UNDP Project Document
for projects financed by the various GEF Trust Funds

Project title: First Biennial Transparency and Fourth National Communication Report (BTR1/NC4)		
Country: Cook Islands	**Implementing Partner (GEF Executing Entity):** Climate Change Cook Islands (CCCI), Office of the Prime Minister	**Execution Modality**: National Implementing Modality (NIM)
Contributing Outcome (UNDAF/CPD, RPD, GPD): *United Nations Pacific Strategy 2018 – 2022 (UNPS), Outcome 1: Climate Change, Disaster Resilience and Environmental Protection*		
UNDP Social and Environmental Screening Category: *Low Risk*	**UNDP Gender Marker:** *GEN2*	
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Latest possible CEO endorsement date: N/A (this is an Enabling Activity project)		
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Planned start date: 01 November 2022	**Planned end date: 30 June 2026**	
Expected date of posting of Mid-Term Review to ERC: N/A	**Expected date of posting Terminal Evaluation report to ERC: N/A**	
Brief project description: *The enabling activity aims to assist the Cook Islands to meet its reporting requirements under the UNFCCC and the Paris Agreement and prepare a combined First Biennial Transparency and Fourth National Communication Report in accordance with the MPGs and methodological guidance contained in decisions 18/CMA.1 and 5/CMA.3. Additionally, to strengthen technical and institutional capacity to prepare*		

and submit Biennial Transparency and National Communication reports to the UNFCCC. It will also assist in building national capacities to fulfil the Cook Islands commitments under the Convention on a continuous basis, whilst also increasing the awareness on climate change issues, fostering better integration of climate change into national and sectoral policies, strategies and programmes. Within the BTR1/NC4 component of the project, information will be updated on national circumstances, inventories of greenhouse gases up to 2020, measures undertaken to mitigate climate change, assessments of vulnerability to climate change and adaptation measures, and information on steps taken to integrate climate change consideration into national policies and actions.

(1) FINANCING PLAN	
GEF Trust Fund	USD 517,000
(1) Total Budget administered by UNDP	**USD 517,000**
(2) CONFIRMED CO-FINANCING	
Government of the Cook Islands	USD 100,000 (In-kind)
(3) Total confirmed co-financing	**USD 100,000**
(4) Grand-Total Project Financing (1) + (2)	**USD 617,000**

SIGNATURES		
Signature: **Mr. Ben Ponia** **Chief of Staff** **Office of the Prime Minister**	**Agreed by Government of the Cook Islands**	**Date/Month/Year:** within 6 months of GEF CEO endorsement 16/12/22
Signature: **Ms. Violet Baffour** **Coordinator** **Country Office Support and Quality Assurance** **UNDP Bangkok Regional Hub**	**Agreed by UNDP**	**Date/Month/Year:** within 6 months of GEF CEO endorsement DocuSigned by: Violet Baffour E402CBF0CB48426... 09-Sep-2022

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LIST OF ACRONYMS

AD – Activity Data
AFOLU – Agriculture, Forestry and other Land Use
AWP – Annual Work plan
BPPS NCE-VF – Bureau for Policy and Programme Support, Nature, Climate and Energy, Vertical Fund team
BTR – Biennial Transparency Report
CBO – Community-Based Organization
CC – Climate Change
CCA – Climate Change Adaptation
CCCI – Climate Change Cook Islands
CCM – Climate Change Mitigation
CH4 – Methane
CICSO – Cook Islands Civil Society Organisations
CO_2e – Carbon Dioxide equivalent
COP – Conference of Parties
CSO – Civil Society Organizations
DCD – Development Coordination Division
DIM – Direct Implementation Modality
DRM – Disaster Risk Management
DRR – Disaster Risk Reduction
EA – Enabling Activity
EIA – Environmental Impact Assessment
FNC – Fourth National Communication
GEF – Global Environment Facility
GEFSEC - Global Environment Facility Secretariat
Gg – Giga Gram
GHG – Greenhouse Gas
GSP – Global Support Programme on National Communications and Biennial Update Reports
INC – Initial National Communication
IP – Implementing Partner
IPCC – Intergovernmental Panel on Climate Change
IPP – Independent Power Producers
IPPU – Industrial Processes and Product Use
LULUCF – Land use, land use change and forestry
MFAI – Ministry of Foreign Affairs and Immigration
MFEM – Ministry of Finance and Economic Management
MRV – Monitoring, Reporting and Verification
M&E – Monitoring and Evaluation
MW – Megawatt
NAPA – National Adaptation Programme of Action
NC – National Communication
NDC – Nationally Determined Contributions
NES – National Environment Services
NGOs – Non-Governmental Organizations
NIM – National Implementation Modality
NMVOC – Non-methane volatile organic compounds
NOx – Oxides of Nitrogen
N_2O – Nitrous Oxide
NZEG – Net Zero Emissions goal 2040
PIF - Project Identification Form

PMU – Project Management Unit
POPP - Programme and Operations Policies and Procedures
QA – Quality Assurance
QC – Quality Control
SDGs – Sustainable Development Goals
SESP – Social and Environmental Screening Procedures
SNDCs – Second Nationally Determined Contributions
SNC – Second National Communication
SSTrC – South-South and Triangular Cooperation
STAP - GEF Scientific Technical Advisory Panel
TNC – Third National Communication
WG – Working Group
UN – United Nations
UNFCCC – United Nations Framework Convention on Climate Change
UNDAF – United Nations Development Assistance Framework
UNDP – United Nations Development Programme
UNEP – United Nations Environment Programme
UNPS – United Nations Pacific Strategy 2018 - 2022
V&A – Vulnerability and Adaptation

2 DEVELOPMENT CHALLENGE

The Cook Islands signed the United Nations Framework Convention on Climate Change (UNFCCC) on 12 June 1992 at the Rio Summit on Sustainable Development, due to its concern about climate change and the need for cooperative action by all countries to address this issue. The Convention was ratified on 20 April 1993 and entered into force on 21st March 1994. Subsequently, the UNFCCC's Kyoto Protocol was signed by the Cook Islands on 16th September 1998, ratified on 27th August 2001, and came into force on 16February 2005. In September 2016, the Cook Islands ratified the Paris Agreement and joined a collective effort to limit the globe's temperature rise from global warming. The Cook Islands submitted its Intended Nationally Determined Contributions (INDC) to the UNFCCC Secretariat on 20 November 2015. The Cook Islands is updating its NDCs funded by UNDP under its Climate Promise envelope. It will be submitted in 2022.

Under its obligations, the Cook Islands published its Initial National Communication (INC) in October 1999. The Second National Communication (SNC) was submitted in April 2012. The TNC was finalized and submitted to the UNFCCC in July 2020. The First Biennial Transparency and Fourth National Communication Report (BTR1/NC4) Project will build on findings and recommendations from previous NC work. Alongside meeting its obligations to the UNFCCC, the National Communication reports serve as status reports which show how the Cook Islands is affected by and dealing with climate change. The reports enable tracking of progress, against the ultimate objective of the UNFCCC i.e., to stabilize greenhouse gas concentrations in the atmosphere, at a level that would prevent dangerous anthropogenic interference with the climate system, within a time frame sufficient to allow ecosystems, to adapt naturally to climate change, to ensure that food production is not threatened, and to enable economic development to proceed in a sustainable manner. Equally important, the reports also facilitate national efforts towards achieving national development objectives and priorities.

Parties under the Paris Agreement are required to submit their first biennial transparency report (BTR1) and national inventory report, if submitted as a stand-alone report, in accordance with the MPGs, at the latest by 31 December 2024[1]. Least developed countries and small island developing states have discretion to submit their first BTR later (decisions 1/CP.21, para 90 and 18/CMA.1 para.4).

According to the MPGs for the transparency framework for action and support, in the BTR:
(a) Each Party is required to provide a national inventory report of anthropogenic emissions by sources and removals by sinks of greenhouse gases (GHGs)[2];
(b) Each Party is required to provide the information necessary to track progress in implementing and achieving its nationally determined contribution (NDC) under Article 4 of the Paris Agreement;
(c) Each Party may provide information on climate change impacts and adaptation under Article 7 of the Paris Agreement[3];
(d) Developed country Parties are required to provide information on financial, technology transfer and capacity-building support provided to developing country Parties. Other Parties that provide support may provide such information;
(e) Developing country Parties may provide information on financial, technology transfer and capacity-building support needed and received.

[1] the least developed country Parties and small island developing States may submit the information referred to in Article 13, paragraphs 7, 8, 9 and 10, of the Paris Agreement at their discretion
[2] The national inventory report may be submitted as a stand-alone report or as a component of a BTR
[3] Parties may submit an adaptation communication as a component of, or in conjunction with, a BTR. If that is the case, the Party should clearly identify which part of the report is the adaptation communication

The First Biennial Transparency and Fourth National Communication Project will build on findings and recommendations from previous NC work.

The preparation process of the TNC highlighted the following lessons learnt, gaps and recommendations for further activities and capacity-building needs.

- Training for quality collection of data on the methods and approaches for the GHG inventory, and identification and development of collection system that can be institutionalized and centralized since data was scattered and time consuming to collect. Strengthen institutional arrangements and institutionalize the inventory process in the work of the relevant ministries/agencies with clear understanding of their roles and responsibilities;
- Quality control system be put in place to ensure quality control as per the IPCC 2006 guidelines to ensure integrity of data. Regular training of personnel to ensure the process does not lapse with staff turnover;
- Strengthen human capacity on scientific, technical and institutional processes to undertake GHGI;
- Strengthen and collaborate with relevant institution to determine best approach for development of usable repository suitable for regular GHGIs;
- Build training and strengthen capacity to assess and identify relevant mitigation scenarios;
- Strengthen capacity building initiatives for integrating adaptation measures into island specific, traditional practices, and long-term national plans.
- Land-cover data remains insufficiently inadequate to calculate accurate estimates of CO2 emissions and removals from forests and other land-use categories. Technical training (through learning-by-doing workshops) could help strengthen institutional capacities to make these calculations, in particular using the latest IPCC methodology guidelines.

The NC process has provided the Cook Islands with direction in climate change adaptation and mitigation, through identifying constraints and needs in all areas pertaining to climate change. Subsequently, leading to a functional review of climate change within government as part of the SNC. This functional review recommended the establishment of the Renewable Energy and Climate Change Coordination offices within the Office of the Prime Minister. In 2011 demonstrating the Cook Islands serious commitment to climate change, the Climate Change Cook Islands (CCCI) division was established in the Office of the Prime Minister (OPM) alongside the Renewable Energy Development Division (REDD). Prior to the establishment of the CCCI office at the OPM, climate change activities were guided by the National Environment Strategic Action Framework (NESAF) 2005-2009 and implemented by the National Environment Service (NES). Climate change activities in the Cook Islands were fragmented and lacked a coordinated approach due to other activities mandated to the NES. The CCCI office has provided a nationally coordinated approach to climate change activities and is responsible for national obligations to the UNFCCC. Since the recommendation under the SNC to establish the CCCI office, work has progressed at a national scale to incorporate climate change considerations into sector polices and coordinate and streamline climate change across sectors. Moreover, the Cook Islands government has demonstrated its commitment to climate change, illustrated by actively participating in and sending participants to the UNFCCC Conference of the Party (COP) meetings. Institutionalization of CCCI under the OPM elevated its status, and budgetary commitment by the government has demonstrated the Cook Islands government serious stance on climate change affairs and activities. The NC process enables updating and realigning climate change directions and priorities if needed, to ensure the country continues to be actively committed to climate change adaptation and mitigation.

The Cook Islands have improved significantly in formally acknowledging climate change in national documents. For example, the Cook Islands National Sustainable Development Plan (NSDP) is the overarching national plan that all Cook Islands policies are designed to align with. The Cook Islands NSDP 2007-2010 was lacking in its acknowledgement of climate change. However, climate change recognition became significant in subsequent NSDP's. Recognition of climate change as a cross cutting issue was achieved in the NSDP 2011-2015 where it was a substantial point in Priority Area 5*: Resilience, Goal 5: Resilient and Sustainable Communities.* The Cook Islands current strategic direction is guided by the NSDP 2016-2020. Climate change was highly recognized as a cross cutting issue in the NSDP 2016-2020 where climate change was the foundation of Goal 13: *"Strengthen resilience to combat the impacts of climate change and natural disasters"*. Alternatively, even in being acknowledged in the NSDP, a review was carried out in 2013 on the integration of climate change into strategic plans and sector policies. The review states that climate change objectives were specified in most of the documents that were reviewed, and the objectives, strategies and outcomes were compatible across sectors. However, the review claims that the responsibility for delivering on those objectives was ambiguous and there was lack of linkages between the sectors. Climate change is a cross-cutting issue and is therefore crucial for it to be addressed to achieve the other goals of the NSDP.

The vision of the Cook Islands Climate Change Policy 2018-2028 is: "*A climate resilient and sustainable Cook Islands".* It covers all climate change related activities in the Cook Islands. The policy is aligned with the NSDP to "*strengthen climate resilience to protect lives, livelihoods, economic, infrastructural, cultural and environmental assets in the Cook Islands, while ensuring sustainable development".* The CCCI office is the lead agency for implementation of adaptation measures guided by the Cook Islands Climate Change Policy 2018-2028. Having CCCI as the lead agency will reduce project duplication and costs, promote resource sharing and assist in building in country capacity. The Climate Change Policy 2018-2028 is due to be reviewed in 2023 to assess its effectiveness and application. A full review is set to take place after 10 years, and based on that review and update, the Climate Change Policy will continue for a further 10 years. The integration and implementation of the Climate Change Policy in the *Pa Enua* sits with each respective *Pa Enua* Mayor, Island Administration and Island Council.

The development of the first Joint National Action Plan (JNAP) acknowledged national climate change policy and planning fragmentation. In recognition that climate change considerations across the Cook Islands sectors was fragmented, one significant objective of the JNAP 2011-2015 was to integrate climate change adaptation and mitigation, and Disaster Risk Management (DRM) considerations into national policies and plans. In doing so, recognised climate change as a cross cutting issue and provided an informed direction toward reducing fragmentation and an improved coordinated approach. The Cook Islands JNAP II: *A sectoral approach to Climate Change and DRM 2016 – 2020* is aligned with the Climate Change Policy and is the guiding document for sectoral adaptation. Although the JNAP provides strategic direction and has identified areas of extremely high priority, the lack of ministerial and agency buy in to commit resources for implementation is questionable.

The REDD was also established within the OPM alongside CCCI to administer the Renewable Energy Chart Implementation Plan. The Cook Islands has formally submitted a Nationally Appropriate Mitigation Action (NAMA) under the UNFCCC for supporting the implementation of 100% renewable electricity by 2020. However, the exercise was futile as the Cook Islands did not secure support towards its renewable energy target. Emergency Management Cook Islands (EMCI) coordinates all DRM activities. DRM and climate change adaptation in the Cook Islands are guided by the JNAP. Alternatively, mitigation (the responsibility of REDD) is guided by the Cook Islands Renewable Electricity Chart (CIREC) 2011. Both the JNAP and CIREC were designed to work in synergy with each other for coordinated climate change adaptation and mitigation.

The Cook Islands have committed its entire EEZ of 1.97 million square kilometers of ocean to a marine park. The marine park is guided by the Marae Moana Policy 2016-2021 and Action Plan 2018-2021 which fosters a culture of ocean investigation and research to inform future marine management and climate change adaptation responses.

The Ridge to Reef R2R project is implemented by the Cook Islands NES. The NES works with CCCI to integrate climate change resilience into the projects to protect and improve the resilience of land and sea ecosystems to the impacts of climate change.

A Disaster Emergency Trust Fund has been established with an initial NZD$200,000.00 committed from government. This fund is designed to reduce delays in emergency response. The fund has also provided preparedness strengthening through setting up tsunami signage and sirens.

In July 2016, the Adaptation Fund accredited the Ministry of Finance and Economic Management (MFEM) as a National Implementing Entity (NIE) for the Cook Islands. This allows the Cook Islands to access climate financing for adaptation activities and projects. The main benefit is that the Cook Islands will be able to apply directly to the Adaptation Fund, streamlining the application process and reducing administration costs of climate change project implementation. Similar to direct access to the Adaptation Fund, in March 2016 the Cook Islands was the first country in the Pacific region and the first Small Island Developing State (SIDS) to receive readiness funding to strengthen capacity to access finance through Green Climate Fund (GCF).

