementing partner in countries will be the Ministry of Environment.

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

| QUESTION 2: What are the Potential Social and Environmental Risks?   | QUESTION 3: What is the level of significance of the potential social and environmental risks? |                                     |   | QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)? |
|--|--|-------------------------------------|---|--|
| <p><i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.</i></p> | <p><i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i></p>         |                                     |   |  |
| Risk Description   | Impact and Probability (1-5)   | Significance (Low, Moderate, High)  | Comments  | Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.      |
| No potential social and environmental risks were identified, see checklist.  | N.A.   | N.A.                                | N.A.  | N.A.<br>The Programme primarily involves the preparation of technical analyses and design of strategies, projects, and funding mechanisms.   |
| <b>QUESTION 4: What is the overall Project risk categorization?</b>  |  |                                     |   |  |
| <b>Select one (see <a href="#">SESP</a> for guidance)</b>  |  |                                     | <b>Comments</b>   |  |
| <b>Low Risk</b>  |  | <input checked="" type="checkbox"/> | Programme focuses on policy and governance structures and technical analysis for design of mitigation actions, as well as financing models and private sector engagement. |  |
| <b>Moderate Risk</b>   |  | <input type="checkbox"/>            |   |  |
| <b>High Risk</b>   |  | <input type="checkbox"/>            |   |  |
| <b>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?</b>   |  |                                     |   |  |
| Check all that apply   |  |                                     | <b>Comments</b>   |  |
| <b>Principle 1: Human Rights</b>   |  | <input type="checkbox"/>            | N.A.  |  |
| <b>Principle 2: Gender Equality and Women’s Empowerment</b>  |  | <input type="checkbox"/>            | N.A.  |  |

|  |   |                          |      |
|--|---|--------------------------|------|
|  | <b>1. Biodiversity Conservation and Natural Resource Management</b> | <input type="checkbox"/> | N.A. |
|  | <b>2. Climate Change Mitigation and Adaptation</b>                  | <input type="checkbox"/> | N.A. |
|  | <b>3. Community Health, Safety and Working Conditions</b>           | <input type="checkbox"/> | N.A. |
|  | <b>4. Cultural Heritage</b>   | <input type="checkbox"/> | N.A. |
|  | <b>5. Displacement and Resettlement</b>                             | <input type="checkbox"/> | N.A. |
|  | <b>6. Indigenous Peoples</b>  | <input type="checkbox"/> | N.A. |
|  | <b>7. Pollution Prevention and Resource Efficiency</b>              | <input type="checkbox"/> | N.A. |

### Final Sign Off

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

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

| <b>Checklist Potential Social and Environmental Risks</b>  |  |                 |
|--|--|-----------------|
| <b>Principles 1: Human Rights</b>  |  | Answer (Yes/No) |
| 1.   | Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?  | No              |
| 2.   | Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? <sup>12</sup>  | No              |
| 3.   | Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?  | No              |
| 4.   | Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?   | No              |
| 5.   | Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?   | No              |
| 6.   | Is there a risk that rights-holders do not have the capacity to claim their rights?  | No              |
| 7.   | Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?  | No              |
| 8.   | Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?   | No              |
| <b>Principle 2: Gender Equality and Women's Empowerment</b>  |  |                 |
| 1.   | Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?   | No              |
| 2.   | Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?  | No              |
| 3.   | Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?   | No              |
| 4.   | Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?<br><i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i> | No              |
| <b>Principle 3: Environmental Sustainability:</b> Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below |  |                 |
| <b>Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management</b>   |  |                 |
| 1.1  | Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?<br><i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>  | No              |
| 1.2  | Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?  | No              |

<sup>12</sup> Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

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| 1.3  | Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)   | No |
| 1.4  | Would Project activities pose risks to endangered species?   | No |
| 1.5  | Would the Project pose a risk of introducing invasive alien species?   | No |
| 1.6  | Does the Project involve harvesting of natural forests, plantation development, or reforestation?  | No |
| 1.7  | Does the Project involve the production and/or harvesting of fish populations or other aquatic species?  | No |
| 1.8  | Does the Project involve significant extraction, diversion or containment of surface or ground water?<br><i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>  | No |
| 1.9  | Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)   | No |
| 1.10   | Would the Project generate potential adverse transboundary or global environmental concerns?   | No |
| 1.11   | Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area?<br><i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i> | No |
| <b>Standard 2: Climate Change Mitigation and Adaptation</b>        |  |    |
| 2.1  | Will the proposed Project result in significant <sup>13</sup> greenhouse gas emissions or may exacerbate climate change?   | No |
| 2.2  | Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?   | No |
| 2.3  | Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)?<br><i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>  | No |
| <b>Standard 3: Community Health, Safety and Working Conditions</b> |  |    |
| 3.1  | Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?  | No |
| 3.2  | Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?  | No |
| 3.3  | Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?   | No |
| 3.4  | Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)  | No |
| 3.5  | Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?  | No |
| 3.6  | Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?   | No |
| 3.7  | Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?  | No |
| 3.8  | Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?   | No |

<sup>13</sup> In regards to CO<sub>2</sub>, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]



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| 3.9   | Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?   | No |
| <b>Standard 4: Cultural Heritage</b>                            |   |    |
| 4.1   | Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)   | No |
| 4.2   | Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?  | No |
| <b>Standard 5: Displacement and Resettlement</b>                |   |    |
| 5.1   | Would the Project potentially involve temporary or permanent and full or partial physical displacement?   | No |
| 5.2   | Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?  | No |
| 5.3   | Is there a risk that the Project would lead to forced evictions? <sup>14</sup>  | No |
| 5.4   | Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?  | No |
| <b>Standard 6: Indigenous Peoples</b>                           |   |    |
| 6.1   | Are indigenous peoples present in the Project area (including Project area of influence)?   | No |
| 6.2   | Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?  | No |
| 6.3   | Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?<br><br><i>If the answer to the screening question 6.3 is “yes” the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.</i> | No |
| 6.4   | Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?  | No |
| 6.5   | Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?  | No |
| 6.6   | Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?   | No |
| 6.7   | Would the Project adversely affect the development priorities of indigenous peoples as defined by them?   | No |
| 6.8   | Would the Project potentially affect the physical and cultural survival of indigenous peoples?  | No |
| 6.9   | Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?  | No |
| <b>Standard 7: Pollution Prevention and Resource Efficiency</b> |   |    |
| 7.1   | Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?  | No |

