

INFO	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ACTION	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
03 ENE 2020					
FILE:	P/00111009/G (PRODUC)				
LOG NO	20E-00107				

TIPO DE REVISION: PROYECTO NUEVO

HOJA DE RUTA

GENERAL  
AUTORIZACION ANTICIPADA  
SUSTANTIVA

FONDOS	62000
DONANTE/S	10009
AGENCIA/S IMPLEMENTADOR/S	PNUD
# RESULTADOS	8
MONTO TOTAL	852.000,00



AWARD # (PROJECT)  
OUTPUT #

00112463  
00111059

CUARTA COMUNICACION NACIONAL (4CN) Y SEGUNDO INFORME BIENAL (2BUR)

TITULO

presentado por:  
aprobación Finanzas Programa  
revisión Unidad Operaciones  
aprobación DRR  
aprobación Representante Residente

*ma*  
MA  
EB  
*ch*

FECHA:	26/11/2019
FECHA:	
FECHA:	
FECHA:	

(4cn)

1. PROPOSAL- APROBACION LUEGO DE PREPAC /CLEARING HOUSE

MINUTA PREPAC

ESPECIALISTA DE PROGRAMA:

APROBADO:

26/11/2019

ASOCIADO PROGRAMA

CONTROL DE RECURSOS TRAC Y 11888

2019  
2020  
2021  
2022

TRAC	

11888


Variación Presupuesto NO  SI

Monto anterior	852.000,00
Variación	
Total de presupuesto	852.000,00

*proyecto nuevo*  
*ep*

2 AWARD

FIRMADO POR CONTRAPARTE

25/11/2019

FIRMADO POR RR

25/11/2019

APROBADO /AWARD MOVED

EB

3 PROYECTO /PRESUPUESTO AL MODULO KK

ENVIADO

EB

*ep/np los 3 años*

4 COMUNICACION

A. SOCIO IMPLEMENTADOR

PNUD

PNUD QUITO

FILE PRODOC  
AREA DE PROGRAMA  
FINANZAS PROGRAMA

<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/>
<input checked="" type="checkbox"/>

JUSTIFICACION

Ingreso de presupuesto inicial conforme aprobación en PRODOC

26/11/2019



## UN Development Programme

Ecuador - Quito

**Project:** 00112463  
**Project Title:** Cuarta Comunicación Nacional  
**Start Year:** 2019  
**End Year:** 2021  
**Implementing Partner:** MINISTERIO DE MEDIO AMBIENTE  
**Responsible Parties:** UNDP  
**Revision Type:** Initial Project Approval

Budget (US\$) as of Last Revision on 26-November-2019		
Donor	Fund	Amount
GEFTrustee	62000 GEF Voluntary Contribution	852,000.00
<b>Total Budget ( 2019 and Beyond )</b>		852,000.00
<b>Total Utilization ( 2018 and Prior )</b>		0.00
<b>Project Total</b>		852,000.00
<b>Unprogrammed/Unfunded</b>		0.00

**Project Description:**

Ingreso inicial de presupuesto conforme aprobación en PRODOC

Agreed by:

Agreed by:

Agreed by:

Agreed by:



## Annual Work Plan

Ecuador - Quito

Project: 00112463  
 Project Title: Cuarta Comunicación Nacional  
 Year: 2019  
 Report Date: 26/11/2019

Output	Key Activities	Timeframe		Responsible Party	Planned Budget			Amount US\$	
		Start	End		Fund	Donor	Budget Descr		
00111009 Cuarta Comunicación Nacional	Adaptation / Vulnerability an	1/9/2019	1/9/2021	UNDP	62000	GEFTrustee	71400 Contractual Services - Individ	43,350.00	
	Completion of the 4NC/2BU	1/9/2019	1/9/2021	UNDP	62000	GEFTrustee	74100 Professional Services	1,000.00	
				UNDP	62000	GEFTrustee	75700 Training, Workshops and Confe	3,000.00	
				UNDP	62000	GEFTrustee	71400 Contractual Services - Individ	25,244.00	
	Monitoring, Reporting and V	1/9/2019	1/9/2021	UNDP	62000	GEFTrustee	71400 Contractual Services - Individ	31,894.00	
	National Circumstances and	1/9/2019	1/9/2021	UNDP	62000	GEFTrustee	71600 Travel	500.00	
				UNDP	62000	GEFTrustee	71400 Contractual Services - Individ	15,947.00	
	National Inventories of Gree	1/9/2019	1/9/2021	UNDP	62000	GEFTrustee	71400 Contractual Services - Individ	202,246.00	
	Project Management Unit	1/9/2019	1/9/2021	UNDP	62000	GEFTrustee	75700 Training, Workshops and Confe	813.00	
				UNDP	62000	GEFTrustee	74500 Miscellaneous Expenses	4,820.00	
				UNDP	62000	GEFTrustee	72800 Information Technology Equipm	3,073.00	
	<b>TOTAL</b>								<b>331,887.00</b>
	<b>GRAND TOTAL</b>								<b>331,887.00</b>



**Annual Work Plan**

Ecuador - Quito

Project: 00112463

Report Date: 26/11/2019

Project Title: Cuarta Comunicación Nacional

Year: 2020

Output	Key Activities	Timeframe		Responsible Party	Planned Budget				
		Start	End		Fund	Donor	Budget Descr	Amount US\$	
00111009 Cuarta Comunicación Nacional	Adaptation / Vulnerability an	1/9/2019	1/9/2021	UNDP	62000	GEFTrustee	72100	Contractual Services-Companie	60,000.00
	Completion of the 4NC/2BU	1/9/2019	1/9/2021	UNDP	62000	GEFTrustee	71400	Contractual Services - Individ	18,776.00
	Monitoring, Reporting and V	1/9/2019	1/9/2021	UNDP	62000	GEFTrustee	74100	Professional Services	2,000.00
	National Circumstances and	1/9/2019	1/9/2021	UNDP	62000	GEFTrustee	71400	Contractual Services - Individ	39,156.00
	National Inventories of Gree	1/9/2019	1/9/2021	UNDP	62000	GEFTrustee	71400	Contractual Services - Individ	35,881.00
	Project Management Unit	1/9/2019	1/9/2021	UNDP	62000	GEFTrustee	75700	Training, Workshops and Confer	3,725.00
				UNDP	62000	GEFTrustee	71600	Travel	2,500.00
				UNDP	62000	GEFTrustee	71400	Contractual Services - Individ	16,141.00
				UNDP	62000	GEFTrustee	71400	Contractual Services - Individ	178,402.00
				UNDP	62000	GEFTrustee	74500	Miscellaneous Expenses	13,000.00
<b>TOTAL</b>									375,244.00
<b>GRAND TOTAL</b>									375,244.00



**Annual Work Plan**

Ecuador - Quito

Project: 00112463

Report Date: 26/11/2019

Project Title: Cuarta Comunicación Nacional

Year: 2021

Output	Key Activities	Timeframe		Responsible Party	Planned Budget				
		Start	End		Fund	Donor	Budget Descr	Amount US\$	
00111009 Cuarta Comunicación Nacional	Adaptation / Vulnerability an	1/9/2019	1/9/2021	UNDP	62000	GEFTrustee	75700	Training, Workshops and Confe	3,874.00
	Compilation of the 4NC/2BU	1/9/2019	1/9/2021	UNDP	62000	GEFTrustee	74200	Audio Visual&Print Prod Costs	5,093.00
				UNDP	62000	GEFTrustee	71400	Contractual Services - Individ	46,619.00
				UNDP	62000	GEFTrustee	74100	Professional Services	2,000.00
	National Circumstances and	1/9/2019	1/9/2021	UNDP	62000	GEFTrustee	71600	Travel	1,850.00
	National Inventories of Gree	1/9/2019	1/9/2021	UNDP	62000	GEFTrustee	71400	Contractual Services - Individ	35,352.00
	Project Management Unit	1/9/2019	1/9/2021	UNDP	62000	GEFTrustee	71400	Contractual Services - Individ	28,416.00
				UNDP	62000	GEFTrustee	74200	Audio Visual&Print Prod Costs	5,000.00
				UNDP	62000	GEFTrustee	74500	Miscellaneous Expenses	13,000.00
				UNDP	62000	GEFTrustee	75700	Training, Workshops and Confe	3,665.00
<b>TOTAL</b>									<b>144,869.00</b>
<b>GRAND TOTAL</b>									<b>144,869.00</b>

**CARTA DE ACUERDO**

**ENTRE EL PROGRAMA DE LAS NACIONES UNIDAS  
PARA EL DESARROLLO (PNUD)**

**Y**

**MINISTERIO DEL AMBIENTE DEL ECUADOR**

6233, ECUADOR, 4CN / 2BUR, anexo al documento del proyecto.

**Anexo G. CARTA DE ACUERDO ENTRE EL PROGRAMA DE LAS NACIONES UNIDAS PARA EL DESARROLLO (PNUD) Y EL MINISTERIO DE AMBIENTE DEL ECUADOR (MAE)**

Estimado Señor  
Raúl Ledesma  
Ministro de Ambiente  
Ministerio de Ambiente  
Award 00112463 - Project ID 00111009  
Ecuador

1. Se hace referencia a las consultas entre funcionarios del Gobierno de Ecuador (en adelante, "el Gobierno") y funcionarios del PNUD respecto de la prestación de servicios de apoyo por parte de la oficina del PNUD en el país para los programas y proyectos gestionados a nivel nacional. Mediante el presente acuerdo, el PNUD y el Gobierno acuerdan que la oficina del PNUD en el país puede prestar tales servicios de apoyo, a solicitud del Gobierno, a través del Ministerio de Ambiente por medio de la Subsecretaría de Cambio Climático, como institución designada para la gestión del proyecto "**Cuarta Comunicación Nacional (4CN y Segundo Informe Bienal (2BUR)**", según se describe más adelante.
2. La oficina del PNUD en el país puede prestar servicios de apoyo para ayudar en las necesidades de información y pago directo. Al prestar dichos servicios de apoyo, la oficina del PNUD en el país verificará que la capacidad del Gobierno (Asociado en la Implementación) sea reforzada para que pueda llevar a cabo dichas actividades de forma directa. Los costos en que incurra la oficina del PNUD en el país en la prestación de dichos servicios de apoyo serán recuperados del presupuesto administrativo de la oficina.
3. La oficina del PNUD en el país podrá prestar, a solicitud del Asociado en la Implementación, los siguientes servicios de apoyo para las actividades del proyecto:
  - (a) Identificación y/o contratación de personal para el proyecto;
  - (b) Identificación y facilitación de actividades de capacitación;
  - (a) Adquisición de bienes y servicios;
4. La adquisición de bienes y servicios y la contratación del personal para el proyecto por parte de la oficina del PNUD en el país se realizará de acuerdo con el reglamento, reglamentación, políticas y procedimientos del PNUD. Los servicios de apoyo descritos en el párrafo 3 anterior se detallarán en un anexo al documento del proyecto, en la forma prevista en el Apéndice del presente documento. Si las necesidades de servicios de apoyo de la oficina del país cambiaran durante la vigencia de un proyecto, el anexo al documento del proyecto se revisará de común acuerdo entre el representante residente del PNUD y el Asociado en la Implementación.
5. Las disposiciones pertinentes del Acuerdo Básico de Cooperación entre el PNUD y el Gobierno del Ecuador suscrito el 19 de enero de 2005 (el "SBAA") o las Disposiciones Complementarias que forman parte del documento del proyecto, incluidas las disposiciones acerca de la responsabilidad y privilegios e inmunidades, se aplicarán a la prestación de tales servicios de apoyo. El Gobierno conservará la responsabilidad general por el proyecto gestionado a nivel nacional a través de su Asociado en la Implementación. La responsabilidad de la oficina del PNUD en el país por la prestación de los servicios de apoyo aquí descritos se limitará a la prestación de aquellos que se detallen en el anexo al documento del proyecto.
6. Cualquier reclamación o controversia que surgiera como resultado o en relación con la prestación de servicios de apoyo por parte de la oficina del PNUD en el país en conformidad con esta carta será gestionada de acuerdo con las disposiciones pertinentes del SBAA.



7. La forma y el método en que la oficina del PNUD en el país puede recuperar los gastos incurridos en la prestación de los servicios de apoyo descritos en el párrafo tercero de este Acuerdo serán especificados en el anexo al documento del proyecto.

8. La oficina del PNUD en el país presentará informes sobre la marcha de los servicios de apoyo prestados e informará acerca de los gastos reembolsados en la prestación de dichos servicios, según se requiera.

9. Cualquier modificación a estos acuerdos se efectuará por mutuo acuerdo escrito de las partes contractuales.


10. Si usted está de acuerdo con las disposiciones enunciadas precedentemente, sírvase firmar y devolver dos copias firmadas de esta carta a esta oficina. Una vez firmada, esta carta constituirá el acuerdo entre su Gobierno y el PNUD en los términos y condiciones establecidos para la prestación de servicios de apoyo por la oficina del PNUD en el país a programas y proyectos gestionados a nivel nacional.

Atentamente,



---

Por el PNUD  
Matilde Mordt  
Representante Residente



---

Por el Gobierno  
Raúl Ledesma  
Ministro de Ambiente

Apéndice

**DESCRIPCIÓN DE LOS SERVICIOS DE APOYO DE LA OFICINA DEL PNUD EN EL PAÍS**

1. Se hace referencia a las consultas entre el Ministerio del Ambiente, la institución designada por el Gobierno de Ecuador y funcionarios del PNUD respecto de la prestación de servicios de apoyo por parte de la oficina del PNUD en el país al proyecto gestionado a nivel nacional "P/00111009, Cuarta Comunicación Nacional y Segundo Reporte Bienal de Actualización".

2. De acuerdo con las disposiciones de esta carta de acuerdo firmada, la oficina del PNUD en el país prestará los servicios de apoyo al Proyecto que se describen a continuación.

3. Servicios de apoyo que se prestarán:

Servicios de apoyo (descripción)*	Calendario de la prestación de los servicios de apoyo	Costo de la prestación de tales servicios de apoyo para el PNUD (cuando proceda)	Monto y método de reembolso del PNUD (cuando proceda)
Pagos, desembolsos y otras transacciones financieras	Durante implementación del proyecto	Monto = \$ 497,00	Aplica LUP* Cargo directo al presupuesto del proyecto en el momento del servicio(s) PRODOC = \$ 17.968,00
Reclutamiento de personal, equipo de Proyecto y consultorías	Durante implementación del proyecto	Monto = \$ 25.675,00	Aplica LUP Cargo directo al presupuesto del proyecto en el momento del servicio(s)  PRODOC = \$777.422,00
Adquisición de servicios y equipo, y dada de baja de inventario	Durante implementación del proyecto	Monto = \$ 497,00	Aplica LUP Cargo directo al presupuesto del proyecto en el momento del servicio(s) PRODOC = \$ 3.074,00
Organización de actividades de capacitación, conferencias, talleres.	Durante implementación del proyecto	Monto = \$ 497,00	Aplica LUP Cargo directo al presupuesto del proyecto en el momento del servicio(s) PRODOC = \$ 19.716,00
Autorizaciones de viaje, trámites de viaje, pasajes y arreglos de viaje	Durante implementación del proyecto	Monto = \$2.655,00	Aplica LUP Cargo directo al presupuesto del proyecto en el momento del servicio(s)  PRODOC = \$4.000,00
	<b>TOTALES</b>	<b>\$ 29,820</b>	<b>\$ 852,000</b>

\*Lista Universal de Precios según LUP en el año de implementación.

4. Descripción de las funciones y responsabilidades de las Partes involucradas:

Funciones y Responsabilidades de Ministerio del Ambiente:

- a) La Subsecretaría de Cambio Climático, es responsable de la gestión de este proyecto, incluido el seguimiento y la evaluación de las intervenciones del proyecto, el logro de los resultados del proyecto y el uso eficaz de los recursos del PNUD.
- b) Se compromete a realizar todos los esfuerzos razonables para garantizar que ninguno de los fondos del PNUD recibidos en virtud del PRODOC se utilice para brindar apoyo a personas o entidades relacionadas con el terrorismo y que los receptores de los montos proporcionados por el PNUD en lo sucesivo no figuren en la lista mantenida por el Comité del Consejo de Seguridad establecido de conformidad con la resolución 1267 de 1999.
- c) Ser un miembro activo del Comité Directivo del Proyecto.
- d) Supervisar las operaciones diarias de la Unidad de Gestión del Proyecto.
- e) Aprobar los gastos realizados en el marco del proyecto y garantizar que estos siempre se realicen en el marco de las actividades y resultados del proyecto.
- f) Designar un Director Nacional de Proyecto para las actividades propuestas bajo la responsabilidad de la Subsecretaría de Cambio Climático - MAE.

Funciones y Responsabilidades del PNUD:

- a) Proporcionar servicios de gestión del ciclo del proyecto, según han sido definidos por el Consejo del GEF.
- b) Brindar servicios financieros y de auditoría al proyecto.
- c) Supervisar los gastos financieros contra los presupuestos del proyecto.
- d) Asegurar que las actividades, incluidas las adquisiciones y los servicios financieros, se lleven a cabo en estricto cumplimiento de los procedimientos del PNUD/GEF.
- e) Asegurar que la presentación de informes al GEF se realice de conformidad con sus requisitos y procedimientos.
- f) Facilitar el aprendizaje, el intercambio y la divulgación de los resultados y acciones del proyecto.
- g) Contratar las evaluaciones intermedias y finales del proyecto y activar las revisiones y / o evaluaciones adicionales según sea necesario y en consulta con las contrapartes del proyecto.
- h) Supervisar y monitorear la adecuada ejecución del proyecto y de los recursos asignados en base a lo establecido en el documento de proyecto.
- i) Asegurar la calidad y ser responsable final de la entrega de resultados del proyecto, sujetos a la certificación del MAE.
- j) Participar en Comités Directivos y Reuniones Técnicas clave para la ejecución del proyecto.

6233, ECUADOR, 4NC/2BUR, annex to the project document

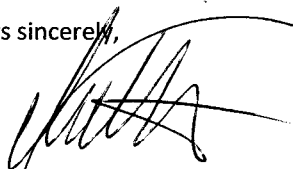
**Annex G. STANDARD LETTER OF AGREEMENT BETWEEN UNDP AND THE GOVERNMENT FOR THE PROVISION OF SUPPORT SERVICES**

Dear  
Raúl Ledesma  
Minister of Environment  
Ministry of Environment  
Award 00112463 - Project ID 00111009  
Ecuador

1. Reference is made to consultations between officials of the Government of Ecuador (hereinafter referred to as "the Government") and officials of UNDP with respect to the provision of support services by the UNDP country office for nationally managed programmes and projects. UNDP and the Government hereby agree that the UNDP country office may provide such support services at the request of the Government, through the Ministry of Environment through the Undersecretariat on Climate Change, as an institution designated for the management of the project "**Fourth National Communication (4NC) and Second Biennial Update Report (2BUR)**", as described below.
2. The UNDP country office may provide support services for assistance with reporting requirements and direct payment. In providing such support services, the UNDP country office shall ensure that the capacity of the Government-designated institution is strengthened to enable it to carry out such activities directly. The costs incurred by the UNDP country office in providing such support services shall be recovered from the administrative budget of the office.
3. The UNDP country office may provide, at the request of the designated institution, the following support services for the activities of the programme/project:
  - i. Identification and/or recruitment of project and programme personnel;
  - ii. Logistic and administrative services related with training activities and workshops;
  - iii. Procurement of goods and services;
4. The procurement of goods and services and the recruitment of project and programme personnel by the UNDP country office shall be in accordance with the UNDP regulations, rules, policies and procedures. Support services described in paragraph 3 above shall be detailed in an annex to the programme support document or project document, in the form provided in the Attachment hereto. If the requirements for support services by the country office change during the life of a programme or project, the annex to the programme support document or project document is revised with the mutual agreement of the UNDP resident representative and the designated institution.
5. The relevant provisions of the *UNDP standard basic assistance agreement with the Government of Ecuador* (the "SBAA") signed in January 19, 2005, including the provisions on liability and privileges and immunities, shall apply to the provision of such support services. The Government shall retain overall responsibility for the nationally managed programme or project through its designated institution. The responsibility of the UNDP country office for the provision of the support services described herein shall be limited to the provision of such support services detailed in the annex to the programme support document or project document.
6. Any claim or dispute arising under or in connection with the provision of support services by the UNDP country office in accordance with this letter shall be handled pursuant to the relevant provisions of the SBAA.

7. The manner and method of cost-recovery by the UNDP country office in providing the support services described in paragraph 3 above shall be specified in the annex to the programme support document or project document.
8. The UNDP country office shall submit progress reports on the support services provided and shall report on the costs reimbursed in providing such services, as may be required.
9. Any modification of the present arrangements shall be affected by mutual written agreement of the parties hereto.
10. If you are in agreement with the provisions set forth above, please sign and return to this office two signed copies of this letter. Upon your signature, this letter shall constitute an agreement between your Government and UNDP on the terms and conditions for the provision of support services by the UNDP country office for nationally managed programmes and projects.

Yours sincerely,



---

Signed on behalf of UNDP

Matilde Mordt

Resident Representative

UR   
For the Government

Raúl Ledesma

Minister of Environment

Attachment

**DESCRIPTION OF UNDP COUNTRY OFFICE SUPPORT SERVICES**

1. Reference is made to consultations between the Ministry of Environment, the institution designated by the Government of Ecuador and officials of UNDP with respect to the provision of support services by the UNDP country office for the nationally managed project "P/00111009, Fourth National Communication (4NC) and Second Biennial Update Report (2BUR)".
2. In accordance with the provisions of this signed agreement letter, the UNDP country office shall provide support services for the Project as described below.
3. Support services to be provided:

Support services (where applicable)	Schedule for the provision of the support services	Cost to UNDP of providing such support services	Method of payments to UNDP (where appropriate)
Payments, disbursements and other financial transactions	During project implementation	Amount = \$497.00	Apply UPL <sup>1</sup> Direct charge to project budget at the time of the service(s) Amount in PRODOC = 17,968.00
Recruitment of personnel / project team and consultancies	During project implementation	Amount = \$25,675.00	Apply UPL Direct charge to project budget at the time of the service(s) Amount in PRODOC = 777,422.00
Acquisition of equipment such as computers, and derecognition of inventory	During project implementation	Amount = \$497.00	Apply UPL Direct charge to project budget at the time of the service(s) Amount in PRODOC = 3,074.00
Organization of training activities, conferences, workshops.	During project implementation	Amount = \$497.00	Apply UPL Direct charge to project budget at the time of the

<sup>1</sup> Universal Price List as per UPL in year of implementation

			service(s) Amount in PRODOC = 19,716.00
Travel authorizations, visa procedures, tickets and travel arrangements	During project implementation	Amount = \$2,655.00	Apply UPL Direct charge to project budget at the time of the service(s) Amount in PRODOC = 4,000.00
	<b>Total</b>	<b>\$29,820.00</b>	<b>\$ 852,000</b>

4. Description of functions and responsibilities of the parties involved:

Functions and responsibilities of the MAE:

- a) The Undersecretariat on Climate Change, is responsible and accountable for the management of this project, including monitoring and evaluating project interventions, achieving project outcomes and effective use of UNDP resources.
- b) Is committed to make all reasonable efforts to ensure that none of the UNDP funds received under the PRODOC are used to provide support to persons or entities associated with terrorism and that the recipients of the amounts provided by UNDP shall henceforth not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 of 1999.
- c) Is an active member of the Project Steering Committee.
- d) supervise the daily operations of the Project Management Unit.
- e) approve the expenses made in the framework of the project and ensure that these are always carried out in the framework of the activities and results of the project.
- f) Designate a National Project Director for designated activities under the responsibility of the Undersecretariat on Climate Change - MAE

UNDP Roles and Responsibilities:

- a) Provide project cycle management services as defined by the GEF Council.
- b) Provide financial and auditing services to the project;
- c) Monitor financial expenses against project budgets;
- d) Ensure that activities, including procurement and financial services, are carried out in strict compliance with UNDP/GEF procedures;
- e) Ensure that the submission of reports to the GEF is carried out in accordance with its requirements and procedures;
- f) Facilitate the learning, exchange and dissemination of the project's results and actions;
- g) Hire the intermediate and final evaluations of the project and activate the additional reviews and/or evaluations as needed and in consultation with the project counterparts.
- h) Supervise and monitor the proper execution of the project and the resources allocated on the basis of the project document.
- i) Ensure quality and be the final responsible for the delivery of project results, subject to MAE certification.
- j) Participate in the technical committees and key meetings for the implementation of the project.



Oficio Nro. MAE-SCC-2019-0318-0

Quito, D.M., 25 de noviembre de 2019

**Asunto:** Entrega del Acuerdo para la 4ta Comunicación

Señora  
Matilde Mordt  
**Representante**  
**PROGRAMA DE LAS NACIONES UNIDAS PARA EL DESARROLLO - PNUD**  
En su Despacho

De mi consideración:

Por medio del presente, me permito remitir el Acuerdo entre el Ministerio del Ambiente y el Programa de Naciones Unidas (PNUD) para el Desarrollo referentes a la elaboración de la Cuarta Comunicación.

De los cinco (5) ejemplares físicos adjuntos, uno (1) es para depósito en PNUD y los restantes para archivo del Ministerio del Ambiente. Con su entrega se podrá dar inicio al proceso de elaboración de tan importante insumo para la política de cambio climático del país.

Al suponer un necesario implemento para las tareas a cargo de esta Cartera de Estado, espero se puedan iniciar las labores respectivas lo antes posible

Agradeciendo de antemano su atención y colaboración con tan oficioso fin.

Con sentimientos de distinguida consideración.

Atentamente,

*Documento firmado electrónicamente*

Abg. Steven Augusto Petersen Rojas  
**SUBSECRETARIO DE CAMBIO CLIMÁTICO**

Copia:

Señor Magíster  
Carlos Arturo Espinosa Gallegos Anda  
**Director Nacional de Adaptación al Cambio Climático**

Señora Abogada  
Sindel Mara Vinueza Jarrin  
**Subsecretaria de Patrimonio Natural**





Oficio Nro. MAE-SCC-2019-0318-0

Quito, D.M., 25 de noviembre de 2019

Señor Politólogo  
Jose Heriberto Machillanda Varela  
**Asesor 2**

Señorita Licenciada  
Vanessa Gutierrez Reyes  
**Especialista de Mitigación del Cambio Climático 3**

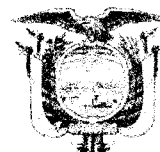
Señorita Economista  
Janneth Cristina Garcia Sotomayor  
**Directora Nacional de Mitigación al Cambio Climático**

Señorita Ingeniera  
Gabriela Jeanneth Vargas Luna  
**Especialista de Políticas de Cambio Climático 3**

ce



Firmado electrónicamente por:  
**STEVEN AUGUSTO  
PETERSEN ROJAS**




**ACTA ENTREGA RECEPCIÓN**

Quito, 25 de septiembre de 2019

La Subsecretaría de Cambio Climático, realiza la entrega al Programa de las Naciones Unidas para el Desarrollo (PNUD), lo que se detalle a continuación:

CANTIDAD	DESCRIPCIÓN
5	Ejemplares del Convenio PNUD-4ta. Comunicación.  <b>Fourth National Communication (4NC) and Second Biennial Update Report (2BUR)</b>

f)   
\_\_\_\_\_

RECIBÍ CONFORME

NOMBRE: .....

C.I. : .....

f)   
\_\_\_\_\_

ENTREGUÉ CONFORME

NOMBRE: STEVEN PETERSEN

C.I. : 0914294285

25 NOV 2019

REGISTRO 6652

FOLIO 416



MINISTERIO DEL AMBIENTE



EL GOBIERNO DE TODOS

United Nations Development Programme  
PROJECT DOCUMENT

<b>Project title:</b> Fourth National Communication (4NC) and Second Biennial Update Report (2BUR)		
<b>Country:</b> Ecuador	<b>Implementing Partner:</b> Ministry of Environment (MAE in Spanish)	<b>Management Arrangements:</b> CO NIM Support
<b>UNDAF/Country Programme Outcome:</b> By 2022, Ecuador has strengthened its normative, political and institutional frameworks to improve sustainable, participatory and gender-sensitive management of natural resources, promoting more responsible patterns of production and consumption, in a context of climate change. (Impact 2: Planet)		
<b>UNDP Strategic Plan Output:</b> Output 1.5. By 2030, build the resilience of the poor and those in vulnerable situations and reduce their exposure and vulnerability to climate-related extreme events and other economic, social and environmental shocks and disasters		
<b>UNDP Social and Environmental Screening Category:</b> Exempt (see Annex C.)	<b>UNDP Gender Marker:</b> GEN 1	
<b>Atlas Project ID/Award ID number:</b> 00112463	<b>Atlas Output ID/Project ID number:</b> 00111009	
<b>UNDP-GEF PIMS ID number:</b> 6233	<b>GEF ID number:</b> 10137	
<b>Planned start date:</b> 1 Sept 2019	<b>Planned end date:</b> 31 August 2022	
<b>LPAC date:</b> 9 May 2019		
<b>Brief project description:</b> The aim of this project is to enable Ecuador to prepare its Fourth National Communication (4NC) and Second		

Biennial Update Report (2BUR) in order to fulfill the commitments established by the United Nations Framework Convention on Climate Change (UNFCCC). The 4CN and 2BUR will focus on the efforts and advances that have been made by the country for facing climate change for the 2016-2019 period, according to the UNFCCC Guidelines. The core of the reports mainly includes: (a) the National Circumstances and other relevant information, (b) GHG inventory, (c) Climate mitigation and adaptation initiatives and (d) advances in the MRV system implementation. The project will identify gaps, constraints and related financial, technical, capacity, and support needs for an optimal climate change management. The 4NC and 2BUR reports will be developed in close collaboration with the National Adaptation Plan (NAP) and the implementation strategy of the adaptation and mitigation actions defined as the Nationally Determined Contributions (NDCs). It is expected that the project will contribute to a decision-making support tool for the incorporation of climate change strategies and sector-based policy frameworks, and to strengthen the participation of stakeholders in order to prepare them to address collectively and transversally climate change from their own roles and competences, being sensitive or responsive to gender power relations.

FINANCING PLAN		
GEF Trust Fund		USD 852,000.00
UNDP TRAC resources		Not applicable
Cash co-financing to be administered by UNDP		Not applicable
<b>(1) Total Budget administered by UNDP</b>		<b>USD 852,000.00</b>
PARALLEL CO-FINANCING (all other co-financing that is not cash co-financing administered by UNDP)		
	Government (in-kind)	USD 83,684.00
<b>(2) Total co-financing</b>		<b>USD 83,684.00</b>
<b>(3) Grand-Total Project Financing (1)+(2)</b>		<b>USD 935,684.00</b>
SIGNATURES		
Signature: print name below Raúl Ledesma	Agreed by Government Raúl Ledesma Ministry of Environment (MAE in Spanish)	Date/Month/Year: <b>01.10.2019</b>
Signature: print name below Matilde Mordt	Agreed by UNDP Matilde Mordt Resident Representative	Date/Month/Year: <b>01.10.2019</b>

 SECRETARIA GENERAL

Ministerio  
del Ambiente  
FECHA REG

25 NOV 2019

REGISTRO 6652

FOLIO 4/6

---

TABLE OF CONTENTS

LIST OF TABLES .....	4
LIST OF FIGURES .....	4
LIST OF ACRONYMS .....	5
I. DEVELOPMENT CHALLENGE .....	6
II. STRATEGY .....	10
III. RESULTS AND PARTNERSHIPS .....	14
IV. PROJECT RESULTS FRAMEWORK .....	36
V. FINANCIAL PLANNING AND MANAGEMENT, TOTAL BUDGET AND WORK PLAN .....	45
VI. GOVERNANCE AND PROJECT MANAGEMENT .....	50
VII. MONITORING FRAMEWORK AND EVALUATION .....	57
VIII. LEGAL CONTEXT .....	61
IX. RISK MANAGEMENT .....	62
X. MANDATORY ANNEXES.....	64
Annex A. Multi Year Work Plan .....	65
Annex B. Terms of Reference for Key Project Staff: Project Coordinator, Technical Staff and other positions as appropriate .....	67
Annex C. UNDP Social and Environmental and Social Screening Procedure (SESP) - Exempt.....	84
Annex D. UNDP Project Quality Assurance Report (to be completed by UNDP Country Office) .....	85
Annex E. UNDP Risk Log (to be completed by UNDP Country Office) .....	86
Annex F. Results of the capacity assessment of the project implementing partner and HACT micro assessment (to be completed by UNDP Country Office) .....	91
The Micro-assessment of the Ministry of Environment of Ecuador is attached as a separate annex to the project document. Annex G. STANDARD LETTER OF AGREEMENT BETWEEN UNDP AND THE GOVERNMENT FOR THE PROVISION OF SUPPORT SERVICES .....	91
Annex H. FINAL REPORT OF ECUADOR NATIONAL COMMUNICATION'S / BIENNIAL UPDATE REPORT'S PROJECT	96
Annex I. Theory of Change Schema .....	104
Annex J. Stakeholders institution .....	105
Annex K: Gender Analysis and Action Plan .....	113

---

**LIST OF TABLES**

Table 1. Regulatory framework related to climate change management in Ecuador.....	11
Table 2. Relationship between 4NC/2BUR ToC and UNADAF/CPD expected outcomes.....	12
Table 3. Climate change initiatives that will be considered in the 4NC and 2BUR.....	21
Table 4. Key institutions that contribute to generate information and data. A complete list is given in the Annex J. .....	28
Table 5. Risk and assumption associated to the 4NC and 2BUR. ....	30
Table 6. Ongoing actions related with climate change management that potentially contribute to the SS/TrC.....	33

---

**LIST OF FIGURES**

Figure 1. Barriers and outcomes relationship are represented by arrows, each colour shows the outcome affected by specific barrier (For more detail see Annex I).....	10
Figure 2. Stakeholders' engagement strategy (Note, that stakeholders are divided into four categories - modified from PRODOC of NAP project, 2018).....	31
Figure 3. Flowchart of 4NC and 2BUR project management.....	51

---

## LIST OF ACRONYMS

3NC	Third National Communication
1BUR	First Biennial Update Report
2BUR	Second Biennial Update Report
4NC	Fourth National Communication
BMZ	Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung
BUR	Biennial Update Reports
CBIT	Capacity Building Initiative for Transparency
CCA	Climate change adaptation
CICC	Inter-institutional Climate Change Committee
COA	Organic Code of the Environment
EAP	Economically Active Population
ICA	International Consultation and Analysis
ICAT	Initiative for Climate Action Transparency
IPCC	Intergovernmental Panel on Climate Change
LULUCF	Land Use, Land-Use Change and Forestry
MAE	Ministry of Environment
MAG	Ministry of Agriculture and Livestock
MEER	Ministry of Electricity and Renewable Energy
MJDHC	Ministry of Justice, Human Rights and Religions
MTOP	Ministry of Transport and Public Works
MRV	Monitoring, report and verification
NAMAs	Nationally Appropriate Mitigation Actions
NAP	National Adaptation Plan
NELs	Non-economic losses
NCCS	National Climate Change Strategy
NDCs	Nationally Determinate Contribution
NDP	National Development Plan
NGHGI	National Greenhouse Gas Inventories
NMP	National Mitigation Plan
NIR	National Inventory Report
SENAGUA	National Secretariat of Water
SENPLADES	National Secretariat of Planning and Development
SDG	Sustainable Development Goals
SOEs	Slow onset events
TWG	Thematic Working Groups
ToC	Theory of Change
UNDAF	United Nations Development Assistance Framework (2016-2020)
UNDP	United Nations Development Programme
UNFCCC	United Nations Framework Convention on Climate Change

---

## I. DEVELOPMENT CHALLENGE

1. Since the beginning of 1990s, the National Government raised its concern about global warming as a serious environmental issue. Thus, the country ratified the UN Framework Convention on Climate Change (UNFCCC) in 1992. Likewise, the country ratified the Kyoto Protocol in 1999. However, the most remarkable advances in terms of Climate Change Management occurred at the end of the year 2000. Several legal instruments have been issued by the government in order to accomplish the commitments at the Convention following the principle of common but different responsibilities and the respective capacities of the country. For example, the declaration of climate change adaptation and mitigation as a State Policy in July 2009 (*c.f.*, Executive Decree 1815) or the presentation of the National Climate Change Strategy (NCCS) in July 2012. The latter constitute a means to facilitate the incorporation of climate change (mitigation/adaptation) as a cross-cutting theme into the administration of the priority sectors<sup>1</sup> for climate change management by guiding the arrangement, coordination, planning and actions between national institutions.