The impacts of climate change have economic, psychological and environmental impacts. The Cook Islands acknowledge this and have been active in implementing climate proofing projects. New Zealand Aid funding made improvements to the harbors of Mitiaro and Mauke completed in 2012. The Pacific Adaptation to Climate Change (PACC) regional project funded through shared financing with Australia Aid (Aus Aid), the Global Environment Facility (GEF), and the Cook Islands Government enabled the Mangaia harbor to undergo strengthening and safety improvement work completed in 2012. In Rarotonga, the Maire Nui Drive in Avarua town, gained a rock revetment to protect the main township from the impacts of storm surges, whereas improvements to the Avatiu harbor and Avatiu marina progressed to completion.

Between 2007 and 2020, there have been development partner funded climate change projects implemented to assist the Cook Islands adaptation to climate change. Moreover, the Cook Islands have been active in implementing climate change into sector wide policies and plans. However, even with environmental and population centered adaptation activities, there is still a lot of work to be done on the psychological impacts of climate change on the population and community, and ways that these may be minimized.

3 STRATEGY

The project's primary objective is to assist the Cook Islands in meeting its reporting requirements under the UNFCCC and the Paris Agreement by preparing and submitting:

its First Biennial Transparency Report and Fourth National Communication in accordance with the MPGs and methodological guidance contained in decisions 18/CMA.1 and 5/CMA and communicate to the Conference of the Parties, through the secretariat, the following elements of information:

- a national inventory report of anthropogenic emissions by sources and removals by sinks of greenhouse gases (GHGs) ;
- the information necessary to track progress in implementing and achieving its nationally determined contribution (NDC) under Article 4 of the Paris Agreement;
- information on climate change impacts and adaptation under Article 7 of the Paris Agreement ;
- information on financial, technology transfer and capacity-building support needed and received.

Under this modality, Cook Islands will prepare and submit a single BTR1/NC4 report, following the modalities, procedures and guidelines for BTRs and include: (a) Supplemental chapters on research and systemic observation and on education, training and public awareness, in accordance with applicable guidelines in 17/CP.8.

This project is prepared in line with the GEF7 Climate Change Mitigation objective CCM3: Foster Enabling Conditions to Mainstream Mitigation Concerns into Sustainable Development Strategies. In particular, Program 5 of this objective aims to mainstream the integration of climate considerations into the national planning process and to help countries mainstream mitigation action in support of the 2030 Agenda for Sustainable Development and the SDGs.

The project's long-term strategy is to mainstream climate change objectives into national and sectoral sustainable development plans and policies, giving continuity to the process of technical and institutional capacity-building, in part, initiated and sustained by the national communication process.

The project proposes to take a learning-by-doing approach to all activities. While the result may be documentary outputs, the project is based on the understanding that the process of developing National Communications is as important as the end product. The project approach will facilitate learning, policy direction and, ultimately, the application of nationally appropriate climate actions. The project outcomes are:

1. BTR1/NC4 developed and submitted in accordance with the MPGs and methodological guidance contained in decisions 18/CMA.1 and 5/CMA by Dec 2025.
2. Improved awareness, understanding, and critical thinking is realized through the preparation of various knowledge management products, monitoring, and evaluation as well as cementing institutional arrangements for such activities in the government systems to ensure sustainability.

Biennial Transparency and National Communication Reports are not merely reporting requirements to the UNFCCC and the PA, but also an opportunity to develop a strategic and policy support tool. In addition to providing policy relevant information on the progress of efforts to address climate change, if used strategically, become a vehicle to facilitate effective policy dialogue, capacity-building, advocacy and mainstreaming as well as project development for mitigation and adaptation to climate change.

The proposed project will further strengthen the capacity of national institutions in related research and analysis, eventually contributing to the Cook Islands' efforts to reducing the impacts of the global environmental threat of climate change. Documents (reports, analyses, studies etc.) produced under the project will be used by the decision-makers for preparing and implementing guidelines and policy action framework for achieving the government's national and international commitments. It will also assist the Cook Islands to prepare for transition to the Enhanced Transparency Framework (ETF), creation of enabling policy environment and monitoring, reporting and verification system for effective implementation of the Paris Agreement.

The ETF and BTR represent an important component of the ambition cycle in the global climate regime established by the Paris Agreement by building trust and confidence that countries are taking action to meet their national climate targets and actions defined in their NDCs.

4 RESULTS AND PARTNERSHIPS

Expected Results:

First Biennial Transparency and Fourth National Communication report

1.1 BTR1/NC4 developed, endorsed by Government, and submitted to the UNFCCC in accordance with the MPGs and methodological guidance contained in decisions 18/CMA.1 and 5/CMA by Dec 2025.

1.1.1 Assessment of the Cook Islands National Circumstances pertaining to Climate Change

Based on the information gathered for the first, second and third NCs, activities under this output will aim to update the relevant national circumstances relevant to climate change. The purpose of this activity is to collect and analyze information, concerning the physical and socio-economic, (economy, education, population, health, and livelihoods) characteristics of the country, and how they might affect, the way in which it deals with climate change and sustainable development issues in the long term. This will include, outlining the policies and procedures for collecting and managing gender disaggregated climate-relevant data, as well as describing the institutional arrangements relevant to the on-going preparation of the UNFCCC national communications, such as roles and responsibilities among government agencies and state-owned entities, NGOs, traditional leadership and civil society, as applicable.

BTR1/NC4 report will provide information on National Circumstances and Institutional Arrangements:

a) for continued estimation, compilation and timely preparation and submission of the national inventory reports (i.e., description of inventory planning, preparation and management)
b) relevant to the progress made in implementing and achieving an NDC (i.e., description of the government structure, a population profile, a geographical profile, an economic profile, a climate profile and sector detail)
c) relevant to adaptation actions, including Legal and policy frameworks and regulations (i.e., bio-geophysical characteristics, demographics, economy, infrastructure and information on
adaptive capacity, etc.)
d) relevant to reporting on support needed and received, including (i.e., description of the systems and processes used to identify, track and report support needed and received, information on country priorities and strategies)

1.1.2 National GHG Inventory updated up to 2022 in accordance with the 2006 IPCC guidelines, and introduction of the 2019 Refinement to the extent possible. Procedures and arrangements to collect and archive data for the preparation of national GHG inventories, as well as efforts to make this a continuous process strengthened and described including information on the role of the institutions involved.

The Cook Islands TNC was produced using the 2006 IPCC guidelines, the IPCC Good Practice Guidance (GPG) 2000 and 2003, were used where appropriate. For the BTR1/NC4, the GHG inventory guidelines, will be updated in accordance with the 2006 IPCC guidelines and the 2019 Refinement of the 2006 IPCC Guidelines to the extent possible. The activity will include an assessment of the extent to which these guidelines are applicable to existing data sets and to national circumstances. To the extent possible, the existing time series (1994-2006), will be upgraded, through the introduction of country-specific Tier II methodologies and higher order Tier III methods, such as models. Building on the assessment of output 1.1.1 and on the BTR1/NC4 findings, this output will include improving mechanisms for the continued collection, harmonization and centralization of GHG relevant data. The improvement work will also focus to institutionalize the inventory process in the work of the relevant agencies, ministries, promote ownership and participation, and ensure involved stakeholders understand their roles/responsibilities, as well to provide technical training to designated personnel including incentives. Quality Assurance/Quality Control (QA/QC) will be delivered through a formalized process including capacity building and be applied in a systematic way. The project will support the compilation of the most recent national GHG inventory. Data will be gathered for the period 2007-2022 for trend analysis, building on the trend analysis conducted under the TNC. This will be applied to the following sectors: energy, transport, agriculture, forestry, and other land use (AFOLU), IPPU, CO_2 removals and waste. To the extent possible, efforts will be made to secure more reliable data on land use and land use change, as this was a shortcoming highlighted in the TNC. This may take the form of satellite imagery.

Under the MPGs, it is mandatory to report on 7 gases (CO2, N2 O, CH4, HFCs, PFCs, SF6 and NF3). Developing countries can apply flexibility and report only on CO2, N2 O and CH4 but include other gases within the scope of the NDC or previously reported. The Cook Islands intend to report on a number of gases outside of CO2, N2O, and CH4, such as HFCs and PFCs, as identified and applicable.

The common reporting tables presented in Annex I to decision 5/CMA.3 will be used for the electronic reporting of the information in the national inventory of anthropogenic emissions by sources and removals by sinks of greenhouse gases and follow the outline of the national inventory document presented in Annex V of Decision 5/CMA.3.

<u>1.1.3 Revised and validated assessment of the Cook Islands mitigation potential by 2040</u> for the sectors of energy, AFOLU, CO_2 removals, and waste to ensure alignment with relevant national priorities and Nationally Determined Contribution (NDC) cycle, implementation progress of NDC's mitigation actions reported, including the use of appropriate indicators.

Using all new available data and data sets, combined with socio-economic data, this will be calculated for the sectors of energy, transport, AFOLU, IPPU, CO_2 removals and waste, and aligned with relevant national strategic, and development priorities. Improved data on land use and land use change, will help refine the mitigation and sequestration potential for the AFOLU sector. The mitigation potential for each sector will also be reflected, as appropriate, in key national policy statements and reports to the extent that they can be measured as part of Cook Islands Second Nationally Determined Contributions (NDCs). This will be achieved, through learning by doing approaches that will bring together technical experts and relevant practitioners.

This output will track progress towards the attainment of the targets set in NDC, including the development of appropriate indicators. The Cook Islands submitted their INDC to the UNFCCC on the 20th November 2015 and is currently updating its 2nd NDC to be submitted in 2022.

The project will use the common tabular formats presented in Annex II to decision 5/CMA.3 for the electronic reporting of the information necessary to track progress made in implementing and achieving nationally determined contributions under Article 4 of the Paris Agreement.

<u>1.1.4 Updated information on the Cook Island's vulnerability to the adverse impacts of climate change and adaptation measures.</u>

The TNC provided information on vulnerability in the water, health, land, agriculture and infrastructure sectors. Based on best practices from recently completed efforts, the updated vulnerability assessment will also be disaggregated by sector and be carried out through learning-by-doing workshops, in order to strengthen the critical thinking of government staff and other national stakeholders that may be involved in similar future exercises. This assessment will offer strategic and realistic approaches for the Cook Islands to adapt to the impacts of climate change over the near, medium, and long-term. Information on vulnerability will also take into account revised climate scenarios and projections arising from national meteorological data and sea level rise projections. The assessment will also differentiate vulnerability according to socio-economic class, sector, gender, and by island to island. It will also identify and utilize traditional knowledge and practices with its relevance to adaptation measures. It will include the use of GPS to pinpoint critical areas for conservation purposes, and most vulnerable to climate change. Special consideration will be given to a more in-depth analysis of the intersection between gender and climate change as per the Gender Action Plan adopted at COP 23.

The climate change impacts, and adaptation chapter will follow guidance on BTR outline presented in Annex IV of Dec 5/CMA.3 and MPG requirements as per section IV of Decision 18/CMA.1

1.1.5 Valuation of economic, financial and opportunity costs for adaptation and mitigation.

This costing exercise is designed to assist decision-makers in modelling their policy response to emerging climate information. The valuation exercise will include an analysis of losses and opportunities arising from climate change (in financial terms), costs of inaction, and comparative cost of adopting adaptation or mitigation approaches and technologies. In response to the priorities identified in the TNC for climate finance, it will be carried out in order to help identify, prioritize and mobilize the necessary financial resources, as well as leverage economic drivers to minimize losses and damages as a result of climate change to the extent possible. Links with the private sector will be established during this exercise, to ensure that awareness is raised of the costs and opportunities of climate change.

1.1.6 Constraints, gaps and related financial, technology and capacity building needs identified and activities/measures for overcoming the gaps and constraints proposed

Information will be collected, analyzed, compiled and included in the BTR1/NC4.

In this section of the BTR1/NC4, constraints, gaps, and related financial, technical, and capacity building needs associated with the implementation of climate change activities, measures and programmes, and with the preparation and improvement of national communications will be analyzed and presented.

Moreover, existing and proposed activities for overcoming the above gaps and constraints, as well as financial resources and technical support needed for the preparation of the national communications and for the implementation of climate change activities including the need for technology needs assessment for mitigation and adaptation building will be analyzed.

Finally, while identifying financial, technical, and capacity building needs project proposal writing workshops for financing will also be part of this output.

The final report will include information on support needed and received by using the common tabular formats presented in Annex III to the Decision 5/CMA.3 for the electronic reporting of the information on financial, technology development and transfer and capacity-building support needed and received, under Articles 9–11 of the Paris Agreement.

1.1.7 Information on steps taken to integrate climate change considerations into relevant social, economic and environmental policies and actions in accordance with Article 4, paragraph 1 (f), of the Convention.

These activities include linkages between the national communication process and national development priorities, efforts to integrated climate change considerations into social, economic, and environmental policies and actions.

Enhanced institutional arrangements to create a sustainable national communication process and finally, to develop indicators to evaluate the impacts of the national communication process at different levels.

Transfer of technologies, Research and systematic observation, Education, Training and public awareness, Capacity-building, Information and networking.

Transfer of Technologies

Activities relating to this will include establishment of database on environmentally sustainable technologies, information networks and strengthening of human, scientific, technical and institutional capacities. Technology needs assessment and deployment of technology.

Climate Change Research and Systematic Observation Programmes

Measures and recommendations to improve on national programmes for research and systematic observations, activities related to participation in global research and observation systems. Identification of needs and priorities on climate change research and systematic observations. Research programmes containing measures to mitigate climate change, facilitating adequate adaptation to climate change, and including activities related to the development of emission factors and activity data.

Education, Training and Public Awareness related to Climate Change

Identify initiatives to increase awareness and understanding of climate change issues, promote initiatives and programmes for education, training and public awareness and the development of institutional framework for public participation. Gaps, needs and priorities identified in education, training and public awareness programmes. Co-operation strengthened for climate change education, training and public awareness.

Capacity building activities and initiatives

Capacity building needs identified with measures to address these needs developed and promoted. Initiatives and efforts to promote capacity building information sharing among and within country and regions including identification of specific needs, options and priorities for capacity building in addressing climate change issues is strengthened. Participation of wide range of stakeholders including youth and disadvantaged groups in climate change capacity building initiatives improved.

Information sharing and networking

Dissemination and sharing of information on capacity building activities to the wider community is strengthened. Activities aimed at integrating adaptation into medium- and long-term planning, policies and legislations identified and improved. Measures to promote information exchange, sharing and networking related to climate change is strengthened.

Supplemental chapters on research and systemic observation and on education, training and public awareness, will be prepared in accordance with applicable guidelines in decisions 17/CP.8, as appropriate (para. 43 of 1/CP.24).

1.1.8 Learning-by-doing workshops to mainstream climate change into relevant social, economic and environmental policies and actions.

In accordance with Article 4, paragraph 1 (f) of the Convention, and building on the work conducted during INC, SNC and TNC, Technology needs assessments, NAMAs, JNAPII, and NDCs, the BTR1/NC4 will work to promote a learning by doing approach to mainstreaming. A series of workshops will be targeted to each key sector identified in the BTR1/NC4 (both mitigation and adaptation) and will make every effort to be more inclusive of traditionally marginalized social actors. This may include traditional leaders, women's groups and associations, youth forums, small indigenous enterprises, civil society, church organizations, disabilities and the elderly.

At the end of these activities, the outcome will be a fully developed, compiled national communication that will be based on a participatory process of science-informed policy change. The BTR1/NC4 will be compiled according to the requirements and formats established by the UNFCCC Secretariat and will be submitted to the UNFCCC by Dec 2025, consistent with decisions 1/CP.21, para 90 and 18/CMA.1 para.4 providing flexibility to LDCs and SIDS to submit their first BTR later than Dec 2024.

Knowledge Management, Monitoring and Evaluation

2.1. Improved awareness, understanding, and critical thinking is realized through the preparation of various knowledge management products,

2.1.1 Awareness-raising materials prepared, and workshops are carried out to promote greater sensitization among decision-makers, policymakers, private sector, and the public.

Building on key recommendations of the BTR1/NC4, these materials and workshops will form important bases for broadening the engagement of social actors beyond those directly involved in the preparation of the technical information that make up the BTR1/NC4. The activities under this output are critical to strengthening the ability of this particular set of stakeholders to making full use of the information and recommendations of the BTR1/NC4. This will include strengthened links with the media including social media, community and civil society groups, Maori language materials, and the preparation of a communication strategy that supports the stakeholder engagement process described below.

2.1.2 Gender analysis and Action plan to include capacity-building, data collection and analysis to include gender aspects into relevant NC component.

This will be elaborated during the Inception phase with assistance from the Cook Islands National Council of Women, Au Vaine, the womens' division of the Ministry of Internal Affairs using in-country gender policy and the Ministry of Finance and Economic Management MFEM Gender Policy 2018. The guidance on gender integration through the NCs developed by the Global Support Programme (GSP) through UNDP and in collaboration with UNEP and GEF, the GEF SEC's policy on gender equality and Guidance to advance gender equality in GEF projects and programs will be applied.