<sup>14</sup> Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

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|-----|---|----|
| 7.2 | Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?  | No |
| 7.3 | Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs?<br><i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i> | No |
| 7.4 | Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?   | No |
| 7.5 | Does the Project include activities that require significant consumption of raw materials, energy, and/or water?  | No |

### Annex 3: Risk Analysis

|  |                  |                            |
|--|------------------|----------------------------|
| <b>Project Title: UNDP NDC Support Programme</b> | <b>Award ID:</b> | <b>Date: 31 March 2017</b> |
|--|------------------|----------------------------|

| # | Description   | Date Identified | Type           | Impact & Probability  | Countermeasures / Mngt response  | Owner                                    | Submitted, updated by | Last Update | Status |
|---|---|-----------------|----------------|---|--|--|-----------------------|-------------|--------|
| 1 | Change of administration and/or key management positions within the implementing partner reduce climate change ambitions  | 31 March 2017   | Political      | Government might place lower importance on zero-carbon pathway<br><br>P = 3<br>I = 4                      | Engage mid-management and working-level staff to create the sense of ownership<br>Regularly inform new institutional leaders about project results and engage donors proactively | UNDP CO<br>National project manager      | Project developer     |             |        |
| 2 | Governments willing to engage a broad range of stakeholders through a whole of government approach and set gender targets | 31 March 2017   | Organizational | Countries will struggle to implement NDC without full engagement of key Ministries.<br><br>P = 2<br>I = 3 | Share good practices and demonstrate advantages to whole of government approach that is gender inclusive   | GSU<br>National gender expert<br>UNDP CO | Project developer     |             |        |
| 3 | Constraints in coordination and participation among key stakeholders  | 31 March 2017   | Organizational | Countries will struggle to implement NDC without full engagement of key Ministries.<br><br>P = 2<br>I = 3 | Encourage governments to use robust mechanisms for engaging whole of government, including MOUs for participation on national committees   | UNDP COs<br>National project managers    | Project Developer     |             |        |

|   |  |               |                             |   |   |                                  |                   |  |  |
|---|--|---------------|-----------------------------|---|---|----------------------------------|-------------------|--|--|
| 4 | Limited capacity building for line agencies to be effectively engaged in mitigation actions  | 31 March 2017 | Operational                 | Countries will struggle to implement NDC without full engagement of key Ministries.<br>P = 2<br>I = 3                           | Capacity will be developed through a learning by doing approach that empowers line Ministries to take up mitigation actions | GSU<br>National project managers | Project Developer |  |  |
| 5 | Lack of data and information inhibits informed decision making and long-term forecasting   | 31 March 2017 | Operational                 | Decision makers may be reluctant to roll out mitigation actions and strategies.<br><br>P = 2<br>I = 3                           | National governments will be supported to address key data gaps and learn from other countries                              | GSU<br>National project managers | Project Developer |  |  |
| 6 | Risk that mitigation actions prioritised by government may not be feasible.  | March 2017    | Financial                   | Unfeasible mitigation actions won't attract financing, discouraging stakeholders from future initiatives.<br><br>P = 2<br>I = 3 | Engage financial and technical experts in prioritisation of mitigation actions  | GSU<br>National project managers | Project Developer |  |  |
| 7 | Private sector actors may disengage from mitigation actions if they perceive there are no realisable gains from their involvement. | March 2017    | Financial<br>Organisational | If private sector disengages, countries may be challenged to fund mitigation actions.<br><br>P = 2<br>I = 4                     | Continued engagement of private sector, targeted trainings and awareness raising at national and regional levels.           | GSU<br>National project managers | Project Developer |  |  |

#### **Annex 4: Capacity Assessment**

Implementing partners have been engaged through the previous LECB programme for a number of years and UNDP will provide support services for programme implementation. Hence there is no need for micro assessment.

## **Annex 5: Terms of Reference for Project Board and Key Project Personnel**

### **Project Board**

The Project Board will include UNDP, donors, and representatives from programme countries. Its focus will be on strategic oversight, synergies, and visibility. The Board will be chaired by UNDP in the first year with a decision on whether to rotate responsibility annually. The GSC will meet in person at least once a year, and via teleconference as required. Board duties will include:

#### Overall Responsibilities

- Provide overall guidance and decision making throughout the duration of the Programme
- Monitor and evaluate Programme progress during implementation
- Serve as a platform for donors to participate in Programme governance
- Serve as an informal venue for discussing relevant linkages with other relevant global programmes
- Assess emerging priorities under the UNFCCC in the context of the Programme
- Provide guidance on substantive issues that may be brought up by the Global Support Component on project implementation at the national level

#### Project-Level Responsibilities

- Monitor individual country progress via updates provided through the Global Support Component
- Review and provide feedback on individual project documents at the national level
- Ensure coordination among EU delegates, government ministries, and UNDP national staff at the country level

#### Outreach and Communication

- Provide guidance and approval on Programme branding (in line with agreed upon visibility guidelines)
- Work to promote Programme activities at international fora and within professional networks

### **Programme Manager (P5)**

#### **Location: New York, USA**

- Ensure proper and effective implementation of all Programme activities, including the preparation of a detailed work plan outlining all activities, outputs, and timeline.
- Design and implement a strategy to assist countries in incorporating climate change concerns into national development agendas.
- Assist countries and UNDP in establishing a follow-up mechanism to measure the impacts of the projects at different levels.
- Oversee the creation and implementation of technical assistance and knowledge networks.
- Oversee the implementation of the Programme's Communications & Outreach strategy.
- Design an effective system for preparing and periodically disseminating lessons learned in order to help participating countries learn from each other.
- Manage the Programme's budget and review financial reports following UNDP procedures.
- Manage contracts with international experts and organisations, including the preparation of terms of reference for activities or studies to be contracted out, identification of suitable consultants/institutions, and reviewing of outputs.
- Coordinate the work of the NCSP staff and supervise their work plans and deliverables.
- Oversee preparation of progress report for submission to the Global Steering Committee. This will include detailed reporting on substantive issues and expenditures.
- Establish and maintain a strategic understanding of, and engagement with, the substantive technical issues, institutions, and processes within the countries. This includes establishing contact with and

developing technical partnerships with relevant organizations, donors, NGOs, the private sector, and scientific institutions to support project implementation.