2. Another important step in Ecuador was the creation of the Inter-institutional Climate Change Committee (CICC in Spanish) in October 2010 (*c.f.*, Executive Decree 495) and its further update in July 2017 (*c.f.*, Executive Decree 64), who is responsibilities of coordinate, deliver and facilitate the implementation of national climate change policies, the National Strategy of Climate Change (ENCC in Spanish) and the commitments established by the Convention and its instruments. In 2017, through the Executive Decree 64 the CICC is updated with The Ministry of Environment (MAE in Spanish). The MAE is the President of CICC and is also the National Focal Point (NFP) for the UNFCCC. It is responsible for the formulation and execution of the aforementioned national strategy and for developing the adaptation and mitigation strategies through the Under-secretariat of Climate Change (SCC in Spanish). The latter was created (*c.f.*, Ministerial Resolution No. 104) as the unit in charge of exercising stewardship in climate change and is composed by the National Directorate of Climate Change Mitigation and National Directorate of Climate Change Adaptation.

3. In April 2017, the Organic Code of the Environment (COA in Spanish) was promulgated (*c.f.*, Official Registry Supplement 938) and aims to ensure the rights of people and nature according to the National Constitution based on the Good Living "*Sumak Kawsay*". Currently, this is the most important environmental regulation since it guides, among others, the issues related to climate change management in the country. In fact, Text Four of the COA covers most of aspects of climate change to establish the legal and institutional framework to plan, coordinate and guide the implementation of climate actions and public policies at local, regional and national scale. The COA is a policy mechanism that represents an important advancement related to the enhancement of the national institutions and climate change governance. At the present, the MAE is in the process of designing the Regulatory framework of the COA which aims to develop specific regulations to implement the guidelines established in the COA and other international agreements related to the Nationally Determined Contributions (NDCs), the National Climate Change Strategy (NCCS), the National Adaptation Plan (NAP) and the National Mitigation Plan (NMP).

4. Likewise, in 2017 Ecuador ratified the Paris Agreement under the UNFCCC joining the nations that have ratified the instrument in order to strengthen capacities to adapt to the adverse effects of climate change in the context of sustainable development and poverty eradication; continue efforts to limit the rise of the global temperature to 1.5°C and increasing financial flows towards resilient and low emission development.

5. Moreover, the country is voluntarily implementing strategic mitigation measures to reduce emissions of GHG through various ongoing initiatives, such as: 1) the Clean Development Mechanism (CDM), 2) the design, planning

---

<sup>1</sup> The priority sectors for mitigation and adaptation are: for adaptation (i) sovereignty and food security, agriculture, livestock, aquaculture and fisheries; ii) productive and strategic sectors; iii) health; iv) water heritage; v) natural heritage; vi) human settlements; vii) priority groups and viii) risk management); and for mitigation (i) energy, (ii) industry, (iii) agriculture, (iv) land use, land-use change and forestry (LULUCF), and (v) waste.



and / or implementation of National Appropriate Mitigation Actions (NAMAs), 3) the REDD+ approach and 4) the general guidelines for the preparation of climate change plans and the incorporation of climate considerations into development and land use plans of the decentralized autonomous governments (local level).

6. Based on the country's progress on adaptation, mitigation and national Greenhouse Gas inventories (NGHGI), the Third National Communication (3NC) and the First Biennial Update Report (1BUR) reports were released in 2017. These documents cover the 2011-2015 period.

7. Hence climate change policies promulgated by the government allowed the implementation of measurements that aimed to enhance awareness and knowledge among the citizens about climate change, but also improved the coordination and participation of the key actors at all levels of government. Despite the considerable efforts made by the country in order to reduce gaps of information, build a regulatory framework and define institutional agreements to tackle climate change effects, it is still having barriers that prevent the accomplishment of the main goal of this project which is "Ensuring the availability of high quality and reliable information about the progress on climate action implemented in Ecuador, and the development of the NGHGI as a decision-making support tool for climate change management". The main barrier includes insufficient official instruments to facilitate the data accessibility when information is readily available, and lack of applicability at national scale due to the different settings and realities.

8. The availability of high quality, reliable and current information is a key requirement for further progress towards an effective climate change management at the country. Previous studies conducted in Ecuador evidenced the need for such information as a support in the preparation and implementation of adaptation and mitigation actions and as support for climate change decision-making<sup>2</sup>. In fact, the availability of information depends on the efforts and engagements acquired by the country to meet the challenges imposed by climate change, but at the same time, those engagements can be seriously affected by the current social, economic, political and environmental circumstances in Ecuador.

9. In this regard, the National Communications (NCs) and Biennial Update Reports (BURs) constitute the mean to provide information to assess the progress made by Ecuador to address climate change, according to commitments made before the United Nations Framework Convention on Climate Change (UNFCCC). NC and BUR reports should be consistent, transparent, complete, accurate and timely mannered since they also represent the baseline for national planning and development processes that will also guide policy-makers.

10. Thus, the Fourth National Communication (4NC) and Second Biennial Update Report (2BUR) will focus on what the country plans, proposes and executes on climate change between 2016 and 2019, and on strengthening the institutionalization of processes in the context of legal regulations and current planning. Addressing these challenges through the 4NC and 2BUR is crucial to continue to build a baseline that will serve to identify the priority areas of climate change management in the country and, in turn, ensure its linkage to the relevant objectives stated in the National Development Plan (NDP) "Toda una Vida" (2017-2021) which, among other objectives, is aimed to build an informed, aware and active society to guarantee the preservation and protection of Ecuador culture and nature. In addition, the 4NC and 2BUR will contribute to the advancement of Agenda 2030 Sustainable Development Goals (SDGs) "Objective 13: Climate Action and Objective 4: Quality Education" through improving the quality and accessibility of information on climate change that will enhance awareness, and human and institutional capacities. The 4NC and 2BUR reports will also indirectly contribute to "Objective 5: Gender Equality" through the reporting of climate actions that have included gender approach when were implemented. In fact, the gathered information will help to understand how climate change will affect the different Ecuadorian men and women lives, and how climate change affect gender relations, related to decision-making, access and control of natural resources, and sustainable infrastructure.

---

<sup>2</sup> Concluded by the Third National Communication (3NC)

11. In fact, it is expected that climate change will also affect vulnerable populations the most, because they often encounter barriers to services, access education and job opportunities, especially because most of them depends on the ecosystem services which are altered by climate change. These groups of people include the economically disadvantaged, ethnic and religious minorities, children, elderly, homeless and rural residents. Among the vulnerable population, the social disparities between men and women certainly exacerbate the climate vulnerability of the latter group. For instance, it is estimated that roughly a quarter of economically active women in the world work in agriculture, and reduced crop yields because of climate change will have a particularly devastating effect on the livelihoods of millions of them, as well as unequal effects on their families' health and nutrition as commodity prices rise<sup>3</sup>.

12. Consequently, the power relations of men and women may affect the ability of the population to face current climate change, and therefore climate policy should be revisited in terms of gender approach. Climate change policies should sensitize the importance of the impact of climate change on both men and women and turn them into agents of change in the adaptation and mitigation processes. Even highlighting Ecuador's effort to promote gender equality through the planning of the public budget, where 200 million dollars, approximately would be assigned to promote the autonomy and empowerment of women within the framework of social and solidarity economy<sup>4</sup>, the gaps of information and limited capacity to quantify climatic threats considering a gender approach persist.

13. Some pertinent facts about the gender gap in Ecuador that can be exacerbated by the effects of climate change impacts include:

- Considering the women in productive activities (agriculture and livestock), rural women are affected by the loss of productive land, since food production represents, in many cases, their only monetary income and is what sustains their family.
- In 2015, the gender inequality index was 0.391<sup>5</sup>. Between 2006 and 2014 the gap was reduced and the gender equality<sup>6</sup> index climbed 65 points, however, inequalities remain very strong.
- In December 2014, 12% of women in the Economically Active Population (EAP) were listed under unpaid employment, compared to 3% of men a year earlier. The gender structure of the rural EAP was composed of 36% women<sup>7</sup>. Whereas for 2018 EAP rate is 78.7% for men and 52.9% for women, and 65.9% of women were reported under unpaid employment against 34.1% for men.
- As of December 2017, the gap in labor income between women and men was 25%, while the employment rate of women was 17%, lower than that of men and the unemployment rate for women was 2.5% higher than that of men (ENEMDU8, 2017).
- Regarding the sexual division of labor, in 2018 the unemployment rate was about 5% for women and 3.3% for men<sup>9</sup>. Note the domestic tasks and family care usually are female-dominated activities and are considered as unpaid work. In 2010, 29% of heads of households nationwide were women, while 71% were man<sup>10</sup>

14. Regarding the public and political participation, in the last decade, women have gradually gained official representation seats, going from 11% of the total number of parliamentarians elected in 1995 to 38% in 2013 and

<sup>3</sup> <https://medium.com/@UNDP/the-connection-between-gender-equality-and-climate-change-653aefc9500e>

<sup>4</sup> Ministerio de finanzas (2018). "Programación presupuestaria plurianual 2019-2022": <https://bit.ly/2EVhurR>

<sup>5</sup> Human Development Report 2016. UNDP. Obtained from [http://hdr.undp.org/sites/default/files/HDR2016\\_SP\\_Overview\\_Web.pdf](http://hdr.undp.org/sites/default/files/HDR2016_SP_Overview_Web.pdf). UNDP, 2016.

<sup>6</sup> World Economic Forum. (2015). *Global Report on the Gender Gap 2015*. November, 2015.

<sup>7</sup> Estrategia para la Igualdad y Erradicación de la Pobreza. SENPLADES, 2014.

<sup>8</sup> <https://www.elcomercio.com/actualidad/mujer-ecuador-desigualdad-laboral-diadelamujer.html> –Source: National Survey on Employment, Unemployment and Underemployment (ENEMDU for its acronym in Spanish), December 2017.

<sup>9</sup> INEC (2018). Encuesta nacional de empleo, desempleo y subempleo ENEMDU, diciembre de 2018. <https://bit.ly/2XpUXMo>

<sup>10</sup> Ferreira, C., García, K., Macías, L., Pérez, A. Tomsich, C. (2013). *Mujeres y hombres del Ecuador en cifras III*. Quito: Editorial Ecuador.

40% in the last Parliament election in February 2017<sup>11,12</sup>. Moreover, there is not a great gap between men (54%) and women (46%) working for the government, however, the percentage of women participating directly on the decision-making process is lower. For the local governments the women representation reaches 26% in the last elections in 2014 against 23% in 2009<sup>13</sup>. This political inequality impacts on climate change management since the knowledge, experience and interest of women are not represented under an equal gender basis.

15. On that basis, the following are the overall barriers that have been identified as a CHALLENGE for the development of the 4NC and 2BUR reports:

- Lack of official instruments and agreements to facilitate sharing data and information updates.
- Scarce information and limited number of technician for carrying up the NGHGI according to the 2006 IPCC Guidelines.
- The respective national registers about the emission reduction potential of the mitigation initiatives is highly heterogeneous, particularly for the small initiatives.
- Lack of information and limited capacity to measure the climatic threats because of the different geographical settings and social realities, including gender approach.
- Lack of meteorological data and low-resolution climate projections, those facts combined prevent to inform accurately about the current vulnerability and the future climate impacts.
- Low participation of women in decision-making processes regarding adaptation and mitigation plans at national and local scale<sup>14</sup>.

---

<sup>11</sup> *Indicadores de Participación Política de la mujer ecuatoriana en las elecciones seccionales 2014*. Consejo Nacional Electoral (2014). <http://cne.gob.ec/documents/Estadisticas/indicadores%20de%20genero%202014.pdf>

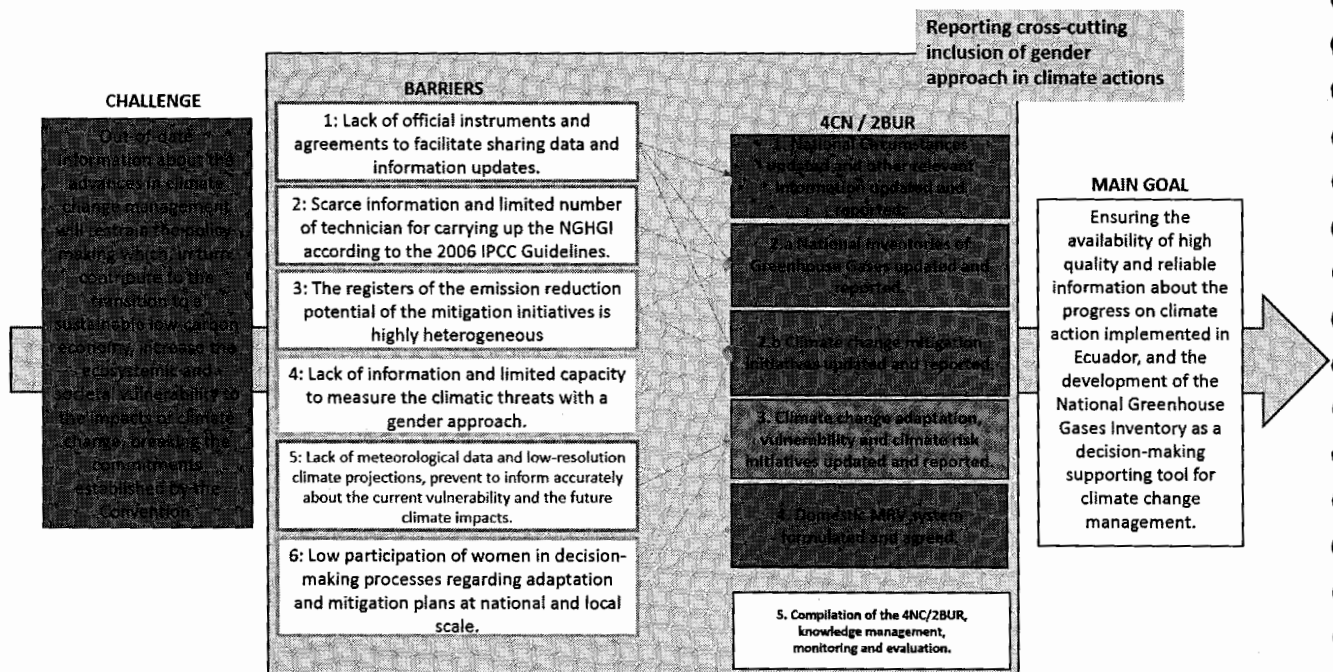
<sup>12</sup> PNUD (s/f). "OBJETIVO 5: IGUALDAD DE GÉNERO": <https://www.undp.org/content/undp/es/home/sustainable-development-goals/goal-5-gender-equality.html>

<sup>13</sup> *¿Y LAS MUJERES DÓNDE ESTÁN? ANÁLISIS DE LA PARTICIPACIÓN POLÍTICA EN ECUADOR?* Pagliarone (2016). <https://www.celag.org/y-las-mujeres-donde-estan-analisis-de-la-participacion-politica-en-ecuador/>

<sup>14</sup> *Ecuador cuenta con la Agenda Nacional de las Mujeres y personas*  
*Ecuador has the National Agenda for Women and People LGBTI 2018-20221. The axe twos: Life sustainability of life, which promote the gender equity linked to the natural resource management, the financial needs and national capacities.*

## II. STRATEGY

16. The Theory of Change (ToC) associated with the 4CN and 2BUR project is based on the main CHALLENGE which is: "Out-of-date information about the advances in climate change management which restrain policy-making which, in turn, contributes to the transition to a sustainable low-carbon economy, increase the ecosystemic and societal vulnerability to the impacts of climate change, breaking the commitments established by the Convention". This challenge means the barriers (causes) indicated in the previous section, which are interrelated with the sub-outcomes<sup>15</sup> and outcomes that are expected to be achieved during the implementation of the project, as shown in the Figure 1.



**Figure 1.** Barriers and outcomes relationship are represented by arrows, each colour shows the outcome affected by specific barrier (For more detail see Annex I).

17. The outcomes of the 4NC and 2BUR Project will contribute to achieve the MAIN GOAL, defined as "Ensuring the availability of high quality and reliable information about the progress on climate action implemented in Ecuador, and the development of the NGHGI as a decision-making supporting tool for climate change management". Under the current national circumstances, the project focuses primarily on informing what the

<sup>15</sup> The first component of the project has two outcomes: i) the National Circumstances of the country, and ii) Other relevant information. Based on the type of information included in these two outcomes and taking into account 3NCs as reference, it is recommended to merge them into one outcome, even if they will be presented in two chapters in the document of the project. The component 2 of the project involves the development of the 2.a) National Inventory of Greenhouse Gases and 2.b) the description of the Mitigation initiatives. In sake of clarity this shall be kept separated in two outcomes.

country plans, proposes and executes on climate change and on strengthening the institutionalization of processes in the context of legal regulations and current planning. More specifically the project OUTCOMES are:

- National Circumstances and other relevant information consolidated and updated for the 4NC and 2BUR.
- National Inventory of Greenhouse Gases updated for the 4NC and 2BUR.
- Climate change mitigation initiatives updated for the 4NC and 2BUR.
- Climate change adaptation initiatives updated for the 4NC.
- Domestic MRV system progress attained by the country reported.
- Compilation and presentation of the 4NC and 2BUR before the UNFCCC.
- Financial Audit completed, and lessons learned compiled.

The 4NC and 2BUR will be developed based on the lessons learned and good practices, and it will cover the gaps and needs identified in the previous reports of the 3NC and 1BUR, as well as during the ICA process for BUR.

18. Thus, to overcome the barriers and achieve the objectives, the development of the project will rely on climate change regulations and guidelines listed in **¡Error! No se encuentra el origen de la referencia.**, with a sectorial perspective according to the priority sectors defined in the NCCS of Ecuador (2012 – 2025): for adaptation component (i) sovereignty and food security, agriculture, livestock, aquaculture and fisheries; ii) productive and strategic sectors; iii) health; iv) water heritage; v) natural heritage; vii) human settlements; vi) priority groups and viii) risk management); and for mitigation component (i) energy, (ii) industry, (iii) agriculture, (iv) land use, land-use change and forestry (LULUCF), and (v) waste.

**Table 1.** Regulatory framework related to climate change management in Ecuador.

<b>Legal Instrument</b>
Paris Agreement ratified by the Government of Ecuador
National Constitution of Ecuador
National Development Plan "Toda una Vida" (2017-2021) (DNP)
National Strategy of Climate Change (NSCC) (2012 – 2025)
Guidelines to integrate Climate Change into the local development planning
Organic Code of Environment (COA in Spanish)
Regulatory framework for the COA (in preparation)
<b>Technical Documents</b>
Strengthening of the ICAT Transparency Framework managed by Ministry of the Environment
UNFCCC guidelines for the preparation of national communications
IPCC 2006 Guidelines for preparing Greenhouse Gases Inventories
Outcomes provided by the National Adaptation Plan (NAP)
Outcomes and technical documentation provided by the implementation plan of the Nationally Determined Contributions (NDCs)
Capacity Building Initiative for Transparency (CBIT) will be focused on enhancing the capacities of Ecuador to fulfil the transparency requirements under Article 13 of the Paris Agreement.
UNFCCC handbook on measurement, reporting, and verification for developing countries <sup>16</sup>
Other documents required/suggested by the Implementation Partner

19. Additionally, there are two key initiatives which will constitute an important, but not exclusive, source of information for this project. First, Ecuador has defined its Nationally Determined Contributions (NDCs) for adaptation and mitigation components. The NDC is at the core of the Paris Agreement since represents the efforts of the country to mitigate and adapt to the impacts of climate change until 2025. Second, the Government of

<sup>16</sup> [https://unfccc.int/files/national\\_reports/annex\\_i\\_natcom/application/pdf/non-annex\\_i\\_mrv\\_handbook.pdf](https://unfccc.int/files/national_reports/annex_i_natcom/application/pdf/non-annex_i_mrv_handbook.pdf)

Ecuador is initiating the development of its National Adaptation Plan (NAP) for the (2019 – 2021) period. The NAP has two main objectives: i) to reduce vulnerability to the impacts of climate change by building adaptive capacity and resilience; and ii) to facilitate the coherent integration of climate change adaptation into development planning processes, policies, and strategies. The main outlook of these initiatives is to develop approaches to adapt to climate change and enhance climate resilience, applying appropriate and efficient technologies to sustain national competitiveness oriented toward a sustainable development and low-carbon economy. These two strategies are aligned with the directives established by the National Constitution of Ecuador, the goals of the NDP “*Toda una Vida*” (2017-2021) and the sectorial approach of the NCCS. On the other hand, the 4NC and 2BUR process will constitute an additional mechanism to supervise and report the progress towards NDC commitments and the implementation of the adaptation measurements in the territory.

20. In order to link the ToC of the 4NC and 2BUR project with the outcomes of the UNDAF/CPD the expected outcomes in each case are shown below in Table 2.

**Table 2.** Relationship between 4NC/2BUR ToC and UNADAF/CPD expected outcomes.

ToC/outcomes of the project	UNDAF/CPD outcomes	How the project will contribute to the UNDAF/CPD outcome
1. National Circumstances updated, and other relevant information updated and reported.	By 2022, Ecuador has strengthened its normative, political and institutional frameworks to improve sustainable, participatory and gender-sensitive management of natural resources, promoting more responsible patterns of production and consumption, in a context of climate change. (Impact 2: Planet)	The project will allow to gather updated information about regulatory framework and the NGHGI, which will strengthen climate change management in the country.
2. National Inventories of Greenhouse Gases and Mitigation initiatives updated and reported.	By 2022, Ecuador has strengthened its normative, political and institutional frameworks to improve sustainable, participatory and gender-sensitive management of natural resources, promoting more responsible patterns of production and consumption, in a context of climate change. (Impact 2: Planet)	The NGHGI will provide updated information to set the patterns of GHG emissions in order to establish reduction goals and mitigation actions.. This information is important for climate change policy-making and to sensitize the sectors about the production of such GHG.
3. Climate change adaptation, vulnerability and climate risk initiatives updated and reported.	By 2022, people, especially priority groups or those historically excluded, in the exercise of their rights, increase their access to quality social services and protection, improving their capacity for resilience, promoting gender equality and reducing the violence. (Impact 1: People)	The project will provide updated database about the advances of Ecuador in terms of attention to vulnerable population, considering a gender sensitive perspective.
4. Domestic MRV system formulated and agreed.	By 2022, Ecuador has strengthened its normative, political and institutional frameworks to improve sustainable, participatory and gender-sensitive management of natural resources, promoting more responsible patterns of production and consumption, in a context of climate change. (Impact 2: Planet)	The project will contribute to report the advances made by the country in terms of the domestic MRV system implementation. The MRV system constitute an instrument to improve the continuous monitoring of social, economic and environmental co-benefits of climate change management.
5. Compilation of the 4NC/2BUR, knowledge management, monitoring and evaluation	Not Applicable	Not Applicable

Some critical assumptions have been established for achieving the objective:

- Political and technical engagement from the authorities of the key institutions represents the most critical external factor for achieving the expected changes. In fact, our country took seriously the commitments established under the UNFCCC in accordance with the international instruments. Hence, a raising awareness process about the relevance of the project as well as a continuous and transparent dissemination of the accomplished progress and outcomes will have a favorable impact on decision makers and the technical staff.
- The stakeholders receptivity and openness to develop capacities in climate change topics and gender approach is an important issue. At the end of the project the stakeholders will be strengthened, empowered and sensitized with enough information to support decision-making processes related to climate change management at their own roles and responsibilities, according to the commitments established by the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW) and the UNFCCC.

21. Additionally, the project will consider the suggestions given by the International Consultation and Analysis (ICA) during the Technical Analysis of the 1BUR report of Ecuador submitted on 21 September 2016. The ICA constitute a mechanism to increase the transparency of mitigation actions and their effects and highlights the following capacity building needs:

- Enhancing the technical capacity for the preparation of the NGHGI and improving the arrangements that help the collection of data owned by external entities;
- Enhancing the reporting of NGHGI to consistent time series back to 1994, 2000, 2006, 2010, 2012, 2014, 2016, 2018 reported in the 4NC;
- Reporting the institutional arrangements for the preparation of NGHGI.
- Definition of a financing strategy for climate change management. Currently, with the new Environmental Organic Code (COA in Spanish), it is expected to receive information from the different institutions and sectors in order to elaborate the GHG inventories. However, the institutional arrangements need to be implemented to ensure the workflow, the communication processes and standardize the level of detail of the emission reduction potential provided by the mitigation actions.
- Enhancing the identification/development and use of methodologies for estimating emission reductions and other relevant tools;
- Enhancing the baselines that determine impacts, and identifying and implementing Nationally Appropriate Mitigation Actions (NAMAs);
- Establishing a roadmap to implement a complete MRV system, which includes the components of finance, technology and capacity building needs and support. All these facts are already defined by the NDC in the form of the conceptual and methodological framework of the MRV system.

---

### III. RESULTS AND PARTNERSHIPS

22. This project aims to assist Ecuador in meeting reporting requirements under the UNFCCC in accordance with its commitments as a developing country (mandated by Articles 4 and 12 of the Convention and the decisions of COP 16 and 17), and to strengthen the technical and institutional capacity of Ecuador to prepare and submit its Fourth National Communication and the Second Biennial Update Report to the UNFCCC. In addition, the project is prepared in line with the GEF-7 strategic focal area on climate change mitigation, objective CCM3: Foster enabling conditions for mainstreaming mitigation concerns into sustainable development strategies.

23. The project will focus mainly on the priority sectors identified in the NCCS<sup>17</sup>. To report the NGHGI, and mitigation and adaptation advancements it will be necessary to hire a Project Management Team (PMT)<sup>18</sup> to provide support to collect and systematize the data about the national and local progress in climate change managements, including actions and policy-making. Throughout the PMT, participatory workshops will be organized to get data from the stakeholders, consolidate the resulting information and prepare technical documents of the project. Furthermore, it is expected to achieve institutional agreements with Universities or Research Institutions, which acts as contributors in the estimation of climate change effects on seas and oceans. In general, the PMT has the following responsibilities:

- Identify gaps, needs and opportunities for climate change management in economic, research, technological, knowledge areas from a sectorial perspective.
- Identify needs about capacity building and technical assistance for improving climate change management.
- Identify needs in technology transfer, knowledge management/awareness raising, research and education.
- Assess the progress of the inclusion of the gender and intercultural approaches in climate change management, with special emphasis on the initiatives where the gender approach was not considered at the beginning, but the further inclusion improved the initiative.

24. The deliverables of each activity will be developed under the supervision of the Project Team<sup>19</sup> and the National Director of the Project (NDP) with the support of the SCC in MAE and UNDP CO. A gender sensitive approach will be incorporated throughout the project.

25. At the end of the project, the Project Management Team will prepare a Project Final Report to summarize the results achieved (objectives, outcomes, outputs), lessons learned, limitations, problems, new opportunities, and recommendations for further steps. The Project Final Report shall be discussed with the Project Steering Committee during an end-of-project review meeting to discuss lessons learned and opportunities for scaling up.

#### **Expected Results:**

##### **1. National Circumstances and other relevant information updated for the Fourth National Communication and the Second Biennial Update Report.**

26. Based on the country's progress on adaptation and mitigation occurred between 2011 and 2015, the 3NC and the 1BUR were released in 2017 and 2016, respectively. It is worth mentioning that both reports achieved a remarkable qualitative and quantitative improvement in data collection and reporting to the Convention, both in terms of institutional and regulatory frameworks. The 4NC and 2BUR project will be developed based on the lessons learned and good practices, as well as covering as much gaps as possible and needs identified in the previous work of the 3NC and 1BUR. However, since 2015, Ecuador is moving toward a serious economic crisis that can hinder the mitigation and adaptation initiatives to face climate change. And this new scenario must be considered during the implementation phase of the 4NC and 2BUR project.

---

<sup>17</sup> The priority sectors for mitigation and adaptation were indicated above in section I.

<sup>18</sup> For more details the reader can see the GOVERNANCE AND MANAGEMENT ARRANGEMENTS section.

<sup>19</sup> The Project Team will be composed of the National Coordinator and the Financial Assistant of the project.



27. In order to update the situation of the project to the stakeholders and start to gather information about the current national circumstances and other relevant information, the implementation of the project will start with an inception national workshop. In fact, the project seeks to empower the stakeholders through their active participation in the implementation phase based on guidelines from the "Resource Guide for preparing NCs of Non-Annex 1 Parties"<sup>20</sup>. Module I", 2.6 Project inception Workshop. Thus, this activity will include the authorities of the national and local government and other stakeholders (*i.e.*, private sector, Universities, NGOs, etc.). This inception workshop will be held within two months after the project starts, the topics to discuss are:

- Re-orient project stakeholders to the project strategy and discuss any changes that could affect the project's implementation.
- Presentation of the roles and responsibilities of the Project Management Team, procedures of coordination between the stakeholders following the guidelines established in the 3NC which define the participation and the responsibilities of the stakeholders into the Thematic Working Groups (TWG)
- Review the project results framework and indicators, means of verification and monitoring plan.
- Definition of the institutional agreements regarding the review of the contents included in the chapters of the National Communication to ensure the fulfilment of the objectives of the project. Discuss reporting, monitoring and verification roles and responsibilities and finance tools of the domestic MRVs systems; and discuss the improvements in MRV system, following the conceptual and methodological framework designed by the NDC process.
- Update and review responsibilities for monitoring the various project plans and strategies, including the risk log; and other safeguard requirements; the gender strategy; the knowledge in general.
- Review financial reporting procedures and mandatory requirements, and agree on the arrangements for the audit
- Plan and schedule Project Steering Committee meetings and finalize the first year annual work plan, and
- Other topics that the Project Management considers relevant.

28. Additional meetings and interviews are planned in order to present the work plan, the TWG and promote the empowerment of the stakeholders. Through these activities, the national, sub-national and local institutional arrangements will also be formally implemented and validated by the Implementing Partner. Under the responsibility of the TWGs, other meetings will be also appointed. All the agreements and duties will be documented in a report that summarize: the proceeding/agreements, standards and responsibilities of the TWG, and other important conclusion.

29. Based on the review of the secondary information reported by other ongoing projects or provided by the stakeholders through workshops and informal consultation, it is expected to update the evidences of the impacts of climate change in an economic, environmental and socio-cultural context, after 2016. Topics related to physical and social settings, climate change research, knowledge management, education / awareness-raising and technology transfer should be emphasized.

30. Furthermore, it is well known that climate change affects to all, but it affects women more and its effects are even worse for rural and indigenous women<sup>21</sup>. Thus, based on secondary information the project will promote an identification about the gaps, needs and opportunities for improving knowledge about climate threats the women focusing on their roles, social patterns and its knowledge on different environmental management aspects, especially in rural areas or areas with difficult access. A source of socio-economic information to be considered during the project will be the Central Bank of Ecuador's annual reports and the statistical data reported by INEC.

---

<sup>20</sup> Non-Annex I: Parties to the UNFCCC not listed in Annex I of the Convention are mostly low-income developing countries.

<sup>21</sup> <https://medium.com/@UNDP/the-connection-between-gender-equality-and-climate-change-653aefc9500e>

31. About climate change policy framework, the project will focus on reporting available information about legal background, sectorial agendas, plans and other national/international instruments that have been issued to address climate change concerns. Special attention will be given to those climate policies that include themes with a gender approach. This latter analysis could be supported by the relevant instruments: Paris Agreement, Gender policies provided by UNDP, GEF, Strategies for achieving the millennium developing goals, Guidelines on point for indigenous people, Convention on the Elimination of All Forms of Discrimination against Women (CEDAW), National Agenda for Equality of Women and People LGBTI (2018-2021), Guidelines to include gender approach into the development planning at national and local scale, and others that the Project Management Team will consider.

32. Consequently, the 4NC and 2BUR constitute a great opportunity to identify gaps or lacks of data that should be considered in the next Population and Housing Census which will be carried out by the National Institute of Statistics and Census (INEC in Spanish) in 2020 and for the next agricultural census.

33. The following points will be included in the report:

- Review and update of the physical and social settings, focusing on the vulnerable population.
- Progress in the regulatory framework of climate change and institutional arrangements.
- Progress attained by the stakeholders about technology transfer and capacity building.
- Identifications of gaps, needs and opportunities for the climate change management.
- Achievements attained by the country in the inclusion of gender approach in the policy making process.

**2. National Inventory of Greenhouse Gases updated for the Fourth National Communication and the Second Biennial Update Report.**

34. The First BUR included the National Inventory of GHG emissions and removals for the 2010. The 3NC reported the National Inventory of GHG for the year 2012 and the trend analysis of the years 1994, 2000, 2006, 2010 and 2012 time-series. The inventory was estimated using mainly Tier 1 methodology of the Revised 1996 IPCC Guidelines for National Greenhouse Gas Inventories, applying in some cases the 2000 Good Practice Guidance and Uncertainty Management in National Greenhouse Gas Inventories (hereinafter referred to as the 2000 IPCC good practice guidance). For the LULUCF sector, the methodology of the 2003 Good Practice Guidance was used. For the agriculture and LULUCF sectors, values from the 2006 IPCC Guidelines for National Greenhouse Gas Inventories (hereinafter referred to as the 2006 IPCC Guidelines) were used for the individual categories mentioned above. Ecuador has also prepared the "National Inventory Report 2010 (NIR)", which included all details on the Activity Data, Emission Factors and the assumptions that were used for the calculations of the inventory. The NIR was submitted to the Secretariat in July 2017, after the technical analysis of the 1BUR of Ecuador.