Knowledge management:

The project team will ensure extraction and dissemination of lessons learned and good practices to enable adaptive management and upscaling or replication at local and global scales. Results will be disseminated to targeted audiences through relevant information sharing forums and networks. The project will contribute to scientific, policy-based and/or any other networks as appropriate (e.g., by providing content, and/or enabling participation of stakeholders/beneficiaries).

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 project implementation through lessons learned. The project will identify, analyze, and share lessons learned that might be beneficial in the design and implementation of similar future projects. Finally, there will be a two-way flow of information between this project and other projects of a similar focus.

2.2 Monitoring and Evaluation

2.2.1 Periodic assessments, monitoring, and evaluation approaches are carried out to identify and apply timely lessons learned through the project's various learning-by-doing workshops.

Under this output, the project will implement ongoing M&E and assessments to measure the extent to which new methodologies, procedures, and skillsets learned through the project have been institutionalized. This may include questionnaires and surveys, participatory evaluation methods, or expert-facilitated stocktakes. The purpose of this output is not only to ensure project objectives are being met, but also to maximize learning by stakeholders and participants, particularly those traditionnally excluded from the exercise. Knowledge management, Monitoring and Evaluation of project outcomes and outputs will be undertaken in line with the M&E plan under section E. In line with its M&E Plan, the project will be regularly monitored. Beyond evaluating the performance of the project and preparing financial and narrative reports, it will also be assessed how new procedures, methodologies and skillset learned through the project have been institutionalised.

Partnerships:

Project will identify synergies with other on-going projects to increase cost-effectiveness and enhance consistencies with various national development priorities, programmes and projects undertaken at national and local levels such as (but not limited to):

The Cook Islands NDCs which is to be reviewed, updated and submitted to the UNFCCC NDC Secretariat in 2022 may provide relevant information for the BTR1/NC4.

The AF funded PEARL project focusing on three main sectors, Agriculture, Water and DRM in the Pa Enua (2019 - 2021) have opportunities for synergies.

The assessment of a legal framework for Climate Change in the Cook Islands, by PACRES, SPREP office, 2020 – 2022 will be valuable to inform the NC development.

The Cook Islands Readiness 4 Project under the GCF focusing on project and programme development, and capacity building will enable for areas of synergies.

Confirmed Co-financing: The actual realization of project co-financing will be monitored and in reported to GEF. Note that project activities included in the project results framework that will be delivered by co-financing (even if the funds do not pass through UNDP accounts) must comply with UNDP's social and environmental standards. Co-financing will be used for the following project outputs.

Co-financing source	Co-financing type	Co-financing amount	Included in project results?	If yes, list the relevant outputs
Cook Islands Government	*In-kind*	*100,000*	*Yes*	*Output 1.1* *Output 2.1* *PMC*

Risks:

Some of the main risks envisaged for implementing the project activities are listed below. Please refer to the detailed risk log included in Annex 5.

Category	Risk	Mitigation	Level of Risk
Technical Resources	Non- availability of data and information required for development of TNC and low absorptive capacity of stakeholders	Revise Stakeholder engagement plan to ensure all relevant sectors are included to strengthen institutional and technical capacity of different stakeholders and institutions	High
Resources & Management	Inadequate consultations and coordination among the stakeholders	Revise Stakeholder engagement plan to ensure the inclusion of all stakeholders	Moderate
Resources & Management	Lack of in country expertise and capacity in developing National Communications and Biennial Update Reports	Utilize international expertise and UNDP roster of experts	Low
Organizational	Project Management Issues	Project team to work closely with UNDP and RTA to ensure proper planning and management	Low
Organizational	Risks associated with realization of co-financed activities and amounts	Include in the project risk register and monitor accordingly	Low
Political	Political instability and lack of support	Manage risks and revise social and environmental risks	Low
Organizational	Risks related to Climate, such as natural disasters occurrence could affect and slow project implementation.	Ensure proper planning to take into account natural disasters	Moderate
Social and Environmental	Risks related to Social and Environmental Safeguards findings, such as Policies and measures that are developed with support from the project may not be implemented properly and/or may lead to indirect/unintended environmental and/or social impacts affecting various stakeholders, in particular marginalized groups and indigenous people.	Ensure all relevant stakeholders are consulted, and their knowledge and contributions are fully exploited, including marginalized groups and indigenous peoples. Ensure extensive and fully participatory Stakeholders' consultation process for assessment of documents and reports prepared under the projects that would potentially contribute to the formulation of climate change policies and measures.	Low

Stakeholder engagement plan:

This project was developed in full consultation with all the experts, government staff, policymakers and NGOs who participated in the TNC and previous exercises. Their views and needs were integrated into the design of this new enabling activity.

Stakeholder involvement and consultation processes will be critical to the success of the project, particularly moving beyond the production of documentary outputs and towards effective policy implementation. An effective engagement of key stakeholders is envisaged during project preparation, implementation, monitoring and evaluation to enhance ownership of the BTR1/NC4 processes to make these reports more responsive to national needs. The project intends to strengthen stakeholder's participation in collectively addressing climate change issues and challenges. The stakeholders of the project are expected to come from a wide range of backgrounds, including ministries, state owned entities, local communities, NGOs, private sector, civil society, churches and traditional leaders with particular emphasis on gender and marginalized communities. The engagement plan includes identification and assessment of traditional and non-traditional stakeholders with consensus of their interest to participate in the BTR1/NC4, furthermore, a forward-looking analysis of those who may benefit more directly from climate action. The strategy will seek to identify agents of change and those who can act as opinion leaders (champions) and early adopters for various technologies. Particular attention will be paid to ensuring women and youth are actively engaged, by organizing specific forums targeted to their specific interests, and ensuring their active participation in learning by doing workshops and project activities. A private sector climate change forum will be organized, such as working with the Business Trade and Investment Board of the Cook Islands, Chamber of Commerce and indigenous businesses to raise awareness and garner additional participation in climate planning.

A preliminary Stakeholder engagement plan envisages the following meetings:

- Inception workshop to discuss conceptual framework and design for each chapter; and to highlight any prevailing challenges to data acquisition and sharing, monitoring assessment and reporting
- Validation workshops to discuss results and validate accuracy of the analyses
- Individual meetings with sector representatives
- Group discussions to solicit ideas, create synergies and opportunities for networking, knowledge sharing and joint actions
- Final dissemination workshop to discuss findings, raise awareness and reinforce collaboration and networking

Stakeholders identified include the following: In the inception phase of the project, the list will be revised and further expanded if needed.

Institution/Agency	Role in Climate Change activities	Role in BTR1/NC4
The Climate Change and DRM Platform (formerly the National Climate Change Country Team)	The Platform is a forum for climate change stakeholders to meet and present projects and activities being implemented in the climate change area. Meetings are normally held on a quarterly basis.	The Platform does not have a decision-making role, stakeholders can discuss and give suggestions to the respective agencies carrying out the projects. CCCI office is the secretariat.
Climate Change Cook Islands (CCCI)	The CCCI office is a division of the OPM and is now the organisation responsible for coordinating the country's response to the impacts of climate change. The CCCI office is responsible for meeting the Cook Islands obligations under the UNFCCC.	Implementing agency and technical advice.

Institution/Agency	Role in Climate Change activities	Role in BTR1/NC4
Renewable Energy Development Division (REDD)	REDD are responsible for achieving the targets in the Renewable Energy Chart (REC) and the consequential decrease in the Cook Islands emission levels. The present focus is on electricity generation. The next will be on transport powered by renewable energy.	Supporting role provide data and information
National Environment Service (NES)	NES has the mandate to protect, manage and conserve the environment of the Cook Islands. NES was initially responsible for climate change activities until a functional review in 2010 led to the creation of the CCCI office within the OPM.	Supporting role provide information
Emergency Management Cook Islands (EMCI)	EMCI is another office of the OPM and works closely with the CCCI. The EMCI focus is on DRM and reduction, but there has been a regional initiative to combine disaster management activities with climate change activities. This approach is being applied in the Joint National Action Plan (JNAP) and the Strengthening the Resilience of Our Islands and Our Communities to Climate Change (SRIC-CC) project and is supported in the *Kaveinga Tapapa* policy framework.	Supporting role provide data and information
Ministry of Finance and Economic Management (MFEM)	The Development Coordination Division (DCD) of MFEM is responsible for managing the flow of funds into the Cook Islands from international donors.	Responsible for managing the flow of funds into the BTR1/NC4
Cook Islands Meteorological Office (MET)	MET is the Cook Islands main climate-science organisation and is the country's representative on the IPCC. MET work with EMCI and is a significant player in emergency management. MET is the chair of the Climate Change and DRM Platform.	Supporting agency and provide data
Ministry of Health (MoH)	MoH is the main provider of health services in the Cook Islands and maintains the public hospital on Rarotonga and smaller clinics throughout the *Pa Enua*. MoH is responsible for building resilience through health, food and water security, building resilient livelihoods of people and communities.	Supporting role and provide data
Infrastructure Cook Islands (ICI)	ICI has a broad range of responsibilities and maintains roads, water supply and waste management on Rarotonga. ICI supports the *Pa Enua* Councils to maintain roads, water supply and waste management infrastructure on their respective islands.	Supporting role and provide data and information

Institution/Agency	Role in Climate Change activities	Role in BTR1/NC4
Ministry of Marine Resources (MMR)	MMR is responsible for conservation, management and development of living and non-living marine resources of the Cook Islands. MMR is responsible for the resources found in the EEZ lagoon waters and inland waters.	Supporting role and provide information
Ministry of Agriculture (MoA)	MoA is responsible for the development of agriculture in the Cook Islands. Agriculture development is a key component of climate change to find and develop crops that are resistant to the impacts of climate change.	Supporting role and provide data on LULUCF
Ministry Internal Affairs (INTAFF)	Amongst INTAFF's roles is mainstreaming gender and ensuring vulnerable groups are considered in climate change plans and policies.	Supporting role and provide data on fuel
Business Trade and Investment Board	BTIB is responsible for business development and investment in the Cook Islands including providing small soft loans and technical support to small startup businesses.	Supporting role
Non-Government Organisations: Non-Government Organisations (NGOs) are often involved as implementing agencies for climate change activities. They sometimes work with the Cook Islands Government or directly with regional or international organisations.		
Cook Islands Red Cross (CIRC)	CIRC serves as the National Hosting Institution (NHI) for the Global Environment Facility Small Grants Programme (GEF SGP).	Platform member
The Cook Islands National Council of Women (CINCW)	The CINCW works closely with INTAFF to improve the capacity of women to contribute to climate change adaptation and disaster risk reduction strategies. The CINCW assisted NES and CCCI with the V&A assessments in the Northern group of Cook Islands when they were completed. Also work with CCCI with the GCCA+supa.	Platform member
Te Ipukarea Society (TIS)	TIS has increased its environmental focus by adding climate change as a thematic area in its strategic plan.	Platform member
Kōrero o te `Ōrau	Amongst other activities, *Kōrero o te `Ōrau* focuses significantly on youth and participates in the delivery and advocacy of climate change activities to assist in educating, capacity building and adaptation to climate change and traditional knowledge and practices.	Platform member
Aronga Mana (traditional leaders)	The *Aronga Mana* is the collective of traditional leaders that are often engaged in implementing projects. They are particularly important for their local knowledge and observation of climate and	Platform member and needs based

Institution/Agency	Role in Climate Change activities	Role in BTR1/NC4
	environmental changes and traditional knowledge and practices. The Cook Islands policy on climate change acknowledges the importance of the role of the *Aronga Mana* (traditional leaders) in national climate change response.	
Private Sector		
Bank of the Cook Islands	A state-owned national entity that operates commercially in competition with other financial institutions.	Provide data on vehicles
Chamber of Commerce	Made up of local businesses big and small and advocates and liaises on their behalf.	Needs based
Regional and International Organisations: Regional and international organisations are an essential part of the Cook Islands climate change response. By providing funding, materials or technical expertise, these organisations have helped to implement adaptation and mitigation activities, develop policy and procedures and build capacity within the country. They are listed below:		
New Zealand government under development assistance programmes and agencies		Supporting role
Australian governments under development assistance programmes and agencies		Supporting role
Food and Agriculture Organisation (FAO)		Supporting role
United Nations Development Programme (UNDP)		Responsible for managing the project and providing technical support. Development partner
Adaptation Fund		Supporting role
Secretariat of the Pacific Community (SPC)		Supporting role and providing data
Secretariat of the Pacific Regional Environment Programme (SPREP)		Supporting role and providing data
University of the South Pacific (USP)		Supporting role
Asian Development Bank (ADB)		Supporting role
European Union (EU)		Supporting role
United Nations Environment Programme (UNEP)		Supporting role and providing data

<u>Gender dimension</u>

Wherever possible, in the BTR1/NC4, the information on national circumstances will disaggregate data by sex with the objective to better understand how the social and economic differences between men and women affects the ability of dealing with mitigating and adapting to climate change. Seeing that women are agents of change who make important contributions to climate change adaptation and mitigation, a gender perspective will be incorporated in the V&A assessment and in the preparation of mitigation actions. Sex-disaggregated indicators will be included in the project's monitoring and evaluation processes.

The project will include the active participation of women and men in all decision-making processes. Gender balance will be considered in project management structures and capacity building actions (trainings and workshops).

The guidance on gender integration through the NCs developed by UNDP's Global Support Programme for National Communications in collaboration with UNEP and GEF, will be applied during project implementation (http://www.un-gsp.org/news/gender-responsive-national-communications-toolkit).

In addition, in line with the GEF SEC's policy on gender equality and Guidance to advance gender equality in GEF projects and programs project will prepare and finalize gender analysis and action plan during its inception phase.

The project will build on existing gender projects previously conducted in the review of the Cook Islands Gender Policy by the Ministry of Internal Affairs, and the MFEM Gender Policy 2018 funded by GCF. Forster engagement with the various women's groups and organizations such as the Cook Islands National Council of Women, Au Vaine et al. Those areas where data and information on gender and climate change is unavailable will be identified and prioritized, with steps to address the gaps.

Gender analysis will follow the structure of five priority areas of UNFCCC Gender Action:

- Capacity building, knowledge sharing and communications
- Gender balance, participation and women´s leadership
- Coherence
- Gender responsive implementation and means of implementation
- Monitoring and reporting.

The Project will provide capacity-building in relation to BTR/NC purpose and content, gender issues in environment and their role in the BTR/NC processes as necessary.

Understanding how the different social roles and economic status of men and women affect and are affected differently by climate change will improve actions taken to adapt and to mitigate climate change. Therefore, the update of the national circumstances chapter, will consider gender dimension, in order to increase understanding and awareness, on the different roles of male and female in the climate space, with recommendations for change. This will also be a focus item in the vulnerability and adaptation assessments.

South-South and Triangular Cooperation (SSTrC):

Learning opportunities and technology transfer from peer countries will be explored during project implementation. This will provide opportunities for replication and the project will document good practices and facilitate dissemination through global ongoing South-South and global platforms. Furthermore, the project will explore opportunities where relevant for knowledge sharing and peer to peer learning among Pacific countries developing their respective National Communications and Biennial Updated Reports.

UNDP has a strong role to play as knowledge broker, capacity development supporter and partnership facilitator when developing countries work together to find solutions to common development challenges. South-South and Triangular Cooperation (SSTrC) is a necessity to ensure an inclusive global partnership towards sustainable development. The project will encourage SSTrC to ensure knowledge exchanges, technology transfers, peer support, and neighborhood initiatives, and for countries forming common development agendas and seeking collective solutions.

The project will explore possibilities for South-South cooperation within the areas related both to adaptation and mitigation, and to the elaboration of National Inventories of Greenhouse Gases (GHGI). In particular, through South-South cooperation, to be able to optimize the development of national capacities and / or the incorporation of specific technologies that contribute to significant improvement in the implementation of adaptation and mitigation actions. Building on from this experience the Cook Islands may be able to share its experience to assist its Pacific neighbors.

Under the guidance and exchanges facilitated via the CBIT Global Support Program (GSP), the Cook Islands will participate on the South-south learning and capacity building virtually or regional workshops and networks on BTR/NC specific topics.

In addition, the project will explore opportunities for meaningful participation in specific events where UNDP could support engagement with the global development on national communications and biennial update reporting. The project will furthermore provide opportunities for regional cooperation with countries that are implementing initiatives on national communications and biennial update reporting in, social and environmental contexts relevant to the Cook Islands.

<u>Innovativeness, Sustainability and Potential for Scaling Up:</u>

The project will extend on the work done under the First, Second and Third National Communication projects and continue to foster good working relationships with key national institutions, partners, stakeholders, and experts responsible for specific sections, in order to harness sustainability of the process.