- Design exchange workshops and training activities in coordination with Programme staff, and on the basis of capacity development needs.
- Establish a trusted technical leadership role within UNDP in the key areas of work under the Programme.
- In coordination with countries, identify required capacity-building activities to measure impacts of the projects and demonstrate linkages with national development strategies in the short and long term.

### **Climate Change Technical Specialists (P4 x 2)**

**Location: New York, USA**

- Guide teams and consultants in the design of projects' scopes and activities and in the identification of appropriate methodologies to be adopted for project implementation.
- Contribute to the development and implementation of the project activities at the national level, advising national teams on the design of NAMAs, LEDS, and MRV systems.
- Provide strategic policy development support and guidance to ensure that outcomes of projects at the national level are adequately linked with relevant initiatives.
- Develop technical and policy guidance as needed to support project implementation at national level.
- Advise on tools/resources for the studies in the different areas of work under the project.
- Review and provide technical input for the drafting of reports developed under the projects.
- In coordination with national teams, identify capacity-development needs at the country level for project implementation.
- Carry out site visits, as needed, to work with international and national consultants, upon request by Project Coordinators at the national level.
- Keep the Programme Manager informed of technical concerns and needs in the countries, and propose measures to address them.
- Guide countries in the design of technical monitoring activities, including identification of expected impacts of project activities, establishment of indicators, benchmarks, and work plans.
- Provide substantive guidance to regional centres and consultants on supporting countries so that they achieve expected results in an efficient manner.

### **Mitigation Economist (P4)**

**Location: New York, USA**

- Advise on most suitable methodological tools to be used in each country for their mitigation assessments, based on the individual project's scope and activities.
- Provide substantive support to national teams in their assessments of mitigation options and feasibility analyses.
- Assist national teams and consultants in carrying out cost analyses of the mitigation actions and low-emissions development strategies.
- Develop strategies to support countries in identifying innovative financing options for mitigation actions.
- Lead technical discussions on how cost analysis of mitigation measures can be improved to provide countries with more reliable assessments of mitigation potentials at the sectoral or national level.
- Carry out training activities to develop capacities needed in participating countries for mitigation assessment, including cost-benefit analysis.
- Provide on-line assistance to national teams, answering queries and providing guidance/solutions on general technical issues regarding mitigation analysis and related activities.
- Identify and/or respond to technical issues, and propose technical assistance solutions.
- Keep the national teams informed of trends and issues with respect to the substantive technical areas.

- Evaluate, compile, and synthesise lessons and stimulate the adoption of best practices and knowledge.
- Conduct peer reviews, comment on, and seek to improve the technical quality of project outputs.
- Assist with the preparation of lessons learned and impacts that can be disseminated to other countries and can feed into UNDP programming.

### **Climate Technical Specialist (P3)**

**Location: New York, USA**

- Advise countries and provide technical assistance to national teams on INDC implementation (e.g., assessing INDCs following the Paris negotiations; helping countries develop INDC implementation plans and monitoring systems; and advising on strengthening institutional frameworks and removing barriers to implementation)
- Contribute to the development of tools and methodologies to prepare countries for effective INDC implementation
- Provide technical expertise and backstopping to countries on NAMAs and other substantive issues related to INDCs (e.g., LEDS, MRV, etc.)
- Coordinate the organization and facilitation of technical workshops and webinars on INDC implementation and related issues (including agenda setting; liaising with speakers; preparation of technical presentations, guiding materials, and reports; facilitation of workshop sessions; presentations on technical issues) to build country capacity and provide a forum for exchanging experiences among countries
- Consolidate lessons learned and key outcomes of workshops and webinars; analyze emerging priorities and needs in countries; follow up on technical issues and challenges emerging in countries; and provide recommendations on how to assist countries in addressing these challenges
- Attend external meetings and UNFCCC-relevant events, liaise with external stakeholders, and present the interim and results of support provided to countries and lessons learned to different audiences

### **Programme Specialist (P3)**

**Location: New York, USA**

- Provide strategic thinking to the management team and follow up action to ensure proper implementation of programme activities and communication of programme successes;
- Take lead of programme related meetings and events, including but not limited to global steering committee meetings and global programme workshops, including regularly updating donors and key partners on the implementation and interim results of the programme;
- Represent UNDP at strategic international and regional meetings and events, as necessary, on topics related to low carbon development and INDCs;
- Contribute to UNFCCC Conference of Parties and Subsidiary Bodies meetings to ensure UNDP and Donor visibility for the programme;
- Implement a communications and knowledge sharing strategy and oversee its implementation across countries and regions to increase impact and visibility of the programme;
- Collate and archive training materials, communications materials, reports and other key documents for easy access and dissemination;
- Analyse and disseminate substantive qualitative and quantitative data to programme colleagues for use in corporate or donor outreach and production of briefing notes;
- Manage consultants and trainees on knowledge sharing, visibility and communications deliverables;
- Develop and maintain communications strategy and guidelines for the programme in order to strengthen profile of the programme;
- Create and manage programme / training web site, social media, and overall online presence, overseeing a communication expert while ensuring implementation of communications activities related to the programme.