35. For the current project, this section will report the NGHGI for the year 2014 for the 2BUR; and for the years 2016 and 2018 for the 4NC. The preparation and estimation approaches will follow the 2006 IPCC Guidelines, including good practice guidance and uncertainty management. Based on the same methodology, the project will update the GHGI for the years 1994, 2000, 2006, 2010 and 2012, and estimate the evolution of GHG emissions 1994, 2000, 2006, 2010, 2012, 2014, 2016 and 2018 by sector and by GHG.

36. For preparing this section, there will be a NGHGI Team under the supervision of the Project Coordinator. The NGHGI Team will be composed by an expert technician in GHGI who will be responsible to coordinate with the institutions and stakeholders in order to compile the GHG inventory through the NGHGI System (SINGEI in Spanish). The expert will be working closely with 5 technicians who will carry out the sectorial inventories (energy, industries, waste, agriculture and LULUCF). To this end, the expert technician in GHGI will be responsible to propose a plan of improvement of the GHGI system (SINGEI), identify the new stakeholders and delineate institutional arrangements considering the 2006 IPCC Guidelines and the institutional arrangements established in the 3NC.

37. During the project, there will be an emphasis on promoting capacity building for technicians of the partner institutions for preparing the national GHG inventory and strengthening the conditions and the institutional arrangements that allow the data collection, following the 2006 IPCC Guidelines. The training process will be provided by international experts supported by UNFCCC and international organizations. The budget and working plan of the project include these activities.

38. The following points will be included in the report:

- Development of the National Greenhouse Gases Inventory for the year 2014 for the Second Biennial Update Report; and for the Fourth National Communication inventories for the years 2016 and 2018, following the 2006 IPCC Guidelines.
- Update of Greenhouse Gases Inventories for the years 1994, 2000, 2006, 2010 and 2012, using the IPCC 2006 guidelines.
- Estimation of the evolution of GHG emissions 1994, 2000, 2006, 2010, 2012, 2014 by sector and GHG and for the Fourth National Communication included the years 2016 and 2018.
- Strengthening the conditions and institutional arrangements among relevant ministries to achieve periodic reports of GHG inventories.

**3. Climate change mitigation initiatives updated for the Fourth National Communication and the Second Biennial Update Report.**

39. This section will report the progress made in the implementation of mitigation actions for the 2016-2019 period, the report will consider the priority sectors defined by the NCCS (2012 – 2025). A baseline is already given in the 3NC, thus this should be focused on updating the progress made by the country on: 1) the Clean Development Mechanism (CDM), 2) the design, planning and/or implementation of National Appropriate Mitigation Actions (NAMAs), 3) the REDD+ approach and 4) the General guidelines for the preparation of climate change plans and the incorporation of climate considerations into development and land use plans of the decentralized autonomous governments (local level), and other mitigation initiatives implemented during reported period. The data collection method will be the same applied for the adaptation component, which is, programming interviews, surveys, workshops, online forms, etc.; as a mechanism to interact with the stakeholders. A comprehensive and integrated analysis could be performed using the findings on NGHGI for the preparation of the BUR report.

40. A relevant source of data constitutes the NDCs project (component of mitigation) that will be analyzed and systematized to have an updated knowledge about the implementation of the mitigation measurements. The gathered information together with other secondary data will be a baseline to define the guidelines and criteria to identify financial needs to define a Conceptual framework of the National Mitigation Plan (NMP).

41. Concerning the stakeholder engagement and empowerment, it is planned to develop a set of outreach participatory activities to enhance the knowledge about the mitigation management of the national and local institutions, including mitigation actions underway, capacity building and building of GHG inventories. Moreover, the project will include a consultation process from conception through to construction and resource planning for the (NMP). It is worth to mention that the definition of the guidelines should consider all the relevant documentation in order to identify gaps, needs and limited capacity that prevent the inclusion of the gender approach in the NMP as a strategy to contribute to both men and women wellbeing. The overall activities planned in these sections will be under the responsibility of an Expert in Mitigation to Climate Change.

42. The following points should be included in the report:

- Register of mitigation initiatives updated for 2016-2019 period at the sectoral and local level (energy, industries, agriculture and waste), including a situational analysis of these actions (e.g., Status of results, institutional arrangements, insertion of gender approach during the implementation, lesson learned).
- Development of a report on the progress of the formulation and implementation process of the Nationally Determined Contributions for climate change mitigation.
- Capacity building achievements attained by the stakeholders reported.
- Conceptual framework of the National Mitigation Plan (NMP) with the possible inclusion of gender approach depending on the data availability.

#### 4. Climate change adaptation initiatives updated for the Fourth National Communication.

43. Ecuador has been making great efforts in terms of climate change adaptation, including initiatives for the generation of public policies, regulations, projects, capacity building, and knowledge management. Through the 3NC, Ecuador developed their future climate projections until 2100 under the methodologies and models available for the Fifth Assessment Report of the IPCC. In addition, the 3NC reports a compilation of climate change adaptation initiatives for 2011-2016 period. This information constitutes a baseline for climate change impact assessments.

44. A baseline is already given in the 3NC, for the 4NC, it is expected to gather data about climate change adaptation initiatives for the period 2016-2019 focusing in the priority sectors defined in the NCCS (2012 – 2025). It is worth to mention that this information is the baseline to build the climate change vulnerability index, the adaptation component for NDCs as well as the NAP, for which its progress in the implementation has to be reported in this section. To be consistent with the two latter initiatives, the project will work with a sectorial perspective according to the priority sectors for adaptation defined in the NCCS (2012 – 2025). A close collaboration will carry out with NDCs and NAP processes.

45. This part of the report will be under the responsibility of an Expert in Adaptation to Climate Change who will additionally have to analyze and report losses and damages due to climate change effects following the framework promoted for the Warsaw International Mechanism established under the UNFCCC<sup>22</sup> which establish five strategic workstreams to consider:

1. Slow onset events SOEs
2. Non-economic losses (NELs)
3. Comprehensive risks management approaches
4. Migration, displacement and human mobility
5. Action and Support

46. In this context, the project will contribute to the points established by the Warsaw International Mechanism:

- Enhancing knowledge and understanding of comprehensive risk management approaches to address loss and damage.
- Strengthening dialogue, coordination, coherence and synergies among relevant stakeholders.
- Enhancing action and support, including finance, technology and capacity-building.

47. Additionally, based on the evidences reported in the 3NC as starting point, the project plans to carry out an Analysis of the evidences, current data, and future projections related to climate change on seas and oceans,

<sup>22</sup> Approaches to address loss and damage associated with climate change impacts in developing countries: <https://unfccc.int/topics/adaptation-and-resilience/workstreams/approaches-to-address-loss-and-damage-associated-with-climate-change-impacts-in-developing-countries#eq-2>

including the current situation in the Galapagos Island in the analysis. This information is relevant because of the current lack of information about this subject prevent an efficient and well-timed planning of marine resource management. To this end, the project will develop a "Analysis of the evidences, current data, and future projections related to climate change on seas and oceans". The analysis focuses on three topics: i) ocean warming, ii) ocean acidification and iii) sea-level rise; including the island territory of Ecuador. This activity will be conducted by a Consultant who will coordinate with the Project Coordinator and with the key institutions, which act as data providers, *i.e.*, Universities and Research Institutions, with whom institutional agreements should be implemented with the support of MAE. The Consultant will organize several workshops, meetings and interviews and other activities including:

- Open call to research institutions and universities to present their interest to be part of the project. The output will be the creation of a technical expert group who will work under the coordination of the Consultant who will inform to the stakeholders about the progress.
- Coordination of capacity-building events at the regional and national levels about climate change effects on sea and oceans.
- Compilation and analysis of scientific data produced by the stakeholders in order to identify the research priorities.
- Identify gaps, financial needs and opportunities related to the sea, oceans and climate change.
- Selecting the best suited approach and methods to analyse the available data.
- Identifying call for proposals to finance intervention activities to fill the gaps and needs of information and capacity building.

48. In addition, in order to ensure an active participation and gender equity during the preparation of 4NC and 2BUR, the project will organize training events in close coordination with NDCs and NAP processes in order to build capacities of the partner institutions about the gender perspective inclusion in the NC/BUR reports and other climate change actions. For this kind of activities, the UNDP, National Gender and Equality Council (NGEC) and UN Women support led by MAE could be a great advantage. This exercise will consider as a reference baseline the instruments and documents mentioned in section III.

49. The following points will be included in the report:

- Adaptation initiatives updated for 2016-2019 period, including a situational analysis of these actions (status of results, institutional arrangements, and insertion of gender approach during the implementation).
- Progress in climate change research and monitoring including the climate risk and vulnerability studies.
- Progress in the formulation/implementation process of the NDC for climate change adaptation component
- Progress in the definition of the climate change vulnerability index
- Progress in the execution of the National Adaptation Plan (NAP).
- Reports of the training events, workshops and other participatory activities.

**5. Domestic MRV system formulated and agreed internally by the MAE.**

50. This component aims to report the progress made by the country about the implementation of an instrument for measurement, reporting and verification (MRV) and dissemination of results as an exhaustive mechanism of transparency, consistency, accuracy and traceability. The MRV system helps to evaluate the procedures to develop the GHG inventories, and the mitigation and adaptation actions; and the status of the financial implementation. Specifically, an MRV system allows to track the successful accomplishment of the commitments undertaken by the country concerning the NDCs, NAP and NMP implementation, and going a bit further, the MRV allows to monitor the impact of climate actions for the advancement of the SDGs.

51. Based on workshops, meetings and interviews agreed with the stakeholders who act as data providers, the report will include the following activities:

- Reporting the advances of the domestic climate change mitigation MRV system including the National Greenhouse Gas Inventory System (SINGEI), National Forest Monitoring System (SNMB), Safeguards Information System (SIS), Monitoring System (SM & REDD +).
- Reporting the advances of the domestic climate change adaptation MRV system including the National Vulnerability Index and their metrics.
- Reporting the financial MRV system, including: climate financing received from international sources, financial implementation, identification of international funding and national co-financing, climate financing tool at national level, financial needs for implementing climate change actions.

52. To assess the MRV system, the Project Management will work in close collaboration with the NAP and NDCs processes, and should consider: On one hand, climate change adaptation MRV system aims to measure the effectiveness of adaptation actions implemented through the NAP, emphasizing on: i) the integration of adaptation into the development planning, ii) the increase in resilience and/or the reduction in vulnerability, and iii) the gender approach integrated in the adaptation. On the other hand, the NDC (mitigation component) developed a methodological and conceptual framework of Domestic MRV System based on the priority sectors defined in the NCCS. In general terms, the conceptual and methodological framework covers the mitigation, adaptation processes and financial aspects. Considering these aspects and all the technical documents related with the previous effort made by the MAE in the implementation of the framework of the domestic MRV system, the following activities will be carried out by the project:

- Evaluating the progress of the adaptation and mitigation initiatives in the implementation of the domestic MRV system based on the previous work developed by the NDC and NAP processes. It is worth to mention that adaptation indicators, unlike mitigation indicators, cover different environmental, social and economic issues. Among the challenges involved in the process are: Uncertainty, Changes in baseline, Data availability.
- Establishing and analyze the baselines and target values assuming the conditions without the implementation of any climate change action.
- Procedure of data collection, systematization and evaluation into the MRV system. Two main aspects are: Availability of information and quality of data.
- Definition of financial needs in order to implement the domestic MRV system.
- Reporting about the progress in the vulnerability index definition at sectorial level in coordination with the NAP process.
- Reporting the level of climate risk reduction when the adaptation actions are implemented.

53. In addition, the project has to consider that the implementation of a domestic MRV system for climate change management (adaptation, mitigation and financial aspects) is stated in the subject about the Climate Change Register (CCR) which is included in the COA.

#### **6. Compilation and presentation of the Fourth National Communication and the Second Biennial Update Report to the UNFCCC.**

54. Both reports will present a synthesis of the progress and efforts made by Ecuador concerning climate change management and should be made available for free access to the authorities and the civil society. To this end, the compilation and presentation of the 4NC and 2BUR includes the development of activities for design, publication, reproduction and submission of the final documents (i.e., 4NC and 2BUR) following the framework and requirements of the Convention, and considering the experience obtained during the 3NC and 1BUR. This exercise will be under the responsibility of the Project Coordinator.

55. Similar to the 3NC, the 4NC and 2BUR reports will follow the procedure provided in the UNFCCC guidelines for the preparation of national communications by Parties. To ensure the systematic compilation, documentation, tracking and verification of the process, the Project Coordinator must consider the know-how of the technicians of the SCC who have participated in the elaboration of the previous NCs, and also the internal documentation related

to the 3NC. Additionally, the Project Coordinator will elaborate technical documentation about the progress of the project, technical issues encountered, financial accountability, lesson learned and good practice.

Partnerships:

56. The main role of the institutions is as providers and, in some cases, producers of data and information to feed the preparation of the 4NC and 2BUR. Whatever their role, the relations with the partners will be set through formalization of the institutional agreements (*i.e.*, Memorandum of Understanding, Agreements, Letter of Interest, etc.) which enable an easy flow of information and data, quality control of reports, capacity-building processes participation, and other issues concerning to the stakeholders and defined in the preparation of each component.

57. The TWG constitute the mean to have an operational link between the partners and the project. These groups will be composed of governmental members and non-governmental members. In all cases these members will be specialists from the staff of the public and private institutions linked to each sector. The Project Steering Committee interacts with partners and stakeholders through the Project Management Team (PMT), providing advice and guidance (Figure 3).

58. Currently, some of the potential partners of the project and other organizations established in the country have developed and/or have planned to undertake, in the short term, climate change initiatives<sup>23</sup> that contribute directly or indirectly to the objectives and results of the 4NC and 2BUR. The relevant initiatives<sup>23</sup> are listed in Table 3.

**Table 3.** Climate change initiatives to be considered in the 4NC and 2BUR<sup>24</sup>.

TYPE	INITIATIVE NAME	FUNDING	RELATED INSTITUTIONS	ASSUMPTIONS & EXPECTED RESULTS
ADAPTATION	National Adaptation Plan NAP (2019-2021)	Green Climate Fund (GCF)	Ministry of Environment	The information is readably and easy to access. The project contributes with information to be reported in the outcomes 1, 2 and 3 of the ToC.
ADAPTATION	Climate Smart Livestock Management, Integrating Reversion of Land-Degradation and Reduction of Desertification Risks in Vulnerable Provinces (GCI) (2016-2020)	Adaptation Fund (AF)	Ministry of Agriculture, Ministry of Environment and Food and Agriculture Organization (FAO)	The information is readably and easy to access. The project contributes with information to be reported in the outcomes 1, 2 and 3 of the ToC.
ADAPTATION	Sustainable Livestock programme	Green Climate Fund (GCF)	Ministry of Agriculture,	The information is readably and easy to access. The project implements concrete measures that contributes to the outcome 1 and 3 of the ToC.

<sup>23</sup> The initiatives included in the table below that are marked with an asterisk (\*) are in closing phase or have recently been completed during 2018.

<sup>24</sup> This table will be updated for the final version of PRODDOC

TYPE	INITIATIVE NAME	FUNDING	RELATED INSTITUTIONS	ASSUMPTIONS & EXPECTED RESULTS
ADAPTATION	Project of inclusive and Sustainable Value Chains for Coffee, Cacao and Quinoa as an adaptation measure implemented in territory (2017-2021)	European Union	CEFA, GIZ, Ministry of Agriculture, Ministry of Environment	The information is readably and easy to access. The project implements concrete measures that contributes with information to be reported in the outcomes 1 and 3 of the ToC.
ADAPTATION	Neutrality in earth degradation	United Nations Convention to Combat Desertification (UNCCD)	Ministry of Environment	The project aims to raise legal, institutional and technical information which will contribute to the 4NC. The project contributes to outcomes 1 and 3 of the ToC.
ADAPTATION	Support for Decision Making for the Application and Extension of Good Sustainable Land Management Practices - DS - SLM	Global Environmental Facility (GEF)	FAO- Ecuador, Ministry of Environment	The information is readably and easy to access. The project results contribute with information to be reported in the outcomes 1, 2 and 3 of the ToC, by providing technical information raised about degradation in national areas and the creation of a national geodatabase.
ADAPTATION	Strengthening adaptation capacity through food and nutrition security actions in vulnerable Afro and indigenous communities in the Colombia-Ecuador border area (2018-2023)	Adaptation Fund (AF)	World Food Program, Ministry of Environment- Ecuador, Ministry of Environment and Sustainable Development - Colombia, The Awa Great Family, Network of Community Councils of the South Pacific (RECOMPAS), Afro - Ecuadorian Comarca Confederation of the northeast of Esmeraldas (CANE).	The information is readably and easy to access. The results will contribute with information to be reported in the outcomes 1 and 3 of the ToC.
ADAPTATION	Strengthening the Resilience of Communities against Adverse Effects of Climate Change with Emphasis on	Adaptation Fund and National Financial Resources	Ministry of Environment, Ministry of Agriculture and	The information is readably and easy to access. The project contributes with information to be reported



TYPE	INITIATIVE NAME	FUNDING	RELATED INSTITUTIONS	ASSUMPTIONS & EXPECTED RESULTS
	Food Security (FORECCSA) (2012-2018).		Livestock, Local Governments of Pichincha and local Governments of the Jubones Basin	in the outcomes 1 and 3 of the ToC about the vulnerability and the concrete CCA measures implemented in over 50 local governments.
ADAPTATION	Integrated Management for the Fight against Desertification, Land Degradation and Adaptation to Climate Change (GIDDACC) (2014-2019).	National Financial Resources	Ministry of Environment – Ecuador	The information is readably and easy to access. The project aims to create a national baseline on land degradation and desertification, as well as the cadastre of protected areas and fragile ecosystems and the restoration of affected areas. The results of the project will contribute with information to be reported in the outcome 1, 2 and 3 of the ToC.
ADAPTATION	Provincial Climate Change Strategies	European Union	Consortium of Provincial Governments of Ecuador (CONGOPE), 23 provincial GADs	The information is readably and easy to access. Contributes to the outcomes 1, 2, 3 and 4 of the ToC, creating mechanisms to integrate CC into local development planning and the implementation of concrete CC actions in strategic sectors at national level.
ADAPTATION	Environmental health and risk management in the face of emergencies and disasters	Pan American Health Organization (PAHO)/World Health Organization (WHO)	Ministry of Health, Ministry of Urban Development and Housing	The project pretends to links health problems to environmental risks such as natural disasters and climate change. The results will contribute with information to be reported in the outcome 1 and 3 of the ToC.
ADAPTATION	Andean Adaptation to the Impacts of Climate Change in Water Resources Project (AICCA) (2018-2022)	Global Environmental Facility (GEF)	Ministry of Environment - Ecuador, Development Bank of Latin America- (CAF) & CONDESAN	The information is readably and easy to access. The project contributes with information to be reported in the outcome 3 of the ToC.

TYPE	INITIATIVE NAME	FUNDING	RELATED INSTITUTIONS	ASSUMPTIONS & EXPECTED RESULTS
ADAPTATION	Strategies for Adaptation to Climate Change based on ecosystems in Ecuador and Colombia (2016-2018). The project focuses on the integration of an ecosystem-based adaptation process in the public and private sector as well as in local activities in different communities located in coastal areas.	International Climate Initiative (IKI) funded by the Federal Ministry of the Environment, Nature Protection, Public Works and Nuclear Safety of Germany	International Union for the Conservation of Nature – IUCN; German Cooperation for Development	The information is readably and easy to access. The results of this project contribute with information to be reported in the outcomes 1, 2 and 3 of the ToC.
ADAPTATION	Costa Rica - Ecuador Cooperation to strengthen the capacities of Adaptation to Climate Change through Comprehensive Management of the Marine-Coastal Strip	German Cooperation for Development	Ministry of Environment of Ecuador, National System of Conservation Areas of the Ministry of Environment and Energy of Costa Rica	The project contributes mechanisms for integrating climate change considerations in local environmental planning. The results of this project contribute with information to be reported in the outcomes 1, 2 and 3 of the ToC.
ADAPTATION	Rural Infrastructure Program for drinking water (regional system Pesillo- Imbabura)	Development Bank of Ecuador, French Development Agency	Ministry of Environment of Ecuador & Local Governments.	The information is readably and easy to access. The results of this project contribute with information to be reported in the outcomes 3 of the ToC.
ADAPTATION	Construction of Chalpi Grande - Papallacta, Expansion of Paluguillo Plant and Paluguillo -Parroquias Orientales Transmission Line.	French Development Agency	Ministry of Environment, Metropolitan Public Company of Drinking Water and Sanitation (EPMAPS).	The results of this project contribute with information to be reported in the outcomes 1, 3 of the ToC.
ADAPTATION	Global Agreement of Cities	European Union	6 local GADs, Association of Municipalities of Ecuador (AME), "Euroclima+", European Union.	The results of this project contribute with information to be reported in the outcomes 1, 2, 3 and 4 of the ToC by generating strategies for a sustainable development of cities including long term financing.

TYPE	INITIATIVE NAME	FUNDING	RELATED INSTITUTIONS	ASSUMPTIONS & EXPECTED RESULTS
ADAPTATION	Regional Project: Reduction of climate vulnerability and flood risk in urban and semi-urban coastal areas of cities in Latin America. Action area: Disaster Risk Reduction and Early Warning Systems. (2018-2023)	Adaptation Fund	Ministry of Environment-Ecuador	The project aims to implement concrete activities for risk reduction of disasters related to climate conditions and climate change. The results of this project contribute with information to be reported in the outcomes 1 and 3 of the ToC.
ADAPTATION	Sustainable intermediate cities (2017-2020)	Federal Ministry of Economic Cooperation and Development (BMZ)	German Cooperation for Development, Ministry of Environment, National Planning Secretariat and Development, Association of Ecuadorian Municipalities, National Development Bank (BedE), Research Institutes and Universities, as well as civil society organizations.	The project aims to develop and implement strategies in order to provide tools and information for intermediate cities to be more resilient against climate change related impacts and disaster. The results of this project contribute with information to be reported in the outcomes 1, 2, 3 and 4 of the ToC.
MITIGATION	Action Plan REDD+ (2016-2025)	Green Climate Fund (GCF)	Ministry of Environment and Ministry of Agriculture and Livestock	The information is readably and easy to access. The results will contribute with information to be reported in the outcomes 2 of the ToC.
MITIGATION	Working Group REDD+ (2016-2025)	UNDP	Ministry of Environment	The information is readably and easy to access. The results will contribute with information to be reported in the outcomes 2 of the ToC.
MITIGATION	Project to optimize the electric generation and energy efficiency OGE & EE (2009-2017)	Government of Ecuador	Petroamazonas, Ministry of Environment, Ministry of Energy and Non-renewable Resources, UNDP	The information is readably and easy to access. The results will contribute with information to be reported in the outcomes 2 of the ToC.

TYPE	INITIATIVE NAME	FUNDING	RELATED INSTITUTIONS	ASSUMPTIONS & EXPECTED RESULTS
MITIGATION	Low Emission Capacity Building FOCAM (2012-2017)	UNDP	PNUD, Ministry of Environment-Ecuador	The information is readably and easy to access. The results will contribute with information to be reported in the outcomes 2 of the ToC.
MITIGATION	NDC-SP (2018-2019)	Governments of Germany, Spain and the European Commission	PNUD, Ministry of Environment-Ecuador	The information is readably and easy to access. The results will contribute with information to be reported in the outcomes 2 of the ToC.
MITIGATION	Support to the implementation of the National Network Monitoring System related to the MRV domestic system for REDD+ (2017-2018)	UN-REDD	FAO/PNUD/PNUMA	The information is readably and easy to access. The results will contribute with information to be reported in the outcomes 2 of the ToC.
MITIGATION	Project for Strengthening Ecuador's technical capacities about the IPCC 2006 Guidelines for the preparation of NGHGI		Inter-American Network of Greenhouse Gases Inventories and Ministry of Environment-Ecuador	The information is readably and easy to access. The results will contribute with information to be reported in the outcomes 2 of the ToC.
MITIGATION	Pro-Amazonia Program (2017-2023)	Global Environmental Facility (GEF), Green Climate Fund (GCF)	Ministry of Environment, Ministry of Agriculture and Livestock and UNDP	The information is readably and easy to access. The results will contribute with information to be reported in the outcomes 2 of the ToC.
MITIGATION	Comprehensive Solid Waste Management Program led and managed by MAE (2010-2017)	Pan American Health Organization (PAHO) and World Health Organisation (WHO)	Ministry of Environment-Ecuador	The information is readably and easy to access. The results will contribute with information to be reported in the outcomes 2 of the ToC.
MITIGATION	National Urban Mobility Plan	EUROCLIMA+	Ministry of Environment-Ecuador and Ministry of Transport and Public Works	The information is readably and easy to access. The results will contribute with information to be reported in the outcomes 2 of the ToC.
MITIGATION	Establishment of 120 ha of forest plantations for commercial purposes at the national level (2011-2021)	Government of Ecuador	Ministry of Agriculture and Livestock	The information is readably and easy to access. The results will contribute with information to be

TYPE	INITIATIVE NAME	FUNDING	RELATED INSTITUTIONS	ASSUMPTIONS & EXPECTED RESULTS
				reported in the outcomes 2 of the ToC.
MITIGATION	National Forest Monitoring System (2009-2022)	Ministry of Environment-Ecuador, Global Environmental Facility (GEF), Green Climate Fund (GCF), REM (German and Norway cooperation)	Ministry of Environment-Ecuador	The information is readably and easy to access. The results will contribute with information to be reported in the outcomes 2 of the ToC.
MITIGATION	National Forest Evaluation (2011-2022)	Government of Ecuador, Food and Agriculture Organization (FAO), KFW, REM (German and Norway cooperation)	Ministry of Environment-Ecuador	The information is readably and easy to access. The results will contribute with information to be reported in the outcomes 2 of the ToC.
MITIGATION	Forest initiatives under UN REDD+ (2013-2019)	UN-REDD	Ministry of Environment-Ecuador	The information is readably and easy to access. The results will contribute with information to be reported in the outcome 2 of the ToC.
MITIGATION	Increase the resilience against climate change through the protection and sustainable use of fragile ecosystems (ProCamBio) in coordination with BMZ and MAG (2014-2016). *	Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung	Ministry of Agriculture and Livestock and Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ)	The information is readably and easy to access. The results will contribute with information to be reported in the outcomes 2 of the ToC.
ADAPTATION AND MITIGATION	Initiative for Climate Action Transparency (ICAT) Helping Developing Countries Track, Access and Report their Climate Actions: Integrating guidance and capacity enhancement for transparency (2019-2020)	UNEP-DTU	Ministry of Environment-Ecuador	The information is readably and easy to access. The results will contribute with information to be reported in the outcome 4 of the ToC.
ADAPTATION AND MITIGATION	Capacity Building Initiative on Transparency (CBIT), which is focused on enhancing the capacities of Ecuador to fulfill the transparency requirements	Global Environment Facility (GEF)	Ministry of Environment-Ecuador and	The information is readably and easy to access. The results will contribute with information to be reported in the outcomes 2 to 5 of the ToC.

TYPE	INITIATIVE NAME	FUNDING	RELATED INSTITUTIONS	ASSUMPTIONS & EXPECTED RESULTS
	under Article 13 of the PA (in prep.)			
ADAPTATION AND MITIGATION	Strengthening urban policy and regional planning policy (2018-2020). It is a triangular Cooperation between Mexico, Ecuador, Germany: Sustainable cities: equipped to cope with climate change	Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung	Mexican Agency for International Development Cooperation, Ministry of Foreign Affairs and Human Mobility and Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ)	The information is readably and easy to access. The results will contribute with information to be reported in the outcomes 2 to 5 of the ToC.

The main assumptions and results that are expected to be fulfilled and achieved by the project's key partners (for all the components) are listed in the Table 4.

**Table 4.** Key institutions that contribute to generate information and data. A complete list is given in Annex J.

PARTNER INSTITUTION	ASSUMPTION TO FULFILL	EXPECTED OUTCOMES TO BE CONTRIBUTED
MAE: Ministry of the Environment	Maintenance or optimization of the institutional structure that leads the project and provides steering. Ensuring effective linkages between the 4NC and 2BUR and National Adaptation Plan (NAP) and Nationally Determined Contribution (NDC).	<ul style="list-style-type: none"> <li>National mandate, strategy and steering mechanisms in place and gaps assessed and addressed.</li> <li>Preparatory elements for 4NC and 2BUR to develop a knowledge base.</li> <li>4NC and 2BUR implementation facilitated.</li> <li>Mechanisms for measuring, reporting and verification of 4NC and 2BUR in place.</li> </ul>
SENPLADES: National Planning Secretariat	Maintenance or optimization of the institutional structure that leads the project and provides steering.	
UNDP: United Nations Development Program	Continuous flow of economic resources that facilitate the development of project activities.	
	Deliver of all project activities, conduct procurement and facilitate operations and logistics.	
	Reporting and liaising with the donor during the development of the project.  Providing technical assistance to the execution of all project activities.  Providing quality assurance to guarantee appropriate project management milestones are managed and completed.	
Sectoral Ministries and public institutions:	Availability of sufficient information.  Political will in the management levels of the	

PARTNER INSTITUTION	ASSUMPTION TO FULFILL	EXPECTED OUTCOMES TO BE CONTRIBUTED
MAG: Ministry of Agriculture and Livestock MSP: Ministry of Public Health MIDUVI: Ministry of Housing and Urban Development MEER: Ministry of Electricity and Renewable Energy SGR: Service of Risk Management SENAGUA: National Secretariat of Water EP. Petroecuador Regulation and Hydrocarbon Control Agency (ARCH) Hydrocarbon Secretariat EP. Petroamazonas Agency for Regulation and Control of Electricity (ARCONEL) Banco Central del Ecuador- BCE National Customs Service of Ecuador (SENAE)	entities with roles in the project.  Guaranteed financing during NAP implementation phase and after project closure, providing sustainability to the actions and adaptive processes initiated.  Empowerment of relevant stakeholders and engagement of focal points.	
Universities: UCE: Central University of Ecuador UC: University of Cuenca ESPOL: Coastal Polytechnic School EPN: National Polytechnic School PUCE: Catholic University of Ecuador USFQ: San Francisco University UIDE: International University of Ecuador	Empowerment and support of relevant stakeholders in the Academia.  Political will in the management levels of the entities with roles in the project.	<ul style="list-style-type: none"> <li>• Preparatory elements for 4NC and 2BUR to develop a knowledge base.</li> <li>• 4NC implementation facilitated.</li> <li>• Mechanisms for measuring, reporting and verification of 4NC and 2BUR in place.</li> </ul>
United Nations Agencies: UNDP: United Nation Developing Program FAO: Food and Agriculture Organization WFP: World Food Program IOM: International Organization for Migration WHO: World Health Organization UNW: UN Women	Availability and sharing of sufficient information.  Empowerment of relevant stakeholders.	<ul style="list-style-type: none"> <li>• Preparatory elements for 4NC and 2BUR to develop a knowledge base.</li> <li>• 4NC and 2BUR implementation facilitated.</li> <li>• Mechanisms for Reporting, Monitoring and Review of 4NC and 2BUR in place.</li> </ul>
International Cooperation:  GIZ: German Cooperation Euroclima+: European Commission Programme AFD: French Development Agency	Availability and sharing of sufficient information.  Empowerment of relevant stakeholders.	<ul style="list-style-type: none"> <li>• Preparatory elements for 4NC and 2BUR to develop a knowledge base.</li> <li>• Mechanisms for Reporting, Monitoring and Review of 4NC and 2BUR in place.</li> </ul>
Public Research Institutions:  <ul style="list-style-type: none"> <li>• INAMHI: Hydrological and Meteorological Institute</li> <li>• INOCAR: Oceanographic National Institute</li> </ul>	Availability and sharing of sufficient information.  Guaranteed financing during and after project closure, providing sustainability to the actions and adaptive processes initiated.	<ul style="list-style-type: none"> <li>• Preparatory elements for 4NC and 2BUR to develop a knowledge base.</li> <li>• Mechanisms for Reporting, Monitoring and Review of 4NC</li> </ul>

PARTNER INSTITUTION	ASSUMPTION TO FULFILL	EXPECTED OUTCOMES TO BE CONTRIBUTED
<ul style="list-style-type: none"> <li>• INP: Fisheries National Institute</li> <li>• INSPI: Public Health National Institute</li> <li>• INIAP: Agricultural National Institute</li> <li>• INAE: Antarctic Institute</li> <li>• Institute of Geological and Mining Research (IIGE)</li> <li>• National Institute of Statistics and Census (INEC)</li> </ul>	Empowerment of relevant stakeholders.	and 2BUR in place.
Private institutions: QUIPORT HOLCIM CEMENT UNACEM S.A HORNICENTRO Ecuadorian Institute of Cement and Concrete INCOREG CALMOSACORP Agricultural and Mining Industry (INDAMI) CALIZAS HUAYCO Association of Artisan Producers of Cal and Calera INPUVIT- CRILAMYT FAIRIS Showcase VITRUM Glass APROQUE APROQUE Baterias Ecuador	Availability and sharing of sufficient information.  Empowerment of relevant stakeholders.	<ul style="list-style-type: none"> <li>• Preparatory elements for 4NC and 2BUR to develop a knowledge base.</li> <li>• Mechanisms for Reporting, Monitoring and Review of 4NC and 2BUR in place.</li> </ul>

Risks and Assumptions:

The

Table 5 reports the possible risks and assumptions that can cause any modification in the original planning.