Preparation and submission of the Biennial Transparency and National Communication reports is a country commitment under the UNFCCC and the PA. Future sustainability of the process is realized from the results achieved, practice, knowledge, and lessons, accumulated during the project implementation. Enhanced capacity of the CCCI office and principal stakeholders, who collaborate to implement the project, will contribute to effective decision making and policy formulation at all stages of climate-resilient development in the Cook Islands.

The project, within the framework of its capacity building interventions, will support the development of the GHG emission data collection and MRV system. This will be delivered by identifying and analyzing existing systems and arrangements, and harnessing opportunities for collaboration in establishment of such system, for MRV and GHG Inventory. Ongoing capacity building will be undertaken throughout the project duration with technical support and incentives to ensure its sustainability.

The learning by doing approach of the project will contribute to its sustainability. This will be through participatory workshops, and to gather and update data with relevant stakeholders (including the private sector). Furthermore, mitigation scenarios will be discussed in open forums to ensure that relevant parties are informed of the options to be described in the BTR1/NC4. In addition, the GHGI system will be designed to facilitate future collection of emissions data to pave the way for the preparation of the Fifth NC, and BTRs. The NC process will contribute to garnering support to embedding the MRV system in the near future.

5 PROJECT RESULTS FRAMEWORK

This project will contribute to the following Sustainable Development Goal (s) SDG: Goal 13: Take urgent action to combat climate change and its impacts
This project will contribute to the following country outcome (UNDAF): United Nations Pacific Strategy 2018 – 2022 (UNPS), Outcome 1: Climate Change, Disaster Resilience and Environmental Protection

	Objective and Outcome Indicators	**Baseline**	**End of Project Target**
Project Objective: To assist the Cook Islands in the preparation and submission of its First Biennial Transparency and Fourth National Communication report towards the fulfilment of its obligations under the UNFCCC and the PA	**Mandatory Indicator 1:** # direct project beneficiaries disaggregated by gender (individual people).	0	20 individuals (at least 8 women and youth) from relevant ministries and the *Pa Enua* involved in preparation of BTR1/NC4 have increased knowledge and capacity in climate change measurement and reporting.
	Mandatory Indicator 2: # indirect project beneficiaries disaggregated by gender (individual people).	0	30 individuals (at least 10 women) from the stakeholder group, NGOs, private sector and community representatives have increased knowledge in specific areas of climate change through participating in the project's capacity building activities.
	Indicator 3: Preparation and submission of the BTR1/NC4.	Cook Islands TNC was prepared and submitted to UNFCCC in July 2020.	Cook Islands BTR1/NC4 is prepared and submitted to the UNFCCC by Dec 2025
Project component 1	**Development of the First Biennial Transparency and Fourth National Communication report (BTR1/NC4)**		
Project Outcome 1.1 BTR1/NC4 developed, endorsed by Government and submitted in accordance with the MPGs and methodological guidance contained in decisions	Indicator 4: National Inventory of anthropogenic emissions by sources and removal by sinks of all GHGs.	Current data in the TNC covers the period 2007 - 2014. Inventory was mostly prepared using the 2006 IPCC guidelines.	National inventory (including a National Inventory Report) of anthropogenic emissions by sources and removal by sinks of all GHGs up to 2022 prepared in accordance with the 2006 IPCC guidelines and the 2019 Refinement of the 2006 IPCC Guidelines to the extent possible.

	Objective and Outcome Indicators	Baseline	End of Project Target
18/CMA.1 and 5/CMA.3by Dec 2025	Indicator 5: Assessment of the Cook Islands mitigation potential and information on programmes containing measures to mitigate climate change.	The information included in the TNC on the Cook Islands contribution to mitigate climate change (2007-2014), submission July 2020.	Assessment of the Cook Islands mitigation potential up to 2040 and updated information on programmes containing measures to mitigate climate change.
	Indicator 6: Vulnerability and adaptation assessment disaggregated by sector, socio-economic categories and gender.	Vulnerability and adaptation assessments were conducted for the following sectors in the SNC and TNC: water, health, agriculture, marine and infrastructure.	Vulnerability and adaptation assessments disaggregated by sector, socio-economic categories and gender updated as per revised climate scenarios and projections arising from national meteorological data and sea level rise estimates. Sectors to be included are water, health, agriculture, marine, infrastructure and waste removal.
	Indicator 7: Number of learning-by-doing workshops to mainstream climate change into relevant social, economic and environmental policies and actions	The baseline is set as 0 to reflect that the project will carry out new and additional learning-by-doing workshops on climate change mainstreaming.	At least five (5) learning-by-doing workshops, involving traditional leadership, women's groups and associations, youth forums, church organizations, small enterprises as well as larger investors, when required and relevant.
Outputs to achieve Outcome 1.1	1.1.1 An assessment of the Cook Islands National Circumstances pertaining to Climate Change. 1.1.2. National GHG Inventory updated to 2022 for energy, AFOLU. CO_2 removals and waste in accordance with the 2006 IPCC guidelines[4], and introduction of the 2019 Refinement to the extent possible. Procedures and arrangements to collect and archive data for the preparation of national GHG inventories, as well as efforts to make this a continuous process strengthened and described including information on the role of the institutions involved. 1.1.3. A revised and validated assessment of the Cook Islands mitigation potential by 2040 for the sectors of energy, AFOLU, IPPU, CO_2 removals, and waste, to ensure alignment with relevant national priorities and Nationally Determined Contribution (NDC) cycle, implementation progress of NDC's mitigation actions reported, including the use of appropriate indicators 1.1.4. Updated information on the Cook Islands vulnerability to the adverse impacts of climate change and adaptation measures. 1.1.5. Constraints, gaps and related financial, technology and capacity building needs identified and activities/measures for overcoming the gaps and constraints proposed.		

[4] The 2019 Refinement of 2006 IPCC guidelines will be considered to the extent possible.

	Objective and Outcome Indicators	Baseline	End of Project Target
	1.1.6. Information on steps taken to integrate climate change considerations into relevant social, economic and environmental policies and actions in accordance with Article 4, paragraph 1 (f), of the Convention (Transfer of technologies, Research and systematic observation, Education, Training and public awareness, Capacity-building, Information and networking). 1.1.7. Learning-by-doing workshops to mainstream new emerging climate change information into relevant social, economic and environmental policies.		
Project component 2	**Knowledge management, Monitoring and Evaluation**		
Outcome 2.1 Improved awareness, understanding and critical thinking is realized through the preparation of various knowledge management products,	Indicator 8: Number of awareness-raising products developed and disseminated both in Cook Islands Maori and English	From SNC and TNCs	At least 5 awareness-raising products developed and disseminated, including reports, flyers, pull up banners, videos and Internet content.
	Indicator 9: Gender analyses carried out and Gender Climate Action Plan developed to include capacity-building, data collection and analysis for the mainstreaming of gender aspects into relevant NC component.	No gender analysis has been carried out and no Gender Action Plan available.	Gender Climate Action Plan developed following the guidance on gender integration through the NCs developed by the Global Support Programme (GSP), the GEF Secretariat's policy on gender equality and Guidance to advance gender equality in GEF projects. Furthermore gender analyses will be carried throughout the project to support gender mainstremaing into project activities and relevant policies.
Outputs to achieve Outcome 2.1	2.1.1. Awareness-raising events, materials and workshops targeted to decision-makers, policymakers, private sector, and the general public. 2.1.2. Gender analysis and Climate Action plan to include capacity-building, data collection and analysis to include gender aspects into relevant NC component.		
Outcome 2.2 Monitoring and Evaluation	Indicator 10: Number of M&E reports	0	5 (Inception Report, 3x Annual Status surveys, End of Project Report)
Outputs to achieve Outcome 2.2	2.2. Periodic assessments, monitoring, and evaluation are carried out in line with the M&E plan.		

6 MONITORING AND EVALUATION (M&E) PLAN

Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the UNDP POPP (including guidance on GEF project revisions) and UNDP Evaluation Policy **The UNDP Country Office is responsible for ensuring full compliance with all UNDP project M&E requirements including project monitoring, UNDP quality assurance requirements, quarterly risk management, and evaluation requirements.**

Additional mandatory GEF-specific M&E requirements will be undertaken in accordance with the GEF Monitoring Policy and the GEF Evaluation Policy and other relevant GEF policies[5]. The M&E plan and budget included below will guide the GEF-specific M&E activities to be undertaken by this project.

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 – including during the Project Inception Workshop - and will be detailed in the Inception Report.

Minimum project monitoring and reporting requirements as required by the GEF:

Inception Workshop and Report: A project inception workshop will be held within 2 months from the date of First Disbursement, with the aim to:

- Familiarize key stakeholders with the detailed project strategy and discuss any changes that may have taken place in the overall context since the project idea was initially conceptualized that may influence its strategy and implementation.
- Discuss the roles and responsibilities of the project team, including reporting lines, stakeholder engagement strategies and conflict resolution mechanisms.
- Review the results framework and monitoring plan.
- 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 OFP and other stakeholders in project-level M&E.
- Update and review responsibilities for monitoring project strategies, including the risk log; SESP report, Social and Environmental Management Framework and other safeguard requirements; project grievance mechanisms; gender strategy; knowledge management strategy, and other relevant management strategies.
- Review financial reporting procedures and budget monitoring and other mandatory requirements and agree on the arrangements for the annual audit.
- Plan and schedule Project Steering Committee meetings and finalize the first-year annual work plan. Finalize the TOR of the Project Board.
- Formally launch the Project.

The Project Manager 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 Board.

[5] See https://www.thegef.org/gef/policies_guidelines

Annual progress:

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

Periodic Monitoring:

A detailed schedule of project reviews, meetings will be developed by the project management, in consultation with project implementation partners and stakeholder representatives and incorporated in the Project Inception Report. Such a schedule will include:

(i) tentative time frames for project board Meetings, (or relevant advisory and/or coordination mechanisms) and

(ii) project related Monitoring and Evaluation activities.

Day to day monitoring of implementation progress will be the responsibility of the Project Manager based on the project's Annual Work plan and its indicators. The Project Team will inform the UNDP CO of any delays or difficulties faced during implementation so that the appropriate support or corrective measures can be adopted in a timely and remedial fashion.

Periodic monitoring of implementation progress will be undertaken by the UNDP CO through quarterly meetings with the project proponent, or more frequently as deemed necessary. This will allow parties to take stock and to troubleshoot any problems pertaining to the project in a timely fashion to ensure smooth implementation of project activities.

Final/End of Project (Report):

During the last three months, the project team will prepare the End of Project Report (template included in Annex 13). 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.

Agreement on intellectual property rights and use of logo on the project's deliverables and disclose of Information:

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[6] and the GEF policy on public involvement[7].

[6] See http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/

[7] See https://www.thegef.org/gef/policies_guidelines

M&E work plan and budget

Monitoring and Evaluation Budget for project execution:		
GEF M&E requirements to be undertaken by Project Management Unit (PMU)	**Indicative costs (US$)**	**Time frame**
Inception Workshop	4,500	Inception Workshop within 2 months of the First Disbursement
Inception Report	None	Within one month of inception workshop
Monitoring of indicators in project results framework	None	Annually
Supervision missions	None[8]	Annually
End of Project Report	None	At least three months before the end of the project
TOTAL indicative COST	*USD 4,500*	

[8] The costs of UNDP Country Office and UNDP-GEF Unit's participation and time are charged to the GEF Agency Fee.

Monitoring Plan: The project results, corresponding indicators and mid-term and end-of-project targets in the project results framework will be monitored by the Project Management Unit annually and will be evaluated periodically during project implementation. If baseline data for some of the results indicators is not yet available, it will be collected during the first year of project implementation. Project risks, as outlined in the risk register, will be monitored quarterly.

Monitoring	Indicators	Targets	Data source/ Collection Methods	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
Project Objective: To assist Cook Islands in the preparation and submission of its First Biennial Transparency and Fourth National Communication Report towards the fulfilment of its obligations under the UNFCCC and the PA	**Mandatory Indicator 1:** # direct project beneficiaries disaggregated by gender (individual people).	20 individuals (at least 8 women) from relevant ministries and government institutions involved in preparation of BTR1/NC4 have increased knowledge and capacity in climate change measurement and reporting.	Participation in capacity building and awareness raising activities.	Annually.	Project consultants and project team members responsible for implementation.	Attendance sheets.	Risk: project stakeholders have competing demands on their time reducing actively participate in project activities. At the individual level, the complexity of climate change issues pertaining to project activities may limit the extent to which stakeholders do not fully appreciate the value of project activities. Covid-19 might inhibit traditional ways of project delivery. The project could invest in technology to deliver aspects of the project. Assumption: Climate change is seen as having a high degree of consensus as a top priority development issue for Cook Islands, and thus project beneficiaries will be keen

Monitoring	Indicators	Targets	Data source/ Collection Methods	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
							to actively engage in project activities.
	Mandatory Indicator 2: # indirect project beneficiaries disaggregated by gender (individual people).	30 individuals (at least 10 women) from the stakeholder group, NGOs, private sector and community representative have increased knowledge in specific areas of climate change through participating in the project's capacity building activities.	Participation in capacity building and awareness raising activities.	Annually.	Project consultants and project team members responsible for implementation.	Attendance sheets.	Risk: project stakeholders have competing demands on their time reducing actively participate in project activities. At the individual level, the complexity of climate change issues pertaining to project activities may limit the extent to which stakeholders do not fully appreciate the value of project activities. Covid-19 might inhibit traditional ways of project delivery. The project may invest in technology to deliver aspects of the project. Assumption: Climate change is seen as having a high degree of consensus as a top priority development issue for Cook Islands and thus project beneficiaries will be keen to actively engage in project activities.

Monitoring	Indicators	Targets	Data source/ Collection Methods	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
	Indicator 3: Preparation and submission of the Cook Islands BTR1/NC4.	Cook Islands BTR1/NC4 is prepared and submitted to the UNFCCC by Dec 2025.	Specific chapters of BTR1/NC4 prepared, final BTR1/NC4 completed and submitted to UNFCCC.	Project timeline	Project management team, Implementing Partner.	BTR1/NC4 available at UNFCCC website.	Difficulty in securing data and information required for development of BTR1/NC4 and poor absorptive capacity of stakeholders. Competing interests, time and lack of availability of stakeholders. Poor communication and coordination among the stakeholders. Lack of in country expertise and capacity in developing the BTR1/NC4. Lack of main agencies buy in and support.
Outcome 1.1 BTR1/NC4 developed, endorsed by Government and submitted in accordance with the MPGs and methodological	Indicator 4: National Inventory of anthropogenic emissions by sources and removal by sinks of all GHGs.	National inventory (including a National Inventory Report) of anthropogenic emissions by sources and removal by sinks of all GHGs up to 2022 prepared in accordance with the 2006 IPCC guidelines and the 2019 Refinement of the	GHG chapter of BTR1/NC4 completed.	Project timeline	Project consultants and project team members responsible for implementation.	BTR1/NC4 available at UNFCCC website.	Data availability and reliability. Technical capacities available for preparing the GHG Inventory.

Monitoring	Indicators	Targets	Data source/ Collection Methods	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
guidance contained in decisions 18/CMA.1 and 5/CMA.3		2006 IPCC Guidelines to the extent possible.					
	Indicator 5: Assessment of the Cook Islands mitigation potential and information on programmes containing measures to mitigate climate change.	Assessment of the Cook Islands mitigation potential up to 2040 and updated information on programmes containing measures to mitigate climate change.	Mitigation chapter of BTR1/NC4 completed.	Project timeline	Project consultants and project team members responsible for implementation.	BTR1/NC4 available at UNFCCC website.	Data availability and reliability. Technical capacities available for mitigation assessment.
	Indicator 6: Vulnerability and adaptation assessment disaggregated by sector, socio-economic categories and gender.	Vulnerability and adaptation assessments disaggregated by sector, socio-economic categories and gender updated as per revised climate scenarios and projections arising from national meteorological data and sea level rise estimates. Sectors to be included are water, health, agriculture, marine, infrastructure and waste removal.	Information on the progress made and status of the V&A chapter. V&A chapter of BTR1/NC4 completed.	Project timeline	Project consultants and project team members responsible for implementation.	BTR1/NC4 available at UNFCCC website.	Lack of adequate climate relevant data, information and appropriate analytical tools in the areas of vulnerability and adaptation. Covid-19 might inhibit delivery. Tools and vulnerability case studies and scenarios will be accepted by the stakeholders.