- Provide timely and on-going technical support to targeted national teams on national project design and implementation;
- Identify emerging technical support needs for countries and develop materials and platforms (such as webinars, working groups, etc.) to deliver such support;
- Contribute to the programme-wide tools and methodologies developed to support capacity building;
- Serve as a designated gender specialist for the programme.

### **Gender Specialist (P4)**

**Location: New York, USA**

- Advise GSU and provide strategic technical advice to national teams, private sector and/or civil society organizations on gender-responsive NDC implementation.
- Provide technical review of national products elaborated under gender-focused work stream.
- Contribute to the development of tools and methodologies to prepare countries for effective gender-responsive NDC implementation.
- Provide guidance on improving legislative framework, processes and procedures.
- Prepare relevant materials for advocacy and outreach activities related to the gender-focused work stream.
- Design and deliver trainings on gender responsiveness and women's empowerment, as needed.
- Identify experiences, good practices and lessons learned for range of knowledge products.
- Lead on strategic partnerships related to gender and climate change and support resource mobilisation efforts in this context.

### **Knowledge Management and Communications Specialist (P3)**

**Location: New York, USA**

- Develop or oversee development of research based on corporate priorities and partnership requirements;
- Mainstream strategy for capturing NDC knowledge assets (surveys, reporting, missions, events);
- Analyze ongoing UNDP Global NDC Support work on the country and regional level to highlight relevant lessons learned;
- Liaise with UNDP regional and country focal points, ministries, academia and other stakeholders to generate knowledge products on NDC implementation;
- Support the development and roll-out of new partnerships, including the NDC Partnership and related components;
- Coordinate with partner and country focal points on knowledge sharing and joint visibility for NDC Partnership;
- Review and provide input on project concepts and proposals, strategies, donor missions and other corporate documents for CDT. Liaise with technical and regional focal points to coordinate for input as needed;
- Contribute editorial content and technical input for UNDP NDC Support Programme and corporate communications;
- Promote roll-out of knowledge products through report launches, press releases, participation in events;
- Work with partners, including UNDP's regional and country offices, to enhance the general understanding around NDCs and availability of basic information and resources;
- Guide consultant(s) on development and maintenance of website, newsletter, image library, graphic designs and social media posts;
- Oversee design and branding for communication and knowledge products rolled out by the NDC, national teams and/or partners;
- Implement strategic advocacy and dissemination efforts based on research results – in line with

corporate priorities;

- Develop and/or contribute editorial content for advocacy, knowledge and communication products to influence the global policy agenda, highlighting UNDP's niche in the NDC space;
- Provide input for talking points, presentations, speeches, briefing notes for senior management and ExO to promote NDC work internally and externally.

### **Programme Analyst (P1)**

**Location: New York, USA**

- Assist the Programme Manager in implementing the Programme at the global level and monitor progress of projects at the country level in coordination with UNDP COs.
- Organise all logistics and communications with countries for meetings and workshops, including managing travel arrangements, as needed.
- Develop terms of reference for consultants to be hired under the Programme and track agreed schedule of activities to ensure timely deliverables and related payments.
- Support the Programme Manager in the implementation of the communication strategy and dissemination of Programme activities.
- Financially monitoring of the Programme in ATLAS, including the follow up of the programme implementation, preparation of required budget revisions, revision of project award and project status, determination of unutilized funds, operational and financial close of the projects (including final asset transfer of project deliverables, documents, files, equipment and materials);
- Prepare progress reports to donors, including information on expenditures and activities carried out.
- Support the development of projects work-plans, budget plans, procurement plans and operational plans with the related detailed budget allocations for projects implementation;
- Operational guidance on project design, formulation and initiation including discussion with the implementing partners in setting up the projects;
- Assistance in the preparation of briefing materials and reports for meetings and missions for programme staff;
- Support the preparation of project documents (and revisions), work plans, budgets and proposals, ensuring sound implementation arrangements;
- Maintain events calendar of relevant activities at the global level and under the national projects in coordination with project coordinators and UNDP COs.
- Monitor administrative actions such as procurement of goods and services, verification of claims, invoices, certification of payment, organising travel for consultants, making travel-related payments, etc.
- Establish and maintain a systematic filing system of key documents within and outside of the Atlas system.
- Liaise with those conducting project audits and ensure access by auditors to project documentation, personnel, and institutions involved in the project.

## Annex 6: Theory of Change

The urgent and critical need to combat global climate change and its impact is substantiated in the United Nations' Sustainable Development Goals (SDGs). Goal 13 contains five tangible targets to compact global climate change, including, among others: i) Integrate climate change measures into national policies, strategies and planning, ii) Improve human and institutional capacity on climate change mitigation, and iii) Promote mechanisms for raising capacity for effective climate change-related planning and management in least developed countries and small island developing states<sup>15</sup>. Similar urgency and required prioritization to combat global climate change is emphasized in UNDP's Strategic Plan for 2014–2017 where climate change mitigation efforts are seen as key to sustainable human development. Outcome 1 and 5 of the Strategic Plan directly address mitigation of climate change<sup>16</sup>.