**Table 5.** Risk and assumption associated to the 4NC and 2BUR.

POLITICAL AND ORGANIZATIONAL RISK	ASSUMPTION
Change of the authorities in stakeholders' organizations could cause delay in the execution of the project.	The commitments of the MAE are well defined in the Management Agreements signed by the leading institutions.
Few agreements and low or no participation of the universities or research institutions limits the capacity building and knowledge management.	Establish a road map to achieve a successful interface between the decision makers and the knowledge managers (universities) defined in the institutional agreements.
FINANCIAL RISK	ASSUMPTION
Rely only on the GEF funding for the implementation of the project.	Search alliances for co-funding some project activities from the stakeholders. For example, the counterparty of the universities to execute technical and training tasks.
OPERATIONAL RISK	ASSUMPTION
Lack of updated official instruments and agreements to	Since the beginning of the project the procedure to share

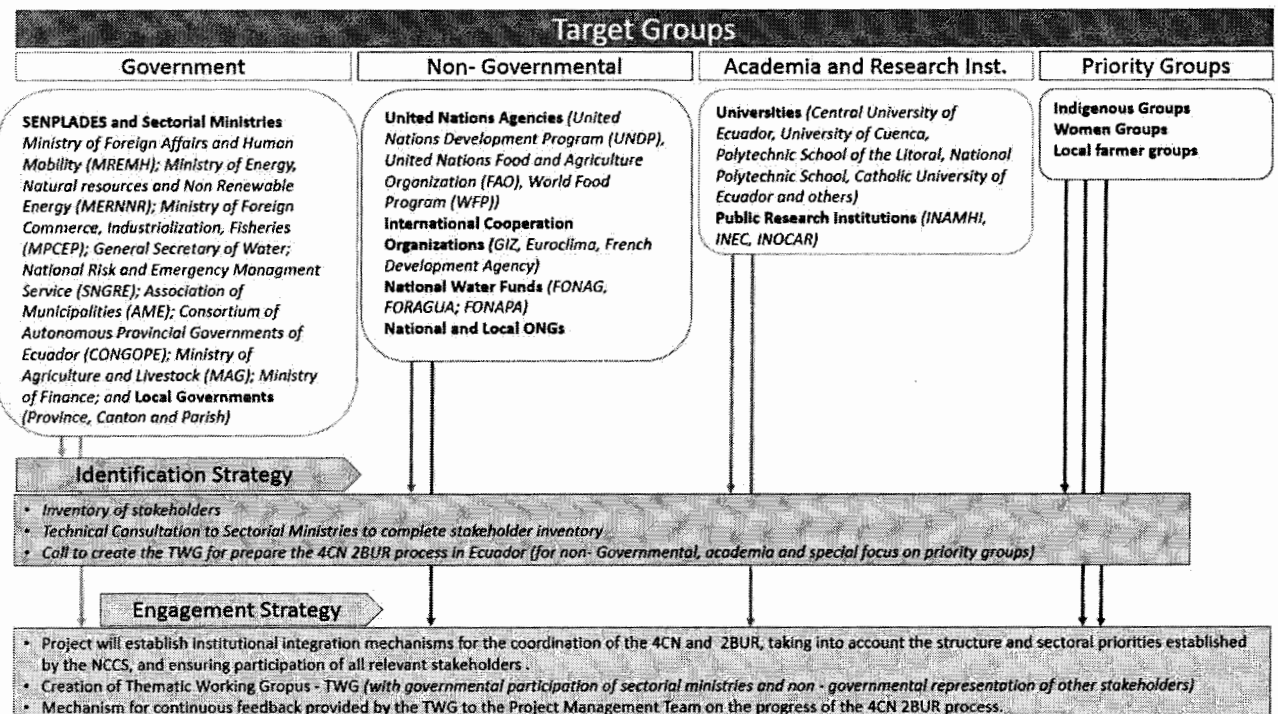


facilitate sharing of data.	information has to be delineated and the established agreements ensuring the timely accessibility of the data.
High turnover of technicians and experts hired for the project reinforce the lack of continuity in elaboration of reports, may cause a delay in execution of the project.	Empower the projects staff and ensure continuous dialogue with the Project Management Team.

59. Additionally, in line with the policy on Social and Environmental Standards and the risk-based exemption criteria, this project is exempt from the SESP requirement, and therefore the SESP screening is not required. <https://poppp.undp.org/SitePages/POPSubject.aspx?SBID=447&Menu=BusinessUnit&Beta=0>

Stakeholder engagement plan:

60. Key stakeholders during the project include sectorial ministries, international cooperation organizations, universities, public research institutions and priority groups such as women and farmers. Figure 2 contains the strategy for ensuring the participation and engagement of these stakeholders in the project preparation.



**Figure 2.** Stakeholders' engagement strategy (Note, that stakeholders are divided into four categories - modified from PRODOC of NAP project, 2018)

61. The stakeholder's involvement is a critical issue for the project success. An effective commitment of key stakeholders is foreseen during the phases of preparation, implementation, monitoring and evaluation of the project. To this end, the 4NC and 2BUR plans to implement a participatory process in order to strengthen and empower the national institutions that will be involved in the project. On the one hand, several institutions have participated in the preparation of the previous NCs reports of the country and already have an expertise (i.e., technical capabilities and skills) in relevant subjects of climate change management from their own roles and responsibilities. It is foreseen that they will contribute effectively to the project with their knowledge. On the other hand, to ensure a homogeneous participation of key institutions, there are new partners that will develop knowledge or technical skills. Consequently, the project aims to strengthen the participation process as a way to prepare stakeholders to address climate change collectively and transversally.

62. In this context, the implementation of the project will be carried out by the MAE referred as the Implementation Partner with the support of United Nations Development Programme (UNDP) referred as the Implementing Agency, and will include other partners who may be enrolled as data providers or data producers (e.g., sectorial stockholders, sectorial agencies, local governments, farmer's associations, environmental and development NGOs, women's groups, indigenous people, universities and the private sector) who mostly were identified during the preparation of the 3NC, NDCs and NAP projects. Annex J present a list of stakeholders and institutions to be involved in the development of the 4NC and 2BUR reports.

63. It is expected to establish a systematic mechanism for engaging the stakeholders in the preparation, implementation, monitoring and evaluation of these reports in order to strengthen their appropriation and empowerment in the development of the NCs and BURs, as well as to ensure that these reports respond to national needs and priorities. The principles and procedures whereby the institutions will interact during the life of the 4NC and 2BUR project are given in the Text Four of the COA and will be defined in detail in the Regulatory framework of the COA which is in preparation. To enable a wide participation of all relevant stakeholders, the project will organize local and national workshops, official consultations, interviews and other participatory activities.

64. Going forward, stakeholders will be consulted and engaged at all stages, from the launch to implementation and submission of the 4NC and 2BUR to the UNFCCC. The project will focus on a participation process that includes interviews, meetings, workshops, surveys, etc. The Institutional Arrangement will be applied as a mechanism to ensure the access of data and information produced by the institutions. In the short and mid-term horizon the project will include capacity-building activities, studies/analysis/assessments preparation, sensitization interventions and in the long-term the 4NC and 2BUR reports will represent a supporting tool for climate change decision making in the public and private sector. These activities are expected to strengthen the understanding of the population and decision makers about the challenges and impacts imposed by current and future climate change.

65. In addition, a gender sensitive approach will be adopted into the tasks carried out by the stakeholders involved in the development of 4NC and 2BUR. The project aims to strengthen the participation of stakeholders in order to prepare them to address collectively and transversally climate change from their own roles and competences.

66. The mechanism that will be used to ensure a broad and sustained engagement of stakeholders will be led by MAE and UNDP, and includes specific activities such as:

- Call to public and private institutions, local governments, cooperation agencies, UN agencies, universities, public research institutes, NGOs, etc. to participate in the elaboration of 4NC and 2BUR reports.
- Review of the guidelines established in the 3NC, which define the participation and the responsibilities of the stakeholders into the Thematic Working Groups (TWG), within the framework of their competences, scope of action and relationship with the prioritized sectors.
- Creation of TWG according to the prioritized sectors by the NCCS for adaptation and mitigation.
- Active participation of the TWG along the activities for 4NC and BUR development process.
- Continuous feedback loop by the Project Management Team and the TWG during the implementation phase.
- Definition of the institutional arrangements for the implementation phase, including roles, responsibilities, expected support (financial & technical), and the definition of enabling documents (e.g., Memorandum of Understanding, Agreements, etc.) for the key stakeholders.

#### Gender equality and empowering women:

67. Based on the available information, the 4NC and 2BUR reports represent a great opportunity to improve our knowledge about how the gender roles could affect the country's ability to face the effects of climate change and think about how a gender sensitive perspective could be included as a cross-cutting approach in climate change

agenda. From the ToC analysis, two barriers that could prevent the reporting of the gender theme have been identified. The first barrier is the Lack of information and limited capacity to measure the climatic threats because of the different geographical settings and social realities, including gender approach that affect the following sections: "National circumstances updated and other relevant information", "Climate change mitigation initiatives" and "Climate change adaptation, vulnerability and risk initiatives". The second barrier is related to the Low participation of women in decision-making processes regarding adaptation and mitigation plans at national and local scale that affect the following sections: "Climate change mitigation initiatives", "Climate change adaptation, vulnerability and risk initiatives" and "Domestic MRV system".

68. The project will use following guidance to include gender perspective:

- UNFCCC Gender Action Plan<sup>25</sup>
- Guidance to advance gender equality in GEF projects and programs<sup>26</sup>
- Gender Responsive National Communications Toolkit<sup>27</sup>

69. During the inception phase, project will prepare and finalize Gender analysis, which enable the elaboration of the Gender action plan. The following activities are some suggestions to report gender aspects in order to overcome the barriers mentioned above, to be included in the Gender action plan:

- Promoting training processes in order to build capacities about climate change and gender for professionals from the partner institutions, through strategic agreements with entities, for example, UNDP, National Gender and Equality Council (NGEC) and UN Women.
- Informing about the participation in a gender parity context, if possible, in the decision-making processes.
- Identifying the needs of data and information about the social and climate vulnerability for men and women, its effects through the collaboration with the INEC, especially in rural areas or areas with difficult access.
- Coordinating and supporting actions which are being developed by other initiatives as NDC and NAP in order to define technical standards to integrate the gender approach in climate change management, considering the reference documents mentioned in section III. Nowadays, the MAE is working on elaboration of the National Strategy on Gender and Climate Change through the NDC process.

South-South and Triangular Cooperation (SSTrC):

70. Some initiatives conducted in a climate change context are promoted by national and international institutions and will be considered for the elaboration of the reports, share common experiences and develop lesson learned recommendations (Table 6). These actions represent a clear option to South – South and Triangular Cooperation.

**Table 6.** Ongoing actions related with climate change management that potentially contribute to the SS/TrC.

PROJECT NAME	PROJECT REACH & SOUTH – SOUTH AND TRIANGULAR COOPERATION OPPORTUNITIES	RELATED INSTITUTIONS	EXPECTED RESULTS
Strengthening adaptation capacity through food and nutrition security actions in vulnerable Afro and indigenous communities in the Colombia-Ecuador border	Binational (Colombia - Ecuador) / South – South and Triangular cooperation opportunity	World Food Program, Ministry of Environment- Ecuador, Ministry of Environment and Sustainable Development - Colombia, The Awa Great Family, Network of Community Councils of the South	The project design foresees the implementation of awareness campaigns for climate impacts and ancestral knowledge, as well as the creation and reinforcement of binational guidelines and knowledge to

<sup>25</sup> <https://wedo.org/wp-content/uploads/2017/11/Final-Gender.pdf>

<sup>26</sup> [http://www.thegef.org/sites/default/files/council-meeting-documents/EN\\_GEF.C.54.Inf\\_.05\\_Guidance\\_Gender\\_0.pdf](http://www.thegef.org/sites/default/files/council-meeting-documents/EN_GEF.C.54.Inf_.05_Guidance_Gender_0.pdf)

<sup>27</sup> <http://www.un-gsp.org/news/gender-responsive-national-communications-toolkit>

PROJECT NAME	PROJECT REACH & SOUTH – SOUTH AND TRIANGULAR COOPERATION OPPORTUNITIES	RELATED INSTITUTIONS	EXPECTED RESULTS
area		Pacific (RECOMPAS), Afro - Ecuadorian Comarca Confederation of the northeast of Esmeraldas (CANE).	improve adaptation capacity. The results will contribute with information to be reported in the outcomes 1 and 3 of the ToC.
Andean Adaptation to the Impacts of Climate Change in Water Resources Project	Regional (Bolivia, Peru, Colombia and Ecuador) / South-South and Triangular cooperation opportunity.	Ministry of Environment - Ecuador, Development Bank of Latin America- (CAF) & CONDESAN	The project contributes with information to be reported in the outcome 3 of the ToC.
Ecosystem based adaptation measures in Ecuador and Colombia	Ecuador and Colombia / South-South and Triangular cooperation opportunity.	Ministry of Environment and Development of Colombia; Ministry of Environment of Ecuador	The project contributes with information to be reported in the outcome 1 and 3 of the ToC.
Regional Program AbE (for its acronym in Spanish): Strategies for Adaptation to Climate Change based on ecosystems in Ecuador and Colombia*	Ecuador and Colombia / South-South and triangular cooperation opportunity.	International Union for the Conservation of Nature – IUCN; German Cooperation for Development	The project focused on the integration of an ecosystem-based adaptation process in the public and private sector as well as in local activities in different communities located in coastal areas. The results of this project contribute with information to be reported in the outcomes 1, 2 and 3 of the ToC.
Costa Rica - Ecuador Cooperation to strengthen the capacities of Adaptation to Climate Change through Comprehensive Management of the Marine-Coastal Strip	Ecuador, Costa Rica / South-South and triangular cooperation opportunity.	Ministry of Environment of Ecuador, National System of Conservation Areas of the Ministry of Environment and Energy of Costa Rica	The project contributes mechanisms of integrating climate change considerations in local environmental planning. The results of this project contribute with information to be reported in the outcomes 1, 2 and 3 of the ToC.
Regional Project: "Reduction of climate vulnerability and flood risk in urban and semi-urban coastal areas of cities in Latin America ". Action area: Disaster Risk Reduction and Early Warning Systems.	3 Cities in Latin America (Esmeraldas in Ecuador) / South – South and triangular cooperation opportunity	Ministry of Environment- Ecuador	The project aims to implement concrete activities for risk reduction of disaster related to climate conditions and climate change. The results of this project contribute with information to be reported in the outcomes 1 and 3 of the ToC.
Latin American Network on GHG Inventory (RedINGEI in Spanish)	12 Latin America countries	Focal points from 12 countries. Ministry of Environment is the Ecuadorian focal point.	Ensure a south-south cooperation network in Latin America about the GHG inventories in order to build capacities of the national agencies and technicians based on the good practices and PREVIOUS experiences.

#### Sustainability and Scaling Up:

71. Institutional sustainability of the project will be ensured via strengthening data collection, GHG inventory, vulnerability assessment, mitigation and adaptation QC/QA and MRV system, as well as reporting capacities of MAE, other key institutions, local technical experts, etc. Efforts will be made to strengthen the institutionalization

and development of NCs and BURs based on the lessons learned and experience gained under the participatory process of the 4NC and 2BUR development process. Furthermore, the results and lessons learned will be disseminated widely through existing networks and forums in a scientific and policy-based process. Also, there will be continuous information exchange between this project and other ongoing projects.

IV. PROJECT RESULTS FRAMEWORK

This project will contribute to the following Sustainable Development Goal (s): *list relevant SDG goal (s)*  
 SDG goal 4: Quality Education  
 SDG goal 5: Gender Equality  
 SDG goal 13: Climate Action

This project will contribute to the following country outcome included in the UNDAF/Country Programme Document: *copy relevant outcome here*  
 By 2022, Ecuador has strengthened its normative, political and institutional frameworks to improve sustainable, participatory and gender-sensitive management of natural resources, promoting more responsible patterns of production and consumption, in a context of climate change. (Impact 2/Planet)

This project will be linked to the following output of the UNDP Strategic Plan:  
 Output 1.5. By 2030, build the resilience of the poor and those in vulnerable situations and reduce their exposure and vulnerability to climate-related extreme events and other economic, social and environmental shocks and disasters<sup>28</sup>

	OBJECTIVE AND OUTCOME INDICATORS (NO MORE THAN A TOTAL OF 15 -16 INDICATORS)	BASELINE <sup>29</sup>	END OF PROJECT TARGET	DATA COLLECTION METHODS AND RISKS/ASSUMPTIONS <sup>30</sup>
<p><b>Project Objective:</b>                      Support the Government of Ecuador to prepare its Fourth National Communication and Second Biennial Update Report under the United Nations Framework Convention on Climate Change (UNFCCC).</p>	<p><b>Mandatory Indicator 1:</b></p> <p>2.3.1 Data and risk-informed development policies, plans, systems and financing incorporate integrated and gender-responsive solutions to reduce disaster risks, enable climate change adaptation and mitigation, and prevent risk of conflict</p> <p>Output Indicator: Number of countries with data-informed development and investment plans that incorporate integrated solutions to reduce disaster risks and enable climate change adaptation and mitigation</p>	<p>Ecuador ensures regular reporting of NCs and BUR, as part of its commitments under UNFCCC. Ecuador has published and reported three National Communications, in the years 2001, 2011 and 2017 respectively, which included the national inventories of greenhouse gases of the years 1990,</p>	<p>4CN (2021) and 2BUR (2019) with updated data to support decision-making processes and report the progress on climate change management. These reports will be endorsed and submitted to UNFCCC.</p>	<p><i>List the source of the data</i>                      3NC, 1BUR, NSCC, NDC, NAP, NDP, Central Bank of Ecuador’s annual report, INEC statistics.</p> <p><i>Data collection:</i>                      Workshops, meetings, interviews, review of secondary information, statistics.</p> <p><i>Methodology to be applied:</i></p> <ul style="list-style-type: none"> <li>UNFCCC guidelines for the preparation of national communication and BUR</li> <li>GEF Operational Procedures</li> <li>2006 IPCC Guidelines</li> </ul> <p><i>Risks</i>                      Change of the authorities of the SCC of MAE could cause a delay in the execution of the project.</p> <p><i>Assumptions:</i></p>

<sup>28</sup> <http://indicators.report/targets/>

<sup>29</sup> Baseline, mid-term and end of project target levels must be expressed in the same neutral unit of analysis as the corresponding indicator. Baseline is the current/original status or condition and need to be quantified. The baseline must be established before the project document is submitted to the GEF for final approval. The baseline values will be used to measure the success of the project through implementation monitoring and evaluation.

<sup>30</sup> Data collection methods should outline specific tools used to collect data and additional information as necessary to support monitoring. The PIR cannot be used as a source of verification.

	OBJECTIVE AND OUTCOME INDICATORS (NO MORE THAN A TOTAL OF 15 -16 INDICATORS)	BASELINE <sup>29</sup>	END OF PROJECT TARGET	DATA COLLECTION METHODS AND RISKS/ASSUMPTIONS <sup>30</sup>
	<p><b>Mandatory indicator 2:</b> At least 32 national and local stakeholders strengthened in terms of climate change applying a gender perspective</p> <p><b>Mandatory indicator 3:</b> At least one women per institution participating during the workshops of the 4NC and 2BUR.</p>	<p>1994, 2000, 2006 and 2012.</p> <p>In the last years Ecuador made a hard work to include gender approach in public policies, under the principle of equality and non-discrimination established in the Constitution. For example, the creation of the National Gender and Equality Council. A first experience was made in the 3NC which include a baseline analysis about gender approach related with the climate actions for the period 2011-2015.</p>	<p>-</p> <p>- 4CN (2021) and 2BUR (2019) with updated data about gender participation in the elaboration of the reports. These reports will be endorsed and submitted to UNFCCC.</p>	<p>The 4NC and 2BUR is supported by the lesson learned and good practices developed during the implementation of the 3NC.</p> <p><i>List the source of the data</i> 3NC, NDC, NAP</p> <p><i>Data collection:</i> Workshops, meetings, interviews, review of secondary information, statistics.</p> <p><i>Methodology to be applied:</i></p> <ul style="list-style-type: none"> <li>• UNFCCC guidelines for the preparation of national communication and BUR.</li> <li>• Gender policy by UNDP</li> <li>• Strategies for achieving the SDGs</li> <li>• National Agenda for Equality of Women and People LGBTI (2018-2021)</li> <li>• Guidelines on point for indigenous people</li> <li>• Convention on the Elimination of All Forms of Discrimination against Women (CEDAW)</li> <li>• Guidelines to include gender approach into the development planning at national and local scale</li> <li>• Other instrument or recommended by the MAE and/or developed by UN inquiry</li> </ul> <p><i>Risks:</i> Reticence of the stakeholders to be trained in gender perspective topics.</p> <p><i>Assumptions:</i> Ecuador has instruments to support the integration of gender approach in the elaboration of the NCs and other related reports of climate change management. Moreover, the SCC developed already some experience in gender approach integration into climate change management with the</p>

	OBJECTIVE AND OUTCOME INDICATORS (NO MORE THAN A TOTAL OF 15 -16 INDICATORS)	BASELINE <sup>29</sup>	END OF PROJECT TARGET	DATA COLLECTION METHODS AND RISKS/ASSUMPTIONS <sup>30</sup>
				NDC initiative.
<b>Component/Outcome<sup>31</sup> 1</b> National Circumstances and other information	<b>Indicator 4: project specific</b> A report of economic, social, environmental and climate information, including considerations of gender equality in climate change management elaborated.	National circumstances, Institutional Arrangements and Other Information included in the previous NC and BUR reports, submitted to the UNFCCC.	1.1.1 National circumstances of Ecuador, including economic, social, environmental and climate information updated, including information on the existing gaps between men and women in terms of laws and public policies protecting women, level of education and literacy, productive work, social security, access and control of resources and services, gender division of labour political participation, etc 1.1.2 Regulatory framework for climate change management updated. 1.2.1 Gaps, needs and opportunities identified for climate change management, highlighting how they can increase the climatic threats with a gender approach (differentiating men and women due to the gender roles, social patterns and its knowledge on different environmental management aspects).	<i>List the source of the data</i> 3NC, 1BUR, NSCC, NDC, NAP, Central Bank of Ecuador's annual report, INEC statistics.  <i>Data collection:</i> Workshops, meetings, interviews, review of secondary information, statistics.  <i>Methodology to be applied:</i> <ul style="list-style-type: none"> <li>UNFCCC guidelines for the preparation of national communication and BUR. Gender policy by UNDP</li> <li>Guidelines to include gender approach into the development planning at national and local scale</li> <li>Other instrument or recommended by the MAE and/or developed by UN inquiry</li> </ul> <i>Risks:</i> Delay in delivering information because of a misunderstanding of the commitments of the stakeholder's staff.  <i>Assumptions:</i> <ul style="list-style-type: none"> <li>The 4NC and 2BUR is supported by the lesson learned and good practices developed during the implementation of the 3NC.</li> <li>Mechanism for stakeholder participation defined to enable the preparation of the reports.</li> </ul>

<sup>31</sup>Outcomes are short to medium term results that the project makes a contribution towards, and that are designed to help achieve the longer term objective. Achievement of outcomes will be influenced both by project outputs and additional factors that may be outside the direct control of the project.



	OBJECTIVE AND OUTCOME INDICATORS (NO MORE THAN A TOTAL OF 15 -16 INDICATORS)	BASELINE <sup>29</sup>	END OF PROJECT TARGET	DATA COLLECTION METHODS AND RISKS/ASSUMPTIONS <sup>30</sup>
	<p><b>Indicator 5: project specific</b> Maintain and strengthen the available institutional arrangements<sup>32</sup> for the preparation of NC and BUR.</p>	<p>There are around 8 agreements with institutions that provide information/data for the elaboration of the report documents.</p>	<p>1.2.2 Cross-cutting themes for climate change management research, knowledge management, education / awareness raising and technology transfer.</p> <p>1.2.3 Mainstreaming the gender perspective and the intercultural approach for climate change management, updating the risks differentiated by gender and social inclusive criteria.</p> <p>1.1.3 Institutional arrangements agreed for the institutionalization and development of National Communications, National Greenhouse Gases Inventories and Biennial Update Report, described.</p>	
<p><b>Component/ Outcome 2</b> 2. National Inventories of Greenhouse Gases and Mitigation Actions</p>	<p><b>For NGHGI:</b> <b>Indicator 6: project specific</b> National GHG inventory for 2014, 2016 and 2018 updated based on the 2006 IPCC Guidelines for NGHGI.</p> <p><b>Indicator 7: project specific</b> Improvement plan of the GHGI system (SINGE) including financing strategy for</p>	<p>National Inventory of GHG emissions and removals for the 2010 and 2012 year and the trend analysis of the years 1994, 2000, 2006, 2010</p>	<p>2.1.1 National GHGI for Fourth National Communication (years 2016 and 2018 generated applying 2006 IPCC methodology for Energy, IPPU, AFOLU and waste). Second Biennial Update</p>	<p><i>List the source of the data</i></p> <ul style="list-style-type: none"> <li>• NGHGI of 3NC for 2012 and 1BUR</li> <li>• Strengthening of the ICAT Transparency Framework</li> <li>• National Inventory Report 2010 (NIR)</li> </ul> <p><i>Data collection:</i> Through the 2006 IPCC methodology</p>

<sup>32</sup> The institutional arrangement include se follow documents: Memorandum of Understanding, Agreements, Letter of Interest, etc

	OBJECTIVE AND OUTCOME INDICATORS (NO MORE THAN A TOTAL OF 15 -16 INDICATORS)	BASELINE <sup>29</sup>	END OF PROJECT TARGET	DATA COLLECTION METHODS AND RISKS/ASSUMPTIONS <sup>30</sup>
	<p>preparing national GHG inventories.</p> <p><b>Indicator 8: project specific</b> Number of national experts/Technicians trained in the elaboration of the NGHGI following 2006 IPCC Guidelines.</p>	<p>and 2012 reported in the 1BUR and 3NC. These reports apply the IPCC 1996 Guidelines</p>	<p>Report (year 2014 generated applying 2006 IPCC methodology for Energy, IPPU, AFOLU and waste).</p> <p>2.1.2 National Inventories of Greenhouse Gases (years 1994, 2000, 2006, 2010 and 2012) updated applying 2006 IPCC guidelines</p> <p>2.1.3 Evolution of the Greenhouse Gases Emissions for the years 1994, 2000, 2006, 2010, 2012, 2014, 2016 and 2018 generated and analyzed.</p> <p>2.1.4 Conditions for the development of local Greenhouse Gases Inventories determined and agreed, including the capacity building process for the technical staff (At least 5 Technicians trained in the elaboration of the NGHGI following 2006 IPCC Guidelines.</p> <p>2.1.5 Improvement plan of the GHGI system (SINGEI) and institutional agreements</p>	<p><i>Methodology to be applied:</i></p> <ul style="list-style-type: none"> <li>UNFCCC guidelines for the preparation of national communication and BUR</li> <li>2006 IPCC Guidelines for NGHGI</li> </ul> <p><i>Risks:</i></p> <p>Limited capacity of the national technician to quantify the NGHGI following the IPCC 2006 Guidelines.</p> <p><i>Assumptions:</i></p> <p>The experts are already familiar with the IPCC 2006 Guidelines and applied them while developing the inventories.</p>
	<p><b>For Mitigation initiatives:</b> <b>Indicator 9: project specific</b> A register of mitigation initiatives including the a situational analysis of these actions (status of results, financial execution, institutional arrangements, insertion of gender approach during the</p>	<p>National Inventory of GHG emissions and removals reported in the 1BUR and 3NC submitted before</p>	<p>Mitigation conditions reviewed and upgraded.</p> <p>2.2.1 Climate change mitigation initiatives at the sectoral and local level</p>	<p><i>List the source of the data</i> 3NC, 1BUR, NSCC, NDC (mitigation), NDP, Central Bank of Ecuador's annual report, INEC statistics.</p> <p><i>Data collections:</i> Workshops, meetings, interviews, review of</p>

	OBJECTIVE AND OUTCOME INDICATORS (NO MORE THAN A TOTAL OF 15 -16 INDICATORS)	BASELINE <sup>29</sup>	END OF PROJECT TARGET	DATA COLLECTION METHODS AND RISKS/ASSUMPTIONS <sup>30</sup>
	<p>implementation, lesson learned)</p> <p><b>Indicator 10: project specific</b> A Conceptual framework of the National Mitigation Plan (NMP)</p>	the Convention.	<p>updated for 2016-2019 period.</p> <p>2.2.2 Progress in Nationally Determined Contributions (mitigation component) formulation &amp; implementation processes reported.</p> <p>2.2.3 Guidelines for the development of National Mitigation Plan emitted with an inclusion of gender approach and the identification of barriers that limit equitable participation of woman and men, as well as the inclusion of a gender analysis and strategies that may contribute to both men and women wellness (positive impacts).</p>	<p>secondary information, statistics.</p> <p><i>Methodology to be applied:</i></p> <ul style="list-style-type: none"> <li>UNFCCC guidelines for the preparation of national communication and BUR. Gender policy by UNDP</li> <li>Guidelines to include gender approach into the development planning at national and local scale</li> <li>Other instrument or recommended by the MAE and/or developed by UN inquiry</li> </ul> <p><i>Risks:</i></p> <ul style="list-style-type: none"> <li>Information on mitigation initiatives are spread and ensuring the accuracy of information is a challenge.</li> <li>Delay in delivering information because of a misunderstanding of the commitments of the stakeholder's staff.</li> </ul> <p><i>Assumptions:</i></p> <ul style="list-style-type: none"> <li>The 4NC and 2BUR is supported by the lesson learned and good practices developed during the implementation of the 3NC.</li> <li>Institutional arrangements are in place since the 3NC to ensure the data accessibility.</li> </ul>
<b>Component/ Outcome 3</b> Adaptation / Vulnerability and Climate Risk	<p><b>Indicator 11: project specific</b> An analysis of the the current and future climate change on seas and oceans</p>	National climate change scenarios generated through statistical methods, and assessments conducted for 3NC	<p>3.1.1 Climate change adaptation initiatives at sectoral and local level updated for 2016-2019 period, including experiences and adaptation efforts differentiated by women and men participation.</p> <p>3.1.2 Loss and damages due to climate change effects,</p>	<p><i>List the source of the data</i> 3NC, NSCC, NDC (adaptation), NAP, NDP, Central Bank of Ecuador's annual report, INEC statistics.</p> <p><i>Data collections:</i> Workshops, meetings, interviews, review of secondary information, statistics.</p> <p><i>Methodology to be applied:</i></p> <ul style="list-style-type: none"> <li>UNFCCC guidelines for the preparation of national communication and</li> </ul>

	OBJECTIVE AND OUTCOME INDICATORS (NO MORE THAN A TOTAL OF 15 -16 INDICATORS)	BASELINE <sup>29</sup>	END OF PROJECT TARGET	DATA COLLECTION METHODS AND RISKS/ASSUMPTIONS <sup>30</sup>
			<p>analyzed and reported, including an assessment of losses and damages produced by climate change differentiating men and woman.</p> <p>3.1.3 Evidence until 2019 and forecast (if data is available) until 2100 of climate change effects on seas and oceans generated.</p> <p>3.1.4 Progress in Nationally Determined Contributions (adaptation component) formulation &amp; implementation processes reported.</p> <p>3.1.5 Progress in National Adaptation Plan formulation process reported.</p> <p>3.1.6 Progress in vulnerability reduction process in Ecuador reported.</p>	<p>BUR.Gender policy by UNDP</p> <ul style="list-style-type: none"> <li>Guidelines to include gender approach into the development planning at national and local scale</li> <li>Other instrument or recommended by the MAE and/or developed by UN inquiry developed by UN inquiry</li> </ul> <p><i>Risks:</i> Delay in delivering information because of a misunderstanding of the commitments of the stakeholder's staff.</p> <p><i>Assumptions:</i> The 4NC and 2BUR is supported by the lesson learned and good practices developed during the implementation of the 3NC. Institutional arrangements are in place since the 3NC to ensure the data accessibility.</p>
Component/ Outcome 4 Monitoring, Reporting and Verification (Domestic MRV)	<b>Indicator 12: project specific</b> A report about the progress of the implementation of the MRV System for adaptation and mitigation processes including funding sources for the planned activities	MRV system advances outlined in the 3NC and 1BUR, submitted before the UNFCCC	<p>4.1.1 MRV system for climate change mitigation defined and agreed (includes: National Greenhouse gas inventory system (SINGEI), National Forest Monitoring System (SNMB), Safeguards Information System (SIS), Monitoring System (SM &amp; REDD +).</p> <p>4.1.2 MRV system for climate change adaptation</p>	<p><i>List the source of the data</i> 3NC, 1BUR, NDC, NAP, NDP, Central Bank of Ecuador's annual report, INEC statistics.</p> <p><i>Data collections:</i> Workshops, meetings, interviews, review of secondary information, statistics.</p> <p><i>Methodology to be applied:</i></p> <ul style="list-style-type: none"> <li>UNFCCC handbook on measurement, reporting, and verification for developing countries</li> <li>Other instrument or recommended by the MAE and/or developed by UN inquiry</li> </ul>

	OBJECTIVE AND OUTCOME INDICATORS (NO MORE THAN A TOTAL OF 15 -16 INDICATORS)	BASELINE <sup>29</sup>	END OF PROJECT TARGET	DATA COLLECTION METHODS AND RISKS/ASSUMPTIONS <sup>30</sup>
			(including National Vulnerability Index and their metrics), defined and agreed. Sex and gender indicators will be included to measure changes and the status of men and women related to access to resources, participation, decision-making processes, among other similar variables. 4.1.3 Financial MRV system defined and agreed.	<p><i>Risks:</i> Lack of technical agreements between the institutions that prevent to share data and information updated for the MRV system.</p> <p><i>Assumptions:</i></p> <ul style="list-style-type: none"> <li>• Some experience and partnership is already in place since the 1BUR.</li> <li>• Ecuador has a methodological and conceptual framework of Domestic MRV System for adaptation and mitigation developed by the NDC.</li> <li>• New developments under Convention are envisaged.</li> </ul>
Component/ Outcome 5 Compilation of the 4NC/2BUR, knowledge management, monitoring and evaluation	<p><b>Indicator 13: project specific</b> 2BUR approved and submitted to the UNFCCC.</p> <p><b>Indicator 14: project specific</b> 4NC approved and submitted to the UNFCCC.</p>	The 3NC and the 1BUR were released in 2017 and 2016, respectively.	<p>5.1.1 Second Biennial Update Report approved and submitted to the UNFCCC in Q2 2020.</p> <p>5.1.2 Fourth National Communication approved and submitted to the UNFCCC during the third quarter of 2021</p>	<p><i>List the source of the data</i> Previous components of the 4NC and 2BUR</p> <p><i>Data collections:</i> Compilation of the data and information gathered in the previous components of the 4NC and 2BUR</p> <p><i>Methodology to be applied:</i></p> <ul style="list-style-type: none"> <li>• Drafting of the 4NC and 2BUR reports</li> <li>• UNFCCC guidelines for the preparation of national communications</li> </ul> <p><i>Risks:</i> The national validation of the 4NC and 2BUR may take longer than planned.</p> <p><i>Assumptions:</i> The support and commitment of the SCC help to meet the deadline established in the working plan.</p>
	<p><b>Indicator 15: project specific</b> Financial audit reports approved.</p> <p><b>Indicator 16: project specific</b></p>	M&E procedure for UNDP-GEF project	5.2.1 Financial audit reports and project progress reports approved;	<p><i>List the source of the data</i> Central Bank of Ecuador's annual report, INEC statistics.</p>

	OBJECTIVE AND OUTCOME INDICATORS (NO MORE THAN A TOTAL OF 15 -16 INDICATORS)	BASELINE <sup>29</sup>	END OF PROJECT TARGET	DATA COLLECTION METHODS AND RISKS/ASSUMPTIONS <sup>30</sup>
	A Project Final Report for project closure approved.		<p>5.2.2 End of Project Report and lessons learned compiled.</p> <p>5.2.3 Knowledge management, monitoring and evaluation plan executed</p>	<p><i>Data collections:</i> Workshops, meetings, interviews, review of secondary information, statistics.</p> <p><i>Methodology to be applied:</i> M&amp;E conducted during the implementation of the project.</p> <p><i>Risks:</i> Insufficient resource to to conduct certain consulting a M&amp;V process during the elaboration of the project.</p> <p><i>Assumptions:</i> Some experience on M&amp;V is already gained since the 3NC and 1BUR.</p>

V. FINANCIAL PLANNING AND MANAGEMENT, TOTAL BUDGET AND WORK PLAN

72. The total cost of the project is USD 852,000. This is financed through a GEF grant of USD 852,000.00 and USD 83,684 in parallel co-financing. UNDP, as the GEF Implementing Agency, is responsible for the execution of the GEF resources and the cash co-financing transferred to UNDP bank account only.