Monitoring	Indicators	Targets	Data source/ Collection Methods	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
	Indicator 7: Number of learning-by-doing workshops to mainstream climate change into relevant social, economic and environmental policies and actions.	At least five (4) learning-by-doing workshops, involving traditional leaders, women's groups and associations, youth forums, churches, small enterprises as well as larger investors, when feasible and relevant.	Participation in the workshops.	Annually.	Project consultants and project team members responsible for implementation.	Workshop agendas, materials, attendance sheets.	Risk: Stakeholders have competing priorities. Covid-19 might inhibit delivery of workshops. Assumption: past, current and proposed awareness-raising activities (cf. Output 3.1) will encourage participation in these workshops.
Outcome 2 Improved awareness, understanding and critical thinking is realized through the preparation of various knowledge management products, monitoring and evaluation	Indicator 8: Number of awareness-raising products developed and disseminated.	At least 5 awareness-raising products developed in either Maori or English and disseminated, including reports, flyers, pull up banners, media releases, and Internet content.	Awareness raising materials.	Annually.	Project consultants and project team members responsible for implementation.	Reports, flyers, awareness raising materials are available.	Risk: awareness-raising space is too crowded to generate attention on the specific topic of the use of BTR1/NC4. Assumption: the target audience will absorb the messages contained in the awareness-raising material.
	Indicator 8: Gender analyses carried out and Gender Action Plan developed to include capacity-	1 Gender climate Action Plan developed during the inception phase, following the guidance on gender integration through the NCs developed by the Global Support Programme (GSP), the GEF Secretariat's	Gender climate Action Plan.	Project timeline	Project consultants and project team members responsible for implementation.	Gender climate Action Plan and analyses available.	Risk: The inception workshop may not attract many attendees due to Covid-19. Community fatigue from consultations of same people.

Monitoring	Indicators	Targets	Data source/ Collection Methods	Frequency	Responsible for data collection	Means of verification	Risks/Assumptions
	building, data collection and analysis for the mainstreaming of gender aspects into relevant NC component.	policy on gender equality and Guidance to advance gender equality in GEF projects. Furhtermore gender analyses will be carried throughout the project to support gender mainstremaing into project activities and relevant policies.					Assumption: The Guidance document is relevant to the Cook Islands context.

7 GOVERNANCE AND MANAGEMENT ARRANGEMENTS

Section 1: General roles and responsibilities in the projects' governance mechanism

Implementing Partner: The Implementing Partner for this project is Climate Change Cook Islands (CCCI) of the Office of the Prime Minister, Government of the Cook Islands.

The Implementing Partner is the entity to which the UNDP Administrator has entrusted the implementation of UNDP assistance specified in this signed project document along with the assumption of full responsibility and accountability for the effective use of UNDP resources and the delivery of outputs, as set forth in this document.

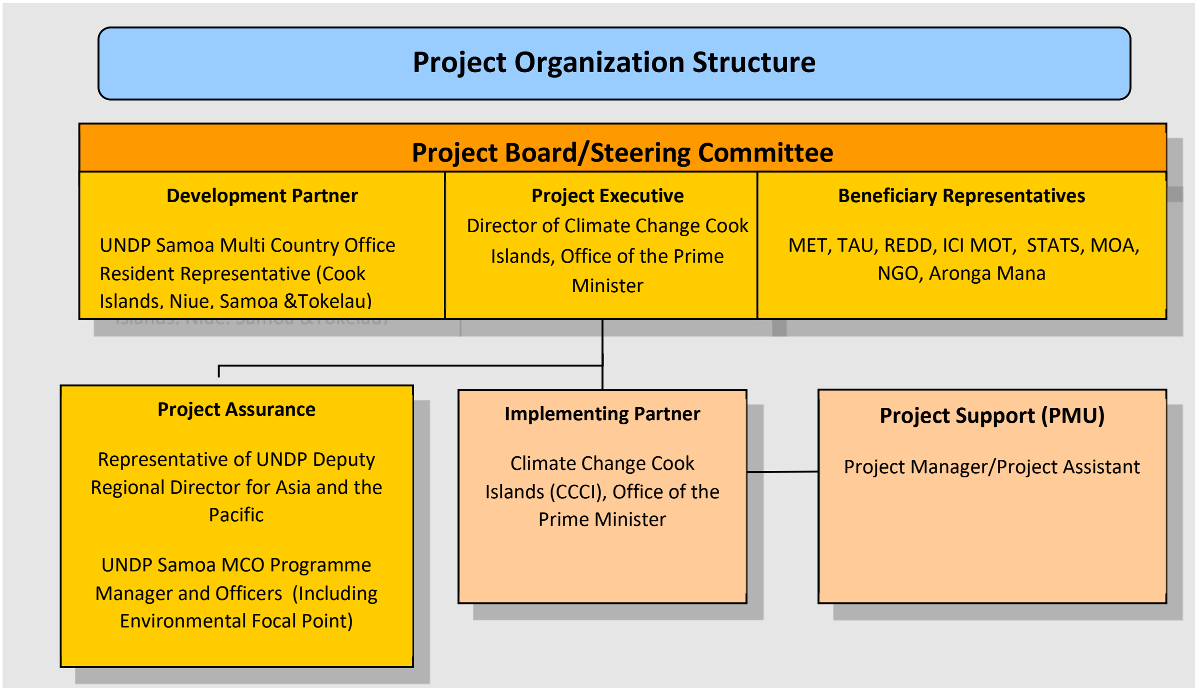
The Implementing Partner is responsible for executing this project. Specific tasks include:

- Project planning, coordination, management, monitoring, evaluation and reporting. This includes providing all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary. 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 and generated by the project supports national systems.
- Overseeing the management of project risks as included in this project document and new risks that may emerge during project implementation.
- Procurement of goods and services, including human resources;
- Financial management, including overseeing financial expenditures against project budgets;
- Approving and signing the multiyear work plan;
- Approving and signing the combined delivery report at the end of the year; and,
- Signing the financial report or the funding authorization and certificate of expenditures.

Project stakeholders and target groups: The primary stakeholder and target groups of the project will consist of experts of relevant ministries, agencies, NGOs and private involved in the preparation of BTR1/NC4. As members of thematic Working Groups, they will have the opportunity to directly support the project's decision-making processes. Moreover, representatives of civil society, business sphere as indirect beneficiaries of the project will have the opportunity to increase their knowledge in specific areas of climate change by participating in capacity building activities of the project. The Project stakeholders will be consulted during the Project Inception Workshop.

UNDP: UNDP is accountable to the GEF for the implementation of this project. This includes overseeing project execution undertaken by the Implementing Partner to ensure that the project is being carried out in accordance with UNDP and GEF policies and procedures and the standards and provisions outlined in the Delegation of Authority (DOA) letter for this project. **The UNDP GEF Executive Coordinator, in consultation with UNDP Bureaus and the Implementing Partner, retains the right to revoke the project DOA, suspend or cancel this GEF project**. UNDP is responsible for the Project Assurance function in the project governance structure and presents to the Project Board and attends Project Board meetings as a non-voting member.

Section 2: Project governance structure



Second line of defense:

- Regional Bureau oversees RR and Country Office compliance at portfolio level.
- BPPS NCE RTA oversees technical quality assurance and GEF compliance. BPPS NCE PTA oversees RTA function.
- UNDP GEF Executive Coordinator and Regional Bureau Deputy Director can revoke DoA/cancel/suspend project or provide enhanced oversight.

The UNDP Deputy Regional Director for Asia and the Pacific or his delegate assumes full responsibility and accountability for oversight and quality assurance of this Project and ensures its timely implementation in compliance with the GEF-specific requirements and UNDP's Programme and Operations Policies and Procedures (POPP), its Financial Regulations and Rules and Internal Control Framework. A representative of the UNDP Deputy Regional Director for Asia and the Pacific will assume the assurance role and will present assurance findings to the Project Board, and therefore attends Project Board meetings as a non-voting member.

Section 3: Segregation of duties and firewalls vis-à-vis UNDP representation on the project board:

As noted in the Minimum Fiduciary Standards for GEF Partner Agencies, in cases where a GEF Partner Agency (i.e. UNDP) carries out both implementation oversight and execution of a project, the GEF Partner Agency (i.e. UNDP) must separate its project implementation oversight and execution duties, and describe in the relevant project document a: 1) Satisfactory institutional arrangement for the separation of implementation oversight and executing functions in different departments of the GEF Partner Agency; and 2) Clear lines of responsibility, reporting and accountability within the GEF Partner Agency between the project implementation oversight and execution functions.

In this case, UNDP is only performing an implementation oversight role in the project vis-à-vis our role in the project board and in the project assurance function and therefore a full separation of project implementation oversight and execution duties has been assured.

Section 4: Roles and Responsiblities of the Project Organization Structure:

a) Project Board: All UNDP projects must be governed by a multi-stakeholder board or committee established to review performance based on monitoring and evaluation, and implementation issues to ensure quality delivery of results. The Project Board (also called the Project Steering Committee) is the most senior, dedicated oversight body for a project.

The two main (mandatory) roles of the project board are as follows:

1) **High-level oversight of the execution of the project by the Implementing Partner** (as explained in the "Provide Oversight" section of the POPP). This is the primary function of the project board and includes annual (and as-needed) assessments of any major risks to the project, and decisions/agreements on any management actions or remedial measures to address them effectively. The Project Board reviews evidence of project performance based on monitoring, evaluation and reporting, including progress reports, evaluations, risk logs and the combined delivery report. The Project Board is responsible for taking corrective action as needed to ensure the project achieves the desired results.
2) **Approval of strategic project execution decisions of the Implementing Partner** with a view to assess and manage risks, monitor and ensure the overall achievement of projected results and impacts and ensure long term sustainability of project execution decisions of the Implementing Partner (as explained in the "Manage Change" section of the POPP).

Requirements to serve on the Project Board:
- ✓ Agree to the Terms of Reference of the Board and the rules on protocols, quorum and minuting.
- ✓ Meet annually; at least once.
- ✓ Disclose any conflict of interest in performing the functions of a Project Board member and take all measures to avoid any real or perceived conflicts of interest. This disclosure must be documented and kept on record by UNDP.
- ✓ Discharge the functions of the Project Board in accordance with UNDP policies and procedures.
- ✓ Ensure highest levels of transparency and ensure Project Board meeting minutes are recorded and shared with project stakeholders.

Responsibilities of the Project Board:
- ✓ Consensus decision making:
    - The project board provides overall guidance and direction to the project, ensuring it remains within any specified constraints, and providing overall oversight of the project implementation.
    - Review project performance based on monitoring, evaluation and reporting, including progress reports, risk logs and the combined delivery report;
    - The project board is responsible for making management decisions by consensus.
    - In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition.

- In case consensus cannot be reached within the Board, the UNDP representative on the board will mediate to find consensus and, if this cannot be found, will take the final decision to ensure project implementation is not unduly delayed.

✓ Oversee project execution:
  - Agree on project manager's tolerances as required, within the parameters outlined in the project document, and provide direction and advice for exceptional situations when the project manager's tolerances are exceeded.
  - Appraise annual work plans prepared by the Implementing Partner for the Project; review combined delivery reports prior to certification by the implementing partner.
  - Address any high-level project issues as raised by the project manager and project assurance.
  - Advise on major and minor amendments to the project within the parameters set by UNDP and the donor and refer such proposed major and minor amendments to the UNDP BPPS Nature, Climate and Energy Executive Coordinator (and the GEF, as required by GEF policies).
  - Provide high-level direction and recommendations to the project management unit to ensure that the agreed deliverables are produced satisfactorily and according to plans.
  - Track and monitor co-financed activities and realisation of co-financing amounts of this project.
  - Approve the Inception Report.
  - Ensure commitment of human resources to support project implementation, arbitrating any issues within the project.

✓ Risk Management:
  - Provide guidance on evolving or materialized project risks and agree on possible mitigation and management actions to address specific risks.
  - Review and update the project risk register and associated management plans based on the information prepared by the Implementing Partner. This includes risks related that can be directly managed by this project, as well as contextual risks that may affect project delivery or continued UNDP compliance and reputation but are outside of the control of the project. For example, social and environmental risks associated with co-financed activities or activities taking place in the project's area of influence that have implications for the project.
  - Address project-level grievances.

✓ Coordination:
  - Ensure coordination between various donor and government-funded projects and programmes.
  - Ensure coordination with various government agencies and their participation in project activities.

Composition of the Project Board: The composition of the Project Board must include individuals assigned to the following three roles:

1. **Project Executive:** This is an individual who represents ownership of the project and chairs (or co-chairs) the Project Board. The Executive usually is the senior national counterpart for nationally implemented projects (typically from the same entity as the Implementing Partner), and it must be UNDP for projects that are direct implementation (DIM). In exceptional cases, two individuals from different entities can co-share this role and/or co-chair the Project Board. If the project executive co-chairs the project board with representatives of another category, it typically does so with a development partner representative. The Project Executive is: Mr. Wayne King, Director of the Climate Change Cook Islands Division

2. **Beneficiary Representative(s):** Individuals or groups representing the interests of those groups of stakeholders who will ultimately benefit from the project. Their primary function within the board is to ensure the realization of project results from the perspective of project beneficiaries. Often representatives from civil society, industry associations, or other government entities benefiting from the project can fulfil this role. There can be multiple

beneficiary representatives in a Project Board. The Beneficiary representative (s) is/are: Directors of key stakeholder Ministries, Departments and Organizations (i.e., MET, TAU, REDD, ICI MOT, STATS, MOA, NGO, Aronga Mana).

3. **Development Partner(s):** Individuals or groups representing the interests of the parties concerned that provide funding, strategic guidance and/or technical expertise to the project. The Development Partner is: Resident Representative of UNDP Multi Country Office (Cook Islands, Niue, Samoa & Tokelau).

b) Project Assurance: Project assurance is the responsibility of each project board member; however, UNDP has a distinct assurance role for all UNDP projects in carrying out objective and independent project oversight and monitoring functions. UNDP performs quality assurance and supports the Project Board (and Project Management Unit) by carrying out objective and independent project oversight and monitoring functions, including compliance with the risk management and social and environmental standards of UNDP. The Project Board cannot delegate any of its quality assurance responsibilities to the Project Manager. Project assurance is totally independent of project execution.

A designated representative of UNDP playing the project assurance role is expected to attend all board meetings and support board processes as a non-voting representative. It should be noted that while in certain cases UNDP's project assurance role across the project may encompass activities happening at several levels (e.g. global, regional), at least one UNDP representative playing that function must, as part of their duties, specifically attend board meeting and provide board members with the required documentation required to perform their duties. The UNDP representative playing the main project assurance function Monitoring and Evaluation Analyst.

c) Project Management – Execution of the Project: The Project Manager (PM) (also called project coordinator) is the senior most representative of the Project Management Unit (PMU) and is responsible for the overall day-to-day management of the project on behalf of the Implementing Partner, including the mobilization of all project inputs, supervision over project staff, responsible parties, consultants and sub-contractors. The project manager typically presents key deliverables and documents to the board for their review and approval, including progress reports, annual work plans, adjustments to tolerance levels and risk registers.

A designated representative of the PMU is expected to attend all board meetings and support board processes as a non-voting representative.

The primary PMU representative attending board meetings is: Project Coordinator/Manager.

8 FINANCIAL PLANNING AND MANAGEMENT

The total cost of the project is USD 617,000. This is financed through a GEF grant of *USD* 517,000*,* and USD 100,000 as in-kind co-financing from the Government of the Cook Islands. UNDP, as the GEF Implementing Agency, is responsible for the oversight of the GEF resources and the cash co-financing transferred to UNDP bank account only.

Co-financing: The actual realization of project co-financing will be monitored by the UNDP Country Office and the PMU during the implementation and will be reported to the GEF.

Co-financing source	Co-financing type	Co-financing amount
Government of the Cook Islands	In-kind	100,000
Total		**100,000**

Budget Revision and Tolerance: As per UNDP POPP, the project board may agree with the project manager on a tolerance level for each detailed plan under the overall multi-year workplan. The agreed tolerance should be written in the project document or approved project board meeting minutes. It should normally not exceed 10 percent of the agreed annual budget at the activity level, but within the overall approved multi-year workplan at the activity level. Within the agreed tolerances, the project manager can operate without intervention from the project board. Restrictions apply as follows:

Should the following deviations occur, the Project Manager/IP through UNDP Country Office will seek the approval of the BPPS/NCE-VF team to ensure accurate reporting to the GEF. It is strongly encouraged to maintain the expenditures within the approved budget at the budgetary account and at the component level:

a) Budget reallocations must prove that the suggested changes in the budget will not lead to material changes in the results to be achieved by the project. A strong justification is required and will be approved on an exceptional basis. Budget re-allocations among the components (including PMC) of the approved Total Budget and Work Plans (TBWP) that represent a value greater than 10% of the total GEF grant.
b) Introduction of new outputs/activities (i.e. budget items) that were not part of the agreed project document and TBWP that represent a value greater than 5% of the total GEF grant. The new budget items must be eligible as per the GEF and UNDP policies.
c) Project management cost (PMC): budget under PMC component is capped and cannot be increased.