### Project Theory of Change

|  |   |
|--|---|
| <p><b>Development Challenge:</b> Governments are not moving to zero-carbon pathways quickly enough to deliver on the ambition of the Paris Agreement</p>   | <p><b>Solution:</b> Governments adopt fully inclusive, zero carbon pathways to deliver on NDC targets in context of sustainable development</p>   |
| <p><b>Immediate causes:</b></p> <ul style="list-style-type: none"> <li>• Investors and private sector unwilling to provide finance for climate change mitigation</li> <li>• High-level leadership lacking to promote zero-carbon pathways</li> </ul>   | <p><b>Solution</b></p> <ul style="list-style-type: none"> <li>• Govts put in place financing mechanisms and strengthen enabling environment to attract climate finance, technology transfer and capacity development for zero-carbon pathways</li> <li>• Govts recognised as champions of climate change ambition by international community (thereby attracting donor support)</li> </ul>  |
| <p><b>Underlying causes:</b></p> <ul style="list-style-type: none"> <li>• Zero-carbon opportunities lack business case and evidence base</li> <li>• Enabling environment doesn't address key barriers for reducing investor risk</li> </ul>  | <p><b>Solution</b></p> <ul style="list-style-type: none"> <li>• Identify and promote business cases and evidence base for ambitious mitigation actions</li> <li>• Risk analyses conducted to support low-carbon actions designed with financing strategies that attract private sector interest</li> </ul>  |
| <p><b>Root causes (pervasive and long-standing development constraints):</b></p> <ul style="list-style-type: none"> <li>• Stakeholders not fully engaged in decision-making process</li> <li>• Lack of capacities to design robust mitigation actions and to mainstream zero carbon planning into sectoral strategies and national development plans</li> <li>• Business-as-usual creates disincentive to move to zero-carbon pathways (lack of alignment between private/public sectors and sustainable development goals)</li> <li>• Underdeveloped private sector and/or high financing costs in less mature markets</li> </ul> | <p><b>Solution</b></p> <ul style="list-style-type: none"> <li>• Establish inclusive stakeholder engagement and institutional coordination mechanisms with gender targets</li> <li>• Build technical and institutional capacities to design mitigation actions and strategies, and related financing schemes, to attract investors and private sector</li> <li>• Create mechanisms for public-private partnerships, trust building, and alignment of incentives</li> </ul> |

<sup>15</sup> United Nations 2015. Transforming our world: The 2030 agenda for sustainable development.

<sup>16</sup> United Nations Development Programme 2014. Changing the world. Strategic Plan for 2014 – 2017.

## Annex 7: Resource mobilisation plan

The NDC Support Programme has been designed as a \$54M programme that will support developing countries in the critical period leading up to 2020, as countries prepare to deliver on their Nationally Determined Contributions under the Paris Agreement, through to the first formal evaluation of collective progress in 2023, known as the “global stocktake”.

Given the current funding shortfall, it is proposed to commence implementation in 18 countries (as requested by IKI/BMUB) to maintain country teams from the LECB Programme while resource mobilisation continues.

The Programme Manager will continue to work closely with the CDT external engagements team to address the current funding gap but additional funds are already anticipated, as indicated in the table below from the EC and the UNFCCC/GIZ. There is informal confirmation of EUR 6.91M from the EC for technical assistance to countries on NDC implementation, as well as discussion of EUR 1M from the EC for support to strategic negotiating groups under the UNFCCC, which would fall under Outcome 1 on leadership. Funding from GIZ via the UNFCCC is also anticipated for the continuation of the UNDP/UNFCCC Regional Technical Dialogues that have been underway since 2014.

**Table: Resource Mobilisation Targets**

|                                 | Funding source | USD <sup>1</sup>  |
|---------------------------------|----------------|-------------------|
| <b>Total resources required</b> |                | 54,159,984        |
| Total resources allocated:      | IKI (BMUB)     | 18,796,992        |
|                                 | BMZ            | 2,148,228         |
| <b>Balance</b>                  |                | <b>33,214,764</b> |
| Total resources anticipated     | EC             | 7,422,127         |
|                                 | EC             | 1,074,114         |
|                                 | UNFCCC/GIZ     | 1,000,000         |
| <b>Balance</b>                  |                | <b>23,718,523</b> |

1. Operational exchange rate (1 April 2017) for Euro of 0.931

If the anticipated funding is delivered, then the Programme will be fully funded through the end of 2020. The Programme Manager will continue to engage donors and capitalize on strategic partnerships to ensure that all in-country efforts are well-coordinated with other development partners so that funds are used as efficiently and effectively as possible. There is high confidence that the Programme will attract significant additional funding. In a worst-case scenario, the Programme can complete the current agreed activities with countries by December 2020 and close at that time.

A proposal has been submitted via the UNDP Brussels Office to access funds under the *ACP-EU* Partnership Agreement to support countries in the Africa, Caribbean and Pacific (ACP) group of states. Discussion is also advancing in collaboration with RBAS and the CDT external engagement team on a Climate Action Investment Platform, which could fill a gap in the current NDC landscape by connecting investors, technology providers and countries with sound, ‘investment-ready’ climate action plans (with specific projects) in which Investors commit to fund specific projects or national climate funds. New strategic partnerships, such as the establishment of a new World Green Economy Organisation in UAE that is seeking to promote public private partnerships on low-carbon development, will also be assessed for complementarities.

Funding received to date for the NDC Support Programme has been from climate change mitigation windows of the donors. Recognising the importance of adaptation to developing countries (as reflected in the majority of NDCs), efforts will be made to also attract resources for adaptation efforts.

## Annex 8: Country selection process and criteria

The **Low Emission Capacity Building Programme**, upon which the NDC Support Programme has been developed, was developed to strengthen national public and private sector capacities to: 1) Develop/establish greenhouse gas (GHG) inventory management systems; 2) Design systems to measure, report on, and verify (MRV) GHG emission reductions; 3) Identify opportunities for Nationally Appropriate Mitigation Actions (NAMAs) in the context of national development; 4) Design low-emission development strategies (LEDS); 5) Facilitate the design and adoption of mitigation actions by industries in select countries.

The Programme was launched in 2011 with 15 countries and expanded in 2012 to an additional 10 countries. The countries were selected in close consultation with UNDP Regional Bureaux and the Global Steering Committee using the following set of criteria:

- Synergies with other programmes and initiatives
- Absorptive capacity of host country
- Balance regarding scope (Public vs. industry), region, sector, and country status (LDC, SIDS, etc)
- Technical capacity
- Active within climate change negotiations
- Political engagement

The resulting 25 countries were: Argentina, Bhutan, Chile, China, Colombia, Costa Rica, DRC, Ecuador, Egypt, Ghana, Indonesia, Kenya, Malaysia, Mexico, Moldova, Morocco, Peru, Philippines, Uganda, Tanzania, Thailand, Trinidad and Tobago, Uganda, Vietnam and Zambia. Funding support per country ranged from \$630,000 to \$1.3M.