Parallel co-financing: The actual realization of project co-financing will be monitored during implementation and will be reported to the GEF. The planned parallel co-financing will be used as follows:

Co-financing source	Co-financing type	Co-financing amount	Planned Activities/Outputs	Risks	Risk Mitigation Measures
Ministry of Environment of Ecuador (MAE)	Government in-kind contribution	\$83,684	Office space and furniture, basic services, internet, facilities for conferences and meetings, partial time from MAE staff	Change of authorities of the MAE that jeopardize the co-financing commitments.	Establish an institutional agreement to guarantee the co-financing commitments

Total Budget and Work Plan			
Atlas <sup>33</sup> Proposal or Award ID:	00112463	Atlas Primary Output Project ID:	00111009
Atlas Proposal or Award Title:	Fourth National Communication (4NC) and Second Biennial Update Report (2BUR)		
Atlas Business Unit	ecu10		
Atlas Primary Output Project Title	Fourth National Communication (4NC) and Second Biennial Update Report (2BUR)		
UNDP-GEF PIMS No.	6233		
Implementing Partner	Ministry of Environment		

GEF Outcome/Atlas Activity	Responsible Party/Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	2019 Amount Year 1 (USD)	2020 Amount Year 2 (USD)	2021 Amount Year 3 (USD)	Total (USD)	See Budget Note:
OUTCOME 1: National Circumstances and other information	UNDP	62000	GEF	71400	Contractual Services Individuals	15,947.00	16,141.00	-	32,088.00	1a
				71600	Travel	500.00	2,500.00	1,850.00	4,850.00	2
				Total Outcome 1		16,447.00	18,641.00	1,850.00	36,938.00	
OUTCOME 2: National Inventories of Greenhouse Gases and Mitigation Actions	UNDP	62000	GEF	71400	Contractual Services Individuals	202,246.00	178,402.00	35,352.00	416,000.00	3
				Total Outcome 2		202,246.00	178,402.00	35,352.00	416,000.00	
OUTCOME 3: Adaptation / Vulnerability and Climate Risk	UNDP	62000	GEF	71400	Contractual Services Individuals	43,350.00	18,776.00	-	62,126.00	4
				72100	Contractual Services Companies	-	60,000.00	-	60,000.00	5
				75700	Training, Workshops and	-	-	3,874.00	3,874.00	6

<sup>33</sup> See separate guidance on how to enter the TBWP into Atlas

				Confer						
				<b>Total Outcome 3</b>	<b>43,350.00</b>	<b>78,776.00</b>	<b>3,874.00</b>	<b>126,000.00</b>		
<b>OUTCOME 4:</b> Monitoring, Reporting and Verification	UNDP	62000	GEF	71400	Contractual Services Individuals	31,894.00 ✓	35,881.00 ✓	-	67,775.00	1b
				75700	Training, Workshops and Confer	-	3,725.00 ✓	-	3,725.00	7
				<b>Total Outcome 4</b>		<b>31,894.00</b>	<b>39,606.00</b>	-	<b>71,500.00</b>	
<b>OUTCOME 5:</b> Compilation of the 4NC/2BUR, knowledge management,	UNDP	62000	GEF	71400	Contractual Services Individuals	25,244.00 ✓	39,156.00 ✓	46,619.00 ✓	111,019.00 ✓	8
				74100	Professional Services -Audit	1,000.00 ✓	2,000.00 ✓	2,000.00 ✓	5,000.00 ✓	9
				74200	Audio Visual&Print Prod Costs	-	-	5,093.00 ✓	5,093.00 ✓	10
				75700	Training, Workshops and Confer	3,000.00	-	-	3,000.00	11
				<b>Total Outcome 5</b>		<b>29,244.00</b>	<b>41,156.00</b>	<b>53,712.00</b>	<b>124,112.00</b>	
<b>OUTCOME 6:</b> Project management unit	UNDP	62000	GEF	71400	Contractual Services Individuals	-	-	28,416.00 ✓	28,416.00 ✓	12
				75700	Training, Workshops and Confer	813.00	5,663.00	3,665.00 ✓	10,141.00 ✓	13
				74200	Audio Visual&Print Prod Costs	-	-	5,000.00	5,000.00	10
				74500	Miscellaneous	-	500.00	500.00 ✓	1,000.00 ✓	14
				72800	IT equipment	3,073.00	-	-	3,073.00	15
				74596	Direct Project Cost DPC	4,820.00	12,500.00	12,500.00	29,820.00	16
				<b>Total Outcome 6</b>		<b>8,706.00</b>	<b>18,663.00</b>	<b>50,081.00</b>	<b>77,450.00</b>	
<b>TOTAL PROJECT</b>					<b>331,887.00</b>	<b>375,244.00</b>	<b>144,869.00</b>	<b>852,000.00</b>		

*no ingradado*  
*demante 2003*

Summary of Funds: 34

	Amount Year 1	Amount Year 2	Amount Year 3	Total
<b>GEF</b>	331,887.00	375,244.00	144,869.00	852,000.00
<b>Donor 3 (cash and in-kind) e.g. Government</b>	27,895.00	27,895.00	27,894.00	83,684.00
<b>TOTAL</b>	359,782.00	403,138.00	172,764.00	935,684.00

Budget note	Comments
1	Hiring of a Project Coordinator for: a) four months from the Outcome 1 Recruitment services to lead the documents preparation, including the editing for the final version of the NC and BUR This also include hiring of a technician of mitigation for six months from the Outcome 6. The technician will be responsible to compile data about the implemented mitigation initiatives in recent years. It is expected that the technician will give advice for the preparation of the reports 4NC and 2BUR.

<sup>34</sup> Summary table should include all financing of all kinds: GEF financing, cofinancing, cash, in-kind, etc...



	b) seventeen months from the Outcome 4 Recruitment services to lead the documents preparation including the report of the progress concerning to the implementation of the MRV system among the other components, also the editing for the final version of the NC and BUR reports is included
2	Travel missions for participation of Project technical staff in specific activities taking place in various priority sectors to gather data at national level
3	Recruitment of technical staff composed by 5 technicians to carry out the NGHGI for two years that will be under the supervision of the GHGI Expert. Every single technician will be responsible of each sector defined in the NSCC. The team will be in charge of data collection, systematization and organization of the reports.  Hiring of a technical Expert of NGHGIs for three years. The Expert will have to compile the inventory based on the guidelines IPCC 2006, he/she will receive support from 5 technicians who will carry out the sectorial inventories.  Hiring of a technician of mitigation for nine months from the Outcome 2. The technician will be responsible to compile data about the implemented mitigation initiatives in recent years. It is expected that the technician will give advice for the preparation of the reports 4NC and 2BUR.
4	Hiring of a technician Expert of adaptation for eighteen months. The technician will be responsible to compile data about the implemented adaptation initiatives in recent years. It is expected that the technician will give advice for the preparation of the 4NC report.  Hiring of a technician of mitigation for three months from the Outcome 2. The technician will be responsible to compile data about the implemented mitigation initiatives in recent years. It is expected that the technician will give advice for the preparation of the reports 4NC and 2BUR.  Technical inputs and translations for the elaboration of the 4NC and 2BUR
5	With the support of a company consultancy, the project will develop the study related to "Analysis of the evidences, current data, and future projections related to climate change on seas and oceans". The task will be supervised by the Project coordinator and implementing partner
6	Organization of the workshop to inform the stakeholders about the progress of the implementation of the project regarding the NGHGI, mitigation and adaptation components
7	Organization of the workshop to inform the stakeholders about the progress in the implementation of the domestic MRV system
8	Hiring of a Project Coordinator. Recruitment services to lead the documents preparation, including the editing for the final version of the NC and BUR. Technical inputs and translations of the documents (4NC and 2BUR) will be surveyed by the PC with the support of the PAA  Hiring of a Project Administrative Assistant). Recruitment services to assist the Project Coordinator in the preparation of technical issues for preparing the documents during the project.
9	Audit expenses
10	Edition of final version of the reports.
11	Organization the inception workshop and project board meetings
12	Hiring of a Project Coordinator Recruitment services to lead the documents preparation, including the editing for the final version of the NC and BUR.  Hiring of a Project Administrative Assistant Recruitment services to assist the Project Coordinator in the preparation of documents, financial deals, and other logistical issues during the project.
13	Organization at least 4 workshops and conferences to sensitize the stakeholders about climate change issues and gender sensitize, as well as workshops to engage the stakeholders to provide data
14	Unforeseen expenses of the project
15	Technological equipment for the development of the project, at least 2 computers. The rest of the IT equipment will be provided by the MAE.
16	Direct Project Cost DPC for services rendered by UNDP to the project, according to the Letter of Agreement (Annex F) are the costs of administrative services (such as those related to human resources, procurement, finance, and other functions) provided by UNDP in relation to the project. Direct project costs will be charged based on the UNDP Universal Price List or the actual corresponding service cost, in line with the GEF rules on DPCs. The amounts indicated here are estimations. DPCs will be detailed as part of the annual project operational planning process and included in the yearly budgets. DPC costs can only be used for operational cost per transaction. DPCs are not a flat fee.



73. Budget Revision and Tolerance: As per UNDP requirements outlined in the UNDP POPP, the Project Steering Committee will agree on a budget tolerance level for each plan under the overall annual work plan allowing the Project Coordinator to expend up to the tolerance level beyond the approved project budget amount for the year without requiring a revision from the Project Steering Committee. Should the following deviations occur, the Project Coordinator and UNDP Country Office will seek the approval of the UNDP-GEF team as these are considered major amendments by the GEF: a) Budget re-allocations among components in the project with amounts involving 10% of the total project grant or more; b) Introduction of new budget items/or components that exceed 5% of original GEF allocation.

74. Any over expenditure incurred beyond the available GEF grant amount will be absorbed by non-GEF resources (e.g. UNDP TRAC or cash co-financing).

75. Refund to Donor: Should a refund of unspent funds to the GEF be necessary, this will be managed directly by the UNDP-GEF Unit in New York.

76. Project Closure: Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP.<sup>35</sup> On an exceptional basis only, a no-cost extension beyond the initial duration of the project will be sought from in-country UNDP colleagues and then the UNDP-GEF Executive Coordinator.

77. Operational completion: The project will be operationally completed when the last UNDP-financed inputs have been provided and the related activities have been completed. This includes the final clearance of the Terminal Evaluation Report (that will be available in English) and the corresponding management response, and the end-of-project review Project Steering Committee meeting. The Implementing Partner through a Project Steering Committee decision will notify the UNDP Country Office when operational closure has been completed. At this time, the relevant parties will have already agreed and confirmed in writing on the arrangements for the disposal of any equipment that is still the property of UNDP.

78. Transfer or disposal of assets: In consultation with the NIM Implementing Partner and other parties of the project, UNDP programme manager (UNDP Resident Representative) is responsible for deciding on the transfer or other disposal of assets. Transfer or disposal of assets is recommended to be reviewed and endorsed by the Project Steering Committee following UNDP rules and regulations. Assets may be transferred to the government for project activities managed by a national institution at any time during the life of a project. In all cases of transfer, a transfer document must be prepared and kept on file<sup>36</sup>.

79. Financial completion: The project will be financially closed when the following conditions have been met: a) The project is operationally completed or has been cancelled; b) The Implementing Partner has reported all financial transactions to UNDP; c) UNDP has closed the accounts for the project; d) UNDP and the Implementing Partner have certified a final Combined Delivery Report (which serves as final budget revision).

80. The project will be financially completed within 12 months of operational closure or after the date of cancellation. Between operational and financial closure, the implementing partner will identify and settle all financial obligations and prepare a final expenditure report. The UNDP Country Office will send the final signed closure documents including confirmation of final cumulative expenditure and unspent balance to the UNDP-GEF Unit for confirmation before the project will be financially closed in Atlas by the UNDP Country Office.

---

<sup>35</sup> See <https://info.undp.org/global/popp/ppm/Pages/Closing-a-Project.aspx>

<sup>36</sup> See [https://popp.undp.org/\\_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP\\_POPP\\_DOCUMENT\\_LIBRARY/Public/PPM\\_Project%20Management\\_Closing.docx&action=default](https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PPM_Project%20Management_Closing.docx&action=default).

---

## VI. GOVERNANCE AND PROJECT MANAGEMENT

### Roles and responsibilities of the project's governance mechanism:

81. The project will be implemented following UNDP's national implementation modality (support to NIM), according to the Standard Basic Assistance Agreement between UNDP and the Government of ECUADOR, and the Country Programme.

82. The Implementing Partner for this project is Ministry of Environment (MAE in Spanish). The Implementing Partner is responsible and accountable for managing this project, including the monitoring and evaluation of project interventions, achieving project outcomes, and for the effective use of UNDP resources. The evaluation of the project allow report about the progress but also identify bottlenecks as well as technical support needs for a full success of the actions

83. The Implementing Partner is responsible for:

- Approving and signing the multiyear workplan;
- Approving and signing the combined delivery report at the end of the year.

84. Moreover, the project is aligned to the GEF-7 strategy. The Management Arrangement that will be implemented in Ecuador for the execution of the 4NC and 2BUR project is based on the current regulatory and institutional framework. The project organisation structure considers three levels (Figure 3).

85. The Project Management include an articulation platform that links the stakeholders during the preparation of the reports. In order to optimize the existing Management Arrangements, the stakeholder mapping linked to climate change management will be reviewed according to the NCs thematic lines. As a reference, a preliminary stakeholder mapping is presented in Annex J.

The project organization structure is as follows:

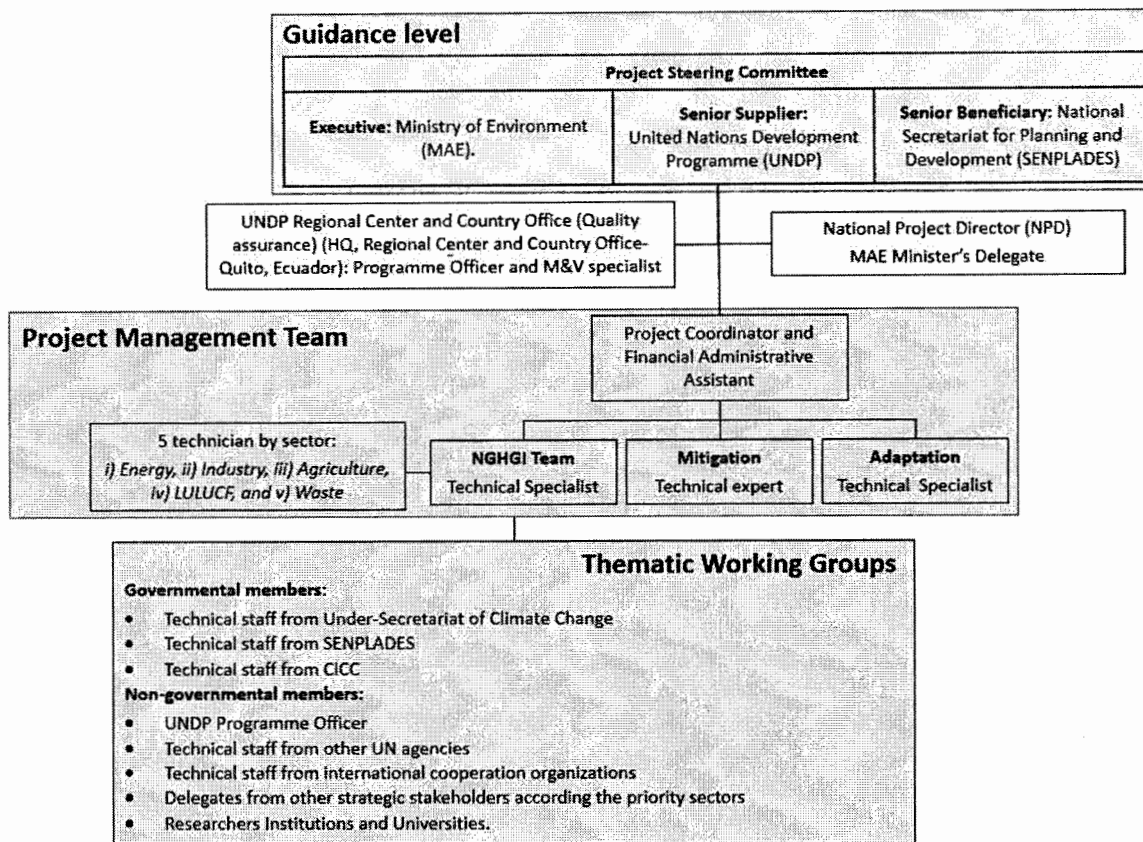


Figure 3. Flowchart of 4NC and 2BUR project management.

The following description presents in detail the information of the management arrangements, key roles and responsibilities of the institutional framework for the project implementation:

#### Guidance level

86. The implementation of the project will be carried out in full collaboration with and consultation of Ecuador's Ministry of Environment (UNFCCC and GCF Focal Point), and the National Secretariat for Planning and Development. The project will be implemented according to the UNDP National Modality (NIM supported). It will be guided by the United Nations Programme / United Nations Development Assistance Framework (UNDAF) for 2019-2022, and UNDP's Country Programme Document (CPD) for 2019-2022 for Ecuador. Guided by the above-mentioned country programme frameworks, the NIM supported will be applied in a way to consider potentials for maximum cost-effectiveness and tailored capacity development of counterpart government institutions.

87. The **Project Steering Committee (PSC)**: The PSC (also called Project Board) is responsible for making by consensus, management decisions when guidance is required by the Project Manager, including recommendations for UNDP/Implementing Partner approval of project plans and revisions, and addressing any project level grievances. In order to ensure UNDP's ultimate accountability.

88. The PSC is comprised of the Ministry of Environment (USCC delegate), and the National Secretariat for Planning and Development (a Secretariat delegate). UNDP provide technical assistance during the project implementation. The PSC<sup>37</sup> is responsible for approving workplans, by consensus, and to provide guidance when it is required by the

<sup>37</sup> Sample ToR for Project Board: [http://cfapp2.undp.org/gef/documents/1/g5710/g2\\_20672/PIMS3603TORProjectBoard.pdf](http://cfapp2.undp.org/gef/documents/1/g5710/g2_20672/PIMS3603TORProjectBoard.pdf)

Project Coordinator. Project Steering Committee decisions will be made in accordance with standards that shall ensure management for development results, best value for money, fairness, integrity, transparency and effective international competition. The Project Steering Committee will meet twice a year. It is worth mentioning that financial support will come from the Global Environment Facility (GEF).

Specific responsibilities of the PB include:

- i) Approving and signing the multiyear work plan and mid-term products
- ii) Approving and signing the combined delivery report at the end of the year
- iii) Signing the financial report or the funding authorization and certificate of expenditures.
- iv) Providing support to ensure the strengthening of the mechanisms of coordination between the national and local stakeholders
- v) *Oversee monitoring, evaluation and reporting in line with GEF, UNDP and MAE requirements*
- vi) Provide overall guidance and direction to the project, ensuring it remains within any specified constraints;
- vii) Address project issues as raised by the Project Coordinator;
- viii) Provide guidance on new project risks, and agree on possible countermeasures and management actions to address specific risks;
- ix) Review the project progress, and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans;
- x) Appraise the annual project implementation report, including the quality assessment rating report; make recommendations for the workplan;
- xi) Provide ad hoc direction and advice for exceptional situations when the project manager's tolerances are exceeded; and
- xii) Assess and decide to proceed on project changes through appropriate revisions.

The composition of the PSC will include the following roles:

89. **Executive:** The Executive is an individual who represents ownership of the project who will chair the Project Steering Committee. This role can be held by a representative from the Government Cooperating Agency or UNDP. The Executive is: Director of climate change Mitigation as a delegate of MAE. The Executive is ultimately responsible for the project, supported by the Senior Beneficiary and Senior Supplier. The Executive's role is to ensure that the project is focused throughout its life cycle on achieving its objectives and delivering outputs that will contribute to higher level outcomes. The executive has to ensure that the project gives value for money, ensuring cost-conscious approach to the project, balancing the demands of beneficiary and supplier.

90. **Specific Executive Responsibilities:** (as part of the above responsibilities for the Project Steering Committee)

- Ensure that there is a coherent project organisation structure and logical set of plans;
- Set tolerances in the AWP and other plans as required for the Project Manager;
- Monitor and control the progress of the project at a strategic level;
- Ensure that risks are being tracked and mitigated as effectively as possible;
- Brief relevant stakeholders about project progress;
- Organise and chair Project Steering Committee meetings.

91. **Senior Supplier:** The Senior Supplier is an individual or group representing the interests of the parties concerned which provide funding and/or technical expertise to the project (designing, developing, facilitating, procuring, implementing). The Senior Supplier's primary function within the Board is to provide guidance regarding the technical feasibility of the project. The Senior Supplier role must have the authority to commit or acquire supplier resources required. If necessary, more than one person may be required for this role. Typically, the implementing partner, UNDP would be represented under this role. The Senior Supplier is UNDP which will act as the GEF Implementing Agency.

92. **Specific Responsibilities** (as part of the above responsibilities for the Project Steering Committee)

- Make sure that progress towards the outputs remains consistent from the supplier perspective;
- Promote and maintain focus on the expected project output(s) from the point of view of supplier management;
- Ensure that the supplier resources required for the project are made available;

- Contribute supplier opinions on Project Steering Committee decisions on whether to implement recommendations on proposed changes;
- Arbitrate on, and ensure resolution of, any supplier priority or resource conflicts.

93. **Senior Beneficiary:** The Senior Beneficiary is an individual or group of individuals representing the interests of those who will ultimately benefit from the project. The Senior Beneficiary's primary function within the Board is to ensure the realization of project results from the perspective of project beneficiaries. The Senior Beneficiary role is held by a representative of the government or civil society. The Senior Beneficiary is a delegate from SENPLADES. The Senior Beneficiary is responsible for validating the needs and for monitoring that the solution will meet those needs within the constraints of the project.

94. Specific Responsibilities (as part of the above responsibilities for the Project Steering Committee)

- Prioritize and contribute beneficiaries' opinions on Project Steering Committee decisions on whether to implement recommendations on proposed changes;
- Specification of the Beneficiary's needs is accurate, complete and unambiguous;
- Implementation of activities at all stages is monitored to ensure that they will meet the beneficiary's needs and are progressing towards that target;
- Impact of potential changes is evaluated from the beneficiary point of view;
- Risks to the beneficiaries are frequently monitored.

95. Finally, the Project Steering Committee will inform to the CICC the progress, achievements, extensions or any change in the evolution of the project. The CICC will provide political and strategic support for the implementation of the project and will ensure that the results of the project are disseminated and validated by all relevant stakeholders.

96. The **National Project Director (NPD)** will be appointed by the MAE. He/she will be responsible for orienting and advising the Project Coordinator on Government policy and priorities. The NPD, designated by MAE, will be MAE's National Adaptation of Climate Change Director, he/she will approve the procurement of services and goods (based on annual plans approved by the Project Steering Committee) providing direction and guidance to the Project Coordinator about the priorities of the government and its policies. The NPD will monitor the roles and responsibilities of the Project Management Team,

**Project Management Team (Operational level)**

97. The Project Management Team (PMT) shall consist in a Project Coordinator and a Financial Administrative Assistant. Their main function is preparing the 4NC and the 2BUR, in a consistent way following guidelines of the Convention and the recommendations of the PSC. The Project Coordinator has the authority to run the project on a day-to-day basis on behalf of the Project Steering Committee within the constraints laid down by the Board. The Project Coordinator is responsible for day-to-day management and decision-making for the project. The Project Coordinator should assure that the project meets the required standard of quality and within the specified constraints of time and cost. The Project Coordinator will count with the support of a Financial Administrative Assistant during the project implementation.

98. The Implementing Partner appoints the Project Coordinator, who should be different from the Implementing Partner's representative in the Project Steering Committee. Specific responsibilities of the Project Coordinator include:

- i) Provide direction and guidance to project team(s)/ responsible party (ies);
- ii) Liaise with the PSC to assure the overall direction and integrity of the project;
- iii) Promote technical coordination between institutions, where such coordination is necessary and where opportunities for synergy and sharing of lessons exist;
- iv) Identify and obtain any support and advice required for the management, planning and control of the project;
- v) Responsible for project administration;
- vi) Plan the activities of the project and monitor progress against the project results framework and the approved annual workplan;
- vii) Mobilize personnel, goods and services, training and micro-capital grants to initiative activities, including drafting terms of reference and work specifications, and overseeing all contractors' work;

- viii) Monitor events as determined in the project monitoring schedule plan/timetable, and update the plan as required;
- ix) Manage requests for the provision of financial resources by UNDP, through advance of funds, direct payments or reimbursement using the fund authorization and certificate of expenditures;
- x) Monitor financial resources and accounting to ensure the accuracy and reliability of financial reports;
- xi) Be responsible for preparing and submitting financial reports to UNDP on a quarterly basis;
- xii) Manage and monitor the project risks initially identified and submit new risks to the Project Steering Committee for consideration and decision on possible actions if required; update the status of these risks by maintaining the project risks log;
- xiii) Capture and share information about lessons learned during project implementation with related stakeholders at the national level;;
- xiv) Prepare the annual workplan for the following year; and update the Atlas Project Management module if external access is made available.
- xv) Prepare the GEF PIR and submit the final report to the Project Steering Committee;
- xvi) Based on the GEF PIR and the Project Steering Committee review, prepare the AWP for the following year.
- xvii) Ensure the mid-term review process is undertaken as per the UNDP guidance, and submit the final MTR report to the Project Steering Committee.
- xviii) Identify follow-on actions and submit them for consideration to the Project Steering Committee;
- xix) Ensure the terminal evaluation process is undertaken as per the UNDP guidance, and submit the final TE report to the Project Steering Committee;
- xx) *The TAC or a subset of its members may be requested to undertake specific project-related tasks, such as preparing or reviewing analytical reports, strategies and action plans, etc.;*

99. **Technical Teams:** For preparing the chapter on national GHG inventories as well as mitigation and adaptation chapters, there will be three Technical Experts, respectively. They have to report the progress and issues about their activities to the Project Coordinator. On the one hand, the Technical Expert of national GHG inventories has to compile the inventory based on the guidelines IPCC 2006, he/she will receive support from 5 technicians who will carry out the sectorial inventories (energy, industries, waste, agriculture and LULUCF). Also, they will be responsible for the coordination of each sectorial technician from the National Directorate of Climate Change Mitigation. On the other hand, there are two Technical Experts one for the component of adaptation and the other one for the component of mitigation. These two experts have the follow responsibilities:

- i) Support the organization and compilation of the workshops and meetings
- ii) Identify and obtain any support and advice required for the operational issues through the Project Coordinator
- iii) Support to the Project Coordinator in defining the project implementation plan
- iv) Monitor events as determined in the project monitoring concerning their own component (e.g., schedule plan/timetable, and update the plan as required);
- v) Help the Project Coordinator capture lessons learned during project implementation;

100. Six **Thematic Working Groups** will be established under the supervision of the Project Coordinator with the purpose of monitoring and providing feedback for each of the project outcomes. The Working Groups will be convened by the Project Coordinator. The Project Coordinator will delegate to his team members the elaboration of minutes of each meeting and documentation of the recommendations for implementing each outcome. The meetings of working groups will be carried out under request of the permanent members of each group, or when it will be necessary.

Each one of **Thematic Working Groups** are composed by:

**Governmental members:**

- Technical staff from Under-Secretariat of Climate Change
- Technical staff from SENPLADES
- Technical staff from CICC

**Non-governmental members:**

- UNDP Programme Officer
- Technical staff from other UN agencies
- Technical staff from international cooperation organizations



- Delegates from other strategic stakeholders according the priority sectors
- Researchers Institutions and Universities.

#### **Project Assurance:**

101. UNDP provides a three – tier supervision, oversight and quality assurance role – funded by the GEF agency fee – involving UNDP staff in Country Offices and at regional and headquarters levels. To this aim, the responsible assigned will be the Programme Officer and M&V Specialist. Project Assurance must be totally independent of the Project Management function. The quality assurance role supports the Project Steering Committee and Project Management Unit by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed. The Project Steering Committee cannot delegate any of its quality assurance responsibilities to the Project Coordinator. This project oversight and quality assurance role is covered by the UNDP as a GEF Agency, namely by Programme Officer and M&V Specialist in CO Ecuador and by UNDP-GEF Regional Technical Advisor.

#### Governance role for project target groups:

102. Let us remember that the 4NC and 2BUR are documents to report the progress made by the country to face the effects of climate change. In this regard the target group or key stakeholders play an important role as a data providers, and in some cases data producers, for example for the analysis of climate change impacts on sea and oceans. Detailed information about mean for caught the attention of the target groups is given in section II and sub-section Partnership included in the section III.

#### UNDP Direct Project Services as requested by Government (if any):

103. “The UNDP, as GEF Agency for this project, will provide project management cycle services for the project as defined by the GEF Council. In addition the Government of **ECUADOR** may request UNDP direct services for specific projects, according to its policies and convenience. The UNDP and Government of **ECUADOR** acknowledge and agree that those services are not mandatory, and will be provided only upon Government request. If requested the services would follow the UNDP policies on the recovery of direct costs. These services (and their costs) are specified in the Letter of Agreement (**Annex G**). As is determined by the GEF Council requirements, these service costs will be assigned as Project Management Cost, duly identified in the project budget as Direct Project Costs. Eligible Direct Project Costs should not be charged as a flat percentage. They should be calculated on the basis of estimated actual or transaction based costs and should be charged to the direct project costs account codes: “64397- Direct Project Costs – Staff” and “74596-Direct Project Costs – General Operating Expenses (GOE)”

#### Agreement on intellectual property rights and use of logo on the project’s deliverables and disclosure of information:

104. In order to accord proper acknowledgement to the GEF for providing grant funding, the GEF logo will appear together with the UNDP logo on all promotional materials, other written materials like publications developed by the project, and project hardware. Any citation on publications regarding projects funded by the GEF will also accord proper acknowledgement to the GEF. Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy<sup>38</sup> and the GEF policy on public involvement<sup>39</sup>.

#### Project management:

105. The Project implementation will be settled in the MAE office which is located at Madrid St. #1159 y Andalucía. Zip Code: 170525 / Quito – Ecuador.

106. The 4NC and 2BUR project will identify synergies with other ongoing projects, programs and initiatives to increase efficiency, not only in terms of costs, but also to improve coherence with various national development priorities and programs undertaken at national and local levels, and to extend the impact of the project results beyond what can be budgeted. This may include relationship with, but is not limited to, the following:

<sup>38</sup> See [http://www.undp.org/content/undp/en/home/operations/transparency/information\\_disclosurepolicy/](http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/)

<sup>39</sup> See [https://www.thegef.org/gef/policies\\_guidelines](https://www.thegef.org/gef/policies_guidelines)

- Capacity Building Initiative for Transparency (CBIT) will focus on enhancing the capacities of Ecuador to fulfill the transparency requirements under Article 13 of the Paris Agreement. It will consider the preliminary guidelines of the modalities, procedures and guidelines currently under negotiation in the UNFCCC. CBIT will work on enabling coordination mechanisms and creating databases for mitigation and adaptation activities, as well as setting in place a virtual platform that will record this information, as mandated by the new COA and finally on the design of indicators and methodologies for the monitoring and registration of adaptation actions. This work is meant to be complementary and non-duplicative to the capacity building components of the BUR, which are focused on mitigation, MRV and GHG inventories, while CBIT will at the same time help develop institutional arrangements for climate change tracking in a more comprehensive way and involving stakeholders that are not traditionally included in climate change reporting. CBIT is still at its early stages in Ecuador and implementation is not expected until the first trimester of 2019.
- Strengthening of the Initiative for Climate Action Transparency (ICAT) a transparency framework managed by MAE
- National Energy Efficiency Plan of Ecuador 2016-2035 managed by the Ministry of Electricity and Renewable Energy (MEER in Spanish).
- The National Adaptation Plan 2019 – 2021 (NAP) led by MAE in coordination with other public institutions and stakeholders.
- The Nationally Determinate Contribution (NDCs) for mitigation and adaptation to climate change.
- National Urban Mobility Plan managed by the Ministry of Transport and Public Works (MTOPE in Spanish) and MAE.
- Readiness Support Program that seeks to strengthen the GCF Designated National Authority (DNA) in implementing its responsibilities as DNA.
- Strengthening the resilience of communities to the adverse effects of climate change with emphasis on food security managed by MAG and MAE.
- To strengthen the adaptation capacities opposite to climate change by means of a marine integral handling of the coastal stripe financed for Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung (BMZ).

---

## VII. MONITORING FRAMEWORK AND EVALUATION

107. Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the UNDP POPP and UNDP Evaluation Policy. While these UNDP requirements are not outlined in this project document, the UNDP Country Office will work with the relevant project stakeholders to ensure UNDP M&E requirements are met in a timely fashion and to high quality standards. Additional mandatory GEF-specific M&E requirements (as outlined below) will be undertaken in accordance with the GEF M&E policy and other relevant GEF policies<sup>40</sup>.

108. The project results as outlined in the project results framework will be audited annually in line with GEF and UNFCCC reporting requirements for NCs and BURs.

109. In addition to these mandatory UNDP and GEF M&E requirements, other M&E activities deemed necessary to support project-level adaptive management will be agreed during the Project Inception Workshop and will be detailed in the Inception Report. This will include the exact role of project target groups and other stakeholders in project M&E activities including the GEF Operational Focal Point and national/regional institutes assigned to undertake project monitoring. The GEF Operational Focal Point will strive to ensure consistency in the approach taken to the GEF-specific M&E requirements across all GEF-financed projects in the country.

### **M&E Oversight and monitoring responsibilities:**

110. Project Coordinator: The Project Coordinator is responsible for day-to-day project management and regular monitoring of project results and risks, including social and environmental risks. The Project Coordinator will ensure that all project staff maintain a high level of transparency, responsibility and accountability in M&E and reporting of project results. The Project Coordinator will inform the Project Steering Committee, the UNDP Country Office and the UNDP-GEF RTA of any delays or difficulties as they arise during implementation so that appropriate support and corrective measures can be adopted.