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

Project extensions: The UNDP Deputy Regional Director for Asia and the Pacific or his delegate and the UNDP-GEF Executive Coordinator must approve all project extension requests. Note that all extensions incur costs and the GEF project budget cannot be increased. A single extension may be granted on an exceptional basis and subject to the conditions and maximum durations set out in the UNDP POPP; the project management costs during the extension period must remain within the originally approved amount, and any increase in PMC costs will be covered by non-GEF resources; the additional UNDP oversight costs during the extension period must be covered by non-GEF resources, in accordance with UNDP's guidance set out in UNDP POPP.

Audit: The project will be audited as per UNDP Financial Regulations and Rules and applicable audit policies. Audit cycle and process must be discussed during the Inception workshop. If the Implementing Partner is an UN Agency, the project will be audited according to that Agencies applicable audit policies.

Project Closure: Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP. All costs incurred to close the project must be included in the project closure budget and reported as final project commitments presented to the Project Board during the final project review. The only costs a project may incur following the final project review are those included in the project closure budget.

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 End of Project Report (that will be available in English). **Operational closure must happen at the end date calculated by the approved duration after the Project Document signature or at the revised operational closure date as approved in the project extension. Any expected activity after the operational date requires project extension approval.** The Implementing Partner through a Project Board decision will notify the UNDP Country Office when operational closure has been completed. At this time, the project should have completed the transfer or disposal of any equipment that is still the property of UNDP.

Transfer or disposal of assets: In consultation with the Implementing Partner and other parties of the project, UNDP 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 board 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 (it is strongly encouraged to be done before the operational closure date). In all cases of transfer, a transfer document must be prepared and kept on file[9]. The transfer should be done before Project Management Unit complete their assignments.

Financial completion (closure): 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).

The project will be financially completed **within 6 months of operational closure or after the date of cancellation**. If Operational Closure is delayed for any justified and approved reason, the Country Office should do all efforts to Financially Close the project within 9 months after TE is completed. 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 BPPS/NCE-VF Unit for confirmation before the project will be financially closed in Atlas by the UNDP Country Office.

Refund to GEF: Should a refund of unspent funds to the GEF be necessary, this will be managed directly by the BPPS/NCE-VF Directorate in New York. No action is required by the UNDP Country Office on the actual refund from UNDP project to the GEF Trustee.

[9] See https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PPM_Project%20Management_Closing.docx&action=default.

9 TOTAL BUDGET AND WORK PLAN

TOTAL BUDGET AND WORK PLAN			
Atlas [1] Proposal or Award ID:	00137958	Atlas Primary Output Project ID:	00128162
Atlas Proposal or Award Title:	First Biennial Transparency Report and Fourth National Communication Report		
Atlas Business Unit	WSM10		
Atlas Primary Output Project Title	First Biennial Transparency and Fourth National Communication Report		
UNDP-GEF PIMS No.	6478		
Implementing Partner	Climate Change Cook Islands, Office of the Prime Minister		

Atlas Activity (GEF Component)	Atlas Implementing Agent (Responsible Party)	Atlas Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Account Description	Amount Year 1 – (USD)	Amount Year 2 – (USD)	Amount Year 3 – (USD)	Amount Year 4 – (USD)	Total (USD)	See Budget Note:
COMPONENT 1: Development of the First Biennial Transparency and Fourth National Communication on Climate Change (BTR1/NC4)	**CCCI**	**62000**	**GEF**	71200	International Consultants	21,000	33,000	33,000	0	87,000	1
				71300	Local Consultants	40,000	40,000	40,000	20,000	140,000	2
				71800	Contractual Services -Imp Partn	23,875	23,875	23,875	23,875	95,500	3
				75700	Training, Workshops and Conferences	10,000	15,000	20,450	0	45,450	4
				72800	Information Technology Equipment	8,000	8,000	550	0	16,550	5
				71600	Travel	6,500	6,500	6,500	0	19,500	6
				72500	Supplies	2,000	2,000	2,000	0	6,000	7
					Sub-Total GEF	**111,375**	**128,375**	**126,375**	**43,875**	**410,000**	
COMPONENT 2: Knowledge Management,	**CCCI**	**62000**	**GEF**	71300	Local Consultants	3,500	3,500	3,500	0	10,500	8
				71800	Contractual Services-Imp Partn	8,500	8,500	8,500	0	25,500	9

Atlas Activity (GEF Component)	Atlas Implementing Agent (Responsible Party)	Atlas Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Account Description	Amount Year 1 – (USD)	Amount Year 2 – (USD)	Amount Year 3 – (USD)	Amount Year 4 – (USD)	Total (USD)	See Budget Note:
Monitoring and Evaluation				75700	Training, Workshops and Conference	4,500	4,500	4,500	0	13,500	10
				71600	Travel	3,000	3,000	0	0	6,000	11
				72500	Supplies	1,500	1,500	1,500	0	4,500	12
					Sub-Total GEF	**21,000**	**21,000**	**18,000**	**0**	**60,000**	
Project Management Unit	**CCCI**	**62000**	**GEF**	71800	Contractual Services - Imp Partn	9,500	10,275	10,275	9,500	39,550	13
				72500	Supplies	480	480	490	0	1,450	14
	UNDP	**62000**	**GEF**	74100	Professional Services	2,000	2,000	2,000	0	6,000	15
					Total Management	**11,980**	**12,755**	**12,765**	**9,500**	**47,000**	
					PROJECT TOTAL	**144,355**	**162,130**	**157,140**	**53,375**	**517,000**	

Summary of Funds					
	Amount (USD) Year 1	**Amount (USD) Year 2**	**Amount (USD) Year 3**	**Amount (USD) Year 4**	**Total (USD)**
GEF	**144,355**	**162,130**	**157,140**	**53,375**	**517,000**
Government (in kind)	15,000	35,000	35,000	15,000	**100,000**
TOTAL (USD)	**159,355**	**197,130**	**192,140**	**68,375**	**617,000**

Items	Project Output (Description)
1	International Consultant services for Component 1: US$ 87,000, at US$2,000 per week (to include fee, travel expenses and DSA). Multiple activities could be conducted by one or more consultants and provide technical advice and mentoring including; • *International GHG Inventory Expert: to support the delivery of Output 1.1.2* • *International Climate Change Mitigation Expert: to support the delivery of Output 1.1.3* • *International Climate Change Adaptation Expert: to support the delivery of Output 1.1.4* • *International Climate Change Specialist:* to review, quality check and verify the completed BTR1/NC4 document
2	Local Consultant services for Component 1: US$ 140,000, at US$300 per week. Multiple activities could be conducted by one or more consultants including; • *Climate Change Specialist: to research and compile information on national circumstances and institutional arrangements pertaining to climate change and to contribute to the delivery of Output 1.1.1* • *National GHG Inventory Expert: to collect activity data in four sectors (Energy, AFOLU, IPPU and Waste), to prepare the GHG Inventory and to support the delivery of Output 1.1.2.* • *National Climate Change Mitigation Experts: to support assessment of Cook Islands mitigation potential by 2040 for the sectors of energy, AFOLU, IPPU, CO2 removals, IPPU and waste., and contribute to the delivery of Output 1.1.3* • *National Climate Change Adaptation Experts: to review climatic scenarios, conduct V&A assessment in specific sectors, assess programmes containing measures to facilitate adaptation and support the delivery of Output 1.1.4* • *Climate Change Specialist: to assess constraints and gaps and related financial, technical, and capacity needs and contribute to the delivery of Output 1.1.5.* • *Climate Change Specialist: to collect data, research and analyse any other information relevant to the achievement of the Convention and contribute to the delivery of Output 1.1.6.*
3	Contractual Service – Imp Partn; Project Manager to technically support aspects of project component 1: US$ 95,500, at US$ 900 per week The Project Manager to allocate 70% of his/her time to support activities under component 1. The Project Manager is to manage and supervise the works of the International and National Consultants. To assist in organizing workshops/meetings/consultations between consultants and relevant stakeholders and to assist in the collection of data. The Project Manager to also present the progress of the consultancies and review their reports/deliverables to the Project Board. To support the preparation of the BTR1/NC4 including the development and revision of thematic chapters, compilation and editing of the document .
4	US$ 45,450 for the organization and implementation of trainings, workshops and conferences for stakeholders from government, SOE's and other organizations related to component 1. Four trainings, workshops and conferences per year on main island or as relevant.
5	US$ 16,550 for information technology equipment to support aspects of the component outputs and related inputs to the activities and target.
6	US$ 19,500 Travel cost associated with consultation with key stakeholders of the project, national agencies and responsible persons, planning and development, coordinating with government agencies in data analysis and collection

Items	Project Output (Description)
7	US$ 6,000 stationary materials and supplies for the component 1
8	Local Consultant services for Component 2: US$ 10,500, at US$300 per week to include fee, travel expenses and DSA, to produce awareness-raising and capacity building materials and activities, including Gender expert to prepare Gender analysis and Actions plan.
9	Contractual Service – Imp Partn; Monitoring and Evaluation and Knowledge Management Officer: US$ 25,500 to support aspects of project component 2: to manage and supervise the works of the National Consultants, support workshops/meetings/consultations between relevant stakeholders and the community to raise awareness; identify and apply timely lessons learned through the project's various learning-by-doing workshops, present the progress of the local consultant and their works to Project Board and the generation and dissemination of knowledge products and communication materials.
10	US$ 13,500 for the organization and implementation of trainings, workshops and conferences for stakeholders from government agencies, SOE's and other organizations related to component 3 and the Project Inception Workshop
11	US$ 6,000 travel cost associated with consultation with key stakeholders of the project, national agencies and responsible persons, planning and development, coordinating with government agencies in data analysis and collection
12	US$ 4,500 stationary materials and supplies for the component 2
13	Contractual Service – Imp Partn ; Project Management Unit to support aspects of project management: Project Manager (US $900 per week), at a total of USD 39,550. The project manager to allocate 30% of his/her time to work on tasks related to the project management, financial management and coordination.
14	US$ 1,450 Office supplies for project management unit.
15	US$ 6,000 costs of professional services for the financial audit

10 LEGAL CONTEXT

The project document shall be the instrument envisaged and defined in the Supplemental Provisions to the Project Document, attached hereto and forming an integral part hereof, as “the Project Document”.

This project will be implemented by Climate Change Cook Islands (“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.

The designations employed and the presentation of material on this map do not imply the expression of any opinion whatsoever on the part of the Secretariat of the United Nations or UNDP concerning the legal status of any country, territory, city or area or its authorities, or concerning the delimitation of its frontiers or boundaries.

11 RISK MANAGEMENT

1. Consistent with the Article III of the SBAA *[or the Supplemental Provisions to the Project Document]*, 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.

2. 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.

3. 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.

4. The Implementing Partner acknowledges and agrees that UNDP will not tolerate sexual harassment and sexual exploitation and abuse of anyone by the Implementing Partner, and each of its responsible parties, their respective sub-recipients and other entities involved in Project implementation, either as contractors or subcontractors and their personnel, and any individuals performing services for them under the Project Document.
   (a) In the implementation of the activities under this Project Document, the Implementing Partner, and each of its sub-parties referred to above, shall comply with the standards of conduct set forth in the Secretary General's Bulletin ST/SGB/2003/13 of 9 October 2003, concerning "Special measures for protection from sexual exploitation and sexual abuse" ("SEA").
   (b) Moreover, and without limitation to the application of other regulations, rules, policies and procedures bearing upon the performance of the activities under this Project Document, in the implementation of activities, the Implementing Partner, and each of its sub-parties referred to above, shall not engage in any form of sexual harassment ("SH"). SH is defined as any unwelcome conduct of a sexual nature that might reasonably be expected or be perceived to cause offense or humiliation, when such conduct interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment.
5. a) In the performance of the activities under this Project Document, the Implementing Partner shall (with respect to its own activities) and shall require from its sub-parties referred to in paragraph 4 (with respect to their activities) that they, have minimum standards and procedures in place, or a plan to develop and/or improve such standards and procedures in order to be able to take effective preventive and investigative action. These should include policies on sexual harassment and sexual exploitation and abuse; policies on whistleblowing/protection against retaliation; and complaints, disciplinary and investigative mechanisms.

In line with this, the Implementing Partner will and will require that such sub-parties will take all appropriate measures to:

i. Prevent its employees, agents or any other persons engaged to perform any services under this Project Document, from engaging in SH or SEA;
ii. Offer employees and associated personnel training on prevention and response to SH and SEA, where the Implementing Partner and its sub-parties referred to in paragraph 4 have not put in place its own training regarding the prevention of SH and SEA, the Implementing Partner and its sub-parties may use the training material available at UNDP;
iii. Report and monitor allegations of SH and SEA of which the Implementing Partner and its sub-parties referred to in paragraph 4 have been informed or have otherwise become aware, and status thereof;
iv. Refer victims/survivors of SH and SEA to safe and confidential victim assistance; and
v. Promptly and confidentially record and investigate any allegations credible enough to warrant an investigation of SH or SEA. The Implementing Partner shall advise UNDP of any such allegations received and investigations being conducted by itself or any of its sub-parties referred to in paragraph 4 with respect to their activities under the Project Document, and shall keep UNDP informed during the investigation by it or any of such sub-parties, to the extent that such notification (i) does not jeopardize the conduct of the investigation, including but not limited to the safety or security of persons, and/or (ii) is not in contravention of any laws applicable to it. Following the investigation, the Implementing Partner shall advise UNDP of any actions taken by it or any of the other entities further to the investigation.

b) The Implementing Partner shall establish that it has complied with the foregoing, to the satisfaction of UNDP, when requested by UNDP or any party acting on its behalf to provide such confirmation. Failure of the Implementing Partner, and each of its sub-parties referred to in paragraph 4, to comply of the foregoing, as determined by UNDP, shall be considered grounds for suspension or termination of the Project.

6. 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).

7. 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.

8. 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.

9. 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.

10. 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.

11. In the event that an investigation is required, UNDP has the obligation to conduct investigations relating to any aspect of UNDP projects and programmes in accordance with UNDP's regulations, rules, policies and procedures. 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.

12. 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.

    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.

13. 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. Recovery of such amount by UNDP shall not diminish or curtail the Implementing Partner's obligations under this Project Document.

    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.

    <u>Note</u>*:* 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.

14. 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.

15. 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.

16. 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.

12 MANDATORY ANNEXES

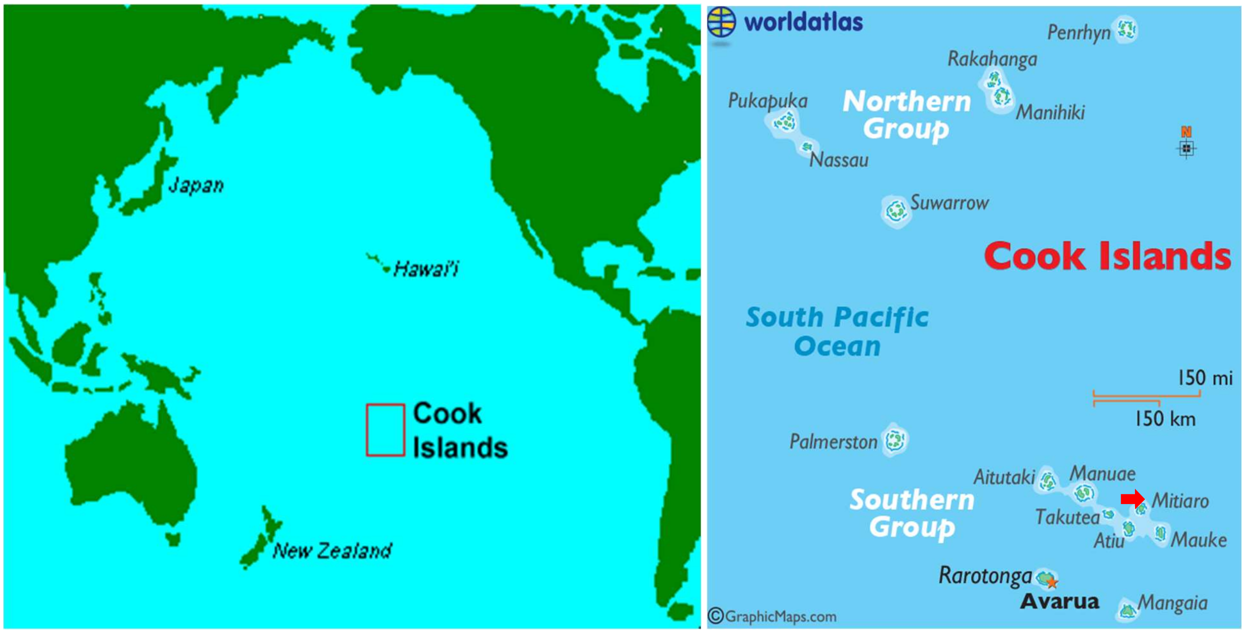
Annex 1: GEF Project Budget Template
Annex 2: Project map and Geospatial Coordinates of project sites
Annex 3: Multiyear Workplan
Annex 4: Stakeholder Engagement Plan
Annex 5: UNDP Atlas Risk Log
Annex 6: Overview of Technical consultancies/subcontractors
Annex 7: Terms of Reference
Annex 8: Social and Environmental Screening Procedure (SESP)
Annex 9: Gender Analysis and Action Plan
Annex 10: Procurement Plan
Annex 11: UNDP Project Quality Assurance Report
Annex 12: Partners Capacity Assessment Tool and HACT assessment
Annex 13: GEF Taxonomy
Annex 14: End of Project Report Template

Annex 1: GEF Project Budget Template

This GEF Budget Template is attached separately to the project document.