In 2014, the Programme began to respond to support needs related to the emergence of Intended Nationally-Determined Contributions (INDCs) under the UNFCCC by incorporating a new Programme objective to support the preparation and implementation of INDCs at the recommendation of the Global Steering Committee. In February 2015, it was noted that around 60 developing countries had not yet received any external support for the preparation of their INDC, which were critical for the Paris Agreement. It was agreed that the LECB Programme would support additional countries to focus on INDC preparation and discrete post-Paris activities, for which the EC provided funding through a complementary project, *Support to Developing Countries on Intended Nationally Determined Contributions on Climate Change*. The 13 additional countries included were: Barbados, Bolivia, El Salvador, Honduras, Lao PDR, Nigeria, Paraguay, Samoa, Sierra Leone, Solomon Islands, St. Vincent and the Grenadines, and Vanuatu. Funding support averaged \$150,000.

The full range of support is summarised in the table below. As of December 2016, seven countries had completed their national project activities (China, Costa Rica, DRC, Kenya, Nigeria, Sierra Leone and Vanuatu). The majority of countries will be wrapped up by June 2017, with only four projected to complete their activities in December 2017 or early 2018 (i.e., Argentina, Bolivia, Egypt, Tanzania).

**LECB Programme Thematic Scope and Sectors, by region and country**

| COUNTRY/<br>REGION  | PHASE | THEMATIC SCOPE   |       |      |     |                   |      | SECTORS PRIORITISED |           |       |             |                              |          | FUNDING<br>ALLOCATION<br>(USD) |             |
|---------------------|-------|------------------|-------|------|-----|-------------------|------|---------------------|-----------|-------|-------------|------------------------------|----------|--------------------------------|-------------|
|                     |       | GHG<br>Inventory | NAMAs | LEDS | MRV | Private<br>sector | INDC | Energy              | Transport | Waste | Agriculture | Industry                     | Forestry |                                | Other       |
| <b>AFRICA</b>       |       |                  |       |      |     |                   |      |                     |           |       |             |                              |          |                                |             |
| DRC                 | 1     | X                | X     | X    | X   |                   |      | X                   |           |       | X           |                              |          |                                | 1,061,159   |
| Ghana               | 2     | X                | X     | X    | X   | X                 | X    | X                   |           |       |             |                              |          |                                | 1,134,600   |
| Kenya               | 1     | X                | X     |      | X   |                   |      | X                   | X         | X     |             |                              |          |                                | 779,000     |
| Nigeria             | 3     |                  |       |      |     |                   | X    |                     |           |       |             |                              |          |                                | 267,500     |
| Sierra Leone        | 3     |                  |       |      |     |                   | X    |                     |           |       |             |                              |          |                                | 160,500     |
| Tanzania            | 2     | X                | X     | X    | X   |                   | X    | X                   | X         |       |             |                              |          |                                | 834,600     |
| Uganda              | 1     | X                | X     | X    | X   |                   | X    | X                   | X         | X     | X           |                              |          |                                | 1,275,500   |
| Zambia              | 1     | X                | X     |      | X   |                   |      | X                   | X         | X     | X           |                              |          |                                | \$957,000   |
| <b>ASIA PACIFIC</b> |       |                  |       |      |     |                   |      |                     |           |       |             |                              |          |                                |             |
| Bhutan              | 2     | X                | X     | X    | X   |                   | X    |                     | X         | X     |             | Industrial processes         |          |                                | 1,134,600   |
| China               | 1     |                  |       |      |     | X                 |      |                     |           |       |             | Motorcycles, aluminium alloy |          |                                | 1,067,900   |
| Indonesia           | 2     |                  | X     | X    | X   |                   | X    | X                   | X         |       |             | Commercial EE                |          |                                | 1,444,500   |
| Lao PDR             | 3     |                  |       |      |     |                   | X    |                     |           |       |             |                              |          |                                | 160,500     |
| Malaysia            | 2     | X                | X     |      | X   |                   |      | X                   |           | X     | X           | Green technology             |          |                                | 834,600     |
| Philippines         | 1     | X                | X     | X    | X   | X                 | X    |                     | X         | X     | X           | Industrial processes         |          |                                | 1,334,500   |
| Samoa               | 3     |                  |       |      |     |                   | X    |                     |           |       |             |                              |          |                                | 160,500     |
| Solomon Islands     | 3     |                  |       |      |     |                   | X    |                     |           |       |             |                              |          |                                | 160,500     |
| Thailand            | 2     | X                | X     |      | X   | X                 |      |                     | X         | X     |             | Cement, steel                |          |                                | \$1,177,000 |
| Vanuatu             | 3     |                  |       |      |     |                   | X    |                     |           |       |             |                              |          |                                | 160,500     |
| Viet Nam            | 2     |                  | X     |      | X   | X                 |      |                     |           |       |             | Fertilizer, pulp & paper     |          |                                | 1,027,200   |