111. The Project Coordinator will develop annual work plans based on the multi-year work plan included in Annex A, including annual output targets to support the efficient implementation of the project. The Project Coordinator will ensure that the standard UNDP and GEF M&E requirements are fulfilled to the highest quality. This includes, but is not limited to, ensuring the results framework indicators are monitored annually and provided to the UNDP Country Office for recording in the UNDP web-based monitoring tools, and that the monitoring of risks and the various plans/strategies developed to support project implementation (e.g. gender strategy, KM strategy etc..) occur on a regular basis.

112. Project Steering Committee: The Project Steering Committee will take corrective action as needed to ensure the project achieves the desired results. The Project Steering Committee 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 Steering Committee 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 End of project report.

113. Project Implementing Partner: The Implementing Partner is responsible for providing any and all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary and appropriate. The Implementing Partner will strive to ensure project-level M&E is undertaken by national institutes, and is aligned with national systems so that the data used by and generated by the project supports national systems.

114. UNDP Country Office: The UNDP Country Office will support the Project Coordinator as needed, including through annual supervision missions. The annual supervision missions will take place according to the schedule outlined in the annual work plan. Supervision mission reports will be circulated to the project team and Project Steering Committee within one month of the mission. The UNDP Country Office will initiate and organize key GEF

---

<sup>40</sup> See [https://www.thegef.org/gef/policies\\_guidelines](https://www.thegef.org/gef/policies_guidelines)

M&E activities. The UNDP Country Office will also ensure that the standard UNDP and GEF M&E requirements are fulfilled to the highest quality.

115. The UNDP Country Office is responsible for complying with all UNDP 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. Any quality concerns flagged during these M&E activities must be addressed by the UNDP Country Office and the Project Coordinator.

116. The UNDP Country Office will retain all M&E records for this project for up to seven years after project financial closure in order to support ex-post evaluations undertaken by the UNDP Independent Evaluation Office (IEO) and/or the GEF Independent Evaluation Office (IEO).

117. UNDP-GEF Unit: Additional M&E and implementation quality assurance and troubleshooting support will be provided by the UNDP-GEF Regional Technical Advisor and the UNDP-GEF Directorate as needed.

118. **Audit**: The project will be audited according to UNDP Financial Regulations and Rules and applicable audit policies on CO NIM support implemented projects.<sup>41</sup>

**Additional GEF monitoring and reporting requirements:**

119. Inception Workshop and Report: A project inception workshop will be held within two months after the project document has been signed by all relevant parties to, amongst others:

- a) Re-orient project stakeholders to the project strategy and discuss any changes in the overall context that influence project strategy and implementation;
- b) Discuss the roles and responsibilities of the project team, including reporting and communication lines and conflict resolution mechanisms;
- c) Review the results framework and finalize the indicators, means of verification and monitoring plan;
- d) Definition of the institutional agreements regarding the review of the contents included in the chapters of the National Communication to ensure the fulfilment of the objectives of the project;
- e) Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget; identify national/regional institutes to be involved in project-level M&E; discuss the role of the GEF OFF in M&E;
- e) Update and review responsibilities for monitoring the various project plans and strategies, including the risk log; Environmental and Social Management Plan and other safeguard requirements; the gender strategy; the knowledge management strategy, and other relevant strategies;
- f) Review financial reporting procedures and mandatory requirements, and agree on the arrangements for the audit; and
- g) Plan and schedule Project Steering Committee meetings and finalize the first year annual work plan.

120. The Project Coordinator will prepare the inception report no later than one month after the inception workshop. The inception report will be prepared in one of the official UN languages, duly signed by designated persons, cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and will be approved by the Project Steering Committee.

Annual progress:

121. Status Survey Questionnaires to indicate progress and identify bottlenecks as well as technical support needs will be carried out once a year, in line with GEF and UNFCCC reporting requirements for NCs and BURs.

122. Lessons learned and knowledge generation: Results from the project will be disseminated within and beyond the project intervention area through existing information sharing networks and forums. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to the project. The project will identify, analyse and share lessons learned that might be beneficial to the

---

<sup>41</sup> See guidance here: <https://info.undp.org/global/popp/frm/pages/financial-management-and-execution-modalities.aspx>

design and implementation of similar projects and disseminate these lessons widely. There will be continuous information exchange between this project and other projects of similar focus in the same country, region and globally.

End of Project:

123. During the last three months, the project team will prepare the Project Terminal Report (Annex H). This comprehensive report will summarize the results achieved (objectives, outcomes, outputs), lessons learned, problems met and areas where results may not have been achieved. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the project's results. The Project Terminal Report shall be discussed with the Project Steering Committee during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.

**M&E workplan and budget**

GEF M&E REQUIREMENTS	PRIMARY RESPONSIBILITY	INDICATIVE COSTS TO BE CHARGED TO THE PROJECT BUDGET <sup>42</sup> (US\$)		TIME FRAME
		GEF GRANT	CO-FINANCING	
Inception Workshop	UNDP Country Office	USD 2,500	None	August 2019
Inception Report Within two weeks of inception workshop	Project Coordinator	None	None	August 2019
Standard UNDP monitoring and reporting requirements as outlined in the UNDP POPP	UNDP Country Office	None	None	Quarterly, annually
Monitoring of indicators in project results framework ( <i>add name of national/regional institute if relevant</i> )	Project Coordinator	Per year: None	None	Annually
GEF Project Implementation Report (PIR) Not applicable for EAs	Project Coordinator and UNDP Country Office and UNDP-GEF team	None	None	Annually.
NIM Audit as per UNDP audit policies	UNDP Country Office	Total: USD 5,000	None	As per UNDP Audit policies
Lessons learned and knowledge generation	Project Coordinator	None	None	Annually
Monitoring of environmental and social risks, and corresponding management plans as relevant	Project Coordinator UNDP CO	None	None	On-going
Addressing environmental and social grievances	Project Coordinator UNDP Country Office BPPS as needed	None for time of Project Coordinator, and UNDP CO	add	Costs associated with missions, workshops, BPPS expertise etc. can be charged to the project budget.
Project Steering Committee meetings	Project Steering Committee UNDP Country Office Project Coordinator	None	None	At minimum annually
Supervision missions	UNDP Country	None <sup>43</sup>	None	Annually

<sup>42</sup> Excluding project team staff time and UNDP staff time and travel expenses.

GEF M&E REQUIREMENTS	PRIMARY RESPONSIBILITY	INDICATIVE COSTS TO BE CHARGED TO THE PROJECT BUDGET <sup>42</sup> (US\$)		TIME FRAME
		GEF GRANT	CO-FINANCING	
	Office			
<b>Oversight missions</b>	UNDP-GEF team	None <sup>44</sup>	None	Troubleshooting as needed
<b>Knowledge management</b>	<i>Project Coordinator</i>	<i>1% of GEF grant</i> <i>8,000<sup>45</sup></i>	None	<i>On-going</i>
<b>GEF Secretariat learning missions/site visits</b>	UNDP Country Office and Project Coordinator and UNDP-GEF team	None	None	To be determined.
<b>Project Terminal Report</b>	<ul style="list-style-type: none"> <li>▪ Project Coordinator and team</li> <li>▪ UNDP CO</li> </ul>			At least three months before the end of the project
<b>TOTAL indicative COST</b> Excluding project team staff time, and UNDP staff and travel expenses		<i>USD 15,500</i>	<i>None</i>	

<sup>43</sup> The costs of UNDP Country Office and UNDP-GEF Unit's participation and time are charged to the GEF Agency Fee.

<sup>44</sup> See [http://www.undp.org/content/undp/en/home/operations/transparency/information\\_disclosurepolicy/](http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/)

<sup>45</sup> This amount will be covered by the coordinator salary who is going to be responsible of this task.

---

VIII. LEGAL CONTEXT

124. This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of Ecuador and UNDP, signed on January 19th 2005. All references in the SBAA to "Executing Agency" shall be deemed to refer to "Implementing Partner."

125. This project will be implemented by UNDP ("Implementing Partner") 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.

---

## IX. RISK MANAGEMENT

126. Consistent with the Article III of the SBAA, the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP's property in the Implementing Partner's custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:

- a) 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;
- b) assume all risks and liabilities related to the Implementing Partner's security, and the full implementation of the security plan.

127. 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 Implementing Partner's obligations under this Project Document.

128. The Implementing Partner agrees to undertake all reasonable efforts to ensure that no UNDP funds received pursuant to the Project Document 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).

129. 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>).

130. The Implementing Partner shall: (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.

131. 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.

132. The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, responsible parties, subcontractors and sub-recipients in implementing the project or using UNDP funds. The Implementing Partner 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.

133. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to the Implementing Partner: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. The Implementing Partner 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).

134. In the event that an investigation is required, UNDP has the obligation to conduct investigations relating to any aspect of UNDP projects and programmes. The Implementing Partner shall provide its full cooperation, including making available personnel, relevant documentation, and granting access to the Implementing Partner's (and its consultants', responsible parties', 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 the Implementing Partner to find a solution.

135. The signatories to this Project Document will promptly inform one another in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

136. Where the Implementing Partner becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, the Implementing Partner will inform the UNDP Resident



Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). The Implementing Partner shall provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

137. UNDP shall be entitled to a refund from the Implementing Partner of any funds provided that 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. Such amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement.

138. Where such funds have not been refunded to UNDP, the Implementing Partner 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 the Implementing Partner 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.

139. 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.

140. Each contract issued by the Implementing Partner 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 the Implementing Partner shall cooperate with any and all investigations and post-payment audits.

141. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project, 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.

142. The Implementing Partner shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to each responsible party, subcontractor and sub-recipient and that all the clauses under this section entitled "Risk Management Standard Clauses" are included, *mutatis mutandis*, in all sub-contracts or sub-agreements entered into further to this Project Document.

---

**X. MANDATORY ANNEXES**

- A. Multi-year Work plan (see template below)
- B. Terms of Reference for Project Steering Committee, Project Coordinator, Chief Technical Advisor and other positions as appropriate
- C. UNDP Social and Environmental and Social Screening Template (SESP)
- D. UNDP Project Quality Assurance Report (to be completed by UNDP Country Office)
- E. UNDP Risk Log (to be completed by UNDP Country Office)
- F. Results of the capacity assessment of the project implementing partner and HACT micro assessment (to be completed by UNDP Country Office)
- G. STANDARD LETTER OF AGREEMENT BETWEEN UNDP AND THE GOVERNMENT FOR THE PROVISION OF SUPPORT SERVICES
- H. FINAL REPORT OF [COUNTRY'S NAME] NATIONAL COMMUNICATION'S / BIENNIAL UPDATE REPORT'S PROJECT
- I. Theory of change schema
- J. Stakeholders institutions
- K. Gender Analysis and Action Plan

Annex A. Multi Year Work Plan

Task (the period of deliverable completion is indicated with a *)	Responsible Party	MONTHS											
		Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2
		YEAR		2020				2021				2022	
<b>Implementation Arrangements</b>													
Hiring of the project management team and technical staff		*											
Establishment of the technical teams		*											
Organization of an expert team meeting		*											
Organization of a project inception workshop		*											
Development of the inception report including a detailed workplan		*											
Establishment of the institutional arrangements agreed			*										
<b>Outcome 1: National Circumstances and other relevant information</b>													
Review and assessment of the issues and secondary information reported in the TNC				*									
Identification of gaps, needs and opportunities and cross-cutting themes (organization of workshops)						*							
Review and assessment of the data reported on the first BUR				*									
Drafting the corresponding section for the 4NC						*							
Drafting the corresponding section for the 2BUR													
<b>Outcome 2: National inventories of Greenhouse Gases and Mitigation Actions</b>													
Organization of the training workshop on the 2006 IPCC guidelines to quantify the NGHGI				*									
Development of the national inventory for 2014, 2016 and 2018 by sector						*					*		
Review, update and assessment of the evolution of Greenhouse Gases Emissions during the 1994-2018 period. This activity includes data collection by sector.									*				
Compilation and analysis of secondary information about mitigation initiatives (organization of workshops)									*				
Drafting the corresponding section for the 4NC										*			
Drafting the corresponding section for the 2BUR				*									
<b>Outcome 3: Adaptation / Vulnerability and Climate Risk</b>													

Compilation and analysis of the secondary information about adaptation initiatives and vulnerability reduction (organization of workshops)								*											
Conduct an assessment of losses and damages produced by climate change				*															
Conduct an analysis of the effects of climate change on seas and oceans						*													
Drafting the corresponding section for the 4NC								*											
<b>Outcome 4: Measurement, Reporting and Verification (Domestic MRV)</b>																			
Assessment of the progress of domestic MRV (organization of workshops)				*															
Drafting the corresponding section for the 4NC											*								
Drafting the corresponding section for the 2BUR			*																
<b>Outcome 5: Compilation of the 4NC/2BUR, knowledge management, monitoring and evaluation</b>																			
Preparing the final draft of the 4NC												*							
Review of the final version of the 4NC											*								
Adjustment of the final version of the 4NC												*							
Submission of the 4NC to the UNFCCC														*					
Preparing the final draft of the 2BUR			*																
Review of the final version of the 2BUR			*																
Adjustment of the final version of the 2BUR			*																
Submission of the 2BUR to the UNFCCC				*															
Publishing and presentation of the documents report																	*		
Financial audit of the project				*						*								*	
Project completion, lessons learned and knowledge generation																			*
<b>OUTCOME 6: Project Management Unit</b>																			
Monitoring and evaluation M&E task to supervise the progress of the project																			
Project closure including the elaboration and presentation of a Project Final Report																			*



## Annex B. Terms of Reference for Key Project Staff: Project Coordinator, Technical Staff and other positions as appropriate

### *Terms of Reference for Key Project Staff*

#### *Project Coordinator*

Duration: 36 months

#### Duties and Responsibilities

*The PC will be responsible for the overall management of the Project, including the mobilisation of all project inputs, supervision over project staff, consultants and sub-contractors. The PC will report to the NPD in close consultation with the assigned UNDP Programme Manager for all of the Project's substantive and administrative issues. From the strategic point of view of the Project, the PC will report on a periodic basis to the Project Steering Committee, based on the NPD instruction. Generally, the PC will support the NPD who will be responsible for meeting government obligations under the Project, under the CO NIM Support modality. The PM will perform a liaison role with the government, UNDP and other UN agencies, and project partners, and maintain close collaboration with other ongoing processes such as NDCs and NAP. The PM will work closely with the staff of the Undersecretary of Climate Change.*

*The PC is responsible for managing the day to day implementation of the project, responsible for the planning, management, quality control, timing and effectiveness of the activities and the use of the project funds. This will be a full time job, thus covering tasks ranging from preparing budgets, work plans, supervising activities, etc. The PC is responsible for the overall management of all aspects of the project, providing technical assistance to the Thematic Working Groups and the Undersecretary for Climate Change in all aspects related to the project. The main responsibilities of this position are:*

- *Lead, manage and coordinate the daily activities of the team, including the project planning programming and execution.*
- *Facilitate the establishment of institutional links needed in the achievement, providing conditions for articulation, harmonization, coordination and involvement of stakeholders.*
- *Prepare, coordinate, execute and supervise the development of the Work Plan approved by the Steering Committee of the project.*
- *Follow up the execution of overall activities as part of the M&E plan of action, which will include the preparation of monitoring reports.*
- *Lead activities needed for the project advancement in its technical aspects, including preparation of hiring terms and conditions, identification and selection of consultants and technicians according to the implementation arrangements of the project.*
- *Assist in the design, supervision, and where possible training, capacity building and diffusion of activities of the project,*
- *Plan, coordinate and supervise the execution of all the programmed courses and study meetings and agreements.*
- *Compile and integrate the results and supplies at the general and sectorial level for the achievement of the final document of the project.*
- *Give support to the NDP in active executions of the Fourth National Communication.*
- *Support the operation of the Steering Committee and advisory group of the project.*
- *Implement the national or international relationships or links necessary for the project.*
- *Maintain direct relation with the Undersecretary of Climate Change in order to include the main guidelines from the Government and use the MAE as the interlocutor of relations with other national and international institutions.*
- *Give the technical support required for the Undersecretary of Climate Change regarding the issues related to the 4NC and 2BUR.*
- *Manage requests for the provision of financial resources by UNDP, through advance of funds, direct payments, or reimbursement using the UNDP provided format.*
- *Prepare, revise and submit project work and financial plans, as required by Project Steering Committee and UNDP.*
- *Monitor financial resources and accounting to ensure accuracy and reliability of financial reports, submitted on a quarterly basis.*

- *Manage and monitor the project risks initially identified and submit new risks to the Project Steering Committee for consideration and decision on possible actions if required; update the status of these risks by maintaining the project risks log.*
- *Oversee and ensure timely submission of the Inception Report, Project Implementation Report, Technical reports, quarterly financial reports, and other reports as may be required by UNDP, GEF and other oversight agencies.*
- *Disseminate project reports and respond to queries from concerned stakeholders.*
- *Oversee the exchange and sharing of experiences and lessons learned with relevant community based integrated conservation and development projects nationally and internationally.*
- *Assist community groups, municipalities, CSOs, staff, students and others with development of essential skills through organizing training workshops and on the job training thereby increasing their institutional capabilities.*
- *Encourage staff, partners and consultants such that strategic, intentional and demonstrable efforts are made to actively include women in the project, including activity design and planning, budgeting, staff and consultant hiring, formal community governance and advocacy, outreach to social organizations, training, participation in meetings; and access to program benefits.*
- *Compile and summarize all the information concerning to the progress of the adaptation and mitigation initiatives in the implementation of the domestic MRV system based on the previous work developed by the NDC and NAP processes.*
- *Coordinate the implementation of knowledge management outputs of the project;*
- *Coordinate and oversee the implementation of public awareness activities across all project components;*
- *Ensure project's M&E meets the requirements of the Government, the UNDP Country Office, and UNDP-GEF; develop project-specific M&E tools as necessary;*
- *Facilitate mid-term and terminal evaluations of the project; including management responses;*
- *Facilitate annual reviews of the project and produce analytical reports from these annual reviews, including learning and other knowledge management products;*

#### Qualifications and expertise

*Have a background in environmental science, natural sciences or studies related to climate change. Must possess applied technical knowledge on climate change, regulatory framework, and governance. Good knowledge of English and good command of Microsoft Office. Preferably should have experience in the development of climate change projects. Specifically, the PC must have:*

- *A university degree (MSc or PhD) in a subject related to natural resource management or environmental sciences.*
- *At least 10 years of experience in natural resource management (preferably in the context of climate change management).*
- *At least 5 years of demonstrable project/programme management experience with public or private institutions*
- *Knowledge of IPCC methodologies and UNFCCC and GEF guidelines*
- *Desirable knowledge of UNDP rules and regulations*

#### Competencies

- *Strong leadership, managerial and coordination skills, with a demonstrated ability to effectively coordinate the implementation of large multi-stakeholder projects, including financial and technical aspects.*
- *Ability to effectively manage technical and administrative teams, work with a wide range of stakeholders across various sectors and at all levels, to develop durable partnerships with collaborating agencies: national government, NGOs, research centers, academia, GADs, Civil Society).*
- *Ability to administer budgets, train and work effectively with counterpart staff at all levels and with all groups involved in the project.*
- *Ability to coordinate and supervise multiple Project Implementation Units in their implementation of technical activities in partnership with a variety of subnational stakeholder groups, including community and government.*
- *Strong drafting, presentation and reporting skills.*
- *Strong communication skills, especially in responding in a timely and accurate way to emails.*
- *Strong computer skills, in particular mastery of all applications of the MS Office package and internet search.*
- *Good understanding of country's environment/development issues and thematic areas under investigations*

## *Financial and Administrative Assistant*

*Duration: 36 months*

### *Duties and Responsibilities*

*Under the guidance and supervision of the PC, the Project Assistant will carry out the following tasks:*

- *Assist the Project Coordinator in day-to-day management and oversight of project activities;*
- *Assist the M&E process in matters related to M&E and knowledge resources management;*
- *Assist in the preparation of progress reports;*
- *Ensure all project documentation (progress reports, consulting and other technical reports, minutes of meetings, etc.) are properly maintained in hard and electronic copies in an efficient and readily accessible filing system when required by PSC, UNDP, project consultants and other Technical staff;*
- *Provide related administrative and logistical assistance.*
- *Keep records of project funds and expenditures, and ensure all project-related financial documentation are well maintained and readily available when required by the Project Coordinator;*
- *Review project expenditures and ensure that project funds are used in compliance with the Project Document and financial rules and procedures;*
- *Provide necessary financial information as and when required for project management decisions;*
- *Provide necessary financial information during project audit(s);*
- *Review annual budgets and project expenditure reports, and notify the Project Coordinator if there are any discrepancies or issues;*
- *Consolidate financial progress reports submitted by the responsible parties for implementation of project activities;*
- *Liaise and follow up with the responsible parties for implementation of project activities in matters related to project funds and financial progress reports.*

### *Qualifications and expertise*

- *Desirable a bachelor degree or an equivalent qualification in accounting/ financial management;*
- *At least three years of work experience preferably in a project involving environmental or natural resource management and/or sustainable livelihoods. Previous experience with multi-lateral/ international funding agency will be a definite asset;*
- *Very good inter-personal skills;*
- *Proficiency in the use of computer software applications especially MS Word and MS Excel.*

## **National Greenhouse Gas Inventory Specialist**

Duration: 36 months

### Duties and Responsibilities

The specialist will be responsible for running the day-to-day operation of the GHG component. He/she needs to be a competent person in GHG inventory management and shall be able to develop a clear reporting activity of GHG inventories coordination with other ongoing initiatives, and among stakeholders. The person will report to the PC in coordination with the DPN.

- *Be in charge of all tasks related to the preparation of the NGHGI, in direct coordination with the PC, but also act as the liaison with other ongoing initiatives and stakeholders*
- *Lead, manage and coordinate the activities of the GHGI Technical Team to ensure their proper functioning during the NGHGI preparation by sector*
- *Lead the elaboration of the annual operation plan of the GHGI component*
- *Promote the establishment of institutional agreements to ensure the NGHGI elaboration within the national regulatory framework, i.e., COA.*
- *Assist in the preparation and implementation of the general working plan for GHGI based on the priority sectors defined in the NSCC, in close coordination with other ongoing initiatives, ensuring synergies based on the efficient use of resources allocated for the related activities. This activity includes the identification of best practices for the work plan design, efficient GHG data collection, calculation and verification, related to the development of the Procedures Manual*
- *Review the previous information and results of the NGHGI, including an analysis of its key categories (if necessary) and an improvement plan*
- *Ensure the effective application of the 2006 IPCC Guidelines in the quantification of the NGHGI by sectors for years 2016 and 2018*
- *Supervise the activities required to update the GHGI for the years 1994, 2000, 2006, 2010, 2012 and 2014 following the 2006 IPCC Guidelines*
- *Give support to the technical team of inventories to identify stakeholders, select methods, data collections, analyze data, QA/QC implementation, among others*
- *Elaborate a trend analysis of GHG concentrations for the years 1994, 2000, 2006, 2010, 2012, 2014, 2016 and 2018*
- *Lead the preparation of the technical reports to inform the results obtained in the quantification of the NGHGI considering a sectorial approach. The report will include all the activities carried out during the elaboration of the NGHGI, a list of the involved stakeholders, institutional arrangements, protocols, and the analysis performed*
- *Assist in the implementation of the Improvement Plan of the GHGI System*
- *Apply the UNFCCC software (NAIIS) to quantify the GHGIs and ensure monitoring protocols are followed.*
- *Organize and participate in capacity building activities in coordination with the PC and the NDP*
- *Supervise the performance of the platform technology, process mapping and others to ensure the GHGI institutionalization*
- *Support the PC in the elaboration of the technical requirements for the recruitment processes*
- *Support in the elaboration of the mitigation scenarios linked to other ongoing initiatives, for example, NDCs*
- *Assist in the capacity building process of the National System of GHGI. This process is addressed to the stakeholders providers of relevant data to quantify GHGI*
- *Work in close collaboration and provide technical support to the Thematic Working Groups, the Undersecretary for Climate Change and the PC in all aspects related to the GHGI development.*
- *Analyze the progress of the mitigation measurements after the Third National Communication, NSCC, NDCs*

### Qualifications and expertise

- *Undergraduate degree on matters related to environmental engineering, agriculture, forestry, natural resource management, Chemistry, Industry, Mechanics, Electrical, Economy or another.*



- *General professional experience of at least 4 years*
- *Must have at least 3 years' experience in generating and analyzing GHG inventories*
- *Demonstrable knowledge in using methodologies to estimate GHG emission and removals at national and/or sub-national level under the framework of UNFCCC*
- *Knowledge of the IPCC 2006 Guidelines for the survey and analysis of the Greenhouse Inventories*
- *Research capacity and robust statistical knowledge in data management*

Competencies

*He/she should be creative (or), proactive (o), show competence in managing GHG inventories. Must be able to perform their work independently but in close coordination with other outputs of the project. The competences required are:*

- *Leadership, managerial and coordination skills, with a demonstrated ability to coordinate technical teams across various sectors and at all levels*
- *Strong planning and organization skills*
- *Strong communication skills, especially in responding in a timely and accurate ways to emails.*
- *Strong drafting, presentation and reporting skills.*
- *Commitment to collaboration learning*
- *Mastery of all applications of the MS Office package and internet search.*

## Greenhouse Gas Inventory Technician - Energy Sector

Duration: 18 months

### Duties and Responsibilities

Contribute to the update of NGHGI based on the available data. Previous GHGI were computed using the 1996 IPCC Guidelines and must be updated following the 2006 IPCC Guidelines. Under the guidance and supervision of the GHGI Specialist, the Technician for the Energy sector will be responsible for giving support in the preparation and submission of the 4NC and 2BUR, to this end the technician will carry out the following tasks:

- Elaborate technical reports about the quantification of the NGHGI in the energy sector for years 2016 and 2018 to be included in the NC and BUR following the 2006 IPCC Guidelines
- Update the technical reports about the quantification of the NGHGI in the energy sector for years 1994, 2000, 2006, 2010, 2012, 2014, following the 2006 IPCC Guidelines
- Assist the GHGI Specialist in the elaboration of the trend analysis of GHG concentrations for the years 1994, 2000, 2006, 2010, 2012, 2014, 2016 and 2018 for the Energy sector
- Develop the concerning chapter of the 2BUR for the Energy sector
- Assist during the submission of the 2BUR on in the tier review process
- Assist during the submission of the 4NC on in the tier review process
- Assist in the preparation of the guidelines for prepare and report the NGHGI following the UNFCCC framework for the Non-Annex Parties considering the 2006 IPCC Guidelines
- Assist in the implementation activities of the 2006 IPCC Guidelines to the quantification of the NGHGI in the energy sector
- Identify and update the list of key stakeholders who will contribute with the quantification of the NGHGI in the energy sector
- Contribute to the achievement of institutional arrangements for the development of NGHGI.
- Collect information from the energy sector from stakeholders Analyze and validate the status of the data provided by the stakeholders for the quantification of the NGHGI in the energy sector
- Organize and participate in workshops with stakeholders and prepare reports, acts and other technical documents as required by the sector.
- Assist in the capacity building process about the National System of GHGI. This process is addressed to the stakeholders providers of relevant data to quantify GHGI
- Participate in national or international capacity building activities related with the GHGI in the energy sector and without affecting the normal progress of the project
- Elaborate protocols to gather data, methods, among others technical documentation related to the NGHGI for the Energy sector
- Support in the development and validation of NGHGI energy sector for the year 2014 and 2016
- Support in the implementation of the Improvement Plan of the NGHGI System concerning to the Energy sector.
- Support in the development of the trend and mitigation scenarios concerning to the Energy sector
- Work in close collaboration with the other technicians hired to elaborate the NGHGI for the other sectors
- Interact and share information with the technical staff of the Undersecretary of Climate Change
- Assist to the GHGI specialist in technical tasks related to the development of NGHGI considering project work planning.
- Elaborate and present a monthly report to inform the progress made in the NGHGI concerning with the energy sector
- Other to be defined for the fulfillment of project activities.

### Qualifications and expertise

The professional must be able to design and plan a basic inventory process, evaluate and apply calculations for the purpose of compiling a Greenhouse Gas Inventory. The person must be able to articulate protocols, specifications or recommendations for the management of GHG information; evaluate various sources of information to help identify the national inventory boundaries. Use basic math skills and knowledge of statistics to perform emissions calculations and quality assurance and quality control checks. Furthermore, the candidate should apply her/his knowledge of GHG

accounting and reporting fundamentals, climate change science principles and generally accepted protocols, standards and methodologies.

- *Professional with an undergraduates degree in Electrical Engineering, Mechanical Engineering, Industry, Chemistry and Environment Engineering or related to the subject of this contract*
- *Preferably with postgraduate specialization in issues related to sustainable development, energy or climate change*
- *Deep knowledge of statistical data analysis.*
- *At least 1 year of experience in climate change in the energy sector. Must have at least 1 years' experience in generating and analyzing GHG inventories*
- *Must have at least 2 years' experience working for the public sector, ONGs or other institutions linked to climate change mitigation initiatives*
- *Must have at least 1 year experience in managing data, including data collection, processing and quality control of time series*
- *Research capacity and robust statistical knowledge in data management and data quality control*
- *Demonstrated knowledge about the National Energy Balance*

#### Competencies

*He/she should be creative (or), proactive (o), showing competence in computing GHG inventories and its evolution. Must be able to perform their work independently but in close coordination with other members for the project. The competences required are:*

- *Ability to function as a team member and to communicate technical information*
- *Ability to work under pressure and manage complex situations*
- *Strong communication skills, especially in responding in a timely and accurate way to emails.*
- *Strong drafting, presentation and reporting skills.*
- *Very good inter-personal skills*
- *Commitment to collaboration learning*
- *Mastery of all applications of the Statistical and MS Office package and internet search.*
- *Strong planning and organization skills to collect data, compile, analyze and communicate technical information*

## Greenhouse Gas Inventory Technician – Industry Sector

Duration: 18 months

### Duties and Responsibilities

Contribute to the updating of NGHGI based on the available of data. Previous GHGI were computed using the 1996 IPCC Guidelines and must be updated following the 2006 IPCC Guidelines. Under the guidance and supervision of the GHGI Specialist, the Technician for the Industry sector will be responsible to give support in the preparation and submission of the 4NC and 2BUR, to this end the technician will carry out the following tasks:

- Elaborate technical reports about the quantification of the NGHGI in the Industry sector for years 2016 and 2018 to be included in the NC and BUR following the 2006 IPCC Guidelines
- Update the technical reports about the quantification of the NGHGI in the Industry sector for years 1994, 2000, 2006, 2010, 2012, 2014 following the 2006 IPCC Guidelines
- Assist to the GHGI Specialist in the elaboration of the trend analysis of GHG concentrations for the years 1994, 2000, 2006, 2010, 2012, 2014, 2016 and 2018 for the Industry sector
- Develop the concerning chapter of the 2BUR for the Industry sector
- Assist during the submission of the 2BUR an in the tier review process
- Assist during the submission of the 4NC an in the tier review process
- Assist in the preparation of the guidelines for prepare and report the NGHGI following the UNFCCC framework for the Non-Annex Parties considering the 2006 IPCC Guidelines
- Assist in the implementarion activities of the 2006 IPCC Guidelines for the quantification of the NGHGI in the Industry sector
- Identify and update the list of key stakeholders who will contribute with the quantification of the NGHGI in the Industry sector
- Contribute to the achievement of institutional arrangements for the development of NGHG.
- Raise information of Industry sector from stakeholders.
- Analyze and validate the status og the data provided by the stakeholders for the quantification of the NGHGI in the Industry sector
- Organize and participate in workshops with stakeholders and prepare reports, acts and other technical documents as required by the sector.
- Assist in the capacity building process about the Natinal System of GHGI. This process is adreseed to the stakeholders providers of relevant data to quantify GHGI
- Participate in national or international capacity building activities related with the GHGI in the Industry sector and without affecting the normal progress of the project
- Elaborate protocols to raise data, methods, among others technical documentation related to the NGHGI for the Industry sector
- Support in the development and validation of NGHGI industry sector for the year 2014 and 2016Support t in the implementation of the Improvement Plant of the NGHGI System concerning to the Industry sector.
- Suppor in the development of the trend and in the elabotarion of the mitigation scenarios concerning to the Industry sector
- Work in close collaboration with the other technicians hired to elaborate the NGHGI for the other sectors
- Interact and share information with the technical staff of the Undersecretary of Climate Change
- Assist to the GHGI speciatist in technical tasks related to the development of NGHGI considering project work planning.
- Elaborate and present a monthly report to inform the progress made in the NGHGI concerning with the Industry sector
- Other to be defined for the fulfillment of project activities.

### Qualifications and expertise

The professional must be able to design and plan a basic inventory process, evaluate and apply calculations for compiling a Greenhouse Gas Inventory. The person must be able to articulate protocols, specifications or recommendations for the management of GHG information; evaluate various sources of information to help identify the national inventory boundaries. Use basic math skills and knowledge of statistics to perform emissions calculations

and quality assurance and quality control checks. Furthermore, the candidate should apply her/his knowledge of GHG accounting and reporting fundamentals, climate change science principles and generally accepted protocols, standards and methodologies.