Annex 2: Project Map and Geospatial Coordinates of project sites

The Cook Islands is located between the latitudes 8 degrees and 24 degrees south and longitudes 157 degrees and 166 degrees west in the central South Pacific Ocean.



Map Sources: http://www.ck/geog.htm and https://www.worldatlas.com/webimage/countrys/oceania/lgcolor/ckcolor.htm

Annex 3: Multiyear Workplan

Outcomes	Outputs/Activities	Year 1				Year 2				Year 3				Year 4			
		Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4
Outcome 1.1: BTR1/NC4 developed, endorsed by Government and submitted in accordance with the MPGs and methodological guidance contained in decisions 18/CMA.1 and 5/CMA.3	1.1.1. An assessment of the Cook Islands National Circumstances pertaining to Climate Change.																
	1.1.2. National GHG Inventory updated up to 2022 for energy, AFOLU, IPPU, CO_2 removals and waste in accordance with the 2006 IPCC guidelines[10], and introduction of the 2019 Refinement to the extent possible. Procedures and arrangements to collect and archive data for the preparation of national GHG inventories, as well as efforts to make this a continuous process strengthened and described including information on the role of the institutions involved.																
	1.1.3. A revised and validated assessment of Cook Islands mitigation potential by 2040 for the sectors of energy, AFOLU, IPPU, CO_2 removals, and waste.																
	1.1.4. Updated information on the Cook Islands vulnerability to the adverse impacts of climate change and adaptation measures.																
	1.1.5. Constraints, gaps and related financial, technology and capacity building needs identified and activities/measures for overcoming the gaps and constraints proposed.																

[10] The 2019 Refinement of 2006 IPCC guidelines will be considered to the extent possible.

Outcomes	Outputs/Activities	Year 1				Year 2				Year 3				Year 4			
		Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4
	1.1.6. Information on steps taken to integrate climate change considerations into relevant social, economic and environmental policies and actions in accordance with Article 4, paragraph 1 (f), of the Convention (Transfer of technologies, Research and systematic observation, Education, Training and public awareness, Capacity-building, Information and networking).																
	1.1.7. Learning-by-doing workshops to mainstream new emerging climate change information into relevant social, economic and environmental policies.																
Outcome 2.1: Improved awareness, understanding, and critical thinking is realized through the preparation of various knowledge management products,	2.1.1. Awareness-raising materials and workshops targeted to decision-makers, policymakers, private sector, and the general public.																
	2.1.2. Gender analysis and climate Action plan to include capacity-building, data collection and analysis to include gender aspects into relevant NC component.																
Outcome 2.2: Monitoring and Evaluation	2.2. Periodic assessments, monitoring, and evaluation are carried out in line with the M&E plan.																
Project Management	Inception Workshop organized.																
	Establishment and operation of Project Management Unit.																

Outcomes	Outputs/Activities	Year 1				Year 2				Year 3				Year 4			
		Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4
	Establishment and operation of thematic Working Groups.																
	External Audit.																

Annex 4: Stakeholder Engagement Plan

This project was developed in full consultation with all the experts, government staff, policymakers and NGOs who participated in the TNC and previous exercises. Their views and needs were integrated into the design of this new enabling activity.

Stakeholder involvement and consultation processes will be critical to the success of the project, particularly moving beyond the production of documentary outputs and towards effective policy implementation. An effective engagement of key stakeholders is envisaged during project preparation, implementation, monitoring and evaluation to enhance ownership of the BTR1/NC4 processes to make these reports more responsive to national needs. The project intends to strengthen stakeholder's participation in collectively addressing climate change issues and challenges. The stakeholders of the project are expected to come from a wide range of backgrounds, including ministries, state owned entities, local communities, NGOs, private sector, civil society, churches and traditional leaders with particular emphasis on gender and marginalized communities. The engagement plan includes identification and assessment of traditional and non-traditional stakeholders with consensus of their interest to participate in the BTR1/NC4, furthermore, a forward-looking analysis of those who may benefit more directly from climate action. The strategy will seek to identify agents of change and those who can act as opinion leaders (champions) and early adopters for various technologies. Particular attention will be paid to ensuring women and youth are actively engaged, by organizing specific forums targeted to their specific interests, and ensuring their active participation in learning by doing workshops and project activities. A private sector climate change forum will be organized, such as working with the Business Trade and Investment Board of the Cook Islands, Chamber of Commerce and indigenous businesses to raise awareness and garner additional participation in climate planning.

A preliminary Stakeholder engagement plan envisages the following meetings:

- Inception workshop to discuss conceptual framework and design for each chapter; and to highlight any prevailing challenges to data acquisition and sharing, monitoring assessment and reporting
- Validation workshops to discuss results and validate accuracy of the analyses
- Individual meetings with sector representatives
- Group discussions to solicit ideas, create synergies and opportunities for networking, knowledge sharing and joint actions
- Final dissemination workshop to discuss findings, raise awareness and reinforce collaboration and networking

Stakeholders identified include the following: In the inception phase of the project, the list will be revised and further expanded if needed.

Institution/Agency	Role in Climate Change activities	Role in BTR1/NC4
The Climate Change and DRM Platform (formerly the National Climate Change Country Team)	The Platform is a forum for climate change stakeholders to meet and present projects and activities being implemented in the climate change area. Meetings are normally held on a quarterly basis.	The Platform does not have a decision-making role, stakeholders can discuss and give suggestions to the respective agencies carrying out the projects. CCCI office is the secretariat.
Climate Change Cook Islands (CCCI)	The CCCI office is a division of the OPM and is now the organisation responsible for coordinating the country's response to the impacts of climate change. The CCCI office is	Implementing agency and technical advice.

Institution/Agency	Role in Climate Change activities	Role in BTR1/NC4
	responsible for meeting the Cook Islands obligations under the UNFCCC.	
Renewable Energy Development Division (REDD)	REDD are responsible for achieving the targets in the Renewable Energy Chart (REC) and the consequential decrease in the Cook Islands emission levels. The present focus is on electricity generation. The next will be on transport powered by renewable energy.	Supporting role provide data and information
National Environment Service (NES)	NES has the mandate to protect, manage and conserve the environment of the Cook Islands. NES was initially responsible for climate change activities until a functional review in 2010 led to the creation of the CCCI office within the OPM.	Supporting role provide information
Emergency Management Cook Islands (EMCI)	EMCI is another office of the OPM and works closely with the CCCI. The EMCI focus is on DRM and reduction, but there has been a regional initiative to combine disaster management activities with climate change activities. This approach is being applied in the Joint National Action Plan (JNAP) and the Strengthening the Resilience of Our Islands and Our Communities to Climate Change (SRIC-CC) project and is supported in the *Kaveinga Tapapa* policy framework.	Supporting role provide data and information
Ministry of Finance and Economic Management (MFEM)	The Development Coordination Division (DCD) of MFEM is responsible for managing the flow of funds into the Cook Islands from international donors.	Responsible for managing the flow of funds into the BTR1/NC4
Cook Islands Meteorological Office (MET)	MET is the Cook Islands main climate-science organisation and is the country's representative on the IPCC. MET work with EMCI and is a significant player in emergency management. MET is the chair of the Climate Change and DRM Platform.	Supporting agency and provide data
Ministry of Health (MoH)	MoH is the main provider of health services in the Cook Islands and maintains the public hospital on Rarotonga and smaller clinics throughout the *Pa Enua*. MoH is responsible for building resilience through health, food and water security, building resilient livelihoods of people and communities.	Supporting role and provide data
Infrastructure Cook Islands (ICI)	ICI has a broad range of responsibilities and maintains roads, water supply and waste management on Rarotonga. ICI supports the *Pa Enua* Councils to maintain roads, water	Supporting role and provide data and information

Institution/Agency	Role in Climate Change activities	Role in BTR1/NC4
	supply and waste management infrastructure on their respective islands.	
Ministry of Marine Resources (MMR)	MMR is responsible for conservation, management and development of living and non-living marine resources of the Cook Islands. MMR is responsible for the resources found in the EEZ lagoon waters and inland waters.	Supporting role and provide information
Ministry of Agriculture (MoA)	MoA is responsible for the development of agriculture in the Cook Islands. Agriculture development is a key component of climate change to find and develop crops that are resistant to the impacts of climate change.	Supporting role and provide data on LULUCF
Ministry Internal Affairs (INTAFF)	Amongst INTAFF's roles is mainstreaming gender and ensuring vulnerable groups are considered in climate change plans and policies.	Supporting role and provide data on fuel
Business Trade and Investment Board	BTIB is responsible for business development and investment in the Cook Islands including providing small soft loans and technical support to small startup businesses.	Supporting role
Non-Government Organisations: Non-Government Organisations (NGOs) are often involved as implementing agencies for climate change activities. They sometimes work with the Cook Islands Government or directly with regional or international organisations.		
Cook Islands Red Cross (CIRC)	CIRC serves as the National Hosting Institution (NHI) for the Global Environment Facility Small Grants Programme (GEF SGP).	Platform member
The Cook Islands National Council of Women (CINCW)	The CINCW works closely with INTAFF to improve the capacity of women to contribute to climate change adaptation and disaster risk reduction strategies. The CINCW assisted NES and CCCI with the V&A assessments in the Northern group of Cook Islands when they were completed. Also work with CCCI with the GCCA+supa.	Platform member
Te Ipukarea Society (TIS)	TIS has increased its environmental focus by adding climate change as a thematic area in its strategic plan.	Platform member
Kōrero o te `Ōrau	Amongst other activities, *Kōrero o te `Ōrau* focuses significantly on youth and participates in the delivery and advocacy of climate change activities to assist in educating, capacity building and adaptation to climate change and traditional knowledge and practices.	Platform member

Institution/Agency	Role in Climate Change activities	Role in BTR1/NC4
Aronga Mana (traditional leaders)	The *Aronga Mana* is the collective of traditional leaders that are often engaged in implementing projects. They are particularly important for their local knowledge and observation of climate and environmental changes and traditional knowledge and practices. The Cook Islands policy on climate change acknowledges the importance of the role of the *Aronga Mana* (traditional leaders) in national climate change response.	Platform member and needs based
Private Sector		
Bank of the Cook Islands	A state-owned national entity that operates commercially in competition with other financial institutions.	Provide data on vehicles
Chamber of Commerce	Made up of local businesses big and small and advocates and liaises on their behalf.	Needs based
Regional and International Organisations: Regional and international organisations are an essential part of the Cook Islands climate change response. By providing funding, materials or technical expertise, these organisations have helped to implement adaptation and mitigation activities, develop policy and procedures and build capacity within the country. They are listed below:		
New Zealand government under development assistance programmes and agencies		Supporting role
Australian governments under development assistance programmes and agencies		Supporting role
Food and Agriculture Organisation (FAO)		Supporting role
United Nations Development Programme (UNDP)		Responsible for managing the project and providing technical support. Development partner
Adaptation Fund		Supporting role
Secretariat of the Pacific Community (SPC)		Supporting role and providing data
Secretariat of the Pacific Regional Environment Programme (SPREP)		Supporting role and providing data
University of the South Pacific (USP)		Supporting role
Asian Development Bank (ADB)		Supporting role
European Union (EU)		Supporting role
United Nations Environment Programme (UNEP)		Supporting role and providing data

Annex 5: UNDP Atlas Risk Log

#	Description	Date Identified	Risk Category	Impact & Probability	Risk Treatment / Management Measures	Risk Owner	Status
1	Difficulty in securing data and information required for development of BTR1/NC4 and poor absorptive capacity of stakeholders	During design	Technical Resources	Results in wrong assessments and development of inappropriate outputs P = 2 I= 2	Extensive consultations with main stakeholders during the project inception phase and secure buy in to assist with data sharing and incorporate their feedback in the work plan for data compilation.	Project Manager	N/A
2	Inadequate consultations and coordination among the stakeholders	During design	Resources & Management	Affects the project implementation, operation and long-term sustainability P = 2 I= 3	Involve all relevant stakeholder from the inception phase of project and maintain on-going communication and interaction throughout the project period.	Project Manager & Project Beneficiaries	N/A
3	Lack of in country expertise and capacity in developing the Biennial Transparency and National Communications (BTR1/NC4)	During design	Resources & management	Impacts the long-term sustainability of project activities P= 2 I = 3	Hire consultants to assist the national team and to build capacities through training on the IPCC guidelines and procedures	Project Manager	N/A
4	Project Management Issues such as delays in the implementation of activities and outputs as well as the lack of capacity on the financial aspects of the project	During design	Organizational	Impacts on timely completion of project activities and outputs P = 2 I = 2	Include BTR1/NC4 project management as part of the UNDP Multi-Country Office's annual work plan and allocate appropriate resources as well as undertaking training on the financial management of the project including UNDPs Policies and Procedures.	Implementing Partner and Project Manager	N/A

#	Description	Date Identified	Risk Category	Impact & Probability	Risk Treatment / Management Measures	Risk Owner	Status
5	Political instability and lack of support	During design	Political	Change in political leadership may result in the new administration not being supportive of the project P = 1 I = 1	Develop business continuity plan in association with the implementing partner, project management unit, and key line agencies to ensure the means and points of coordination during disrupted periods.	Implementing Partner and Project Manager	N/A
6	Climate Risks, such as natural disasters occurrence could impact project implementation as the government will operate under emergency mode.	During design	Organizational	Impacts on timely completion of project in activities and outputs P = 2 I = 2	Carry-out extensive consultations with stakeholders during the project inception phase and incorporate their feedback on a plan to mitigate the situation during natural disasters.	Implementing Partner and Project Manager	N/A
7	Risks related to Social and Environmental Safeguards findings, such as Policies and measures that are developed with support from the project may not be implemented properly and/or may lead to indirect/unintended environmental and/or social impacts affecting various stakeholders, in particular marginalized groups and indigenous people.	During design	Social and Environmental	P = 2 I = 2	Ensure all relevant stakeholders are consulted, and their knowledge and contributions are fully exploited, including marginalized groups and indigenous peoples. Ensure extensive and fully participatory Stakeholders' consultation process for assessment of documents and reports prepared under the projects that would potentially contribute to the formulation of climate change policies and measures.	Implementing Partner and Project Manager	N/A

Annex 6: Overview of technical consultancies/subcontracts

Consultant	Time Input	Tasks, Inputs and Outputs
For Project Management, Knowledge Management and M&E		
Local / National contracting		
Project Manager/ Coordinator *Rate: $900/week*	*38 months*	*The Project Manager (PM)will be responsible for the overall management of the project, including the mobilization of all project inputs, supervision over project staff, consultants and sub-contractors.* *<u>Duties and Responsibilities</u>* *<u>Project Management tasks (30%):</u>* • *Manage the overall conduct of the project.* • *Plan the activities of the project and monitor progress against the approved workplan.* • *Execute activities by managing personnel, goods and services, training and low-value grants, including drafting terms of reference and work specifications, and overseeing all contractors' work.* • *Monitor events as determined in the project monitoring plan, and update the plan as required.* • *Provide support for completion of assessments required by UNDP, spot checks and audits.* • *Manage requests for the provision of UNDP financial resources through funding advances, direct payments or reimbursement using the FACE form.* • *Monitor financial resources and accounting to ensure the accuracy and reliability of financial reports.* • *Monitor progress, watch for plan deviations and make course corrections when needed within project board-agreed tolerances to achieve results.* • *Ensure that changes are controlled, and problems addressed.* • *Perform regular progress reporting to the project board as agreed with the board, including measures to address challenges and opportunities.* • *Prepare and submit financial reports to UNDP on a quarterly basis.* • *Manage and monitor the project risks – including social and environmental risks - initially identified and submit new risks to the Project Board for consideration and decision on possible actions if required; update the status of these risks by maintaining the project risks log;* • *Capture lessons learned during project implementation.* • *Prepare revisions to the multi-year workplan, as needed, as well as annual and quarterly plans if required.* • *Prepare the inception report no later than one month after the inception workshop.*