| LAC                     |           |           |           |           |           |           |           |           |           |           |          |                                  |          |                  |           |
|-------------------------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|-----------|----------|----------------------------------|----------|------------------|-----------|
| Argentina               | 1         | X         | X         |           | X         |           | X         |           |           |           |          | Fertilizer, petrochemical        |          |                  | 1,175,900 |
| Barbados                | 3         |           |           |           |           |           | X         |           |           |           |          |                                  |          |                  | 160,500   |
| Bolivia                 | 3         |           |           |           |           |           | X         |           |           |           |          |                                  |          |                  | 107,000   |
| Chile                   | 1         | X         |           | X         | X         | X         |           | X         | X         |           |          |                                  | X        |                  | 1,614,000 |
| Colombia                | 1         |           | X         | X         | X         | X         |           | X         | X         | X         | X        | Industrial process, mining       |          |                  | 1,296,000 |
| Costa Rica              | 2         | X         | X         |           | X         | X         |           |           | X         |           | X        |                                  |          |                  | 1,056,906 |
| Ecuador                 | 1         | X         | X         | X         | X         | X         | X         | X         |           |           |          |                                  |          |                  | 1,604,910 |
| El Salvador             | 3         |           |           |           |           |           | X         |           |           |           |          |                                  |          |                  | 160,500   |
| Honduras                | 3         |           |           |           |           |           | X         |           |           |           |          |                                  |          |                  | 160,500   |
| Mexico                  | 1         | X         | X         | X         | X         | X         |           |           |           |           |          | Chemicals, mining                |          |                  | 1,067,900 |
| Paraguay                | 3         |           |           |           |           |           | X         |           |           |           |          |                                  |          |                  | 160,500   |
| Peru                    | 1         | X         | X         |           | X         |           |           | X         |           |           |          | Cement, brick, steel             |          |                  | 886,000   |
| St Vincent & Grenadines | 3         |           |           |           |           |           | X         |           |           |           |          |                                  |          |                  | 160,500   |
| Suriname                | 3         |           |           |           |           |           | X         |           |           |           |          |                                  |          |                  | 21,400    |
| Trinidad & Tobago       | 2         |           | X         | X         | X         |           | X         | X         | X         |           |          | Mining                           |          |                  | 781,100   |
| ARAB STATES             |           |           |           |           |           |           |           |           |           |           |          |                                  |          |                  |           |
| Egypt                   | 1         |           | X         | X         | X         | X         | X         | X         | X         | X         | X        | Cement, fertilizer, iron & steel |          | Housing, tourism | 1,178,000 |
| Lebanon                 | 2         | X         | X         | X         | X         |           | X         | X         | X         | X         |          |                                  |          |                  | 1,103,100 |
| Morocco                 | 1         |           | X         | X         | X         |           | X         | X         |           | X         | X        |                                  |          | Housing          | 939,500   |
| EASTERN EUROPE & CIS    |           |           |           |           |           |           |           |           |           |           |          |                                  |          |                  |           |
| Moldova                 | 2         | X         | X         |           | X         |           |           | X         |           | X         |          |                                  |          |                  | 674,100   |
| Ukraine                 | 3         |           |           |           |           |           | X         |           |           |           |          |                                  |          |                  | 108,000   |
|                         | <b>39</b> | <b>18</b> | <b>23</b> | <b>15</b> | <b>24</b> | <b>11</b> | <b>26</b> | <b>17</b> | <b>14</b> | <b>12</b> | <b>9</b> | <b>13</b>                        | <b>2</b> | <b>2</b>         |           |

BMUB/IKI requested that UNDP support 18 LECB countries with the 10M EUR funds provided to the **NDC Support Programme**, or approximately \$350k per country. Additionally, BMUB/IKI earmarked an additional 75M Euro for targeted gender work in 10 of these countries (approximately \$450k per country). Selection for the gender component will be competitive, through a call for proposals.

The existing LECB Programme portfolio was assessed against four criteria to select countries for inclusion in the NDC Support Programme:

- National project implementation results & progress
- Commitment and ambition of government to low-carbon vision
- Country risks (legal, political) that could negatively impact implementation
- National need for continued support (i.e., LDCs and SIDS would rank higher)

Based on this analysis, the following 18 countries were selected:

| Africa                                    | Asia Pacific   | LAC   | Arab States        |
|---|--|---|--------------------|
| DRC<br>Ghana<br>Kenya<br>Uganda<br>Zambia | Bhutan<br>Laos<br>Philippines<br>Thailand<br>Vanuatu | Chile<br>Colombia<br>Costa Rica<br>Ecuador<br>Peru<br>Trinidad and Tobago | Lebanon<br>Morocco |

Funding from BMZ (2M EUR) has been provided to support six LECB countries on NDC implementation plans (approximately \$205k per country), with the goal to undertake this work as quickly as possible to demonstrate progress under the newly launched NDC Partnership. However, the countries must also be members of the NDC Partnership and have requested support. An analysis was undertaken of LECB countries who are NDC Partnership members and cross-referenced against those requesting support to prepare NDC implementation plans. Based upon this analysis, four countries have been initially identified that have already indicated an intention to prepare an NDC implementation plan and could deliver quick “wins” for UNDP to support the NDC Partnership: Zambia, Vanuatu, Peru and Vietnam.

As noted in Annex 7, resource mobilisation continues and the Regional Bureaux will be engaged to discuss criteria for country selection where new funds can support the inclusion of more countries and expand geographic scope. So that all UNDP Country Offices can benefit more broadly from the NDC Support Programme, a Help Desk will be established in collaboration with the regional hubs to provide:

- Technical assistance and guidance on NDC implementation issues;
- Sharing of knowledge and resources.

Proposed service lines:

- Peer review of NDC implementation plans, investment strategies and other key documents
- Guidance on linking NDCs to SDGs
- Encourage south-south exchange of experiences
- Disseminate targeted resources

To create greater impact externally beyond the Programme, the Support Programme will also actively participate in the IKI NDC Support Cluster under the umbrella of the NDC Partnership (Annex 9).