- *Professional with undergraduates in Electrical Engineering, Mechanical Engineering, Industry, Chemistry and Environment Engineering or related to the subject of this contract*
- *Preferably with postgraduate specialization in issues related to sustainable development, energy or climate change*
- *Deep knowledge of statistical data analysis.*
- *At least 1 year of experience in climate change in the industry sector.*
- *Must have at least 1 years' experience in generating and analyzing GHG inventories*
- *Must have at least 2 years' experience working for the public sector, ONGs or other institutions linked to climate change mitigation initiatives*
- *Have experience in managing data, including data collection, processing and quality control of time series*
- *Research capacity and robust statistical knowledge in data management and data quality control*

#### Competencies

*He/she should be creative (or), proactive (o), showing competence in computing GHG inventories and its evolution. Must be able to perform their work independently but in close coordination with other outputs for the project. The competences required are:*

- *Ability to function as a team member and to communicate technical information*
- *Ability to work under pressure and manage complex situations*
- *Strong communication skills, especially in timely and accurate responses to emails.*
- *Strong drafting, presentation and reporting skills.*
- *Very good inter-personal skills*
- *Commitment to collaboration learning*
- *Mastery of all applications of the Statistical and MS Office package and internet search.*
- *Strong planning and organization skills to collect data, compile, analyze and communicate technical information*

## Greenhouse Gas Inventory Technician – Agriculture Sector

Duration: 18 months

### Duties and Responsibilities

Contribute to the updating of NGHGI based on the available of data. Previous GHGI were computed using the 1996 IPCC Guidelines and must be updated following the 2006 IPCC Guidelines. Under the guidance and supervision of the GHGI Specialist, the Technician for the Agriculture sector will be responsible to give support in the preparation and submission of the 4NC and 2BUR, to this end the technician will carry out the following tasks:

- Elaborate technical reports about the quantification of the NGHGI in the Agriculture sector for years 2016 and 2018 to be included in the NC and BUR following the 2006 IPCC Guidelines
- Update the technical reports about the quantification of the NGHGI in the Agriculture sector for years 1994, 2000, 2006, 2010, 2012, 2014, following the 2006 IPCC Guidelines
- Assist to the GHGI Specialist in the elaboration of the trend analysis of GHG concentrations for the years 1994, 2000, 2006, 2010, 2012, 2014, 2016 and 2018 for the Agriculture sector
- Develop the concerning chapter of the 2BUR for the Agriculture sector including the NGHGI for the year 2014 following the 2006 IPCC Guidelines
- Assist during the submission of the 2BUR an in the tier review process
- Assist during the submission of the 4NC an in the tier review process
- Assist in the preparation of the guidelines for prepare and report the NGHGI following the UNFCCC framework for the Non-Annex Parties considering the 2006 IPCC Guidelines
- Assist in the implementarian activities of the 2006 IPCC Guidelines for the quantification of the NGHGI in the Agriculture sector
- Identify and update the list of key stakeholders who will contribute with the quantification of the NGHGI in the Agriculture sector
- Contribute to the achievement of institutional arrangements for the development of NGHGI.
- Raise information of Agriculture sector from stakeholders.
- Analyze and validate the status og the data provided by the stakeholders for the quantification of the NGHGI in the Agriculture sector
- Organize and participate in workshops with stakeholders and prepare reports, acts and other technical documents as required by the sector.
- Assist in the capacity building process about the Natinal System of GHGI. This process is adreseed to the stakeholders providers of relevant data to quantify GHGI
- Participate in national or international capacity building activities related with the GHGI in the Agriculture sector and without affecting the normal progress of the project
- Elaborate protocols to raise data, methods, among others technical documentation related to the NGHGI for the Agriculture sector
- Support in the development and validation of NGHGI agriculture sector for the year 2014 and 2016
- Support in the implementation of the Improvement Plant of the NGHGI System concerning to the Agriculture sector.
- Suppot in the development of the trend and in the elabotarian of the mitigation scenarios concerning to the Agriculture sector
- Work in close collaboration with the other technicians hired to elaborate the NGHGI for the other sectors
- Interact and share information with the technical staff of the Undersecretary of Climate Change
- Assist to the GHGI spciatist in technical tasks related to the development of NGHGI considering project work planning.
- Elaborate and present a monthly report to inform the progress made in the NGHGI concerning with the Agriculture sector
- Other to be defined for the fulfillment of project activities.

### Qualifications and expertise

The professional must be able to design and plan a basic inventory process, evaluate and apply calculations for compiling a Greenhouse Gas Inventory. The person must be able to articulate protocols, specifications or

recommendations for the management of GHG information; evaluate various sources of information to help identify the national inventory boundaries. Use basic math skills and knowledge of statistics to perform emissions calculations and quality assurance and quality control checks. Furthermore, the candidate should apply her/his knowledge of GHG accounting and reporting fundamentals, climate change science principles and generally accepted protocols, standards and methodologies.

- *Professional with undergraduates in Agriculture Engineering, Agrodiversity and Biology related to the subject of this contract*
- *Preferably with postgraduate specialization in issues related to sustainable development, Agriculture or climate change*
- *Deep knowledge of statistical data analysis.*
- *At least 1 year of experience in climate change in the agriculture sector. Must have at least 1 years' experience in generating and analyzing GHG inventories Must have at least 2 years' experience working for the public sector, ONGs or other institutions linked to climate change mitigation initiatives*
- *Have experience in managing data, including data collection, processing and quality control of time series*
- *Research capacity and robust statistical knowledge in data management and data quality control*

#### Competencies

*He/she should be creative (or), proactive (o), showing competence in computing GHG inventories and its evolution. Must be able to perform their work independently but in close coordination with other outputs for the project. The competences required are:*

- *Ability to function as a team member and to communicate technical information*
- *Ability to work under pressure and manage complex situations*
- *Strong communication skills, especially in timely and accurate responses to emails.*
- *Strong drafting, presentation and reporting skills.*
- *Very good inter-personal skills*
- *Commitment to collaboration learning*
- *Mastery of all applications of the Statistical and MS Office package and internet search.*
- *Strong planning and organization skills to collect data, compile, analyze and communicate technical information*

## Greenhouse Gas Inventory Technician – LULUCF Sector

Duration: 18 months

### Duties and Responsibilities

Contribute to the updating of NGHGI based on the available of data. Previous GHGI were computed using the 1996 IPCC Guidelines and must be updated following the 2006 IPCC Guidelines. Under the guidance and supervision of the GHGI Specialist, the Technician for the LULUCF sector will be responsible to give support in the preparation and submission of the 4NC and 2BUR, to this end the technician will carry out the following tasks:

- Elaborate technical reports about the quantification of the NGHGI in the LULUCF sector for years 2016 and 2018 to be included in the NC and BUR following the 2006 IPCC Guidelines
- Update the technical reports about the quantification of the NGHGI in the LULUCF sector for years 1994, 2000, 2006, 2010, 2012, 2014 following the 2006 IPCC Guidelines
- Assist to the GHGI Specialist in the elaboration of the trend analysis of GHG concentrations for the years 1994, 2000, 2006, 2010, 2012, 2014, 2016 and 2018 for the LULUCF sector
- Develop the concerning chapter of the 2BUR for the LULUCF sector including the NGHGI for the year 2014 following the 2006 IPCC Guidelines
- Assist during the submission of the 2BUR an in the tier review process
- Assist during the submission of the 4NC an in the tier review process
- Assist in the preparation of the guidelines for prepare and report the NGHGI following the UNFCCC framework for the Non-Annex Parties considering the 2006 IPCC Guidelines
- Assist in the implementarion activities of the 2006 IPCC Guidelines for the quantification of the NGHGI in the LULUCF sector
- Identify and update the list of key stakeholders who will contribute with the quantification of the NGHGI in the LULUCF sector
- Contribute to the achievement of institutional arrangements for the development of NGHGI.
- Raise information of LULUCF sector from stakeholders.
- Analyze and validate the status og the data provided by the stakeholders for the quantification of the NGHGI in the LULUCF sector
- Organize and participate in workshops with stakeholders and prepare reports, acts and other technical documents as required by the sector.
- Assist in the capacity building process about the Natinal System of GHGI. This process is adreseed to the stakeholders providers of relevant data to quantify GHGI
- Participate in national or international capacity building activities related with the GHGI in the LULUCF sector and without affecting the normal progress of the project
- Elaborate protocols to raise data, methods, among others technical documentation related to the NGHGI for the LULUCF sector
- Support in the development and validation of NGHGI LULUCF sector for the year 2014 and 2016
- Support in the implementation of the Improvement Plant of the NGHGI System concerning to the LULUCF sector.
- Suppot in the development of the trend and in the elabotarion of the mitigation scenarios concerning to the LULUCF sector
- Work in close collaboration with the other technicians hired to elaborate the NGHGI for the other sectors
- Interact and share information with the technical staff of the Undersecretary of Climate Change
- Assist to the GHGI speciatist in technical tasks related to the development of NGHGI considering project work planning.
- Elaborate and present a monthly report to inform the progress made in the NGHGI concerning with the LULUCF sector
- Other to be defined for the fulfillment of project activities.

### Qualifications and expertise

The professional must be able to design and plan a basic inventory process, evaluate and apply calculations for compiling a Greenhouse Gas Inventory. The person must be able to articulate protocols, specifications or recommendations for the management of GHG information; evaluate various sources of information to help identify



the national inventory boundaries. Use basic math skills and knowledge of statistics to perform emissions calculations and quality assurance and quality control checks. Furthermore, the candidate should apply her/his knowledge of GHG accounting and reporting fundamentals, climate change science principles and generally accepted protocols, standards and methodologies.

- *Professional with undergraduates in Agriculture Engineering, Forest, Agrodiversity, Biology or related to the subject of this contract*
- *Preferably with postgraduate specialization in issues related to sustainable development, Agriculture or climate change*
- *Deep knowledge of statistical data analysis.*
- *At least 1 year of experience in climate change in the LULUCF sector. Must have at least 1 years' experience in generating and analyzing GHG inventories*
- *Must have at least 2 years' experience working for the public sector, ONGs or other institutions linked to climate change mitigation initiatives*
- *Have experience in managing data, including data collection, processing and quality control of time series*
- *Research capacity and robust statistical knowledge in data management and data quality control*

#### Competencies

*He/she should be creative (or), proactive (o), showing competence in computing GHG inventories and its evolution. Must be able to perform their work independently but in close coordination with other outputs for the project. The competences required are:*

- *Ability to function as a team member and to communicate technical information*
- *Ability to work under pressure and manage complex situations*
- *Strong communication skills, especially in timely and accurate responses to emails.*
- *Strong drafting, presentation and reporting skills.*
- *Very good inter-personal skills*
- *Commitment to collaboration learning*
- *Mastery of all applications of the Statistical and MS Office package and internet search.*
- *Strong planning and organization skills to collect data, compile, analyze and communicate technical information*

## Greenhouse Gas Inventory Technician – Waste Sector

Duration: 18 months

### Duties and Responsibilities

Contribute to the updating of NGHGI based on the available of data. Previous GHGI were computed using the 1996 IPCC Guidelines and must be updated following the 2006 IPCC Guidelines. Under the guidance and supervision of the GHGI Specialist, the Technician for the Waste sector will be responsible to give support in the preparation and submission of the 4NC and 2BUR, to this end the technician will carry out the following tasks:

- Elaborate technical reports about the quantification of the NGHGI in the Waste sector for years 2016 and 2018 to be included in the NC and BUR following the 2006 IPCC Guidelines
- Update the technical reports about the quantification of the NGHGI in the Waste sector for years 1994, 2000, 2006, 2010, 2012, 2014 following the 2006 IPCC Guidelines
- Assist to the GHGI Specialist in the elaboration of the trend analysis of GHG concentrations for the years 1994, 2000, 2006, 2010, 2012, 2014, 2016 and 2018 for the Waste sector
- Develop the concerning chapter of the 2BUR for the Waste sector including the NGHGI for the year 2014 following the 2006 IPCC Guidelines
- Assist during the submission of the 2BUR an in the tier review process
- Assist during the submission of the 4NC an in the tier review process
- Assist in the preparation of the guidelines for prepare and report the NGHGI following the UNFCCC framework for the Non-Annex Parties considering the 2006 IPCC Guidelines
- Assist in the implementarion activities of the 2006 IPCC Guidelines for the quantification of the NGHGI in the Waste sector
- Identify and update the list of key stakeholders who will contribute with the quantification of the NGHGI in the Waste sector
- Contribute to the achievement of institutional arrangements for the development of NGHGI.
- Raise information of Waste sector from stakeholders.
- Analyze and validate the status og the data provided by the stakeholders for the quantification of the NGHGI in the Waste sector
- Organize and participate in workshops with stakeholders and prepare reports, acts and other technical documents as required by the sector.
- Assist in the capacity building process about the Natinal System of GHGI. This process is adreseed to the stakeholders providers of relevant data to quantify GHGI
- Participate in national or international capacity building activities related with the GHGI in the Waste sector and without affecting the normal progress of the project
- Elaborate protocols to raise data, methods, among others technical documentation related to the NGHGI for the Waste sector
- Support in the development and validation of NGHGI residues sector for the year 2014 and 2016Support in the implementation of the Improvement Plant of the NGHGI System concerning to the Waste sector.
- Suppot in the development of the trend in the elabotarion of the mitigation scenarios concerning to the EnWaste sector
- Work in close collaboration with the other technicians hired to elaborate the NGHGI for the other sectors
- Interact and share information with the technical staff of the Undersecretary of Climate Change
- Assist to the GHGI speciatist in technical tasks related to the development of NGHGI considering project work planning.
- Elaborate and present a monthly report to inform the progress made in the NGHGI concerning with the Waste sector
- Other to be defined for the fulfillment of project activities.

### Qualifications and expertise

The professional must be able to design and plan a basic inventory process, evaluate and apply calculations for compiling a Greenhouse Gas Inventory. The person must be able to articulate protocols, specifications or recommendations for the management of GHG information; evaluate various sources of information to help identify

the national inventory boundaries. Use basic math skills and knowledge of statistics to perform emissions calculations and quality assurance and quality control checks. Furthermore, the candidate should apply her/his knowledge of GHG accounting and reporting fundamentals, climate change science principles and generally accepted protocols, standards and methodologies.

- *Professional with undergraduates in Sanitary, Biology, Chimestry and Environment Engineering or related to the subject of this contract*
- *Deep knowledge of statistical data analysis.*
- *At least 1 year of experience in climate change in the residues sector.*
- *Must have at least 1 years' experience in generating and analyzing GHG inventories*
- *Must have at least 2 years' experience working for the public sector, ONGs or other institutions linked to climate change mitigation initiatives*
- *Have experience in managing data, including data collection, processing and quality control of time series*
- *Research capacity and robust statistical knowledge in data management and data quality control*

#### Competencies

*He/she should be creative (or), proactive (o), showing competence in computing GHG inventories and its evolution. Must be able to perform their work independently but in close coordination with other outputs for the project. The competences required are:*

- *Ability to function as a team member and to communicate technical information*
- *Ability to work under preasure and manage complex situations*
- *Strong communication skills, especially in timely and accurate responses to emails.*
- *Strong drafting, presentation and reporting skills.*
- *Very good inter-personal skills*
- *Commitment to collaboration learning*
- *Mastery of all applications of the Statistical and MS Office package and internet search.*
- *Strong planning and organization skills to collect data, compile, analyze and communicate technical information*

## Climate Change Mitigation Technician Expert

Duration: 18 months

### Duties and Responsibilities

Under the guidance and supervision of the PC and in coordination with the NDP, the Climate Change Mitigation Technician Expert will be responsible to give support in the preparation and submission of the 4NC and 2BUR, to this end the technician will carry out the following tasks:

- Elaborate progress report on the implementation of mitigation measures by priority sectors
- Elaborate progress report NAMAs Annotated prioritized by sector
- Elaborate progress report on the National REDD+ implementation
- Elaborate progress report on the NDC implementation
- Elaborate progress report on the participation in the flexible mechanisms CDM and CDM program
- Work in close collaboration with the TWG.
- Assist the PC in the identification of gaps, barriers and opportunities for the implementation of the mitigation initiatives
- Synthesize the relevant reports about mitigation measures and actions in Ecuador since the Third National Communication to prepare the Second Biennial Update Report, and the Fourth National Communication
- Organize the information linked to the initiatives, projects and/or programs for mitigation, considering the initiatives executed and in progress such as the NDC
- Assist in the research, development and review of technical reports on issues related to mitigation.
- Collaborate with the organization of training and dissemination of workshops about expected products on Mitigation actions, if required.
- Establish a system of information management, physical and digital, which will serve as input for the development of the 4NC content.
- Assist the PC and meet other activities to ensure the development of the 4NC/2BUR.

### Qualifications and expertise

Professional with an undergraduate degree in engineering or environmental sciences, with demonstrated experience of at least three years in developing mechanisms for climate change mitigation, analysis and monitoring in various prioritized sectors, or as part of other environmental studies

### Competencies

- Ability to function as a team member and to communicate technical information
- Ability to work under pressure and manage complex situations
- Strong communication skills, especially in responding in a timely and accurate fashion to emails.
- Strong drafting, presentation and reporting skills.
- Commitment to collaboration learning
- Mastery of all applications of the MS Office package and internet search.
- Strong planning and organization skills to collect data, compile, analyze and communicate technical information

## Climate Change Adaptation Specialist

Duration: 18 months

### Duties and Responsibilities

*Under the guidance and supervision of the PC and in coordination with the NDP, the Adaptation Specialist will be responsible for giving support in the preparation and submission of the 4NC and 2BUR, to this end the technician will carry out the following tasks:*

- *Update information about climate change evidence as inputs for the 4NC report*
- *Assist the PC in the identification of gaps, barriers and opportunities for the implementation of the adaptation initiatives*
- *Assess current socio-economic conditions and vulnerability related to climate change for the 4NC.*
- *Describe progress in implementing adaptation measures or facilitate adaptation at national level (policies,*
- *Recommend and develop a framework for improved efficient communication on V&A.*
- *Organize workshops to train stakeholders in the IPCC and UNFCCC guidelines and documents related to socio-economic assessments.*
- *Work in close collaboration with the TWG.*
- *Coordinate and supervise the development of the analysis of the effects of climate change on seas and oceans*
- *Collect, analyze and systematize information on topics related to Vulnerability and Adaptation measurements by priority sectors in Ecuador since the Third National Communication to prepare the Fourth National Communication*
- *Assist in the research, development and review of technical reports on issues related to adaptation and vulnerability.*
- *Organize the information linked to the initiatives, projects and/or programs for Adaptation, considering the initiatives executed and in progress such as the NDC and NAP*
- *Collaborate with the organization of training and dissemination of workshops about expected products on Adaptation actions, if required.*
- *Establish a system of information management, physical and digital, which will serve as input for the development of the 4NC content.*
- *Safeguard the physical and digital information that serves as input for the development of the national reports*
- *Assist the PC and meet other activities to ensure the development of the 4NC*

### Qualifications and expertise

*Professional fourth level in engineering or environment sciences with demonstrate at least 4 years' experience in vulnerability and adaptation to climate change, risk management, environmental studies, construction of indicators related to socio economic vulnerability areas of analysis, among others related that make constitute an asset.*

### Competencies

- *Ability to function as a team member and to communicate technical information*
- *Ability to work under pressure and manage complex situations*
- *Strong communication skills, especially in responding in a timely and accurate fashion to emails.*
- *Strong drafting, presentation and reporting skills.*
- *Commitment to collaboration learning*
- *Mastery of all applications of the MS Office package and internet search.*

*Strong planning and organization skills to collect data, compile, analyze and communicate technical information*

### **Annex C. UNDP Social and Environmental and Social Screening Procedure (SESP) - Exempt**

For the preparation and dissemination of reports, documents and communication materials, the Social and Environmental Screening Procedure (SESP) is not required based on the exemption criteria (<https://popp.undp.org/SitePages/POPPSubject.aspx?SBJID=447&Menu=BusinessUnit&Beta=0>). Therefore, the 4NC and 2BUR which are reports follow these criteria.

**Annex D. UNDP Project Quality Assurance Report (to be completed by UNDP Country Office)**

Project Quality Assurance Report cleared by UNDP-Ecuador is attached as a separate annex to the project document. The link to the Project Quality Assurance Report is here:

<https://intranet-apps.undp.org/ProjectQA/Forms/Design?fid=317&year=2019&ou=ECU&pid=00112463&fltr=PROJECT>

## Annex E. UNDP Risk Log (to be completed by UNDP Country Office)

<b>Title</b>	<b>PROJECT RISK LOG - DELIVERABLE DESCRIPTION AND OFFLINE TEMPLATE</b>
<b>Responsible Unit</b>	BPPS/Development Impact Group
<b>Date approved</b>	25 May 2018
<b>Applicability</b>	Applicable to all UNDP Development Projects, Development Services, Engagement Facilities, Multi-Country and South-South Projects, Development and Institutional Effectiveness Projects
<b>Is part of</b>	UNDP Programme & Operations Policies and Procedures – Programme and Project Management

### Purpose/Description of the Project Risk Log

UNDP's Enterprise Risk Management Policy applies to risks across all levels of the organization, including project level. Risks at the Programme/Unit level are tracked through the IWP Risk Register. Risks at the Project Level are tracked through the Project Risk Log.

**Risk** is defined as the effects of uncertainty on organizational objectives. An effect is a deviation from the expected – positive and/or negative. It is best practice to formulate risk in terms of “future event.”

In order to contribute to a project's success, risks must be identified, assessed, prioritized and mitigated. Risk treatment and mitigation measures need to be considered and an appropriate risk management plan needs to be developed and implemented. This involves planning for and implementing resources to carry out selected actions to address the risks. These actions must be incorporated in the project work-plan, including project monitoring and reporting to ensure that all risk management activities are being implemented and have the desired effect.

Risks must be identified and assessed using the project Risk Log, which shall be submitted to the Project Appraisal Committee (PAC) as an annex to the project document. The Risk Log must then be maintained and updated as needed in Atlas for the duration of the project.

### Project Risk Log Templates

There are two templates for the Project Risk Log: an offline template, and an Atlas template.

See Annex 2 for the offline template for the Project Risk Log. The offline template should be used for the initial drafting of the Risk Log during project design and included in the draft project document as an annex.

[Click here for the Atlas Project Risk Log](#) in the Project Management module. During project implementation, the project management team should update the Risk Log in Atlas as often as needed but no less than twice a year.

Should the project management team have limited access to Atlas, it is acceptable to use the offline template. The offline template should be transferred into Atlas by the UNDP Project Assurance (or by a member of the project management team with external access to Atlas) on a regular basis.

The Risk Log information in Atlas is automatically reflected in the Project Progress Report.

Note that Programme/Unit level risks are tracked in the Corporate Planning System, through the IWP Risk Register. The Project Risk Log should be informed by the IWP Risk Register.

### Composition of Project Risk Log

- Risk ID number: reference number to allow grouping of all information on this risk
- Description: brief description of the risk, including potential future event and its cause
- Date identified: when was the risk identified
- Type (i.e. as per ERM risk categories): Social and Environmental, Financial, Operational, Organizational, Political, Regulatory, Strategic
- Impact and Probability:
  - Impact: effect on the project if the risk were to occur on a scale of 1 (low) to 5 (critical)
  - Probability: estimate of the likelihood of the risk occurring on a scale of 1 (not likely) to 5 (expected)
- Risk Treatment/Management Response: what actions have been taken/will be taken to counter this risk
- Risk Owner: the person or entity with the responsibility to manage the risk.
- Submitted/updated by: who submitted/updated the risk (online only)
- Last update: when was the status of the risk last checked (online only)
- Current status: implementation status of risk management measures and their effectiveness and relevant changes in context (online only)



## Inputs

Risks are identified using the ERM Risk Categories (see Annex 1) and relevant risk tools such as the HACT, Social and Environmental Screening Procedure, Private Sector Due Diligence, Theory of Change, etc. Project risks can be identified and updated at any time. They may also derive from risks identified at the Programme/Unit level or may contribute to risks at the Programme/Unit level.

Based on identification and assessment, a risk analysis shall be completed by the Project Developer as part of the Project Document preparation, using the standard offline Risk Log template. The initial draft of the Risk Log should be reviewed by the PAC. Once the consensus on the risks, including possible management measures if known, has been reached, and once the project Award has been created, the risks should be recorded in Atlas.

The Risk Log should be maintained and updated as needed (but at least twice a year) in Atlas for the duration of the project; the information entered will be reflected in the Project Progress Report. There must be a check for any new risks every time the Risk Log is updated.

## Atlas Action Points

The Atlas Project Management Facility's Risk Log should be used to reflect the Risks initially identified and presented to the PAC. The same facility should be used to provide regular updates on identified risks and to record new risks. Navigation is Grants > Project Management > [Award Summary](#) > Risk Log tab.

To learn how to open the Risk Log in Atlas, see the Atlas Training platform. <http://ondemandweb.undp.org> > Results Management > Defining a Project > Open a Risk Log.

Notes on access:

- A risk recorded in Atlas the first time **will permanently remain in the system**. After saving a risk description, no changes will be allowed since the risk was duly identified in the first place.
- On the other hand, the field for the Risk Treatment / Management Measures and status for a given risk can be modified any time.

## Responsibilities & Accountability

- The Project Developer drafts the initial Risk Log as part of the Project Document preparation process and submits it to the PAC for Review.
- The PAC must review and endorse the initial draft of the Risk Log.
- The Project Developer has the responsibility to open the Risk Log in Atlas, based on consensus reached during the PAC.
- Throughout the implementation of the project, it is the responsibility of the Project Manager to maintain and update the Risk Log, to ensure that risks are communicated and to implement countermeasures as decided by the Project Steering Committee.
- It is the responsibility of Project Assurance (e.g. Programme Officer) to ensure that details of identified risks are regularly updated in Atlas and properly reflected as part of the Project Progress Report (PPR).
  - If the project management team does not have access to Atlas, the Project Assurance should be responsible for entering risk updates into the system, based on information submitted by the Project Manager using the standard template.
  - If the project management team has external access to Atlas, they will update the details of identified risks in the system. However, the UNDP Project Assurance should review the inputs by the project management team, prior to the submission of the PPR.
- The Project Steering Committee has the responsibility to continually check external events for external risks.
- It is the responsibility of the Project Manager to inform in a timely manner the Board regarding any new risks.
- In cases where a Project Document or Project Steering Committee are not required (e.g. Development Services, Engagement Facility, Development and Institutional Effectiveness Project), the risk log is still created and maintained in Atlas to inform decision making.

## Additional Resources

Enterprise Risk Management (ERM) section of the POPP. Additional relevant policies and tools include:

- [Harmonized Approach to Cash Transfer](#)

---

UNDP Environmental Finance Services

- UNDP Anti-Fraud Policy
- UN Programme Criticality Framework
- UN Security Risk Management (SRM) Policy
- Business Continuity Management
- UNDP Policy on Due Diligence and Partnerships with the Private Sector
- Programme/Project Quality Assurance
- Social and Environmental Standards and Screening Procedure
- Theory of Change

### Annex 1. ERM Risk Categories

1. Social and Environmental	2. Financial	3. Operational	4. Organizational	5. Political	6. Regulatory	7. Strategic
1.1 Human rights violations	2.1 External factors	3.1 Complex design	4.1 Institutional arrangements	5.1 Corruption	6.1 New unexpected regulations, policies	7.1 Partnership failing to deliver
1.2 Gender discrimination	2.2 Internal factors	3.2 Project management	4.2 Institutional/ execution capacity	5.2 Government commitment	6.2 Critical policies or legislation fails to pass or progress in the legislative process	7.2 Strategic vision, planning & communication
1.3 Loss of biodiversity and unsustainable use of natural resources		3.3 Human error/ incompetence	4.3 Implementation arrangements	5.3 Political will		7.3 Leadership & management
1.4 Climate change		3.4 Infrastructure failure	4.4 Country office capacity	5.4 Political instability		7.4 Programme alignment
1.5 Community health and safety (including natural disasters)		3.5 Safety being compromised	4.5 Governance	5.5 Change in government		7.5 Competition
1.6 Working conditions		3.6 Poor monitoring and evaluation	4.6 Culture, code of conduct & ethics	5.6 Armed conflict and instability		7.6 Stakeholder relations
1.7 Cultural heritage		3.7 Delivery	4.7 Accountability & compensation	5.7 Adverse public opinion/media intervention		7.7 Reputation
1.8 Displacement and resettlement		3.8 Programme management	4.8 Succession planning & talent management			7.8 UN coordination
1.9 Indigenous people		3.9 Process efficiency	4.9 HR processes & procedures			7.9 UN reform
1.10 Pollution and waste		3.10 Internal controls				
		3.11 Internal and external fraud audit				
		3.12 Compliance and legal				
		3.13 Procurement				
		3.14 Technology				
		3.15 Physical assets				

A. Offline Project Risk Log for Project Document Template

Project Title: Fourth National Communication (4NC) and Second Biennial Update Report (2BUR)				Project Number: 00112463	Date: 02 April, 2019
#	Description	Risk Category	Impact & Probability	Risk Treatment / Management Measures	Risk Owner
	Enter a brief description of the risk. Risk description should include future event and cause.  Risks identified through HACT, SES, Private Sector Due Diligence, and other assessments should be included.	Social and Environmental Financial Operational Organizational Political Regulatory Strategic Other  Subcategories for each risk type should be consulted to understand each risk type (see Enterprise Risk Management Policy)	Describe the potential effect on the project if the future event were to occur.  Enter <b>probability</b> based on 1-5 scale (1 = Not likely; 5 = Expected)  Enter <b>impact</b> based on 1-5 scale (1 = Low; 5 = Critical)	What actions have been taken/will be taken to manage this risk.	The person or entity with the responsibility to manage the risk.
1	Change of authorities of the implementing partner during the lifetime of the project	Political	A change of authorities could result in the delay of the execution of the project.  P = 4 I = 3	The commitments of the Ministry of Environment are well defined in the Management Agreements signed by the leading institutions. Socialize the project every time a new authority is appointed to ensure engagement.	Project coordinator and UNDP-Ecuador
2	Few agreements and low or no participation of universities/ research institutions during the	Organizational	Few agreements and low or no participation of research institutions limits the capacity building and knowledge management on climate change that the project aims to generate.	Establish a road map based on the institutional agreements defined to achieve a successful interface between the decision makers and the research institutions. Continue feedback and	Project coordinator

Project Title: Fourth National Communication (4NC) and Second Biennial Update Report (2BUR)				Project Number: 00112463	Date: 02 April, 2019
#	Description	Risk Category	Impact & Probability	Risk Treatment / Management Measures	Risk Owner
	lifetime of the project		P = 3 I = 4	participation of the academia and researchers through the working groups which will be set up as part of the management arrangements of the project.	
3	GEF is the sole funding source for the implementation of the project.	Financial	Lack of other sources of funding could result in project's activities not completed, and information not updated.  P = 2 I = 3	Search alliances for co-funding some project activities from the stakeholders. For example, the universities/research institutions can undertake technical tasks and provide training.	Project coordinator in coordination with the Ministry of Environment
4	Lack of official instruments and agreements to facilitate sharing updated data and information.	Operational	Lack of agreements on sharing updated information limits the progress on the development of reliable data to inform decision makers on climate change management actions.  P = 2 I = 4	Since the beginning of the project the procedure to share information needs to be determined with established agreements that ensure the timely accessibility of the data and information.	Project coordinator.
5	High turnover of technicians and experts hired for the project	Operational	High turnover of the project's staff reinforces the lack of continuity regarding the elaboration of the reports and could cause a delay in the execution of the project.  P = 3 I = 3	Empower the project's staff and ensure continuous dialogue within the Project Management Team.	Project coordinator in coordination with the Ministry of Environment

**Annex F. Results of the capacity assessment of the project implementing partner and HACT micro assessment (to be completed by UNDP Country Office)**

The Micro-assessment of the Ministry of Environment of Ecuador is attached as a separate annex to the project document.

## Annex G. STANDARD LETTER OF AGREEMENT BETWEEN UNDP AND THE GOVERNMENT FOR THE PROVISION OF SUPPORT SERVICES

Estimado

Vicente Fabián Moncayo

Director Nacional del Proyecto

Ministerio de Ambiente

Award 00112463 - Project ID 00111009

1. Reference is made to consultations between officials of the Government of Ecuador (hereinafter referred to as “the Government”) and officials of UNDP with respect to the provision of support services by the UNDP country office for nationally managed programmes and projects. UNDP and the Government hereby agree that the UNDP country office may provide such support services at the request of the Government through the Ministry of Environment its institution designated in the relevant programme support document or project document “**Fourth National Communication (4NC) and Second Biennial Update Report (ZBUR)**”, as described below.
2. The UNDP country office may provide support services for assistance with reporting requirements and direct payment. In providing such support services, the UNDP country office shall ensure that the capacity of the Government-designated institution is strengthened to enable it to carry out such activities directly. The costs incurred by the UNDP country office in providing such support services shall be recovered from the administrative budget of the office.
3. The UNDP country office may provide, at the request of the designated institution, the following support services for the activities of the programme/project:
  - i. Identification and/or recruitment of project and programme personnel;
  - ii. Support in the identification and facilitation of capacity building activities, for example, gender sensitization in the climate change amnagement;
  - iii. Procurement of goods and services;
4. The procurement of goods and services and the recruitment of project and programme personnel by the UNDP country office shall be in accordance with the UNDP regulations, rules, policies and procedures. Support services described in paragraph 3 above shall be detailed in an annex to the programme support document or project document, in the form provided in the Attachment hereto. If the requirements for support services by the country office change during the life of a programme or project, the annex to the programme support document or project document is revised with the mutual agreement of the UNDP resident representative and the designated institution.
5. The relevant provisions of the *UNDP standard basic assistance agreement with the Government of Ecuador* (the “SBAA”) signed in January 19, 2005, including the provisions on liability and privileges and immunities, shall apply to the provision of such support services. The Government shall retain overall responsibility for the nationally managed programme or project through its designated institution. The responsibility of the UNDP country office for the provision of the support services described herein shall be limited to the provision of such support services detailed in the annex to the programme support document or project document.
6. Any claim or dispute arising under or in connection with the provision of support services by the UNDP country office in accordance with this letter shall be handled pursuant to the relevant provisions of the SBAA.

7. The manner and method of cost-recovery by the UNDP country office in providing the support services described in paragraph 3 above shall be specified in the annex to the programme support document or project document.
8. The UNDP country office shall submit progress reports on the support services provided and shall report on the costs reimbursed in providing such services, as may be required.
9. Any modification of the present arrangements shall be effected by mutual written agreement of the parties hereto.
10. If you are in agreement with the provisions set forth above, please sign and return to this office two signed copies of this letter. Upon your signature, this letter shall constitute an agreement between your Government and UNDP on the terms and conditions for the provision of support services by the UNDP country office for nationally managed programmes and projects.

Yours sincerely,

---

Signed on behalf of UNDP  
*Matilde Mordt*  
*Representante Residente*

---

For the Government  
[Name/title]  
[Date]

**Attachment**

**DESCRIPTION OF UNDP COUNTRY OFFICE SUPPORT SERVICES**

1. Reference is made to consultations between the Ministry of Environment, the institution designated by the Government of Ecuador and officials of UNDP with respect to the provision of support services by the UNDP country office for the nationally managed project **"Fourth National Communication (4NC) and Second Biennial Update Report (2BUR)"**.
2. In accordance with the provisions of the letter of agreement signed on *[insert date of agreement]* and the programme support document or project document **"Fourth National Communication (4NC) and Second Biennial Update Report (2BUR)"**, the UNDP country office shall provide support services for the Project as described below.
3. Support services to be provided:

Support services (where applicable)	Schedule for the provision of the support services	Cost to UNDP of providing such support services	method of payments to UNDP (where appropriate)
Payments, disbursements and other financial transactions	During project implementation	60.77 each one Total: \$497	Direct charge to project budget at the time of the service(s)
Recruitment of personnel / project team and consultancies	During project implementation	Staff - \$ 627.06 Consultant - \$ 430.55 Consultant - Company with committee – \$993.97 without committee – \$388.26 Total: \$25,675	Direct charge to project budget at the time of the service(s)
Acquisition of equipment such as computers, and derecognition of inventory	During project implementation	\$388.26 (>10.000,00). \$51.30 (<10.000,00) Total \$497	Direct charge to project budget at the time of the service(s)
Organization of training activities, conferences, workshops.	During project implementation	60.77 each one Total: \$497	Direct charge to project budget at the time of the service(s)
Travel authorizations, visa procedures, tickets and travel arrangements	During project implementation	60.77 each one Total: \$2,655	Direct charge to project budget at the time of the service(s)
	<b>Grand Total</b>	<b>\$29,820.00</b>	

4. Description of functions and responsibilities of the parties involved:

Functions and responsibilities of the MAE:

---

UNDP Environmental Finance Services



- a) is responsible and accountable for the management of this project, including monitoring and evaluating project interventions, achieving project outcomes and effective use of UNDP resources.
- b) is committed to make all reasonable efforts to ensure that none of the UNDP funds received under the PRODOC are used to provide support to persons or entities associated with terrorism and that the recipients of the amounts provided by UNDP shall henceforth not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 of 1999.
- c) is an active member of the Project Steering Committee.
- d) supervise the daily operations of the Project Management Unit.
- e) approve the expenses made in the framework of the project and ensure that these are always carried out in the framework of the activities and results of the project.
- f) Designate a National Project Director for designated activities under the responsibility of MAE

UNDP Roles and Responsibilities:

- a) Provide project cycle management services as defined by the GEF Council.
- b) Provide financial and auditing services to the project;
- c) Monitor financial expenses against project budgets;
- d) Ensure that activities, including procurement and financial services, are carried out in strict compliance with UNDP/GEF procedures;
- e) Ensure that the submission of reports to the GEF is carried out in accordance with its requirements and procedures;
- f) Facilitate the learning, exchange and dissemination of the project's results and actions;
- g) Hire the intermediate and final evaluations of the project and activate the additional reviews and/or evaluations as needed and in consultation with the project counterparts.
- h) Supervise and monitor the proper execution of the project and the resources allocated on the basis of the project document.
- i) Ensure quality and be the final responsible for the delivery of project results, subject to MAE certification.
- j) Participate in the technical committees and key meetings for the implementation of the project.