Consultant	Time Input	Tasks, Inputs and Outputs
		• *Assess major and minor amendments to the project within the parameters set by UNDP-GEF;* • *Monitor implementation plans including the gender action plan, stakeholder engagement plan, and any environmental and social management plans;* • *Monitor and track progress against the GEF Core indicators.* • *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, for when required by PB, TAC, UNDP, project consultants and other PMU staff;* • *Support Project Board to monitor and track the realization of co-financing* • *Provide PMU-related administrative, financial and logistical assistance.* • *Support the End of Project Report process.* *Technical tasks under component 1 and 2 (70%):* • *Undertake and supervise technical tasks, together with the Lead Technical Advisor, in relation to the objective of this project and deliverables.* • *Support the preparation of the 4NC including the development and revision of thematic chapters, compilation and editing of the documents.* • *Ensures that project activities are in line with guidance provided by the CoP of the UNFCCC and contributes to the improvement of the UNFCCC reporting process and decisions relevant to Article 13 of the Paris Agreement, institutional strengthening and building capacities towards ETF* • *Follows the process of international negotiations in the UNFCCC and respective decisions related to reporting of developing countries, Parties to the PA, particularly in relation to the Paris Rulebook/MPGs* • *Provide strategic orientation and technical guidance and assistance to the TWG work plans and activities* • *Participate and contribute to the knowledge exchange through peer-to peer activities and regional/sub-regional networks, present opportunities for replication in other countries, codify lessons learnt, good practices and facilitate dissemination through ongoing South-South and global platforms, such as the CBIT Global Coordination Platform* • *Monitor project progress and participate in the production of progress reports ensuring that they meet the necessary reporting requirements and standards;* • *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;*

Consultant	Time Input	Tasks, Inputs and Outputs
		• *Oversee and ensure the implementation of the project's M&E plan, including periodic appraisal of the Project's Theory of Change and Results Framework with reference to actual and potential project progress and results;* • *Oversee/develop/coordinate the implementation of the stakeholder engagement plan;* • *Oversee and guide the design of surveys/ assessments commissioned for monitoring and evaluating project results;* • *Facilitate annual reviews of the project and produce analytical reports from these annual reviews, including learning and other knowledge management products;* • *Support project M&E and learning missions;* • *Appraise project progress and validate written progress reports.*
Monitoring and Evaluation and Knowledge Management Officer *Rate: $300/week*	*TBC (approx.12 weeks)*	<u>*Duties and Responsibilities*</u> • *Monitor project progress and participate in the production of progress reports ensuring that they meet the necessary reporting requirements and standards;* • *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;* • *Oversee and ensure the implementation of the project's M&E plan, including periodic appraisal of the Project's Theory of Change and Results Framework with reference to actual and potential project progress and results;* • *Oversee/develop/coordinate the implementation of the stakeholder engagement plan;* • *Oversee and guide the design of surveys/ assessments commissioned for monitoring and evaluating project results;* • *Facilitate annual reviews of the project and produce analytical reports from these annual reviews, including learning and other knowledge management products;* • *Support project M&E and learning missions;* • *Appraise project progress and validate written progress reports.*
Project Gender Officer *Rate: $300/week*	*TBC (approx.12 weeks)*	<u>*Duties and Responsibilities*</u> • *Oversee/develop/coordinate implementation of all gender-related work.* • *Prepare a detailed Gender Analysis and Action Plan, review and update it annually, and revise corresponding management plans, as necessary.* • *Monitor progress in implementation of the project Gender Action Plan ensuring that targets are fully met, and the reporting requirements are fulfilled.* • *Work with the Project Manager to ensure reporting, monitoring and evaluation fully address the gender issues of the project.*

Consultant	Time Input	Tasks, Inputs and Outputs
		• *Develop training materials on gender and climate change and deliver capacity building workshops on how to integrate gender into climate change policy policies and programming.*
		For Technical Assistance
International / Regional and global contracting		
International GHG Inventory Specialist *Rate: $500/day*	*20 weeks*	*To undertake the GHG Inventory for the Cook Islands* *Duties and Responsibilities:* *• Support the review, update, and quality improvement of GHG Inventory and methodologies used.* *• Provide trainings on the use of IPCC guidelines on national greenhouse gas inventories, the 2019 refinement of the 2006 IPPC guidelines, the IPCC good practice guidance on the National GHG inventories and Uncertainty Management, the IPCC Good Practice Guidance on Land use, land-use change and forestry and improving GHG data collection and management systems, as necessary.* *• Develop methods for overcoming inventory data gaps where no activity data is available.* *• Develop and apply QA/QC protocols.* *• Assess existing mechanisms for data collection, harmonization, and centralization of GHG relevant data and the preparation of GHG inventories and provide recommendations for improving existing mechanisms and strengthening institutional frameworks and data management systems.* *• Verify GHG Inventory data and calculations for 4NC*
Local / National contracting		
National GHG Inventory Experts *Rate: $300/day*	*TBC* *(approx. 4 X 30 days)*	*Duties and Responsibilities:* *• Review and improve existing time series of GHG Inventories through the introduction of country-specific TIER II and TIER III methodologies.* *• Identify and collect new activity data for estimates of GHG emissions for the Energy, AFOLU, IPPU and Waste sectors and select emission factors to be utilized.* *• Calculate greenhouse gas emission and prepare the GHG inventory for the 4NC for the sectors of Energy, AFOLU, IPPU and Waste and calculate the level of uncertainty associated with the inventory data.*

Consultant	Time Input	Tasks, Inputs and Outputs
		• *Implement Quality Assurance/Quality Control (QA/QC) protocols.* • *Identify constraints and gaps of the inventory process and areas where further technical support is needed.* • *Prepare a National Inventory Report.*
National Climate Change Adaptation Experts *Rate: $300/day*	*TBC* *(approx. 4 X 30 days)*	*<u>Duties and Responsibilities:</u>* • *Review and update of climatic scenarios and climate risks for Cook Islands.* • *Conduct V&A assessments in specific sectors e.g.: water, health, food, infrastructure, and coastal areas.* • *Identify adaptation options including relevant technological applications in vulnerable sectors and their cost-benefit analysis.* • *Assess the vulnerability of women and men to climate change and provide recommendations for their greater resilience.* • *Analyse the existing policy frameworks, sectoral and community development plans and policies for developing and implementing adaptation strategies and measures.* • *Outline concrete actions taken by the government, NGOs, and communities to facilitate adaptation in different sectors.*
National Climate Change Mitigation Experts *(4 Consultants)* *Rate: $300/day*	*TBC* *(approx. 4 X 30 days)*	*<u>Duties and Responsibilities:</u>* • *Review and analyse national and sectoral targets, policies, programmes, and actions to mitigate climate change and their progress.* • *Identify additional mitigation options and planned measures in the four key sectors of Energy, AFOLU, IPPU and Waste.* • *Develop mitigation scenarios for the four key sectors of Energy, AFOLU, IPPU and Waste including a baseline scenario, whereby current trends continue and two other scenarios showing how emissions may decrease if existing mitigation actions are taken (WEM) and if additional mitigation actions are implemented (WAM).* • *Assess available technologies for the different mitigation options in various sectors, including cost-benefit analysis.* • *Prepare financially sound mitigation project profiles for implementation in the four key sectors.*
Climate Change Specialists *Rate: $300/day*	*TBC* *(approx. 3 X 30 days)*	*Duties and Responsibilities:* • *Review and update information on national circumstances, including on features of national geography, population, economy, and education, national development priorities, and sustainable development objectives.* • *Compile information on institutional arrangements relevant to the preparation of national communications including the distribution of responsibilities and working arrangements within government departments and other relevant organizations, the roles and responsibilities of technical working groups and climate change coordinating bodies, and the process of stakeholder participation.*

Consultant	Time Input	Tasks, Inputs and Outputs
		• Assess the policy framework, including relevant strategies, policies, sectoral plans, and legislation pertaining to climate change in Cook Islands. *Duties and Responsibilities:* *• Collect and analyse information on constraints, gaps, and related financial, technical, and capacity building needs associated with the implementation of climate change measures and programmes.* *• Summarize the results of technology needs assessments conducted in Cook Islands for climate change actions and identify areas and sectors in which further assessments are needed.* *• Collect and present information on support received for the implementation of climate change activities in Cook Islands, including capacity building and technology transfer from various donors.* *• Compile information on support received for the preparation of NCs.* *Duties and Responsibilities:* *• Support preparation of the 4NC by researching, analysing and presenting any other information relevant to the achievement of the Convention including: 1) steps undertaken to integrate climate change into relevant social, economic, and environmental policies and actions, 2) activities relating to technology transfer and development, 3) research and systematic observation programmes and activities, 4) education, training, and public awareness actions related to climate change, 5) capacity building activities and efforts to promote information-sharing among and within countries and regions, 6) measures to promote information exchange and networking.*

Annex 7: Terms of Reference

1. Project Manager (PM)

Scope of Work

The PM will manage the project on a day-to-day basis and is accountable to the Implementing Partner for the planning, management, quality control, timeliness and effectiveness of the activities carried out, as well as for the use of funds. The PM will ensure the regular monitoring and feedback from activities already under implementation.

Duties and Responsibilities

Component 1:

- Supervise the works and contracts of the International and National Consultants.
- Assist technically in organizing workshops/meetings/consultations between consultants and relevant stakeholders
- Assist in the collection of data.
- To review the reports and deliverables of both International and National Consultants
- To present the progress of the consultants to the Project Board.
- To organize travel for the consultants
- To procure supplies and IT equipment for component 1
- Coordinate, manage and monitor the implementation of the project activities/tasks in cooperation with various thematic working groups, local experts; consultants, sub-contractors and co-operating partners;
- Finalize the BTR1/NC4 with support of government personnel and national/international experts;
- Initiate and mobilize resources for the potential follow up activities.
- Undertake and supervise technical tasks, together with the Lead Technical Advisor, in relation to the objective of this project and deliverables.
- Support the preparation of the 4NC including the development and revision of thematic chapters, compilation and editing of the documents.
- Ensures that project activities are in line with guidance provided by the CoP of the UNFCCC and contributes to the improvement of the UNFCCC reporting process and decisions relevant to Article 13 of the Paris Agreement, institutional strengthening and building capacities towards ETF
- Follows the process of international negotiations in the UNFCCC and respective decisions related to reporting of developing countries, Parties to the PA, particularly in relation to the Paris Rulebook/MPGs
- Provide strategic orientation and technical guidance and assistance to the TWG work plans and activities

Component 2:

- Supervise the works and contract of the National Consultant.
- To organize and technically support workshops, meetings, and consultations between relevant stakeholders and the community to raise awareness on the importance of Climate Change
- To review the reports of the local consultant
- To present to the board the progress of Component 2 in raising awareness
- To organize travel of the local consultant
- Procurement of supplies for Component 2

- Participate and contribute to the knowledge exchange through peer-to peer activities and regional/sub-regional networks, present opportunities for replication in other countries, codify lessons learnt, good practices and facilitate dissemination through ongoing South-South and global platforms, such as the CBIT Global Coordination Platform

Component 3 (PMC)

- Prepare a detailed work plan and budget and monitor progress against the approved workplan and project targets;
- Manage requests for the provision of UNDP financial resources through funding advances, direct payments or reimbursement using the FACE form;
- Execute activities by managing personnel, goods and services, trainings, workshops and low-value grants, including drafting terms of reference and work specifications, and overseeing all contractor's work;
- Prepare quarterly financial and narrative reports;
- Coordinate and oversee the preparation of the outputs of the BTR1/NC4 as well as the Awareness component of the Project;
- Ensure effective stakeholder participation and communication and adequate information flow with the relevant authorities, institutions and government departments;
- Maintain and establish additional links with other related national and international programs and other Enabling Activities and other national projects;
- Assume overall responsibility for the proper handling of logistics related to all project workshops and events;
- Manage the Project finance, oversee overall resource allocation and where relevant submit proposals for budget revisions;
- Manage and monitor project risks;
- Prepare revisions to the multi-year workplan, as needed as well as annual and quarterly plans if required;
- Prepare the inception report no later than one month after the inception workshop;
- Provide support for completion of assessment required by UNPD, spot checks and audits;
- Undertake any other actions related to the Project as requested by the Implementing Partner;

Qualifications and Skills

- Advanced University degree (Bachelors or master's Level) in fields related to climate change, environmental sciences, natural resources or any other related disciplines.
- Minimum of 5 years demonstrable experience in project/programme management;
- Substantial involvement in the preparation of national GHG inventory, mitigation analysis, vulnerability and adaptation assessment and the preparation of the first and/or second national communication;
- Demonstrated ability in liaising and cooperating with project stakeholders including government officials, scientific institutions, NGOs and private sector;
- Familiarity with international organizations operations and structure;
- Substantial experience in Government and in interdepartmental procedures;
- Familiarity with international negotiations and processes under the UNFCCC;
- Fluent written and oral communication in Samoan and English;
- Strong communications and interpersonal skills;
- Excellent computer knowledge (MS Office, Internet).

Annex 8: Social and Environmental Screening Procedure (SESP)

Attached separately.

Annex 9: Gender Analysis and Gender Action Plan

Gender Analysis and Action Plan will be prepared during the Inception Phase of the project and will be included in the Inception Report.

Annex 10: Procurement Plan – for first year of implementation especially

The project will be implemented following the UNDP National Implementation Modality (NIM). UNDP will follow its operational policies and procedures established for NIM implementation and will ensure the necessary oversight of the national implementing partner. UNDP will ensure the project delivers results to the highest standards and in full compliance with UNDP and GEF policies.

The following table represents the procurement plan for the first year of the project:

Atlas Budget Description	**General Description**	**Estimated Contract Value (US$)**	**Recruitment Method**[1]	**Advertisement Method**	**Advertisement Date** (quarter/year)	**International or National Assignment**
Local consultant	Project Gender Officer	4,800		Competitive Sourcing	QTR4-YR1	National
Local consultant	Project Monitoring and Evaluation Officer	4,800		Competitive Sourcing	QTR4-YR1	National
Local consultant	Project Safeguards Officer	4,800		Competitive Sourcing	QTR4-YR1	National
International consultant	Lead Technical Advisor	40,000		Competitive Sourcing	QTR4-YR1	International
International consultant	GHG Inventory Specialist	25,000		Competitive Sourcing	QTR4-YR1	International

Annex 11: UNDP Project Quality Assurance Report

Click here to access the approved Quality Assurance Report for the Design and Appraisal Stage.

Annex 12: Partners Capacity Assessment Tool and HACT assessment

PCAT and HACT assessments are annexed separately to the project document.

Annex 13: GEF 7 Taxonomy

Level 1	**Level 2**	**Level 3**	**Level 4**
☒**Stakeholders**			
	☒**Type of Engagement**		
		☒Information Dissemination	
		☒Partnership	
		☒Consultation	
		☒Participation	
	☒**Communications**		
		☒Awareness Raising	
☒**Capacity, Knowledge and Research**			
☒**Gender Equality**			
	☒**Gender Mainstreaming**		
		☒Beneficiaries	
		☒Gender-sensitive indicators	
	☒**Gender results areas**		
☒**Focal Areas/Theme**			
	☒**Climate Change**		
		☒**Climate Change Adaptation**	
			☒Climate information
		☒**Climate Change Mitigation**	
			☒Enabling Activities
		☒**United Nations Framework on Climate Change**	

Annex 14: End of Project Report Template

Monitoring and Evaluation plans of climate change enabling activities for the preparation of National Communications on Climate Change 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 manager 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 manager’s time). You are kindly invited to send the completed template to Eva Huttova, eva.huttova@undp.org.

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	

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).

____

____

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____

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

	Ministry of Finance (or equivalent)		Women's associations
	Other Ministries (not being the Ministry in charge of climate change)		Youth movements

	Local Governments		Indigenous peoples' representatives
	National universities		Environment or climate related NGOs
	Domestic Research Centers		Other NGOs/CSOs
	Media		Others (specify)

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

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____

What were the major challenges faced during this phase?

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____

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

____

____

____

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).

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____

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

____

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____

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).

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____

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

____

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

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____

3. Vulnerability & Adaptation

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).

____

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____

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

____

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____

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).

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

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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

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____

Institutional arrangements

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

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____

____

Please, describe the composition of the project team.

____

____

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

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____

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 work?

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____

Additional remarks

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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.

____

____

____

Next steps

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

____

____

____

Are balance funds available under the NC 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?

____

____

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

____

____

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	