## Annex 9: IKI NDC Support Cluster functions

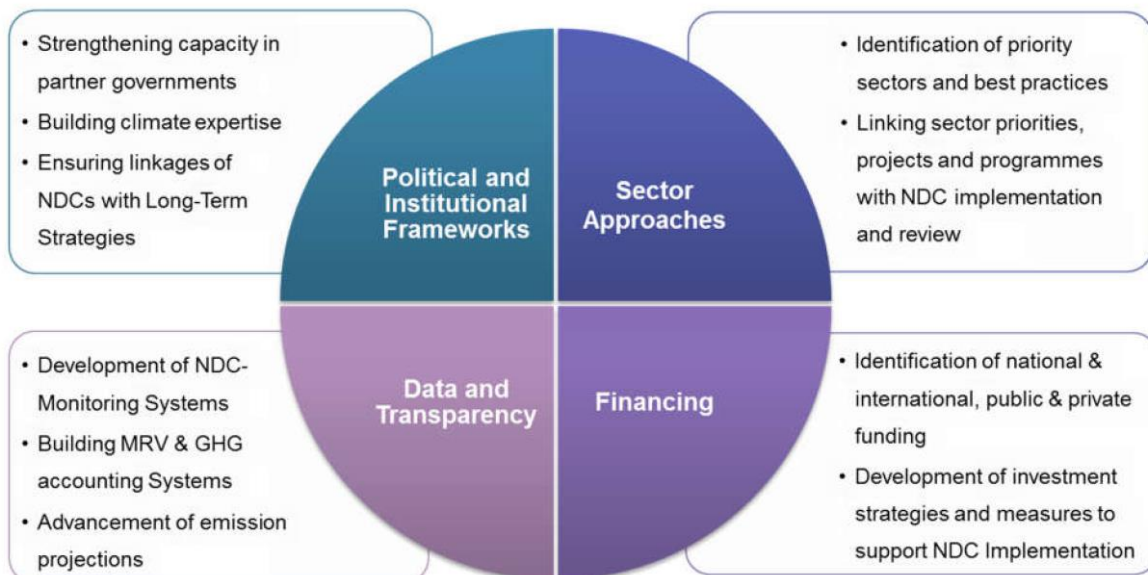
Since COP 21, dedicated NDC support by BMUB's "International Climate Initiative" (IKI) has been coordinated through the IKI NDC Support Cluster. Through five projects with a total funding volume of approximately EUR 32 million, eight climate and development implementing partners are coordinating their activities to allocate resources more effectively and efficiently in selected partner countries. The implementing partners are:

1. Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ)
2. Energy Research Centre of the Netherlands (ECN)
3. NewClimate Institute (NCI)
4. SouthSouthNorth (SSN)
5. Climate and Development Knowledge Network (CDKN)
6. Low Emission Development Strategies Global Partnership (LEDS GP)
7. United Nations Development Programme (UNDP)
8. World Resources Institute (WRI)

In total, 27 partner countries are receiving support of which IKI/BMBU has selected five as **focus countries** for closer collaboration between the implementing partners and with the political partners. The aim is to foster collaboration on the ground while bundling partner country contact and building on complementarity. In each of those countries one institution takes the lead in facilitating coordination while all institutions complement their expertise mutually:

1. **Colombia:** UNDP takes lead and provides support based on demand analysis with political partner, WRI complements on political and institutional frameworks, data and transparency.
2. **Ethiopia:** WRI takes lead and provides support on political and institutional frameworks, data and transparency, CDKN complements on financing.
3. **Kenya:** UNDP takes lead and provides support based on demand analysis with political partner, ECN/NCI complement on political and institutional frameworks, sector approaches, financing, CDKN on financing.
4. **Morocco:** GIZ takes lead; GIZ and UNDP provide support based on demand analysis with political partner.
5. **Peru:** GIZ takes lead, GIZ and UNDP provide support based on demand analysis with political partner, CDKN complements on financing.

All implementing partners pool their expertise and experience and aim for a coherent approach in **four thematic support areas:**



In each support area one institution takes the lead on in-cluster coordination and the conceptual progression of advisory (in parentheses): Political and institutional frameworks (UNDP); sector approaches (ECN/NCI); financing (SSN); data and transparency (WRI).

BMUB commissioned the GIZ implemented **Support Project for the Implementation of the Paris Agreement (SPA)** to facilitate coordination while ensuring lean cooperation processes. SPA facilitates cooperation within the cluster, exchange as well as pooling and sharing of knowledge. For BMUB the project acts as gateway to render content from the NDC support. At the core of the cluster approach lays close cooperation and regular interaction between the projects and implementing organizations, so as to **ensure coherence and efficiency**. The work of the cluster builds on the experience and knowledge of the existing work within the IKI. It is designed to be flexibly adjusted in terms of geographical, thematic and institutional scope to accommodate partner country requests and working inclusively with other initiatives like the NDC Partnership.

A joint **NDC Helpdesk** for flexible support (in full cooperation with the NDC Partnership and LEDS Global Partnership), organization of implementing partners' tools for NDC implementation in a shared **NDC Cluster Toolbox**, and a "**Good Practice Database**" will complement the advisory services at the global level.

- **NDC Helpdesk:** The NDC Helpdesk will offer tailored, short-term assistance on NDC implementation in the context of the IKI NDC Support Cluster. All cluster implementing partners have allocated resources in the IKI NDC Cluster projects for that purpose. It cooperates closely with the LEDS GP "Remote Expert Assistance on LEDS (REAL)" to maximize benefits for partner countries to receive assistance on NDC implementation. The NDC Helpdesk was launched in November 2016 at the NDC Cluster Side Event at COP22 in Marrakesh and is accessible on-line at <https://mitigationpartnership.net/ndc-helpdesk>.
- **NDC Cluster Toolbox:** The toolbox comprises only the most up-to-date and NDC implementation relevant tools, manuals, guides and publications by cluster implementing partners. It provides easy access to the tools following the cluster thematic working areas. The toolbox will be launched in April 2017.
- **Good Practice Database:** Since 2013, the BMUB funded International Partnership on Mitigation on MRV (now Int. Partnership on Transparency) and the UNDP LECB Programme (now the UNDP NDC Support Programme) have examined country cases that demonstrate how mitigation actions are effectively designed and implemented across a range of national contexts. The Good Practice Database to date comprises 40 good practice case studies from 34 countries. Taking into consideration that there are already a lot of documented good practice case studies, in 2016 the database was extended by 50 external case studies including 29 case studies from the Green Growth Best Practice Initiative and 21 case studies from the study "Pioneers for Change: 21 Good Practices for Sustainable Development in Developing Countries". It has been disseminated through the networks of the Transparency Partnership and the UNDP LECB Programme and received widespread attention. The database can be accessed online ([www.mitigationpartnership.net/gpa](http://www.mitigationpartnership.net/gpa)).