## **Annex H. FINAL REPORT OF ECUADOR NATIONAL COMMUNICATION'S / BIENNIAL UPDATE REPORT'S PROJECT**

Monitoring and Evaluation plans of climate change enabling activities for the preparation of National Communications on Climate Change and/or Biennial Update Reports do not require the production and publication of Terminal Evaluation Reports. Therefore, a number of intended purposes of such terminal exercises are not captured in full, including:

- The promotion of accountability and transparency, and the assessment and disclosure of the extent of the project accomplishments;
- A synthesis of lessons that can help to improve the selection, design and implementation of future GEF financed UNDP activities;
- The provision of feedback on issues that are recurrent across the portfolio, attention needed, and on improvements regarding previously identified issues; and
- The contribution to the GEF Evaluation Office databases for aggregation, analysis and reporting on effectiveness of GEF operations in achieving global environmental benefits and on the quality of monitoring and evaluation across the GEF system.

The intent of this Final Report is not to propose an abridged alternative to the Terminal Evaluation Report. Instead, its purpose is to gather some insightful details about the process of preparing the mandatory report under the UNFCCC that can be of use to both the UNDP support teams, and the current and future national project teams. Its focus is therefore on providing:

- A synthesis of lessons that can help to improve the selection, design and implementation of future GEF financed UNDP activities; and
- Feedback on issues that are recurrent across the portfolio, attention needed, and on improvements regarding previously identified issues.

National project teams in charge of the future enabling activity for the preparation of the National Communication or Biennial Update Report can therefore rely on a valuable source of information from inception to closure of the project, and UNDP support teams can further disseminate lessons across borders, fully up-taking its guiding role as implementing agency and partner within the Global Support Programme (GSP, previously known as National Communications Support Programme).

The template has been designed with the purpose of collecting relevant information, without representing a time-intensive and human resource-intensive burden to the current national project team. It is therefore divided into three core sections – project identification phase, project implementation phase and project follow-up –with for each section a limited number of open questions.

The intention is to have the team leader, Project Coordinator or equivalent figure completing the template, in close collaboration with other team members within the last two months of project implementation. It is furthermore the intention of the completion of this Final Report to trigger the discussions of the upcoming National Communication and/or Biennial Update Report, taking advantage of the momentum created by the ongoing project, the presence of the core of the current national project team, and the renewed interest of national counterparts with the perspectives of an eminent or recent submission to the UNFCCC.

The completion of this template has been made mandatory and has been budgeted for in all projects that received approval post 2013 (3 working days equivalent of Project Coordinator's time). You are kindly invited to send the completed template to Damiano Borgogno, [damiano.borgogno@undp.org](mailto:damiano.borgogno@undp.org) and to Eva Huttova, [eva.huttova@undp.org](mailto:eva.huttova@undp.org).

**A. Details of the project**

Project's title	
PIMS number	
Overall budget including GEF grant including co-financing	
Duration of implementation	
Planned duration of project	
Implementing partner	
Team Leader's name and contact details	
Link to final report	

**B. Project identification phase**

Duration of preparatory phase (expressed in months) \_\_\_\_\_

Was the project document developed by a national/international consultant? (Please, provide name if yes and expand on the satisfaction of this collaboration.)

\_\_\_\_\_

\_\_\_\_\_

Please, shortly describe the milestones of this initial preparatory phase (e.g. consultation workshops held, telephone interviews with key stakeholders, among others)

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Where consultations made with one or more of the following stakeholder groups?

<input type="checkbox"/>	Ministry of Finance (or equivalent)	<input type="checkbox"/>	Women's associations
<input type="checkbox"/>	Other Ministries (not being the Ministry in charge of climate change)	<input type="checkbox"/>	Youth movements
<input type="checkbox"/>	Local Governments	<input type="checkbox"/>	Indigenous peoples' representatives
<input type="checkbox"/>	National universities	<input type="checkbox"/>	Environment or climate related NGOs
<input type="checkbox"/>	Domestic Research Centers	<input type="checkbox"/>	Other NGOs/CSOs
<input type="checkbox"/>	Media	<input type="checkbox"/>	Others (specify)

What were the main objectives for the project identified as a result of this preparatory phase?

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

What were the major challenges faced during this phase?

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Looking back, what issues that were identified and/or overlooked during this preparatory phase had an impact on the successive implementation phase?

---



---



---



---



---

**C. Project implementation phase**

Technical components

1. GHG inventory

Base year of the GHG inventory:

Base years used in previous GHG inventories:

Expected outcome	
Expected output 1	
Expected output 2	
Expected output 3	

Final outcome	
Final output 1	
Final output 2	
Final output 3	
...	

Please, shortly discuss the expected outcomes and outputs of the GHG inventory component, and compare to what was actually realized within the context of this project. If there was any diverting from the originally expected outcomes and outputs, please explain the causes (e.g. lack of data, risk of duplication of work done in the context of parallel projects, among others).

---



---



---



---

Can you describe the process(es) implemented to generate and validate outcomes and outputs?

---



---



---



---

What pieces of advice do you have for future project teams?

---



---

2. Mitigation actions

Expected outcome(s)	
Expected output 1	
Expected output 2	
Expected output 3	
...	

Final outcome(s)	
------------------	--

Final output 1	
Final output 2	
Final output 3	
...	

Please, shortly discuss the expected outcomes and outputs of the vulnerability and adaptation measures and mitigation measures components, and compare to what was actually realized within the context of this project. If there was any diverting from the originally expected outcomes and outputs, please explain the causes (e.g. lack of data, risk of duplication of work done in the context of parallel projects, among others).

---



---



---



---

Can you describe the process(es) implemented to generate and validate outcomes and outputs?

---



---



---



---

What pieces of advice do you have for future project teams?

---

### 3. Vulnerability & Adaptation for NC or MRV for BUR

Expected outcome(s)	
Expected output 1	
Expected output 2	
Expected output 3	
...	

Final outcome(s)	
Final output 1	
Final output 2	
Final output 3	
...	

Please, shortly discuss the expected outcomes and outputs of the vulnerability and adaptation measures and mitigation measures components, and compare to what was actually realized within the context of this project. If there was any diverting from the originally expected outcomes and outputs, please explain the main reasons (e.g. lack of data, risk of duplication of work done in the context of parallel projects, among others).

---



---



---



---

Can you describe the process(es) implemented to generate and validate outcomes and outputs?

---



---



---



---

What pieces of advice do you have for future project teams?

4. Constraints and Gaps/Support needed

Expected outcome	
Expected output 1	
Expected output 2	
Expected output 3	
...	

Final outcome	
Final output 1	
Final output 2	
Final output 3	
...	

Please, shortly discuss the expected outcomes and outputs of the Constraints and gaps, and related financial, technical and capacity needs component, and compare to what was actually realized within the context of this project. If there was any diverting from the originally expected outcomes and outputs, please explain the main reasons (e.g. lack of data, risk of duplication of work done in the context of parallel projects, among others).

---

---

---

---

---

Can you describe the process(es) implemented to generate and validate outcomes and outputs?

---

---

---

---

---

What pieces of advice do you have for future project teams?

---

---

Capacities and use of capacities

Do you believe the project has built - in a durable and cost-effective way - human and institutional capacities? Please, elaborate.

---

---

---

Please, estimate the amount of work done by national consultants versus international consultants:

\_\_\_\_\_ % national consultants. \_\_\_\_\_ % international consultants and \_\_\_\_\_ % national staff.

What work was entrusted to international consultants and for what reasons?

---

---

---

What would you have done differently, or do you advise the next project team to consider in this context?

---

---

---

Additional remarks

---

---

Institutional arrangements

Please, summarize an overview of the institutional arrangements for the project implementation.

---

---

Please, describe the composition of the project team.

---

---

Will the team remain in place, even after the project has fully closed?

---

Were gender considerations taken into account during the project design and implementation? If so, how?

---

---

Which were the strengths and weaknesses of the institutional arrangements used?

---

What suggestions have you to make regarding the institutional arrangements for future NC/BUR work?

---

---

Additional remarks

---

---

Technical support from GSP, CGE, or other bodies

Has the project team, or members of the project team, participated in national, regional or global training events organized by a center of excellence or above mentioned body during the course of the project? If yes, please, specify the training event(s).

---

---

What has been the contribution of this participation to the project results?

---

---

What identified knowledge gaps holding back the proper implementation of the NC project could not be addressed by any of the above mentioned bodies?

---

---

In addition to capacity building support, what other assistance did the project team receive during project implementation? (E.g. review of draft report, technical backstopping of international expert)

---

---

Has UNDP provided timely and valuable support during project design and implementation? Please explain.

---

---

---

**D. Next steps**

How will findings of the project be further disseminated, if at all?

---

---

---

Are balance funds available under the NC/BUR project going to be used to identify the strategy of the next report?

---

---

At full project closure, is there a person or institute to whom one can turn in case there are follow-up questions to the NC/BUR?

---

---

Has the Government expressed interest to further work with UNDP on the next coming report? If no, please explain.

---

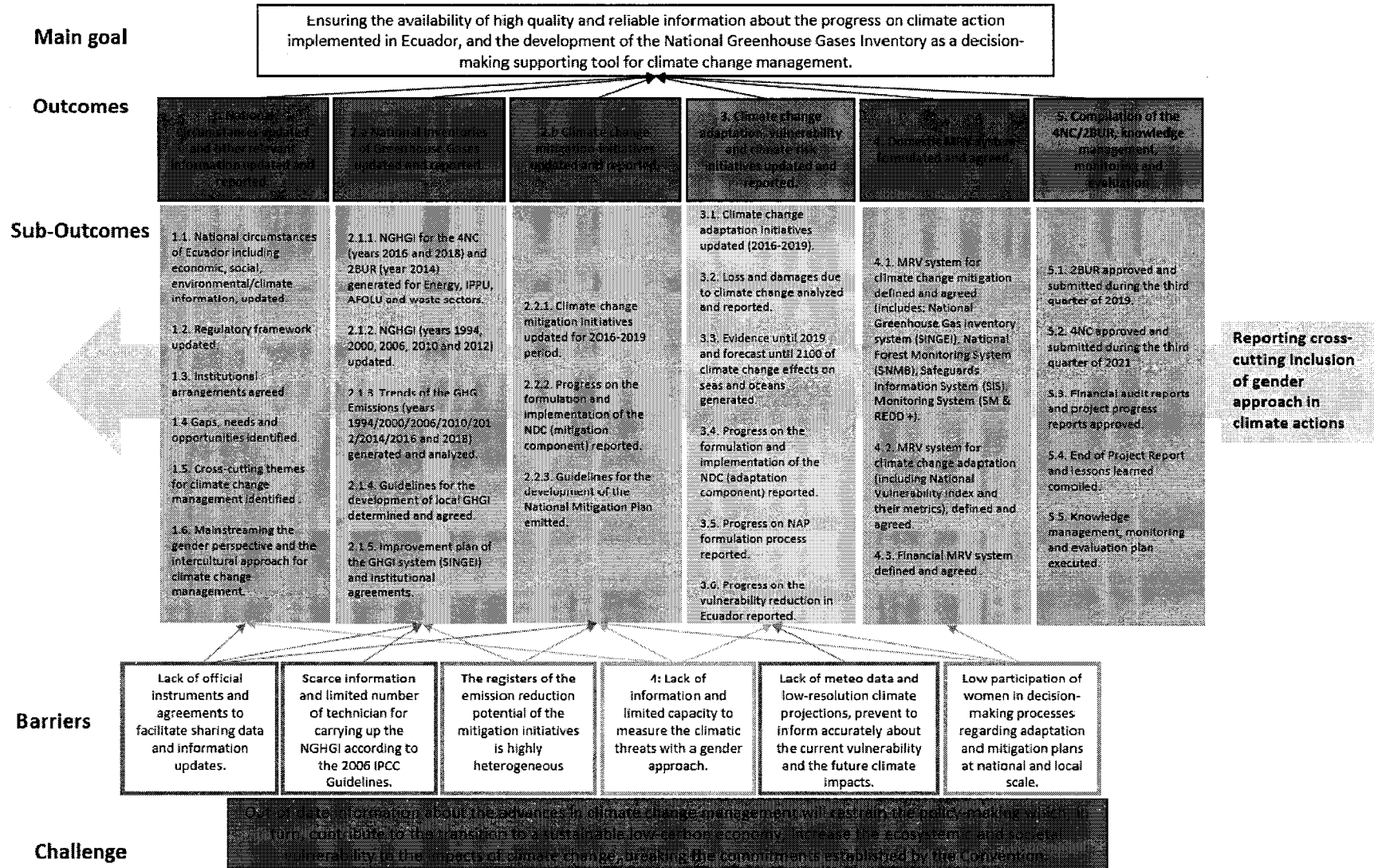
---

**E. Additional information**

Date	
Name and e-mail address of person who completed this template	
Others involved in completion of this template (names of individuals and their institutions)	
In case a terminal evaluation report has been produced, please link it here.	
Other attachments	



Annex I. Theory of Change Schema



## Annex J. Stakeholders institution

### COMPONENT 1. NATIONAL CIRCUMSTANCES

National Secretary of Planning and Development (SENPLADES)	National Government
Banco Central del Ecuador- BCE	Public Institution
National Institute of Statistics and Censuses- INEC	Public Institution
Center of International Environmental Law - CEDA	NGOs

### COMPONENT 2A NATIONAL GREEN HOUSES GASES

Ministry of Environment (MAE)	National Government
Low-Emission Capacity Building	National Project

#### ENERGY

EP. Petroecuador	Public Institution
Regulation and Hydrocarbon Control Agency (ARCH)	National Government
Hydrocarbon Secretariat	National Government
EP. Petroamazonas	National Government
Agency for Regulation and Control of Electricity (ARCONEL)	National Government
Ministry of Electricity and Renewable Energy (MEER)	National Government

#### INDUSTRY

HOLCIM CEMENT	Private Institution
UNACEM S.A	Private Institution
National Cement Union (UCEM )	Private Institution
HORNICENTRO	Private Institution
Ecuadorian Institute of Cement and Concrete	Private Institution
INCOREG	Private Institution
CALMOSACORP	Private Institution
Agricultural and Mining Industry (INDAMI)	Private Institution
CALIZAS HUAYCO	Private Institution
Association of Artisan Poducers of Cal and Calera	Private Institution
INPUVIT- CRILAMYT	Private Institution
FAIRIS Showcase	Private Institution
VITRUM Glass	Private Institution
APROQUE	Private Institution
Public Oil Company	Public Institution
Ecuadorian Federation of Metal Industries (FEDIMETAL)	Private Institution
Ministry of Production, Foreign Trade and Investment	National Government
BATERIAS DEL ECAUDOR	Private Institution
Lead Material Processing Plant with Lead (FUNDAMETZ)	Private Institution
Ministry of Hydrocarbons	National Government
National Institute of Statistics and Census (INEC)	Public Institution
National Customs Service of Ecuador (SENAE)	National Government

## **WASTE**

National Institute of Statistics and Census (INEC)	Public Institution
Ministry of Environment (MAE)	National Government
National Program for the Management of Solid Waste	National Government
Association of Ecuadorian Municipalities	National Government
Water Regulation and Control Agency	National Government
Aseo Municipal Public Company from Cuenca	Public Institution
Consortium ILM	Private Institution
Metropolitan Public Company of Drinking Water and Sanitation (EPMAPS)	National Government
Empresa Publica Metropolitana de Aseo (EMASEO)	National Government
Metropolitan Public Enterprise of Integral Management of Solid Residues (EMGIRSEP)	National Government
Municipal Entity of Regulation and Control (EMAPAG EP)	National Government
Interagua	Private Institution
Municipality of Guayaquil	National Government
QUIPORT	Private Institution
National Secretary of Water (SENAGUA)	National Government
Decentralized Autonomous Municipal Government of San Cristóbal	National Government
Decentralized Autonomous Municipal Government of Santa Cruz	National Government
Decentralized Autonomous Municipal Government of Isabella	National Government
Food and Agriculture Organization (FAO)	Private Institution

## **COMPONENT 2B MITIGATION**

### **ENERGY**

Ecuadorian Automotive Association (AEADE)	Private Institution
Ecuadorian Association of Renewable Energy and Energy Efficiency (AEEREE)	ONG
AGENCE FRANÇAISE DE DÉVELOPPEMENT (AFD)	International Organization
Electricity Control and Regulation Agency	Public Institution
Hydrocarbons Regulation and Control Agency	Public Institution
Association of Ecuadorian Municipalities (AME)	Public Institution
Automobile Club of Ecuador (ANETA)	Private Institution
National transit agency (ANT)	Public Institution
Banco Central del Ecuador- BCE	Public Institution
Banco de Desarrollo del Ecuador	Public Institution
Inter-American Development Bank (BID)	International Organization
Bioenergía de los Andes	International Organization
Charity Anywhere Foundation (CAF)	International Organization
Chancellery	Public Institution
Documentation Center of the Armed Movements (CEDENMA)	ONG
Electric Corporation of Ecuador (CELEC)	Public Institution
National Center for Energy Control (CENACE)	Public Institution
Economic Commission for Latin America and the Caribbean (CEPAL)	Private Institution

National Council for gender equality	Public Institution
Randi Group Corporation	Private Institution
Electric Company Quito (EEQ)	Public Institution
Quito Electric Company	Public Institution
ENAP SIPEC Oil Company	Private Institution
ENYA SA	Private Institution
National polytechnic school (EPN)	Academy
Food and Agriculture Organization (FAO)	International Organization
Future Latin American Foundation (FFLA)	ONG
Future Foundation	ONG
Neo Foundation	Private Institution
Decentralized Autonomous Government Cuenca	Public Institution
Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ)	International Organization
HOLCIM CEMENT	Private Institution
HONDA	Private Institution
Inter-American Institute for Cooperation on Agriculture (IICA)	International Organization
National Institute of Statistics and Census (INEC)	Public Institution
Geological and Energetic Research Institute (INER)	Public Institution
Ingenio San Carlos	Private Institution
J3M	Private Institution
Japan International Cooperation Agency (JICA)	International Organization
MADETEC S.A	Private Institution
Ministry of Environment (MAE)	National Government
Ministry of Electricity and Renewable Energy (MEER)	National Government
MEGAPELLETS S.A	Private Institution
Ministry of Human Development and Housing (MIDUVI)	Public Institution
Ministry of Finance	National Government
Ministry of Hydrocarbons	National Government
Ministry of transport and Public Works	National Government
Ministry of Industries and Productivity (MIPRO)	Public Institution
Modularte	Private Institution
Latin American Energy Organization (OLADE)	ONG
African Palm Derivatives (OLEANA)	Private Institution
UN Women	International Organization
PAM EP	Public Institution
PETROECUADOR	Public Institution
United Nations Development Programme (PNUD)	International Organization
National Secretariat for Higher Education, Science, Technology and Innovation	National Government
National Secretary of Planning and Development (SENPLADES)	Public Institution
Risk Management Service (SGR)	Public Institution
Cuenca Tram	Public Institution
UNACEM S.A	Private Institution

European Union in Ecuador	International Organization
Technical University of Ambato	Academy
World Wild Fundation WWF	ONG
<b>INDUSTRY</b>	
Inter-American Development Bank (IDB)	International Organization
CAB	International Organization
Chamber of Industries and Production	Private Institution
Construction Chamber	Private Institution
Chancellery	Public Institution
Documentation Center of the Armed Movements (CEDENMA)	Academy
College of Architects	Academy
Engineers college	Academy
National Council for Gender Equality	Public Institution
Public Cement Company of Ecuador (EPCE)	Private Institution
Higher Polytechnic School of the Litoral	Academy
<b>FACTOR</b>	Private Institution
Food and Agriculture Organization (FAO)	ONG
Future Latin American Foundation (FFLA)	ONG
Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ)	International Organization
Herdoiza y Crespo	Private Institution
<b>HOLCIM CEMENT</b>	Private Institution
<b>HORNICENTRO</b>	Private Institution
Inter-American Institute for Cooperation on Agriculture (IICA)	International Organization
<b>IMPACTO</b>	ONG
National Institute of Statistics and Census (INEC)	Public Institution
Ecuadorian Institute of Cement and Concrete	Private Institution
Ecuadorian Normalization Service (INEN)	Public Institution
Geological and Energetic Research Institute (INIGEMM)	Public Institution
Institute of Geological and Energy Research	Public Institution
Ecuadorian Institute Sustainable Construction	ONG
Japan International Cooperation Agency (JICA)	International Organization
Ministry of Environment (MAE)	National Government
<b>MEGAFRIO</b>	Private Institution
Ministry of Human Development and Housing (MIDUVI)	National Government
Ministry of Finance	National Government
Ministry of Industries and Productivity (MIPRO)	Public Institution
Ministry of Transport and Public Works (MTOPE)	Public Institution
<b>UN WOMEN</b>	International Organization
United Nations Industrial Development Organization (UNIDO)	International Organization
United Nations Development Programme (PNUD)	International Organization
Secretary Environment Quito	National Government
Secretary Habitat Territorio Quito	National Government

Secretary of Higher Education, Science, Technology and Innovation ( SENESCYT)	Public Institution
National Secretary of Planning and Development (SENPLADES)	Public Institution
Risk Management Service (SGR)	Public Institution
National Cement Union (UCEM )	Private Institution
UNACEM S.A	Private Institution
SEK International University	Academy
National Polytechnic University	Academy
San Francisco de Quito University (USFQ)	Academy
Uribe & Schwarzkopf	Private Institution
World Wild Fundation WWF	ONG
<b>WASTE</b>	
Ecuadorian Association of Renewable Energy and Energy Efficiency (AEEREE)	ONG
Metropolitan Public Enterprise of Integral Management of Solid Residues (EMGIRSEP)	Public Institution
National Council of Competencies	Public Institution
Huella Verde	ONG
<b>FACTOR</b>	Private Institution
Ministry of Agriculture and Livestock (MAG)	National Government
Escuela Politecnica Nacional (ESPE)	Academy
Charity Anywhere Fundation (CAF)	International Organization
Chancellery	National Government
Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ)	International Organization
Decentralized Autonomous Government Ambato	Public Institution
INCINEROX Cia.Ltda	Private Institution
Development Bank of Ecuador	Public Institution
National Institute of Statistics and Census (INEC)	Public Institution
National Secretary of Planning and Development (SENPLADES)	Public Institution
RECIVESI Recycle	ONG
Ministry of Environment (MAE)	National Government
Empresa Pública Municipal de Aseo de Cuenca (EMAC)	Public Institution
GASGREEN	Private Institution
Future Latin American Foundation (FFLA)	ONG
National Secretary of Water (SENAGUA)	Public Institution
Secretary of Environment Quito	Public Institution
ENYA SA	Private Institution
National Council of Competencies	Public Institution
GRAIMAN	Private Institution
Universidad Internacional Ecuador (UIDE)	Academy
Ecuadorian Aluminum Corporation (CEDAL)	Private Institution
Metropolitan Public Mobility and Public Works Company (EPMMP)	Public Institution
United Nations Development Programme (PNUD)	International Organization
Inter-American Development Bank (BID)	International Organization
Ministry of Industries and Productivity (MIPRO)	Public Institution

Neo Fundation	ONG
University of Cuenca	Academy
Consortium of Provincial Autonomous Governments of Ecuador (CONGOPE)	Public Institution
World Wild Fundation WWF	ONG
National Program for the Integral Management of Solid Waste (PNGIDS)	Public Institution
Metropolitan Public Company of Drinking Water and Sanitation (EPMAPS)	Public Institution
Association of Naval Services Officers (ANSO)	ONG
Environmental Engineers of Pichincha	Academy
Inter-American Institute for Cooperation on Agriculture (IICA)	International Organization
National Network of Recyclers of Ecuador (RENAREC)	ONG
Development Bank of Ecuador	Public Institution
Engineers college	Academy
Charity Anywhere Fundation (CAF)	International Organization
<b>MENTEFATURA</b>	Private Institution
Association of Ecuadorian Municipalities (AME)	Public Institution
Latin American Faculty of Social Sciences (FLACSO)	International Organization
Decentralized Autonomous Government Municipality of Cuenca	Public Institution
AGENCE FRANÇAISE DE DÉVELOPPEMENT (AFD)	International Organization
Food and Agriculture Organization (FAO)	International Organization
<b>ECUAMBIENTE</b>	ONG
Risk Management Service (SGR)	Public Institution
Simon Bolivar Andean University	Academy
United Nations Development Programme (PNUD)	International Organization
<b>NU WOMEN</b>	International Organization
Ministry of Finance	National Government
ACRA Fundation	ONG
National Council of Competencies	Public Institution
Metropolitan Public Mobility and Public Works Company (EPMMP)	Public Institution
National Council for Gender Equality	Public Institution
ACA Consulting	Private Institution
Japan International Cooperation Agency (JICA)	International Organization
<b>CONQUITO</b>	Public Institution
Consortium of Provincial Autonomous Governments of Ecuador (CONGOPE)	
<b>COMPONENT 3 VULNERABILITY AND ADAPTATION</b>	
<b>WATER</b>	
Ministry of Environment and Water, MAE	National Government
National Service of Risk and Emergency Management of Ecuador (SNGRE)	Public Institution
Ministry of Agriculture, Livestock, Aquaculture and Fisheries	National Government
Fund for the Protection of Water, FONAG	Private Institution
Regional Water Fund, FORAGUA	Private Institution
Water fund for the conservation of the Paute River basin, FONAPA	Private Institution
Fund of Paramos Tungurahua and Fight against Poverty, FMPLPT	Private Institution

National Institute of Meteorology and Hydrology (INAMHI)	National Government
National Secretary of Planning and Development (SENPLADES)	Public Institution
University of Cuenca	Academy
National polytechnic school	Academy
Regional Amazon University	Academy
Nacional University of Loja	Academy
Metropolitan Public Company of Drinking Water and Sanitation (EPMAPS)	Public Institution
Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ)	Private Institution
Consortium of Provincial Autonomous Governments of Ecuador (CONGOPE )	Public Institution
Future Latin American Foundation (FFLA)	ONG
Consortium for the Development of the Andean Ecoregion (CONDESAN)	Private Institution
<b>HUMAN SETTLEMENTS</b>	
Association of Ecuadorian Municipalities	Public Institution
Development Bank of Ecuador	Public Institution
Development Bank of Latin America	International Organization
Metropolitan District of Quito	Public Institution
Latin American Faculty of Social Sciences (FLACSO)	International Organization
Decentralized Autonomous Government Cuenca	Public Institution
Decentralized Autonomous Government Portoviejo	Public Institution
Institute of Geological and Energy Research	National Government
Ministry of Human Development and Housing (MIDUVI)	National Government
Ministry of Environment (MAE)	National Government
Mutualista Pichincha	Private Institution
PROAMAZONIA	International Organization
Secretariat of Risk Management	National Government
National Secretary of Planning and Development (SENPLADES)	National Government
European Union	International Organization
Inter-American Development Bank (BID)	International Organization
Chamber of Industry and Production Guayaquil	Private Institution
Chamber of Industry and Production Quito	Private Institution
Chamber of Industry, Production and Employment	Private Institution
Chamber of the Construction Industry	Private Institution
Cautus RRD	Private Institution
International Conservation	International Organization
Management and Environmental Law Corporation (ECOLEX)	International Organization
Decentralized Autonomous Government Ambato	Public Institution
Decentralized Autonomous Government Lago Agrio	Public Institution
Decentralized Autonomous Government Latacunga	Public Institution
Decentralized Autonomous Government Loja	Public Institution
Leaders to Govern	Private Institution
NU WOMEN	International Organization
United Nations Global Compact Ecuador	Private Institution



United Nations Development Programme (PNUD)

**AGRICULTURE**

Ministry of Environment (MAE)

National Institute of Statistics and Census (INEC)

Banco Central del Ecuador- BCE

Ministry of Agriculture and Livestock (MAG)

**Natural Heritage**

Ministry of Environment (MAE)

Statistics Division of the Food and Agricultural Organization

PROFAFOR

Ministry of Energy and Non-renewable Natural Resources

**HEALTH**

National Institute of Meteorology and Hydrology (INAMHI)

Risk Management Service (SGR)

Institute of Public Health

National Institute of Public Health Research (INSPI)

International Organization

National Government

Public Institution

Public Institution

National Government

National Government

International Organization

Private Institution

National Government

Public Institution

Public Institution

Public Institution

National Government

**Annex K: Gender Analysis and Action Plan**

The Gender Analysis and Action Plan will be discussed and prepare during inception period and attached to Inception Report.



Oficio Nro. MAE-CGPA-2018-0839-O

Quito, D.M., 15 de noviembre de 2018

**Asunto:** Endorsement for Enabling Activities to the Fourth National Communication and Second Biennial Update Reports for Parties not included in Annex I to the United Nations Framework Convention on Climate Change

Undp/gef Deputy Executive Coordinator  
Adriana Dinu  
**EEG/BDP UNDP**  
En su Despacho

Dear Mrs. Dinu,

In my capacity as GEF Operational Focal Point for Ecuador, I confirm that the above project proposal (a) is in accordance with my government's national priorities, including the priorities identified in the approved Proposal of the National Adaptation Plan, and our commitment to the relevant global environmental conventions; and (b) was discussed with relevant stakeholders, including the global environmental convention focal points.

I am pleased to endorse the preparation of the above project proposal with the support of the GEF Agency(ies) listed below. If approved, the proposal will be prepared and implemented by Ministry of Environment (MAE) in Ecuador. I request the GEF Agency(ies) to provide a copy of the project document before it is submitted to the GEF Secretariat for CEO endorsement.

The total financing from GEF TF being requested for this project is USD 932.940, inclusive of project preparation grant (PPG), if any, and Agency fees for project cycle management services associated with the total GEF grant. The financing requested for Ecuador is detailed in the table below.

Source of Funds	GEF Agency	Focal Area	Amount (in US\$)		
			Project Preparation	Project Fee	Total
GEFTF	UNDP	Climate Change	852.000	80.940	932.940
<b>Total GEF Resources</b>			<b>852.000</b>	<b>80.940</b>	<b>932.940</b>

Sincerely,

Atentamente,

*Documento firmado electrónicamente*

Ing. Christian Roberto Dávila Cadena  
**COORDINADOR GENERAL DE PLANIFICACIÓN AMBIENTAL Y GESTIÓN ESTRATÉGICA**

Copia:

Señor  
Arnaud Peral  
**Representante Residente**  
**PROGRAMA DE LAS NACIONES UNIDAS PARA EL DESARROLLO**

Señorita Licenciada  
Stephanie Carin Avalos Calderon  
**Subsecretaria de Cambio Climático, Encargado**

Señora Magíster  
Jenny Tatiana Yepez Toscano



**Oficio Nro. MAE-CGPA-2018-0839-O**

**Quito, D.M., 15 de noviembre de 2018**

**Directora de Planificación e Inversión**

Señorita Licenciada  
Adriana Alexandra Matamoras Vargas  
**Analista de Planificación e Inversión**

Señorita  
María Belén Duran Flores  
**Asistente de Planificación e Inversión**

md/am/jy

**CHRISTIAN**  
**ROBERTO DAVILA**  
**CADENA**

No debe ser copiado o usado  
sin el consentimiento escrito de  
la Oficina Registral de Quito  
Código Postal: 170525 / QUITO  
Ecuador - Teléfono: 593-2 398-7600  
www.registrodequito.gov.ec

MINISTERIO DEL AMBIENTE

EL GOBIERNO  
DE TODOS

Oficio Nro. MAE-DPI-2018-0006-O

Quito, D.M., 17 de septiembre de 2018

**Asunto:** Endorsement for Enabling Activities to the Fourth National Communication and Second Biennial Update Reports for Parties not included in Annex I to the United Nations Framework Convention on Climate Change.

Undp/gef Deputy Executive Coordinator  
Adriana Dinu  
**EEG/BDP UNDP**  
En su Despacho

INFO	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ACTION	U.A.	CA	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
09 OCT 2018					
FILE: PRO/301/PIPELINE/GEF					
LOG NO 18E-04865					

Dear, Mrs. Dinu,

In my capacity as GEF Operational Focal Point for Ecuador, I confirm that the above project proposal (a) is in accordance with my government's national priorities, including the priorities identified in the approved Proposal of the National Adaptation Plan, and our commitment to the relevant global environmental conventions; and (b) was discussed with relevant stakeholders, including the global environmental convention focal points.

I am pleased to endorse the preparation of the above project proposal with the support of the GEF Agency(ies) listed below. If approved, the proposal will be prepared and implemented by Ministry of Environment (MAE) in Ecuador. I request the GEF Agency(ies) to provide a copy of the project document before it is submitted to the GEF Secretariat for CEO endorsement.

The total financing from GEFTF being requested for this project is US\$ 932,940, inclusive of project preparation grant (PPG), if any, and Agency fees for project cycle management services associated with the total GEF grant. The financing requested for Ecuador is detailed in the table below.

Source of Funds	GEF Agency	Focal Area	Amount (in US\$)			
			Project Preparation	Project	Fee	Total
GEFTF	UNDP	Climate Change		852,000	80,940	932,940
<b>Total GEF Resources</b>				852,000	80,940	932,940

Best regards,

MINISTERIO DEL AMBIENTE



**Oficio Nro. MAE-DPI-2018-0006-O**

**Quito, D.M., 17 de septiembre de 2018**

Atentamente,

Srta. María Belén Duran Flores  
**ASISTENTE DE PLANIFICACIÓN E INVERSIÓN**